COUNCIL

The 423rd meeting of the Council will be held at 8:30am on Friday 5 December 2014 in the R C Mills Room, Chancelry. Any additional papers and briefing materials will be available in the Mills Room from 8.00am.

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

* 1 ANNOUNCEMENTS AND APOLOGIES

No apologies have been received for this meeting.

The Chair may speak.

* 2 LEAVE OF ABSENCE

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

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

* 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST

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

* 4 ARRANGEMENT OF AGENDA

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstarred items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 34, 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 3 October 2014 (126/2014).
The 422nd meeting of the Council was held at 8.30m on Friday, 3 October 2014 in the
R C Mills Room, Chancelry Building, ANU campus, Canberra.

ANU Council:

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

Apologies:
Professor Matthew Colless

In attendance: Ben Gill, as undergraduate student representative-elect.

ANU Executive and Senior Management:
Deputy Vice-Chancellor (Research) – Professor Margaret Harding
Pro-Vice Chancellor (Research and Research Training) – Professor Jenny Corbett
Pro-Vice Chancellor (Student Experience) – Professor Richard Baker
Executive Director, Administration and Planning – Mr Chris Grange
Professor Nick Glasgow, Chair, Academic Board
Alastair Sinton, Chief Finance Officer

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

Observers (for non-confidential items):
Ms Elsa Merrick
Ms Claire Gardner
Ms Miriam Adams-Schimminger
Mr Daniel de Scipio
Mr Louis Klee
Mr James Waugh
Mr Ray Yoshida

PART 1: PROCEDURAL ITEMS

1. ANNOUNCEMENTS

The Chancellor welcomed to the 422nd meeting of Council new member, Dr. Karen Hussey, who
takes up her position on Council following the election by the academic staff of the Faculties,
and Professor Tim Senden re-elected to Council by the academic staff of the Institute of
Advanced Studies.
Council further noted that Professor Matthew Colless had been newly elected to Council following the election by Deans and Heads of Research Schools, but was an apology for this meeting.

Council thanked Cam Wilson, outgoing President of ANUSA, for the contributions he has made to Council deliberations over the term of his one year appointment and noted that Mr. Ben Gill was the new ANUSA President, and would join Council for the December 2014 meeting.

Council was advised that Emeritus Professor Sally Walker would meet with Council immediately following the Council meeting at 11:30am, in her capacity as Principal lead for the Review into the ANU Act 1991 and the governance arrangements contained within it. Professor Walker will also meet with a number of former Council members. The purpose of the meeting with Council members was to outline the approach being taken in respect of the review, to report the proposed analysis and modelling methodology that will aid the development of a best practice governance framework, to highlight milestones and reporting schedules and to propose a series of questions and invite discussion.

2. LEAVE OF ABSENCE

No leave of absence was granted for the meeting.

Mr David Miles joined the meeting via teleconference.

3. DISCLOSURE OF MATERIAL PERSONAL INTEREST

Mr. David Miles informed Council that he has been appointed to review the Cooperative Research Centres Program and asked Council to note his appointment.

No other member disclosed a material personal interest in any matter on the agenda.

4. ARRANGEMENT OF AGENDA

Council noted re-arrangement of the agenda as follows:

Agenda items 6 and 7 – Vice-Chancellor’s report and ANU by 2020 to be handled together and followed by a presentation on renewal
Agenda item 9 – ANU Investment Management Review, with confidentiality of this item removed.
Agenda item 8 – 2014 University Financial Projections and 2015 University Budget
Agenda item 14 (Audit and Risk Management Committee Charter) and Agenda item 27 (2015 Council meeting dates) were starred.

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

5. COUNCIL MINUTES

Council resolved to confirm the minutes of the meeting held on 25 July 2014 (124/2014).

PART 2: KEY BUSINESS ITEMS

6. VICE-CHANCELLOR’S REPORT

The Vice-Chancellor introduced his report, addressing the following issues:

6.1 Higher Education Reforms

The Federal Government Higher Education Reforms have been passed by the House of Representatives. In the Senate, the legislation has been referred to the Education and Employment Legislation Committee. The Committee has a reporting date of 27 October 2014. The Vice-Chancellor will appear before the Committee on Wednesday 8 October, as Chair of the Go8. Council noted that, in the event that the legislative package does not receive passage, the University faces the risk of reduced funding ****
6.2 Rankings
Following the release of the Academic Rankings of World Universities (ARWU) the QS Rankings have now been released. In contrast to the drop in ranking reported in the ARWU, the QS rankings have seen ANU improve its position from 27 to 25 in the world.

The Vice-Chancellor reaffirmed the need to improve publication and citation performance **** These issues will be discussed by the Deputy Vice-Chancellor (Research) as part of her report to this meeting of Council.

6.3 Staff Development and Renewal
The Vice-Chancellor commented on the recent series of senior academic appointments who will have instrumental roles in driving rejuvenation of Health and Medical Sciences and bring strength in research performance. Council endorsed the appointments and commended the University in its ability to attract quality appointments to critical areas of the University’s research domain.

The Vice-Chancellor made a presentation to Council on how ANU could continue its process of staff renewal aimed at enhancing the academic performance of the university. Data such as the Academic Ranking of World Universities (ARWU), citation performance, publication counts and research income all indicate growth lower than is desirable. The presentation highlighted the importance of a comprehensive performance development and review process in ensuring the continued development of staff, which Council supported. The Vice-Chancellor will report back to Council on this item.

6.4 Student Load
Council noted the vice-Chancellor’s update report on student load, as follows:

First preferences are tracking positively in each State with 11.7% increase overall. State by State data shows:

- ACT up 5.3%
- NSW up 14.9%
- NT remaining steady
- QLD up 11.35%
- SA up 139.4%
- TAS up 5%
- VIC up 16.7%
- WA down 12% and
- Unknown up 14%

In relation to early total application data, Council noted that:

- QTAC is down 20%+
- VTAC is down 13%
- SATAC is down 13%
- WATAC is down 32%
- NSW UAC is down 7%

ANU was tracking well with a strong performance on first preferences, compared with other members of the Go8and should achieve budget targets of a 5% growth in commencements.

In relation to international student numbers, early data shows positive increases and higher acceptance rates with ANU experiencing strong growth from its dominant markets.

Enhanced branding and student recruitment efforts are resulting in growing acceptance rates and an increasing preparedness for students to travel away from their home base for their tertiary education.

The University is finalising its marketing campaign which will be launched over the change in preference period, to ensure current projections hold.
The downward trend observed in relation to total national applications may be symptomatic of the current uncertainty regarding introduction of fee deregulation. Moreover, the trend may point to the market’s reaction to speculation of excessive price increases. [Note that subsequent to the Council meeting, new data shows national numbers now only slightly down.]

6.5 Social Research Centre (SRC) Acquisition
The recent acquisition of the Centre has proven advantageous with the Centre winning the contract for the Quality in Learning and Teaching Survey, a course experience survey conducted nationally.

6.6 China in the World
The Vice-Chancellor advised Council of the current contract between the University and the Commonwealth which provides for a Commonwealth endowment to be matched by the ANU through philanthropy, with a default requiring the University to possibly absorb full costs. Negotiations with the Department of Education have now concluded with agreement reached to remove this provision within the contract focusing, instead, on the Centre achieving its key performance deliverables and managing its operations within budget.

6.7 City West Land Development option
The Vice-Chancellor advised Council that the ACT Government has approved the extension of the current development option on city west land to 2020, at which time the development option will conclude. The University now has an extended window to develop a business case for suitable development.

6.8 Review of the ANU Act 1991
Council members noted that Professor Sally Walker, former Vice-Chancellor of Deakin University, has been appointed by the Minister for Education to undertake the review of the ANU Act 1991 and the governance arrangements contained within it. Professor Walker will meet with Council immediately following the Council meeting at 11:30am.

Council noted the report of the Vice-Chancellor.

7. REVIEW OF ANU BY 2020 STRATEGY– PROGRESS REPORT
The Vice-Chancellor recapped previous Council consideration of the University’s strategy, during the February 2014 strategic retreat. At that time, Council resolved that a review of ‘ANU by 2020’ be undertaken by a small Working Group of Council, comprising:

- Chancellor, Gareth Evans
- Vice-Chancellor, Ian Young
- Pro-Chancellor, Robin Hughes
- Doug McTaggart
- Tim Senden

The Working Group would be supported by the University's management to:

- undertake analysis of key issues and emerging trends
- engage in a broad consultation program to draw together major themes arising and
- propose updates to the current strategic plan, based on the ‘2020’ building blocks, namely:
  - Excellence in Research
  - Excellence in Education
  - Excellence as a national Policy resource
  - World-Class staff
  - Inspired Students
  - Engaged Alumni
  - National Outreach
  - International Outreach
  - Embedded Access and Equity
  - Effective Organisation
  - High Quality infrastructure
Council noted that in the months following its 2014 retreat, the Vice-Chancellor commenced large scale discussions with staff and students to build ownership of the updated strategic plan, but the current uncertainty surrounding the introduction of fee deregulation has meant that a different consultative approach became necessary. A series of Vice-Chancellor roundtable forums are now underway with Research School Directors and with students to identify their aspirations and needs, together with the qualities, services and the residential experience dimensions that distinguish ANU from other institutions and which remain highly valued. The outcomes from these forums will inform the refreshed strategy.

Council similarly recognised the importance of the residential experience as a characteristic of the ANU offer and sought to ensure that this aspect is a feature of the updated plan.

It was noted that the significant role of ANU in relation to Indigenous education needs to be well articulated in the plan and become a feature of the built environment.

Council resolved that the timeframe for the updated ‘ANU by 2020’ be extended to 2025, and that a first draft of the updated strategy be discussed by the Working Party at a meeting to be scheduled for 4 December 2014, with an update to Council at its meeting on 5 December.

In addition, Council agreed that, for the meeting in February 2015, the standing business agenda should be considered at a meeting of Council in the afternoon of Thursday 19 February 2015, in order that the final draft strategy could be discussed, in detail, over the course of an all-day strategic retreat to be held on 20 February 2015.

Resolved:
That Council approve the proposed program of work and timeframe for the development of an updated long term strategic plan, ‘ANU by 2025’, based on the building blocks contained in ‘ANU by 2020’.

8. 2014 UNIVERSITY FINANCIAL PROJECTIONS AND 2015 UNIVERSITY BUDGET

The Chief Financial Officer introduced the paper detailing the 2014 financial projections and the 2015 budget for the University. Key highlights included:

- The current 2014 financial projections and 2015 budget report an improved operating position over both 2013 actual and 2014 budget;
- In 2015, the net operating result before investments and capital grants is budgeted to be positive for the first time since 2010;
- The improved financial outlook for 2014 and 2015, driven primarily by increased tuition fees, will allow increased funding to be allocated to the University’s capital building program;
- Capital funding is budgeted to increase by $13.5m to $38.5m in 2015.

Council noted the potential risks to the 2015 budget, namely:

- Reforms to tertiary education including fee deregulation for domestic undergraduate students which may result in a weakening in student applications;
- Impact on competitive research funding of ongoing funding cuts and rationalisation of Commonwealth Departments (e.g. impact of the integration of AusAid into DFAT);
- Recent weakening of ANU’s position in the ARWU ratings;
- Concentration of international students and risks associated with any softening of current market concentrations.

Council considered the updated financial projections for 2014 and the 2015 University Budget and welcomed a most comprehensive analysis and report of the University’s financial position.
Resolved: That Council note the 2014 University financial projections and approve the 2015 University budget.

9. ANU INVESTMENT MANAGEMENT REVIEW

9.1 Outsourcing: At its meeting on 25 July 2014, Council noted work in progress by the University’s Investment Management Office to consider and respond to the findings and recommendations arising from the review conducted by Frontier Advisory Services, with particular focus on the appropriate model to be used for the management of domestic equities within the University's Long Term Investment Portfolio.

Council noted amongst the key findings of Frontier that current organisational arrangements, involving direct stock selection, present some risk exposure to the university given the small number of staff in the Office, the high dependency on these few staff for its work and the large sums of funds being invested and that the option of outsourcing stock selection to an independent manager(s) should be examined, in a more detailed manner.

A compelling case was made for outsourcing the selection and management of domestic equities to an index-based external manager to enable the re-direction of internal staffing resources to other necessary work, namely, market analysis, asset allocation and compliance monitoring.

In adopting this recommendation, Council noted the following:

1. There will be no reduction in investment office staffing. It is intended that the Office will allocate more of its existing resources to asset allocation and related decisions, including overlays on an index managed approach, informed by inputs from the selected manager(s).
2. There will be no immediate change to the operation of the Investment Advisory Committee although its role and focus will be refined at the end of the transition.
3. There is a significant range of options for engagement of index managers including the option of engagement of more than one manager. It is expected that the transition will be completed by 31 March 2015.

9.2 Socially Responsible Investment: Council engaged in a discussion, at length, on how the current Socially Responsible Investment Policy (SRI), adopted by Council and effected on 13 November 2013 should be applied to both current domestic equity investments, and under a future outsourced regime. In the course of discussion, the need to balance a range of imperatives was emphasised, in particular, Council’s fiduciary responsibilities to both maximise returns and minimise risk, stakeholder concerns, and access to relevant expertise.

It was agreed that in a fully outsourced system, SRI Policy compliance, by reference to Environmental, Social and Governance (ESG) criteria, will need to be a component, and close attention will need to be paid to this issue in the selection and ongoing monitoring of an external fund manager.

In relation to current in-house portfolio management it was agreed to have regard to the detailed analysis of our existing stocks by Corporate Analysis Enhanced Responsibility Australia (CAER) - the Australian partner of Ethical Investment Research Services (EIRIS), an international provider of ESG research based in London, and that divestment be undertaken of seven particular stocks as soon as market conditions are conducive to doing so, on the basis that each scored in the lowest category on the CAER Sustainability Ratings:

****
Resolved:
That Council:

1. Approve the divestment of seven companies from the University’s domestic equities investment portfolio, based on their scoring in the lowest category on the CAER Sustainability Ratings;
2. Note that the seven companies represent **** 1.4% of our total investment portfolio **** and
3. Approve the proposal to transition to an index-based external manager/s, taking into account the need to have an appropriately constructed SRI/ESG component in selection and ongoing management of all external funds.

PART 3: STRATEGIC ISSUES

10. RESEARCH PERFORMANCE AT ANU

The Deputy Vice-Chancellor (Research), Professor Margaret Harding, gave a presentation to Council on the University’s performance against the 2014 Research Plan with specific focus given to the following themes:

a) Attracting, retaining and developing Early Career Researchers and high profile staff (impact on rankings, ERA and our strategy regarding HiCi staff)
b) Health and Medical Research – implementation of review recommendations
c) Our research publication and income performance versus the Go8 – areas where the university is falling behind and strategies to address this issue
d) HDR students – increasing full-fee paying and discussion of impacts of 10% RTS reduction and charging fees if the Budget package passes the Senate.

Amongst the key points discussed were:

1. The current uncertainty in respect of the fee deregulation may impact prospective cohorts of PhD students and research funding
2. There remains a priority for the University to engage, more proactively, with industry and business in research partnerships
3. ANU is ranked highly in the Excellence in Research Australia (ERA) exercise and maintaining this position in ERA 2015, as well as number 1 or 2 in international rankings, is very important.
4. HERDC reporting of research income and publications determines the funding available to the University for the forthcoming year. Research Funding for 2013 increased +16%, compared with +5% in 2012; however, the University performed below the Go8 in research publications
5. In relation to Category 1 grants, ANU excels in ARC all research grant schemes and Fellowship schemes except those schemes requiring industry partners. In contract, ANU under-performs in securing NHMRC funding for both projects and Fellowships, underpinning the need for academic and research renewal across health and medical sciences. The University has recognised the underperformance in winning NMHRC funding and the need for investment to realise opportunities in this discipline cluster.
6. Given the University’s distinctive national role, it outperforms the sector in securing public sector income, including funding from the National Institutes Grant (NIG) funding, but is the lowest in the Go8 for industry donations and ranks 7th for HDR fees.
7. The University is a high exporter of research staff and funding. **** Whilst mobility is a feature over the lifetime of a researcher’s employment, there is a need to achieve a more balanced outcome by attracting research staff and related funding to ANU.
8. Rankings – QS, ARWU and THE - equally show a downward trend for the ANU in the area of Citations, compared to world and national rankings. Citations, per academic staff member, are also lower, on average, compared with Go8 institutions, emphasising the importance of ensuring ANU continues to attract, retain and support early and mid-career researchers.

To address these findings, the following priorities and strategies are now being implemented:
1. Implementing recommendations of the 2013 review of Health and Medical Sciences, including new initiatives to increase NHMRC Fellowship and grant applications.

2. Supporting large scale partnerships and initiatives, notably through the soon-to-be-launched Canberra Global Research precinct (ANU-CSIRO), and positioning for new ARC Centres of Research Excellence.

3. Increasing International full fee paying HDR students via establishment of strategic international partnerships with sponsoring agencies, and building key strategic partnerships with Universities and funding agencies in Brazil and Europe.

4. Establishing career pathways for early career researchers and ensure effective mentoring and support alongside the new staff performance development programme.

5. Focusing on the following four key research areas in engaging with industry and business: Defence, Space Sciences, Plant and Agricultural Sciences, Composite materials; and

6. Building a comprehensive research philanthropy case for support around students, staff and buildings; in particular building a case to attract a high profile donor to support HDR scholarships in a similar manner to the Tuckwell scholarships.

Council thanked Professor Harding for a most comprehensive and insightful assessment of the key issues driving research renewal at ANU.

Resolved:
That Council:

1. Consider the issues arising from the presentation about how the University is tracking against the 2014 Research Plan and the implications for research renewal; and

2. Discuss the emerging priorities, in more detail, at its next strategic retreat to be held in February 2015.

PART 4: OTHER MATTERS FOR DECISION

11. HONORARY DEGREE NOMINATION

Resolved:
That Council approve the award of the degree of Doctor of Science honoris causa to Professor Chunli Bai on the grounds of his outstanding contribution as a scholar.

12. REVIEW OF ENTITY-WIDE RISK MANAGEMENT FRAMEWORK

Resolved:
That Council approve the revised entity-wide risk management framework which is the result of review and consultation across the ANU community to achieve a more streamlined, practical tool that enables staff to plan and ensure effective risk management practices are in place within their areas of operation.

13. STUDENT SERVICES AMENITIES FEES – REVISED APPROVAL PROCESS

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

14. AUDIT AND RISK MANAGEMENT COMMITTEE CHARTER

Resolved:
That Council approve the proposed changes to the ARMC Charter and reaffirm the importance of this work.

15. ANU STUDENTS’ ASSOCIATION INCORPORATED CONSTITUTION

Resolved:
That Council approve the amendments to the Constitution of the ANU Students’ Association Incorporated governing the conduct of meetings, as passed at an Annual General Meeting of the Students’ Association on 21 May 2014.
16 ANU PARKING INFRINGEMENT FEES 2015

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

PART 5: OTHER MATTERS FOR NOTING

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

Council noted the summary of major items considered by the Audit & Risk Management Committee (ARMC) at its meeting held on 3 September 2014.

18. FINANCE COMMITTEE – SUMMARY OF MAJOR ITEMS CONSIDERED

Council noted the summary of the major items considered by the Finance Committee at its meeting held on 19 September 2014.

19. CAPITAL BUILDING FINANCIAL SUMMARY REPORT

Council noted the Capital Building Financial Summary Report.

20. REARRANGEMENT OF THE FINANCE FUNCTION WITHIN THE UNIVERSITY

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

21. ACADEMIC BOARD

Council noted the report from the meeting of the Academic Board held on 1 August 2014 (1045/2014).

22. 2014 WORKPLACE GENDER EQUALITY AGENCY ANNUAL REPORT

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

23. POWER OF ATTORNEY

Council noted the list of transactions over which the Investment Manager exercised the Power of Attorney between 9 July 2014 and 3 September 2014.

24. UNIVERSITY SEAL REPORT

Council noted the document to which the University Seal has been affixed since the meeting of Council held on 25 July 2014.

25. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

Council noted the report of significant visits and events, grants and consultancies (144/2014).

26. LEGISLATION

Council approved the following legislation:

1.1 Academic Board and Committees Statute 2014
1.2 Honorary Degrees Rules 2014
1.3 Staff Superannuation (Repeal) Statute 2014
1.4 Superannuation Funds (Investment and Management) (Repeal) Statute 2014
and noted a progress report in relation to the 2014 review of University legislation.

27. 2015 COUNCIL MEETING DATES

Council noted the 2015 Council meeting dates, as approved at the February 2014 strategic retreat; and the broad schedule of proposed business agenda items for the year ahead.

Council further resolved that the business meeting of Council be conducted late afternoon at ANU House, Melbourne, on Thursday 19 February 2015, followed by pre-Council dinner. This arrangement will enable a full day dedicated to consideration and discussion of the University’s updated strategic plan (to 2025) on Friday 20 February 2015.

PART 6: OTHER BUSINESS

28. QUESTION TIME

Council noted that extensive initial (preliminary) discussions are underway with the University Work Health and Safety (WHS) Policy Committee concerning the development of a policy recommendation to the University’s Executive on the scope, reach and timing for the phased introduction of a ban on smoking on campus.

The WHS Policy Committee consists of representatives from Colleges, Divisions and Research Schools, similar to the University’s Staff Consultative Committee, and provides the forum for WHS policy development and consultation.

Initial consultation will explore a range of policy options that may include designated smoking areas, the potential for the use of e-cigarettes, how far any ban on smoking should extend, whether it should apply to residential colleges and to the sale of products on campus. In addition, the role of QUIT programs to support staff, as part of the usual wellbeing and support programs run by the University, will be reviewed.

29. OTHER BUSINESS

Council resolved to approve a proposal tabled at the meeting, to appoint Mr. Darren Keogh to Council’s Finance Committee. Mr Keogh’s qualifications, financial, banking and commercial experience will bring further expertise to the Committee membership.

30. NEXT MEETING

It was noted that the next meeting of Council will be held on 5 December 2014.

Council business concluded at 11:30 am, followed by discussion with Professor Sally Walker and Deloitte team in relation to the review of the ANU Act 1991 and the governance arrangements contained within it ****

Council extended its thanks to Professor Walker for her overview and reaffirmed its willingness to cooperate in the review process, in the hope and expectation it would reinforce ANU’s position as Australia’s national flagship university.
PART 2 – KEY BUSINESS ITEMS

C 6. – 12. Confidential to Council Members
*13. CAMPUS PLANNING AND DEVELOPMENT COMMITTEE (CPDC)

PURPOSE
To seek Council approval of a revised Campus Planning and Development Committee

PREPARED BY
Director, Facilities and Services Division

REVIEWED BY
Executive Director, Administration and Planning
Vice-Chancellor

APPROVED BY
Executive Director, Administration and Planning

SPONSOR
Executive Director, Administration and Planning

RECOMMENDATION
That Council approve:

i. The current CPDC be disbanded with thanks to current serving members

ii. A new Terms of Reference as set out in Attachment 2, be adopted

iii. The current CPDC Chairperson be invited to chair the newly established CPDC for a term of 3 years

iv. New Committee members be identified, reviewed and appointed to the Committee as per the membership appointment process identified in the Terms of Reference.

ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☐

Background
At the July Council meeting, Council was advised that the existing and long standing Campus Planning and Development Committee (CPDC) was under review. The CPDC was first established in the 1950’s.

The existing terms of reference and membership are set out in Attachment 26.1. The review of the Committee is an extension of the process which began with the 2010 development of the new Campus Master Plan 2030.

The review also interacts with the new Capital Management Planning and approval process that Council approved earlier in 2014. Under this new framework, there is a funding program for major capital works that culminates in an annual recommendation to Council on major developments.

The ANU Master Plan

Historically, a number of site planning and development documents were created from 1933 onwards until the instigation of the ANU Campus Master Plan (CMP) 2030 which was implemented in 2010 (http://masterplan2030.anu.edu.au/).

The CMP 2030 provides clarity of direction to the University, development interests and stakeholders on the future development of the University. It begins with the vision and identifies the aspirations for the campus. The developmental issues, objectives and guiding principles are highlighted under ten themes which collectively build on the past and define the future.
The CMP 2030 is supported by a number of documents including the CMP 2030 Implementation Strategy and a Campus Planning and Development Guidelines document both of which are used to implement the Plan.

The implementation of the CMP 2030 commenced in 2010 and since then has been the guiding document for all developments on the Acton Campus. Master Plans have also been developed for Mt Stromlo and Siding Springs Observatory.

The CMP is not simply an internal document, it has formal status with the National Capital Authority and has been endorsed after some years of work. Within this framework, any variations to the operative sections of the Campus Master Plan will require reconsideration by the NCA.

**The National Capital Authority (NCA) and Authorised Delegate Status**

Since 2012, the ANU has been working with the NCA to further develop the CMP 2030 to a position where the ANU would be granted Authorised Delegate status for self-regulation of developments on the campus. The historic practice of obtaining NCA approval to on campus development has been time consuming and problematic.

The granting of Authorised Delegate status would be a major step forward for the ANU. It would mean that a wide range of smaller developments and refurbishments would be self-approved within the University. It would mean that larger developments, certified as Master Plan compliant, would be fast-tracked through the NCA and subject to only a compliance to Master Plan check, eliminating subjective debate with the NCA about the merits of particular developments and granting significantly great planning autonomy to the University.

This University's internal processes have had to be reconfigured to provide the NCA with the required level of confidence that the ANU can and will manage campus development consistent with the CMP. Subsequently, only projects that do not align with the CMP 2030 will need to be referred to the NCA for detailed consideration. For the ANU, Authorised Delegate status will provide the ability to progress projects confident that the NCA will expedite works approvals, submitted essentially as a formality.

The NCA and ANU have held a number of workshops to progress requirements for self-regulation. These workshops have been attended by the NCA through their CEO, Chief Planner and other personnel and the ANU through the current chair of the CPDC, Director Facilities and Services and Planning consultants.

It has been agreed that the CMP 2030 will be the overarching Master Plan document, supported by a number of developed Precinct Codes which draw on CMP 2030 and provide definitive guidelines on developments pertinent to each specific precinct.

The requirements to achieve Authorised Delegate Status are threefold:

1. Agreement on Building Heights and Green Spaces on Campus;
2. Development of Precinct Codes which support the CMP 2030 and provide definitive guidelines to developments within designated precincts on campus; and

The current status is that:

- Building Heights and Green Spaces on campus have been agreed and documented; and
- Precinct Codes have been drafted with the NCA providing consolidated feedback on the Clunies Ross Street precinct as an initial review to guide the refinement of the other draft codes.

The outstanding issue is the management and reporting requirements to support the granting of Authorised Delegate status to the ANU. This required a re-think of the current CPDC functions, responsibilities and membership to align with the NCA’s requirements for an Authorised Delegate.

**PART 2 – KEY BUSINESS ITEMS**
The current CPDC is essentially a consultative forum and does not meet the expectations of the NCA for Authorised Delegate status. The first step in upgrading the CPDC was to appoint a Chair with a set of skills and experience appropriate to the intended direction and acceptable to the NCA. This was achieved in 2013 with the appointment of Sue Holliday as Chair of the CPDC (her cv is Attachment 3).

**Analysis and Review**

A review of the existing CPDC has been conducted by the Chair, Sue Holliday and Director Facilities & Services, Christine Allard. The review was foreshadowed to Council in July 2014. Investigation was undertaken of similar committees in other universities and discussions held with the NCA on their requirements.

A committee is required that can provide executive and senior management with the confidence that projects considered, planned or being undertaken on campus meet the requirements of the Campus Master Plan and Precinct Codes, consider the built form and environmental aspects of the continuing development of the campus and comply with any development codes.

Considering the range of existing and possible roles, the review determined that:

- Design Review – should be a responsibility of the CPDC with NCA input
- Master Plan Management/Advisory – will aid the purpose of the CPDC moving forward
- Gatekeeper/Decision-maker – was not appropriate, should be a matter for University Council, or the Vice-Chancellor under delegation.
- Consultative/Representative – should be achieved through alternative mechanisms

There are therefore two relevant functions required in order to meet the requirements of the ANU and to satisfy the NCA requirements. The new CPDC should be focussed on Master Plan Management and Design Review.

The new CPDC would be chaired by an independent practitioner with the charter of providing advice on projects under the following headings:

- Adherence to the principles of the Master Plan and Precinct Codes
- Potential Heritage impacts
- Impact on Campus Experience
- Management/Policy/Process inputs
- Space Management

A Design Review Sub Committee (DRSC) would provide expert advice on built form and review project designs at concept and later stages to ensure the ANU has the best architecture consistent within budget requirements in support of its teaching and research endeavours. The members would be those already in the new CPDC however this group would meet only as required.

The proposed terms of reference including membership are set out in Attachment 26.2.

**ATTACHMENTS**

13.1 Current Campus Planning and Development Committee (CPDC) terms of reference and membership (195/2014).

13.2 Proposed Campus Planning and Development Committee (CPDC) terms of reference and membership (196/2014)

13.3 Curriculum vitae for Ms Susan Holliday (197/2014).
Current Campus Planning and Development Committee

Roles and Functions

To protect and enhance the quality of the physical environment of the campus and to ensure that efficient land use pattern integrated with facilities for movement of people and goods to and from and within the campus. To advise the Council on the naming of University buildings and of significant areas within those buildings.

Terms of Reference

On 25 July 2008, Council approved the following revised terms of reference for the Campus Planning and Development Committee: to make recommendations to the Council through the Finance Committee on policies relating to the planning and development of the University’s campuses; to implement these policies, especially in terms of decisions about siting and design of particular buildings and the development of the University’s landscape and physical infrastructure; to report through the Finance Committee to the Council on its activities; to provide advice to the Vice-Chancellor on the planning and development of the City West Precinct.

<table>
<thead>
<tr>
<th>Membership</th>
<th>Member</th>
<th>Term</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chair appointed by Council (if possible with expertise in planning, architecture or engineering)</td>
<td>TBA</td>
<td>31/12/2012</td>
</tr>
<tr>
<td>Vice-Chancellor or nominee of the Vice-Chancellor</td>
<td>Mr Mick Serena</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Two members with appropriate expertise appointed by the Vice-Chancellor</td>
<td>Professor David Williams</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Two members of academic staff appointed by the Vice-Chancellor</td>
<td>Vacant</td>
<td>Ongoing</td>
</tr>
<tr>
<td>A representative of the general staff appointed by Council on the nomination of the Vice-Chancellor</td>
<td>Ms Tracy Chalk Ms Joan Uhr</td>
<td>31/12/2002</td>
</tr>
<tr>
<td>President or nominee, Postgraduate and Research Students’ Association Inc. and President or nominee, the Australian National University Students’ Association</td>
<td>Ms Julie Melrose Mr Dallas Proctor Mr Luke Kemp</td>
<td>29/11/2012</td>
</tr>
<tr>
<td>Two members who are not members of the University, appointed by Council</td>
<td>Adjunct Professor Geoff Campbell Ms Tooey Elliott</td>
<td>31/12/2012</td>
</tr>
<tr>
<td>Co-opted member</td>
<td>Mr Viv Straw Mr Rob Purdon</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Member of ANU Exchange Project Control Group, appointed by the Vice-Chancellor</td>
<td>Mr Wayne Ford Mr Matt Smith</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Lay member of Council appointed by Council</td>
<td>Mr Matthew King</td>
<td>25/05/2012</td>
</tr>
<tr>
<td>Chair, Campus Advisory Sub-Committee</td>
<td>Mrs Julie Gorrell</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>

QUORUM – 7

Notes:
1. Except in the case of the student members, all members are eligible for re-appointment.
2. It is Council's intention that the membership of the Committee should include at least one woman, if necessary by co-option.

The Executive Officer of the Committee is the Director, Facilities and Services Division.
*At its meeting on 13 November 1998, the Council of the University resolved to approve:

1) Membership of the Buildings and Grounds Committee is expanded to include both the President and nominee of The Australian National University Students’ Association and the President or nominee of the Postgraduate and Research Students’ Association Inc. as full members of the Committee.

2) Membership of the Buildings and Grounds Committee is expanded to include a lay member of Council appointed by Council, for an initial term until the end of 2000.
Proposed New Campus Planning and Development Committee (CPDC)

Roles and Functions

The CPDC has the primary function to provide the University Council, Executive and Senior Management with confidence that projects considered, planned or being undertaken on campus meet the requirements of the Campus (and remote sites) Master Plans and principles of the Precinct Codes, consider the built form and environmental aspects of the continuing development of the campus and comply with any development codes.

The Committee is a Management Committee reporting to the Executive Director Administration and Planning.

The CPDC provides the National Capital Authority (NCA) with the confidence that planning, design review and appropriate consultation are undertaken on campus in line with the Campus Master Plan.

The CPDC will report quarterly to the Executive Director Administration and Planning (EDAP) on its activities and annually to the University Council.

Terms of Reference

The following are the terms of reference for the Campus Planning and Development Committee:

1. To review proposed projects to ensure they align with the requirements of the ANU Strategy, the Campus Master Plan and associated Precinct Codes;
2. To provide advice of endorsement of projects to the National Capital Authority (NCA) on proposed developments across the campus;
3. To make recommendations on the physical planning of the campus including land use, under-development of space, infrastructure, and new building design.

Membership

Membership of the CPDC will be for a period of three (3) years and the Committee will rotate 50% of membership every 3 years. All positions are honorary. A Chair will be appointed for a period of 3 years.

Selection of members will be through the identification and nomination of suitably qualified professionals (either internal or external to the University) and as approved by the Vice-Chancellor on the recommendation of the EDAP.

Membership will consist of the following:

1. An independent, professionally qualified Chair
2. A qualified Landscape Architect
3. An Architect
4. A Heritage Consultant/Officer
5. Policy Advisor
6. An Urban Designer
7. Student Body member
8. Student Experience Staff member
9. SMG representative
10. NCA representative (plus ACT Govt representative as required)
11. Director, Facilities & Services Division

Additional attendees may be requested to for inputs on specific subjects.

Meetings

Meetings of the CPDC will be held quarterly. Where a specific meeting is required for Design Review this will be scheduled as required.
Quorum – a committee meeting will require a quorum of 7 of the 11 members.

Secretariat services will be provided by Facilities & Services Division.

**Associated Committees**

Design Review Sub Committee (DRSC)
Campus Advisory Sub Committee (CASC)
Design Review Sub Committee (DRSC)

Roles and Functions
The DRSC is a sub-committee to the Campus Planning and Development Committee (CPDC) and has the primary function to provide expert advice on built form for project designs at concept and PSP stages.

The DRSC will report to the CPDC and will provide advice and recommendations related to the design of buildings and infrastructure to ensure the ANU has the best architecture consistent within budget requirements in support of its teaching and research endeavours.

The DRSC will report after each meeting to the CPDC on its activities.

Terms of Reference
The following are the terms of reference for the Design Review Sub- Committee:

1. Undertake Design Review providing expert advice on built form at concept and PSP stages to ensure the best architecture in support of teaching and research endeavours;
2. Review new development to ensure it is aesthetically compatible with existing buildings and infrastructure; and
3. Encourage originality and creativity in the design of new buildings and additions, or the remodelling of existing buildings.

Membership
Committee members will be those holding the same role on the CPDC.

Membership will consist of those CPDC members appointed from the following categories:

1. The Chair of the CPDC
2. Landscape Architect
3. Architect
4. Urban Designer
5. SMG representative
6. NCA representative (plus ACT Govt representative as required)
7. Facilities & Services member

Additional attendees may be requested to for inputs on specific subjects.

Meetings
Meetings of the DRSC will be scheduled and held as required.

Quorum – a committee meeting will require a quorum of 4 of the 7 members.

Secretariat services will be provided by Facilities & Services Division.
Curriculum Vitae 2013

Ms Sue Holliday, FPIA, CPP, GAICD

Qualifications

Bachelor of Arts (Economics) 1970, Goucher College, Baltimore, Maryland USA, Master of Philosophy (Town and Country Planning) 1976, University College, London Graduate, Australian Institute of Company Directors

Skills

- Public Sector CEO Experience
- Executive and Non-executive Board Director experience
- Comprehensive experience in Government and regulatory environments
- Strategic thinker
- Pragmatic decision maker
- Experienced and effective negotiator
- Excellent communication abilities
- Strong Skills in chairmanship, liaison and facilitation
- Experienced and skilled in leading Change

Career Summary

Sue’s career spans 30 years of public sector, private consultancy and academic experience in the field of urban planning, major development, transport and infrastructure. She plays an influential role at the national level in Australia, leading and influencing debate around housing infrastructure, urban planning and sustainability.

- Consultant:
  - Managing Director, Strategies for Change 2007 – Present; working with private and public sector groups on urban strategy, organizational review and development;
  - Director of City Strategy, DEGW Asia Pacific 2003-7
- Public Servant:
  - Director General Planning, NSW 1997-2003
  - 25 years senior roles in the NSW public sector
- Board of Directors and National Committee memberships:
  - 15 years of Executive and Non-Executive Board Directorship
  - Chair, Built Environment Industry Innovation Council (Council finished end of 2012)
  - Member, National Housing Supply Council, and the Urban Policy Forum.
- Academic:
  - Professor of Planning Practice, UNSW. 2010 – present
- Mentor:
  - Graduate School of Government, USyd. 2006 – present
  - McCarthy Mentoring

CURRENT BOARD AND COMMITTEE MEMBERSHIPS

- Chair, Built Environment Industry Innovation Council, 2008 – end of 2012
- President, Building Professionals Board, NSW, 2008 – Present
- Managing Director, Strategies for Change Pty/Ltd, 2004- Present
- Member, COAG Expert Panel on Cities, 2010-12
- Member, Urban Policy Forum 2011 – present
- Member, National Housing Supply Council 2008 - present
- Member, Living Victoria Ministerial Advisory Council, Victoria 2009 – 2011
- Non Executive Director, Good Environmental Choice Australia 2009 – present
PAST BOARD AND COMMITTEE ROLES

- Non Executive Director, NSW Transport Infrastructure Development Corporation, 2004-2010
- Chair, TIDC Health, Safety and Environment Committee 2006-2010
- Green Building Council of Australia, Inaugural Board member 2002-3
- Executive Director and Managing Director, Honeysuckle Development Corporation 1997-2003
- Non Executive Director, Sydney Harbour Foreshore Authority 1997 – 2003
- Executive Director, South Sydney Development Corporation 1996-2003
- Australian Building Codes Board, Board Member, 2002-3
- Member, Central Canberra Task Force 2005
- Historic Houses Trust, Government appointed Trustee 1991 to 1996
- Central Sydney Planning Committee, Alternate for Director-General 1989-1997
- CSPC Member 1997-2003
- NSW Better Cities Committee, Chair 1992 to 1997

PROFESSIONAL MEMBERSHIP AND APPOINTMENTS

- Professor of Planning Practice, University of NSW
- Graduate, Australian Institute of Company Directors
- Fellow and Certified Practicing Planner, Planning Institute of Australia
- National President, Planning Institute of Australia 2006-8
- Immediate Past President, Planning Institute of Australia 2008-2011
- Honorary Associate, Graduate School of Government, University of Sydney 2009-2012
- Adjunct Professor, University of Technology, Sydney 2003-6
- Chair, National Inquiry into the Employment and Education of Planners 2003-5
- Mentor, Graduate School of Government, University of Sydney 2003-5, 2008 – Present

SUMMARY OF EMPLOYMENT EXPERIENCE

<table>
<thead>
<tr>
<th>ROLE</th>
<th>DATES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Managing Director, Strategies for Change Pty/Ltd</td>
<td>February 2007 – Present</td>
</tr>
<tr>
<td>Professor of Planning Practice, Faculty of Built Environment, UNSW</td>
<td>January 2011 – December 2013</td>
</tr>
<tr>
<td>Director of City Strategy, DEGW Asia-Pacific</td>
<td>October 2003 - January 2007</td>
</tr>
<tr>
<td>Director-General, PlanningNSW</td>
<td>December 1997 - April 2003</td>
</tr>
<tr>
<td>Deputy Director-General, Department of Planning</td>
<td>1992-1997</td>
</tr>
<tr>
<td>Various Positions, Department of Environment and Planning, NSW</td>
<td>1978-1992</td>
</tr>
<tr>
<td>Various planning position, City of Manchester, UK</td>
<td>1976-1978</td>
</tr>
<tr>
<td>Research Associate, Joint Unit for Planning Research, University College, London</td>
<td>1971-1973</td>
</tr>
</tbody>
</table>

EMPLOYMENT HIGHLIGHTS

Sue has worked in academia, local government, State Government and the Private Sector.

In Australia since 1978, she worked in the State government until 2003. She became Deputy Director of the Department of Planning in 1992, and Director General in 1997.

- She was responsible for leading, managing and reforming the planning system in NSW. She advised government on metropolitan and regional planning issues.

CV: MS SUSAN HOLLIDAY
• Sue directed the planning of all the major urban renewal and development projects in Sydney including the Sydney Olympics 2000, Walsh Bay (a Waterfront reuse/renewal project), Fox Studios (the redevelopment of an agricultural showground into a film/leisure destination) and the City West Redevelopment (a 300 ha inner city urban renewal project).

• She was instrumental in setting up the City West Housing Company to deliver affordable housing units into the Ultimo Pyrmont and Green Square renewal project.

• Sue established the NSW Government’s Urban Design Advisory Service.

• She established the Sustainability Advisory Council in 2001 to advise government on ways to improve the sustainability of buildings. That Council and her department prepared the BASIX sustainability tool.

• The Council provided seed funding to establish the Australian Green Building Council. Sue was an inaugural Board member of that council from 2002-2003.

In private Practice, Sue worked for DEGW Asia Pacific as Director of City Strategy from 2003-6, where she worked on major private developments, universities and infrastructure projects.

In 2007 she established Strategies for Change, a strategic urban consultancy.

• Her clients have included VicUrban; Building Commission Victoria; the National Capital Authority; ACT Planning and Land Authority; Dept of Local Government and Infrastructure, Queensland; Gold Coast City Council; University of NSW; University of Sydney; Executive Office, Dubai; Abn-Amro; Australand; Australian Jockey Club; Greta Estates; Queensland Rail; John Holland; Thiess; Macquarie Bank; WSROC

She was National President of the Planning Institute of Australia from 2006-8

She was appointed Professor of Planning Practice at UNSW in 2010
PART 3 – STRATEGIC ISSUES

*14 EDUCATION AT ANU

PURPOSE
To provide Council with a report on progress against 2014 milestones in the Education Portfolio Operational Plan and to propose goals for ANU 2025 education.

PREPARED BY
Deputy Vice-Chancellor (Academic)

REVIEWED BY
Deputy Vice-Chancellor (Academic)

APPROVED BY
Deputy Vice-Chancellor (Academic)

RECOMMENDATION
That Council note the report on progress against 2014 milestones in the Education Operational Plan and proposed goals for ANU 2025 education.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

BACKGROUND
Progress against 2014 milestones in the Educational Operational Plan is outlined in Attachment 13.2.

An update on the Student Experience components of the plan will come to Council in July 2015. Attachment 13.3 outlines potential stretch goals for ANU 2025 education.

Members are asked to note that two strategies in the current education operational plan are on hold pending developments with Union Court:

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Description</th>
<th>2014</th>
<th>2013</th>
<th>2014:</th>
<th>DVCA</th>
<th>PVCIA</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>Introduce ANU Innovation competitive 6 unit release Fellowship for students</td>
<td>guidelines drafted, judging panel with alumni members constituted and scheme introduced.</td>
<td></td>
<td>DVCA</td>
<td>PVCIA</td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>Develop industry and commercialisation plan and business processes that coordinates educational program and internship development with large-scale research and industry funding requests.</td>
<td>plan and processes drafted for consultation</td>
<td>plan and processes finalised and implemented</td>
<td>DVCA</td>
<td>DVCR PVCIA</td>
<td></td>
</tr>
</tbody>
</table>

Consultation and discussion record

University Education Committee (23 May 2014)

2. Endorsed the deletion of strategy 6 under double degrees - ‘develop double bachelor programs with Alliance partners to further strengthen the University’s national profile’.
3. Noted the following priorities for 2014:
• Development of vertical double degrees;
• Development of flexible masters degrees, including offerings with strategic international partners; and
• Development of e-learning and learning spaces strategies

**University Education Committee** (30 August 2013)

*Item 13 Student Experience Operational Plan*

**Resolution**

The Committee:
1. Endorsed for transmission to Academic Board the student experience operational plan, *Towards an Enriched ANU Student Experience* (823/2013);
2. Noted that the plan will be built into the Education Portfolio Operational Plan to create a single Plan.

*Item 14 Education Portfolio Operational Plan: Progress Report*

**Resolution**

The Committee noted the Education Portfolio Operational Plan: Progress Update, August 2013 (829/2013).

**ATTACHMENTS**

14.1 ANU by 2020: Education Strategy (175/2014)
14.2 2014 University Education portfolio operational plan progress report (179/2014)
14.3 Exploring the Future of Learning and Teaching at ANU (176/2014)
ANU by 2020, and 2025

Education Strategy

ANU Council
5 December 2014
### Education Snapshot

#### Coursework EFTSL

<table>
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<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014 est.</th>
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<tr>
<td></td>
<td>11,407</td>
<td>11,748</td>
<td>12,107</td>
<td>13,126</td>
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</table>

#### Median ATAR

<table>
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<tr>
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<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
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<tbody>
<tr>
<td>ANU</td>
<td>93.3%</td>
<td>94.7%</td>
<td>94.5%</td>
<td>93.1%</td>
</tr>
<tr>
<td>Australia</td>
<td>87.2%</td>
<td>86.6%</td>
<td>86.6%</td>
<td>86.2%</td>
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#### Retention

<table>
<thead>
<tr>
<th></th>
<th>&lt;50%</th>
<th>50-79%</th>
<th>&gt;80%</th>
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<tr>
<td>2011</td>
<td>9.6%</td>
<td>32.8%</td>
<td>57.6%</td>
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<tr>
<td>2012</td>
<td>7.6%</td>
<td>31.7%</td>
<td>60.7%</td>
</tr>
<tr>
<td>2013</td>
<td>7.0%</td>
<td>33.5%</td>
<td>59.5%</td>
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EFTSL=full time student
ATAR=Australian Tertiary Admissions Rank, which gives students a percentile rank
### ANU-Go8 Student Satisfaction

<table>
<thead>
<tr>
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<th>2010</th>
<th>2011</th>
<th>2012</th>
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<tbody>
<tr>
<td><strong>Overall Satisfaction</strong></td>
<td></td>
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<tr>
<td>ANU</td>
<td>84%</td>
<td>86%</td>
<td>84%</td>
<td>85%</td>
</tr>
<tr>
<td>Go8</td>
<td>=1</td>
<td>1</td>
<td>=3</td>
<td>=1</td>
</tr>
<tr>
<td><strong>Good Teaching</strong></td>
<td></td>
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<tr>
<td>ANU</td>
<td>64%</td>
<td>66%</td>
<td>66%</td>
<td>68%</td>
</tr>
<tr>
<td>Go8</td>
<td>=1</td>
<td>2</td>
<td>5</td>
<td>=3</td>
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<tr>
<td><strong>Generic Skills</strong></td>
<td></td>
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<tr>
<td>ANU</td>
<td>73%</td>
<td>75%</td>
<td>74%</td>
<td>75%</td>
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<tr>
<td>Go8</td>
<td>7</td>
<td>=6</td>
<td>8</td>
<td>7</td>
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### ANU Programs and Courses

#### Programs

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<td>669</td>
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#### Courses

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<td>3492</td>
<td>4365</td>
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### Programs with an enrolment <5 EFTSL

<table>
<thead>
<tr>
<th></th>
<th>Diploma</th>
<th>A/Degree</th>
<th>Bachelor</th>
<th>Honours</th>
<th>GradCert</th>
<th>GradDip</th>
<th>Masters</th>
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<tbody>
<tr>
<td>2014</td>
<td>3</td>
<td>2</td>
<td>38</td>
<td>53</td>
<td>30</td>
<td>23</td>
<td>59</td>
</tr>
<tr>
<td></td>
<td>75%</td>
<td>67%</td>
<td>27%</td>
<td>65%</td>
<td>77%</td>
<td>68%</td>
<td>43%</td>
</tr>
<tr>
<td>2013</td>
<td>4</td>
<td>2</td>
<td>36</td>
<td>63</td>
<td>33</td>
<td>17</td>
<td>58</td>
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<tr>
<td></td>
<td>80%</td>
<td>67%</td>
<td>25%</td>
<td>65%</td>
<td>82%</td>
<td>59%</td>
<td>44%</td>
</tr>
</tbody>
</table>
### Review and Reaccreditation

#### Next Scheduled Review

<table>
<thead>
<tr>
<th></th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate (AQF 5-8)</td>
<td>12</td>
<td>12</td>
<td>20</td>
<td>47</td>
<td>11</td>
<td>102</td>
</tr>
<tr>
<td>Graduate (AQF 8-9)</td>
<td>16</td>
<td>28</td>
<td>12</td>
<td>32</td>
<td>59</td>
<td>147</td>
</tr>
<tr>
<td>Total Coursework</td>
<td>28</td>
<td>40</td>
<td>32</td>
<td>79</td>
<td>70</td>
<td>249</td>
</tr>
</tbody>
</table>

#### Reaccreditation based on program viability
- 0 enrolments = reaccreditation for 1 year
- <5 enrolments = 2 years
- <7.5 enrolments = 3 years
- the remainder has been split between 4 and 5 years.
## Low SES student enrolments

### Postgraduate coursework

<table>
<thead>
<tr>
<th>ANU Total (commencing and continuing)</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>155</td>
<td>160</td>
<td>231</td>
<td>297</td>
<td>352</td>
</tr>
</tbody>
</table>

College with highest 2014 enrolment: Law (293)
College with lowest 2014 enrolment: CECS (1)

### Undergraduate coursework

<table>
<thead>
<tr>
<th>ANU Total (commencing and continuing)</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>337</td>
<td>331</td>
<td>327</td>
<td>313</td>
<td>327</td>
</tr>
</tbody>
</table>

College with highest 2014 enrolment: CASS (155)
College with lowest 2014 enrolment: Law (8)
# Indigenous student enrolments

## Postgraduate coursework

<table>
<thead>
<tr>
<th>ANU Total (commencing and continuing)</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
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<tbody>
<tr>
<td></td>
<td>60</td>
<td>49</td>
<td>39</td>
<td>52</td>
<td>70</td>
</tr>
</tbody>
</table>

College with highest 2014 enrolment: Law (46)
College with lowest 2014 enrolment: CPMS (0)

## Undergraduate coursework

<table>
<thead>
<tr>
<th>ANU Total (commencing and continuing)</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>81</td>
<td>89</td>
<td>89</td>
<td>81</td>
<td>78</td>
</tr>
</tbody>
</table>

College with highest 2014 enrolment: CASS (37)
College with lowest 2014 enrolment: Law (0)
Education Philanthropy

Total donations in support of education
2013: $10,585,232 (Tuckwell included)
2014 (to date): $3,021,864

Most dollars donated for an ANU College
CASS: $398,107 (2014)
CPMS: $1,061,137 (2013)

Least dollars donated for an ANU College
CBE: $1,600 (2014)
CBE: $0 (2013)
Education Plan: Double Degrees

In 2013 there were 59/137 pre-locked combinations with no enrolment. In 2014, 307 different combinations have been selected.

Data source: Load PT - 20140908, as at 24 September 2014 prepared by PPM

Next step: double masters, flexible verticals
Education Plan: Research-Led Education

Total number of coursework degrees reviewed: **249**

All reviews since 2013 are required to explain the research-led elements of their degrees.

**Higher Education Academy (HEA) fellowships**
Total: 116  
Principal Fellows – 2  
Senior Fellows – 63  
Fellows – 21  
Associate Fellows – 30

**Next Steps:** ANU as the Australian hub for education fellowships? Modular research intensives for students?
Education Plan: Online education

Total MOOC enrolment as at 20 October 2014: 46,067
ANU Education 2025– 4 big shifts

• Live lectures are special, public events and smaller-class interactive approaches are the defining approach to ANU education

• ANU and an international partner co-host the world’s first Institute for Advanced Studies in educational innovation that accredits fellows and provides competitive fellowships

• All undergraduates are admitted to ANU on the basis of academic and co-curriculum achievements and students can graduate with degrees and a co-curriculum award that recognises their learning experiences outside of the classroom

• ANU has an educational community ten times greater than its 2015 alumni population, and that community can learn with ANU over their lifetime
2014 University Education Portfolio Operational Plan Progress Report

**Strategic Goal 1. Double degrees**

**Our Starting Point:** 40% of ANU students are enrolled in double coursework programs. Almost all of those students are in double bachelor degrees.

<table>
<thead>
<tr>
<th>Actions</th>
<th>Outcomes/ Benefits/ Measures</th>
<th>Lead and Partners</th>
<th>Status</th>
<th>Comments</th>
</tr>
</thead>
</table>
| 1       | Introduce vertical double (bachelor-master) programs to strengthen pathways to further study | 2012: Business processes for the management of vertical degrees finalised  
2013: 5 bachelor + masters double programs offered  
2016: up to 20 bachelor + masters programs offered  
2017: evaluate the initiative and consider the introduction of a suite of bachelor and masters degrees that students can connect in the combination of their choice | DVCA  
Colleges  
DR&SS | 1.2% of undergraduate cohort enrolled in vertical doubles in 2014 (as at 24 September 2014), up from 0.4% in 2013.  
Review of structures to enable flexible verticals initiated. |
| 2       | Provide a suite of bachelor degrees that students can connect in the combination of their choice. | 2012–3: Business processes for the management of concurrent bachelor degrees finalised  
2014: Double bachelor programs disestablished and ANU connect suite of bachelor degrees introduced | DVCA  
Colleges  
DR&SS | Flexible double degrees introduced in 2014: 307 combinations selected. Pre-locked doubles disestablished for commencing enrolments.  
Percentage of students undertaking double degrees increased from 37.7 in 2012 to 39% in 2014.  
The percentage of students opting into double degrees (‘conversion rate’) improved from 46.7% in 2013 to 53.6% in 2014.  
Target for 2015 is to increase overall double degree load by 2-2.5%. |
| 3       | Establish a marketing and communications strategy for the ANU to connect suite of bachelor and master degrees. | 2012: market research conducted to test audience understanding of new structure and terminology  
2012: key messages defined and incorporated into early communications strategy  
2012-13: design for ANU connect marketing materials incorporated | DVCA  
PVCIO  
MO  
DSIRO | Goal achieved and ongoing marketing underway.  
| **4** Develop a student services model that assumes that the majority of students are in concurrent and double degree programs | 2013: business processes mapped 2014: model introduced 2015: model evaluated and refined | **DSS**  
**DVCA**  
**PVCSE**  
**Colleges** | Student Administration Delivery Framework drafted and pilot planned for Joint Colleges of Science; Queue Flow student enquiry tracking pilot underway in 2 colleges after introduction in Student Central |
|---|---|---|---|
| **5** Utilise vertical double programs to strengthen pathways into the University. | 2013: two open access diploma pathways introduced. 2014: one diploma pathway for high school students of outstanding ability introduced, including mechanisms for identifying talented students | **PVCSE**  
**DVCA**  
**Director, Student Equity**  
**Director, Tjabal**  
**IHEC**  
| **6** Develop a suite of double graduate programs with international partners of outstanding reputation to further strengthen the University’s global profile. | 2012: mapping of masters suites with two potential partners from the IARU or Times HE top 20 completed 2013: business model and mechanisms for delivery finalised 2014: 5 new double masters programs offered 2017: up to 20 double masters programs offered | **DVCA**  
**PVCIO**  
**Colleges** | Market research completed, structures drafted and pilot programs currently being identified. |
## Strategic Goal 2. Research-led education

**Our Starting Point:** The drivers of research excellence—concentrations of expertise; the recognition and nurturing of talent; collaboration; world-class infrastructure; and a focus on addressing the world’s most pressing challenges—are the drivers of educational excellence.

<table>
<thead>
<tr>
<th>Actions</th>
<th>Outcomes/ Benefits/ Measures</th>
<th>Lead and Partners</th>
<th>Status</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Review and renew the University’s program suite to ensure that it reflects concentrations of expertise</td>
<td>DVCA Colleges</td>
<td>2012: Reviews commence 2014: Reviews completed</td>
<td>Coursework Awards available from 2015; fully reviewed for AQF and ANU strategic alignment Undergraduate: 102 Graduate: 147 Total: 249 Disestabishments (2012-2014); not reviewed; not compliance or not strategically aligned Undergraduate: 29 (excludes combined degrees replaced by flexible double degrees Graduate: 332 (excludes non-AQF compliant Masters degrees replaced by AQF compliant Masters degrees Total: 361</td>
</tr>
<tr>
<td>2</td>
<td>Review and renew course and program lifecycle business processes to enhance coordination with major grants scheme demands and deadlines</td>
<td>DVCA DVCR DSA Student Administration Managers</td>
<td>2014: business processes mapped 2015: model introduced 2016: model evaluated and refined</td>
<td>Online acceptance and enrolment implemented 2014, resulting in reduced workload for academic staff in January-February.</td>
</tr>
<tr>
<td>3</td>
<td>Develop an ANU student future researcher framework that can be used to inform coursework program and course development</td>
<td>DVCA ANUSA PARS A Colleges</td>
<td>2012: development and dissemination of the framework through a student-led process 2013: testing and refinement of the framework as a curriculum development tool</td>
<td>Proposal due University Education Committee 6/14.</td>
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<tr>
<td></td>
<td>Description</td>
<td>Year 1</td>
<td>Year 2</td>
<td>Year 3</td>
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<tr>
<td>4</td>
<td>Extend approaches to open access research to disseminate student research, particularly in public policy</td>
<td>2013: pilot using existing platforms for open access research dissemination</td>
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<td>2014: adapt platforms and pilot for the University</td>
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<td></td>
<td>2015: implement for the university</td>
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<tr>
<td>5</td>
<td>Review and streamline questions in SELS and SET and introduce peer-review instrument to reflect research-led understandings of education</td>
<td>2013: scan global scales for potential questions</td>
<td>2014: focus group development of new scales, reliability and validity testing, pilot</td>
<td>2015: implement across the University</td>
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<td>2015: implement across the University</td>
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<tr>
<td>6</td>
<td>Introduce business processes and peer-support scheme to attract increased levels of research category 1 education funding</td>
<td>2012: scheme introduced</td>
<td>2013: $500K target</td>
<td>2014: $1m target</td>
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<td></td>
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<td>2014: $1m target</td>
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<tr>
<td>7</td>
<td>Introduce business processes and peer-support scheme to enhance outcomes in national teaching award schemes</td>
<td>2012: scheme introduced</td>
<td>2013–20: improve results by 1–2 awards per year</td>
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<td></td>
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<td>2013–20: improve results by 1–2 awards per year</td>
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<tr>
<td>8</td>
<td>Introduce internal competitive grants scheme, linkage for learning and teaching scheme and education fellowships focused on research-led education</td>
<td>2012: grant scheme guidelines drafted</td>
<td>2013: schemes introduced, with target of at least $50k industry funding</td>
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<td></td>
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<td>2013: schemes introduced, with target of at least $50k industry funding</td>
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<tr>
<td>9</td>
<td>Articulate and refine qualitative education indicators for staff performance development and promotion cycles, including framework outlining the different ways that staff can get involved in education</td>
<td>2012: draft indicators disseminated</td>
<td>2013: indicators piloted in performance development cycle</td>
<td>2014: indicators introduced for performance development and promotion cycle</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2013: indicators piloted in performance development cycle</td>
<td>2014: indicators introduced for performance development and promotion cycle</td>
<td></td>
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<tr>
<td></td>
<td>Introduce ANU Innovation competitive 6 unit release Fellowship for students</td>
<td>2014: guidelines drafted, judging panel with alumni members constituted and scheme introduced</td>
<td>DVCA PVCIA</td>
<td>DVCA PVCIA</td>
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<tr>
<td>10</td>
<td>Develop research-led education and research spaces plan that aligns with University strategy, and which reflects the distinctive needs of undergraduate and graduate students</td>
<td>2014: plan drafted for consultation 2015: plan finalised and capital plan adjustments made</td>
<td>DVCA DVC PR Director F&amp;S</td>
<td>DVCA DVC PR Director F&amp;S</td>
</tr>
<tr>
<td>11</td>
<td>Develop industry and commercialisation plan and business processes that coordinates educational program and internship development with large-scale research and industry funding requests</td>
<td>2013: plan and processes drafted for consultation 2014: plan and processes finalised and implemented</td>
<td>DVCA DVC PR PVCIA</td>
<td>DVCA DVC PR PVCIA</td>
</tr>
<tr>
<td>12</td>
<td>Introduce capstone experiences for bachelor degree students that include opportunities for them to disseminate and test the reception of their ideas.</td>
<td>2014: guidelines, and course development advice drafted for consultation, key kinds of dissemination identified 2015: guidelines, advice and dissemination framework piloted 2016–18: capstones introduced, including implementation review and specifications refinement.</td>
<td>DVCA</td>
<td>DVCA</td>
</tr>
</tbody>
</table>
# Strategic Goal 3. Online education

**Our Starting Point:** At least 100 courses and half a dozen programs are offered by ANU online. Over 2000 students and staff belong to virtual learning communities, and just over 300 students belong to Griffin Hall, the University’s first virtual Hall. Online education will be focused on graduate coursework.

<table>
<thead>
<tr>
<th>Actions</th>
<th>Outcomes/ Benefits/ Measures</th>
<th>Lead and partners</th>
<th>Status</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Extend the University’s online presence through the development of MOOCS and a suite of high-quality online masters programs.</td>
<td>2014: 5 online masters programs offered 2017: up to 20 online masters programs offered</td>
<td>DVCA Colleges</td>
<td>Juris Doctor Online (2016–) and Grad Cert of Management online (2015–), pool of developers being hired. edX MOOC numbers as at 3 November 2014: Astrophysics 1 – 20,612 Astrophysics 2 – 9574 Astrophysics 3 - 5736 Engaging India – 10,845 Total: 46,767 5 Further MOOCS to be released 2015.</td>
</tr>
<tr>
<td>2</td>
<td>Develop a suite of double online graduate programs with international partners of outstanding reputation to further strengthen the University’s global profile.</td>
<td>2012: mapping of masters suites with two potential partners from the IARU or Times HE top 20 completed 2013: business model and mechanisms for delivery finalised 2014: 5 new double masters programs offered 2017: up to 20 double masters programs offered</td>
<td>DVCA PVCIO Colleges</td>
<td>Market research completed, pilots being identified.</td>
</tr>
<tr>
<td>3</td>
<td>Extend the reach of the University’s pathways for students of outstanding talent through online provision</td>
<td>2014: trial delivery of components of diploma for high school students of outstanding ability online 2015: review and extend provision</td>
<td>DVCA CIO PVCSE ANUOnline</td>
<td>Underway: Bachelor of Studies includes online astrophysics and blended delivery of Asian languages.</td>
</tr>
<tr>
<td>4</td>
<td>Develop an institutional virtual learning environment, supported by enhanced governance and business processes for the selection, testing and implementation of enterprise systems</td>
<td>2012: enterprise technical requirements, business analysis and governance arrangements finalised, enterprise functions map populated and 5-year budget forecast completed 2013: implementation of enterprise systems according to schedule and</td>
<td>DVCA CIO PVCSE ANUOnline</td>
<td>ANU Online introduced in 2013. Moodle 2.5 (learning management system) upgraded; Turnitin (text matching and online marking) introduced; Echo360 (lecture capture) rollout on track; Equella (repository) and webinar product scoping underway. Steering committee meets 6x annually.</td>
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</tbody>
</table>
| 5 | Develop and implement learning management system, Study@ and course outline themes that comply with W3C Web Content Accessibility Guidelines (WCAG 2.0) to ensure access for all students | DVCA  
PVCSE  
**Deputy Director Access Inclusion and Wellbeing**  
Head, Counselling and Disability Services  
ANUOnline  
DSA | Programs and Courses (Study@ replacement) launched August 2013: 702,471 users since January 2014.  
Top ten countries visiting the site: Australia; China; India; United States; Indonesia; Malaysia; Pakistan; Singapore; United Kingdom; Hong Kong  
Funding approved for WCAG compliance for Moodle 2.5. |
| 6 | Introduce an e-learning board that draws upon alumni expertise to advise the University on new approaches to learning and teaching | 2013: board constituted and means of disseminating ideas identified  
2014: drafting of learning enhancements project plan | DVCA  
Alumni relations | eLearning board established 2013 and four meetings held. Three overseas board members were guest speakers at July graduations. |
| 7 | Develop and implement a plan to further enhance staff and student participation in virtual learning communities | 2013: plan developed  
2014–16: plan implemented | DVCA  
PVCSE  
**Registrar, Student Life**  
Manager, Student Enrichment | Pending Griffin Hall review completion and subject to further student consultation. |
| 8 | Extend virtual hall provision so that all coursework students are admitted to a virtual or residential hall upon enrolment. | 2012: plan developed  
2013–15: plan implemented | DVCA  
PVCSE  
**Registrar, Student Life**  
Director, Student Equity  
Director, Tjabal IHEC | Pending Griffin Hall review completion and subject to further student consultation. |
Exploring the Future of Learning and Teaching at ANU

Three years ago ANU undertook a bold thought experiment in which we imagined students being able to build their own double degree combinations. The flexible doubles are now a reality, providing more choice for students as well as a 33% reduction in program regulation work for staff.

That we achieved this updating of an 800-year old approach to education is not surprising. Innovation is the everyday for ANU.

So why not make thought experiments the everyday in ANU education? In 2014, I asked the Hornery Institute to work with students, young alumni, staff and executive staff to create the conditions for education thought experiments to take shape. They asked hundreds of people to give me advice on how, when and where they best learn and teach, what would make learning and teaching inspirational and joyful for them, and what big shifts they think ANU should take in education.

The results suggest that we have much more work to do to recognise and reward passionate and innovative education, to provide more flexible learning and teaching options for students and staff, and to get our infrastructure fundamentals right. I agree.

But the discussions also showed that staff, students and alumni have already begun to think about how we might create a better educational environment at ANU and change the way people think about and experience education in Australia, the region and the world.

It is time to extend the conversation further and to set a course for ANU education 2025. To start us on the journey, I have drawn inspiration from the big shifts proposed by our University community and present four new thought experiments.

What if, by 2025

Live lectures are special, public events and smaller-class interactive approaches are the defining approach to ANU education?

A glimpse of that ANU

- No more than 5% of registered teaching events will be live lectures

ANU and an international partner co-host the world’s first Institute for Advanced Studies in educational innovation that accredits fellows and provides competitive big shift fellowships?

A glimpse of that ANU

- 10–25 fellows supported per year
- 2500 staff from ANU, Australia and the region are accredited as HEA or equivalent fellows

All undergraduates are admitted to ANU on the basis of academic and co-curriculum achievements and students can graduate with degrees and a co-curriculum award that recognises their learning experiences outside of the classroom?

A glimpse of that ANU

- All undergraduate admissions ATAR+ co-curriculum
- 1 in 5 undergraduates has a scholarship to support participation in ANU life
- 50% of students complete co-curriculum award by graduation

ANU has an educational community ten times greater than its 2015 alumni population, and that community can learn with ANU over their lifetime?
How might staff and students benefit from these shifts at ANU? What would our campus look like? What do you think Australia, the region and the world would think about education at ANU? I welcome your advice as we take this next step towards a new ANU education plan.
PART 4 – OTHER MATTERS FOR DECISION

15  2015 INTERNAL AUDIT WORK PLAN

PURPOSE  To approve the ANU 2015 internal audit work plan.

PREPARED BY  Corporate Governance and Risk Office and Ernst & Young

REVIEWED BY  Director, Corporate Governance & Risk

APPROVED BY  Director, Corporate Governance & Risk

SPONSOR  Audit and Risk Management Committee

RECOMMENDATION  That Council approve the ANU 2015 internal audit work plan (180/2014).

ACTION REQUIRED  For discussion ☑  For decision ☑  For information ☐

BACKGROUND
The 2015 Internal Audit Work Plan (IAWP) was developed in consultation with the Corporate Governance & Risk Office (CGRO). In developing the 2015 IAWP the following documentation was considered:

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

Additionally, the ANU Executive, College Deans, General Managers 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, data processing audits and operational control audits. Proposed internal audit topics include:

<table>
<thead>
<tr>
<th>Internal Audit Topic</th>
<th>Timeframes</th>
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</thead>
<tbody>
<tr>
<td>Student Admissions – Conversion</td>
<td>Quarter 1</td>
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<tr>
<td>Commercialisation of Intellectual Property</td>
<td>Quarter 1</td>
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<tr>
<td>Academic Career Development</td>
<td>Quarter 2</td>
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<tr>
<td>Staff Recruitment</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>HERDC Process</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>IT Project Management</td>
<td>Quarter 3</td>
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<tr>
<td>Learning Management System</td>
<td>Quarter 3</td>
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<tr>
<td>Commercial Spaces</td>
<td>Quarter 3</td>
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<tr>
<td>Remote Sites</td>
<td>Quarter 4</td>
</tr>
<tr>
<td>NHMRC and ARC Grants</td>
<td>Quarter 4</td>
</tr>
</tbody>
</table>

ATTACHMENT
2015 Internal Audit Work Plan

Australian National University

13 November 2014
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ANU 2015 INTERNAL AUDIT WORK PLAN

ATTACHMENT 15.1

Australian National University

180/2014

ATTACHMENT 15.1

180/2014

ANU 2015 INTERNAL AUDIT WORK PLAN

52

draft
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) 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.

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 ANU’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).

‘The role of Internal Audit is critical in ensuring that controls are functioning effectively, efficiently and are producing the control outcomes required.’ (ANU Entity-wide Risk Management Framework).

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 time frames;
- 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 ANU’s preparedness for external scrutiny.
1.4 Approach

The 2015 IAWP was developed in consultation with the Corporate Governance & Risk Office. When developing the 2015 IAWP the following documentation was considered:

- ANU Entity-wide Risk Management Framework;
- ANU Entity-wide Risk Profile;
- ANAO audit activity;
- Previous audit activities, findings or issues; and
- Emerging issues.

Additionally, 30 interviews were conducted with the ANU Executive, College Deans, General Managers and Service Division Directors to seek their advice on potential audit topics and areas of focus.
2. **ANU Entity-wide Risk Profile**

Table 1 on the following page is an extract from the University’s Entity-wide Risk Profile. 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
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

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8 2015 Internal Audit Work Plan
### 4. Proposed 2015 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.

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<td>1</td>
<td>Student Admissions – Conversions</td>
<td>International &amp; Outreach</td>
<td>This audit will assess the efficiency and effectiveness of the student admissions process including (but not limited to) application, acceptance and enrolments.</td>
<td>Performance review – deep dive</td>
<td>40</td>
<td>Quarter 1</td>
</tr>
<tr>
<td>2</td>
<td>Commercialisation of Intellectual Property</td>
<td>Innovation &amp; Advancement</td>
<td>This audit would follow on from the review undertaken during 2010 which focussed on the processes for managing the commercialisation of new and existing intellectual property and examine the returns that the ANU receiving from its commercial ventures, whether these are being maximised and also whether the University’s returns are comparable to other universities.</td>
<td>Health check / Diagnostic</td>
<td>25</td>
<td>Quarter 1</td>
</tr>
<tr>
<td>3</td>
<td>Academic Career Development</td>
<td>Academic / Administration &amp; Planning</td>
<td>This audit will evaluate whether the University’s academic career development (learning and development) programs are meeting the needs of academic staff.</td>
<td>Project / Programme monitoring</td>
<td>20</td>
<td>Quarter 2</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 Objectives¹</th>
<th>ARM²</th>
<th>Proposed Audit duration³</th>
<th>Timeframes</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>Staff Recruitment</td>
<td>Administration &amp; Planning</td>
<td>The objective of this engagement is a high level examination and identification of the risks surrounding the University’s recruitment framework.</td>
<td>Risk interviews / verbal advice</td>
<td>15</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>5</td>
<td>HERDC Process</td>
<td>Research</td>
<td>The objective of this audit is to assess the efficiency and effectiveness of the University’s framework for supporting the HERDC reporting requirement to the Department of Industry.</td>
<td>Control process review</td>
<td>40</td>
<td>Quarter 2</td>
</tr>
<tr>
<td>6</td>
<td>IT Project Management</td>
<td>Administration &amp; Planning</td>
<td>This audit will evaluate the adequacy of the risk management process, design and operating effectiveness of the project management framework used to manage the implementation of large IT projects across the ANU with specific consideration of those large IT projects planned and/or currently underway in 2015/6. This audit will also assess IT Project Management framework’s alignment with, and incorporation into, the broader ANU Risk Management framework.</td>
<td>Project management framework</td>
<td>30</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>7</td>
<td>Learning Management System</td>
<td>Academic</td>
<td>The objective of this audit is to examine the effectiveness of the learning management system (WATTLE) and whether this is meeting the needs of academics and students.</td>
<td>Health check / Diagnostic</td>
<td>25</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>8</td>
<td>Commercial Spaces</td>
<td>Administration &amp; Planning</td>
<td>The objectives of this audit are to: 1. Follow up the progress of recommendations made in the Commercial and Non-commercial Operations on ANU Campuses MIR; 2. Evaluate the effectiveness of the applicable framework and criteria for assessing the use and management of commercial spaces; and 3. Assess the processes and systems for managing commercial spaces in accordance with policies and contract requirements.</td>
<td>Control framework review</td>
<td>30</td>
<td>Quarter 3</td>
</tr>
<tr>
<td>Ref</td>
<td>Internal Audit Topic</td>
<td>ANU Executive Portfolio</td>
<td>Proposed Objectives¹</td>
<td>ARM²</td>
<td>Proposed Audit duration³</td>
<td>Timeframes</td>
</tr>
<tr>
<td>-----</td>
<td>------------------------------</td>
<td>--------------------------------</td>
<td>--------------------------------</td>
<td>---------------------</td>
<td>--------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>9</td>
<td>Remote Sites</td>
<td>Administration &amp; Planning</td>
<td>Review of conditions of use, management and control of remote sites: Kioloa, NARU, Siding Springs, to assess whether the governance structure (including record keeping), usage and management of the remote sites are sufficient and effective.</td>
<td>Project / Programme monitoring</td>
<td>25</td>
<td>Quarter 4</td>
</tr>
<tr>
<td>10</td>
<td>NHMRC and ARC Grants</td>
<td>Research</td>
<td>A compliance review to provide the ANU with assurance that it is complying with the requirements of grants agreements with the National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC).</td>
<td>Compliance audit</td>
<td>20</td>
<td>Quarter 4</td>
</tr>
<tr>
<td></td>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>270</td>
</tr>
</tbody>
</table>

¹ 15/2014
² ARM
³ Audit duration

References:
11 2015 Internal Audit Work Plan
### 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>Student Admissions – Conversions</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Commercialisation of Intellectual Property</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Academic Career Development</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4</td>
<td>Staff Recruitment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>HERDC Process</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>6</td>
<td>IT Project Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Learning Management System</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Commercial Spaces</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Remote Sites</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>NHMRC and ARC Grants</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 2015 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>IT Security</td>
<td>This audit will assess the controls that are in place to protect the ANU IT Network from external parties (Attack and Penetration testing).</td>
<td>Control process review</td>
</tr>
<tr>
<td>2</td>
<td>Building maintenance</td>
<td>Assess building maintenance management (planning, tools, controls budget, schedule and client satisfaction) to determine whether this is providing appropriate levels of upkeep in relation to the University's infrastructure and facilities.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>3</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>4</td>
<td>Human Resources Controls – Payroll and Allowances</td>
<td>Compliance in relation to a sample of key financial and human resource controls will be assessed each year across all ANU Colleges/Divisions. This internal audit will examine controls in relation to the processing of the ANU payroll and the management of allowances.</td>
<td>Compliance audit</td>
</tr>
<tr>
<td>5</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>6</td>
<td>Workplace Health &amp; Safety</td>
<td>The objective of this audit is to identify any gaps with respect to the University’s safety responsibilities and processes for meeting the key requirements of the WHS Act, and to evaluate the effectiveness and consistency of controls developed to manage and mitigate significant WHS risks, for example: at sites away from the ANU campus, while traveling to conduct fieldwork research, etc.</td>
<td>Compliance audit</td>
</tr>
<tr>
<td>7</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>Ref</td>
<td>Suggested Internal Audit Topic</td>
<td>Proposed Objectives</td>
<td>ARM</td>
</tr>
<tr>
<td>-----</td>
<td>--------------------------------</td>
<td>---------------------</td>
<td>-----</td>
</tr>
<tr>
<td>8</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>
| 9   | 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 review |
<p>| 10  | Advancement Services          | To evaluate the governance and business processes around the capturing and use of alumni data as well as compliance with the Privacy Act 1988. | Project / Programme monitoring |
| 11  | Annual Appeal Process         | 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. | Post-implementation review |
| 12  | Physical Security             | The objective of this internal audit is to identify and elaborate upon the risks associated with a blended outsourced and internally staffed resourcing model for Physical Security and provide insights into mitigation strategies open to the University based upon EY knowledge of other Universities. | Post-implementation review |
| 13  | Academic and Administration Physical Space Management | 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. | Control process review |
| 14  | ANU Car Parking               | This audit will evaluate the adequacy of the design and operating effectiveness of the new ANU Car Parking framework. | Project / Programme monitoring |</p>
<table>
<thead>
<tr>
<th>Ref</th>
<th>Suggested Internal Audit Topic</th>
<th>Proposed Objectives</th>
<th>ARM</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>ANU Website</td>
<td>Review the structure of the ANU website to assess whether it is providing an effective means of communication with the community and marketing ANU.</td>
<td>Project / Programme monitoring</td>
</tr>
<tr>
<td>16</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>17</td>
<td>External Engagement – Communications</td>
<td>Taking into consideration the findings from the Marketing and Brand Management, Alumni Relations and Social Media 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>18</td>
<td>Investment management</td>
<td>The objectives of this internal audit are to assess whether the investment management practices of the ANU are compliant with its investment policies, procedures and guidelines.</td>
<td>Compliance audit</td>
</tr>
</tbody>
</table>
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 2015.

Table 4: ANU Executive Portfolio spread of audit topics

<table>
<thead>
<tr>
<th>ANU Executive Portfolio</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration &amp; Planning</td>
<td>1. Staff Recruitment</td>
</tr>
<tr>
<td></td>
<td>2. Academic Career Development (shared with Academic)</td>
</tr>
<tr>
<td></td>
<td>3. IT Project Management</td>
</tr>
<tr>
<td></td>
<td>4. Commercial Spaces</td>
</tr>
<tr>
<td></td>
<td>5. Remote Sites</td>
</tr>
<tr>
<td>Research</td>
<td>1. HERDC Process</td>
</tr>
<tr>
<td></td>
<td>2. NHMRC and ARC Grants</td>
</tr>
<tr>
<td>Academic</td>
<td>1. Academic Career Development (shared with Administration &amp; Planning)</td>
</tr>
<tr>
<td></td>
<td>2. Learning Management System</td>
</tr>
<tr>
<td>Innovation &amp; Advancement</td>
<td>1. Commercialisation of Intellectual Property</td>
</tr>
<tr>
<td>International &amp; Outreach</td>
<td>1. Student Admissions – Conversions</td>
</tr>
<tr>
<td>TOTAL</td>
<td>10</td>
</tr>
</tbody>
</table>
### 7.2 Planned audit activity by audit response type

Table 5 below provides a breakdown of 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>2</td>
</tr>
<tr>
<td></td>
<td>4. Pre-implementation review</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>5. Post-implementation review</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>6. Compliance audit</td>
<td>1</td>
</tr>
<tr>
<td>Risk and control framework reviews</td>
<td>7. Risk interviews/verbal advice</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>8. Project management framework</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>9. Control framework review</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>10. Control process review</td>
<td>1</td>
</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>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<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.

### Planning process

**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

**Reporting requirements**
- Verbal reporting
- Memorandum
- Informal/formal presentations
- Factual findings and recommendations
- Agreed upon procedures
- Negative assurance
- Positive Assurance

**Audit Response Category**

<table>
<thead>
<tr>
<th>'Standard' audits</th>
<th>Audit response</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Health check/diagnostic</td>
</tr>
<tr>
<td>2.</td>
<td>'Standard' sample testing audit</td>
</tr>
<tr>
<td>3.</td>
<td>Project/programme monitoring</td>
</tr>
<tr>
<td>4.</td>
<td>Pre-implementation review</td>
</tr>
<tr>
<td>5.</td>
<td>Post-implementation review</td>
</tr>
<tr>
<td>6.</td>
<td>Compliance audit</td>
</tr>
</tbody>
</table>

**Risk and control framework reviews**

| 7. | Risk interviews/verbal advice |
| 8. | Project management framework |
| 9. | Control process overview |
| 10. | Control process review |

**'Complex' audits**

| 11. | End to end process audit |
| 12. | Performance review – deep dive |
| 13. | Investigation |
| 14. | Probity Audit |

**Education**

| 15. | Business Coaching/Education |

**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 Department’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 1 - 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? 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

EY is a global leader in assurance, tax, transaction and advisory services. The insights and quality services we deliver help build trust and confidence in the capital markets and in economies the world over. We develop outstanding leaders who team to deliver on our promises to all of our stakeholders. In so doing, we play a critical role in building a better working world for our people, for our clients and for our communities.

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**CORAL BELL SCHOOL OF ASIA PACIFIC AFFAIRS – CHANGE OF SCHOOL NAME**

**PURPOSE**
To improve recognition and awareness of the innovative research, education and engagement activities of the School by adopting a name that reflects its collective strengths and internal qualities of excellence, whilst also establishing an external image of distinction, quality and common endeavour. The proposed name is the *Coral Bell School of Asia Pacific Affairs*.

**PREPARED BY**
Ms Deanne Drummond and Ms Kate Hulm

**REVIEWED BY**
Professor Michael Wesley, IPS Director

**APPROVED BY**
Professor Veronica Taylor, CAP Dean

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council approves the renaming of the School of International, Political and Strategic Studies to the Coral Bell School of Asia Pacific Affairs (181/2014).

**ACTION REQUIRED**
For decision

**BACKGROUND**
The School of International, Political and Strategic Studies is one of the five Schools and Centres that make up the College of Asia and the Pacific (the others are the Crawford School of Public Policy, the School of Culture, History and Language (CHL), the Regulatory Institutions Network (RegNet) and China in the World (CIW)). At the time of the formation of the College of Asia and the Pacific in 2010, the School of International, Political and Strategic Studies was formed as a loose confederation of the following units:

- Asia-Pacific College of Diplomacy (APCD)
- Department of International Relations
- Department of Political and Social Change
- Strategic and Defence Studies Centre
- State, Society and Governance in Melanesia (SSGM)

Since its inception in 2010, the School has experienced rapid expansion in numbers and its scope of activity, growing from 34 academic staff to 74.81 (full time equivalent) academic staff in September 2014. During this time the School has attracted outstanding academic talent (early through to advanced career) from some of the world’s leading institutions.

Like the College’s other Schools and Centres, IPS has extensive engagement with external stakeholders and funders, including governments in Australia and the region.

Now in a new phase of leadership, the whole School has been engaged in a collaborative strategic planning process involving all staff (academic and professional), across all levels and component units. The sense internally is that it is time to move to the next phase in the School’s evolution and there is a strong sense of the need to rename the School in order to progress to that stage. The view internally is that a stronger external identity will ensure continuity with the past and continue to build on the School’s sense of common community, whilst also establishing an external presence of common endeavour, joint intellectual enterprise and contribution to the future.
IPS is one of only two Schools and Centres within CAP that does not have a clear, named identity. The School's current acronym threatens to limit future growth. It is problematic because it:
- Is generic, nondescript and easily forgotten;
- Is commonly confused with the names of other similarly named schools of politics and international relations at ANU and beyond;
- Lacks distinctiveness and thus does not serve to position the School as a world-class provider of research and education in Asian and Pacific politics in a globally competitive marketplace;
- Impedes communication, particularly with prospective international students;
- Does not convey an image of prestige and quality that aligns with the ANU brand.

By naming the School, we seek to establish an external image of distinction, quality and common endeavour. This stronger cohesive identity will be used to highlight the considerable progress the component units have made in coming together as a community and will signal to stakeholders (internal and external) the future direction of the School as it enters the next stage of its evolution.

The School Executive and members of the broader School community considered a list of names of a number of prominent historical figures from the University and Australian foreign affairs. The School's preference, based on considerations of both image and functionality, is to be renamed in honour of Dr Coral Bell AO. Despite her distinguished career, Bell is yet to have any institution or building in Australia named in her honour. This is a unique opportunity for the School and the College, provided that we move forward promptly.

Described as “Australia’s most distinguished analyst of contemporary international politics”, Dr Coral Bell AO was an internationally renowned scholar with a close connection to the School's Department of International Relations and Strategic and Defence Studies Centre. Dr Bell’s distinguished career as a leading analyst of international relations for more than 40 years bridges the School's core missions of research excellence and policy engagement in international politics.

The renaming of the school is proposed to coincide with the launch of a book highlighting Dr Bell's distinguished career, "Power and international Relations: Essays in Honour of Coral Bell" edited by Professor Desmond Ball AO and Ms Sheryn Lee.

The aim of the named Coral Bell School is to be the world’s leading centre for Asia and Pacific Affairs. The Coral Bell School will be internationally recognized for its methodological diversity in social scientific inquiry and differentiated by a distinctive approach that is grounded in deep research located at the intersection of discipline and area studies. Through its research, analysis and engagement with scholars and policymakers in the region, the Coral Bell School will be the leading foreign policy resource for Australian and regional governments, and will be recognised nationally and internationally as a leading centre for expertise in the study of Asia-Pacific politics, broadly defined.

The proposal from the School has the full support of the College Dean and Executive, and Dr Bell’s family. It is consistent with the College strategic plan, complements the profiles of the other named Schools and Centres within the College and will enable a much more effective and coherent projection of the capabilities of the School to internal and external stakeholders.

ATTACHMENT

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School Renaming Project

Business Case

A project to rename the School of International, Political and Strategic Studies
## Document Control

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<td>5</td>
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<td>Kate Hulm</td>
<td>2nd paragraph in Executive Summary updated, sections 2.2 and 2.5 updated, Appendix 1 added</td>
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## Document Approval

**Supported by:**

Ms Deanne Drummond, School Manager

**Approved by:**

Professor Michael Wesley, Director
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1. Executive Summary

In the increasingly competitive and rapidly changing global market for higher education, brand identity and distinctiveness are more important than ever before. An institution’s name is a significant part of its image and positioning.

The School of International, Political and Strategic Studies’ (hereinafter “the School”) current name presents a number of business problems in regards to both image and function and impedes communication and marketing efforts by the School, particularly with international students. Moreover, the current name is commonly mistaken, even amongst staff within the University, for other similarly named schools of international relations.

The School’s original name was intended to reflect the convergence of the component units in the federated model of governance with the view that as stronger linkages were built across its component units, the School would establish its own ‘brand name’ and ‘promote a stronger sense of School identity, both internally and externally.\(^1\) The School has made considerable progress in the four years since its inception in achieving this goal internally and has become a thriving, interdisciplinary community in its own right. This renaming project marks the next phase of growth for the School and internally there is a strong appetite and readiness for this change.

The primary objective of this project is to improve recognition and awareness of the innovative research, education and engagement activities of the School by adopting a proper name that reflects its collective strengths and internal qualities of excellence, whilst also establishing an external image of distinction, quality and common endeavour. This stronger cohesive identity will be used to highlight the considerable progress the component units have made in coming together as a community and will signal to stakeholders (internal and external) the future direction of the School as it enters the next stage of its evolution.

The School’s preference, based on considerations of both image and functionality, is to be renamed in honour of the late Dr Coral Bell AO as the: Coral Bell School of Asia Pacific Affairs.

2. Business Problem

2.1 A federated model – history and origins of the School of International, Political and Strategic Studies

The School began its life as a loose confederation based on an alliance of necessity and the current name (the School of International, Political and Strategic Studies) reflects the convergence of the component units at the time of federation:
- Asia-Pacific College of Diplomacy
- Department of International Relations
- Department of Political and Social Change
- Strategic and Defence Studies Centre
- State, Society and Governance in Melanesia

The origins of these component units being organised along disciplinary lines with a shared, common interest in the Asia-Pacific region, dates back more than 50 years when academics from these fields shared the corridors of the Coombs Building in the Research School of Pacific Studies (RSPacS), later renamed as the Research School of Pacific and Asian Studies (RSPAS). As the various component units emerged over time, so did their natural complementarity.

\(^1\) School of International, Political and Strategic Studies, IPS Strategic Plan: August 2010-2013, p 10.
It wasn’t until 1 January 2010 that the component units officially banded together as a School in the Hedley Bull Centre, with a vision to become ‘a world-leading centre for the study of Asia-Pacific politics, broadly defined’.² The founding Strategic Plan (2010-2013) highlights the complementary nature and comparative advantage of these intersecting scholarly communities:

[The School] prides itself on research that spans four levels of analysis (global, regional, national, and subnational) and engages both scholarly and policy audiences. We stand at the intersection between discipline and area studies… [and] celebrate the creative tension that comes from scholarship spanning the two approaches.

Our disciplinary interests are primarily in the field of political studies, broadly defined to include international relations, strategic and defence studies, comparative politics, political sociology, political anthropology, comparative legal systems and criminology, and political history.”³

Four years on, the School and its component units form a vibrant, interdisciplinary, intellectual community of scholars possessing the essential elements for research excellence and distinctiveness, in line with the proud RSPAS tradition. Situated at the creative cusp between deep regional grounding and disciplinary/thematic expertise, the School has already in its short lifespan, made considerable progress toward establishing a reputation of distinction and stature that extends from key academic and policymaking circles in Australia, Asia and the Pacific to many other such communities elsewhere in the world. The School is now faced with the challenge of establishing a stronger external identity befitting of those distinctive internal qualities.

From its origins as four distinct units, the School has undergone significant change processes to build common School-wide structures to provide support across its three core missions: research, education, and engagement (policy and public). The federated model of governance has proven highly successful in preserving the distinct scholarly communities of the component units whilst at the same time supporting a thriving, collegial community at the School level.

Since its inception in 2010, the School has experienced rapid expansion in numbers and its scope of activity, growing from 34 academic staff to 74.81 (full time equivalent) academic staff in September 2014. During this time the School has attracted outstanding academic talent (early through to advanced career) from some of the world’s leading institutions.

Now in a new phase of leadership, the whole School has been engaged in a collaborative strategic planning process involving all staff (academic and professional), across all levels and component units. The sense internally is that it is time to move to the next phase in the School’s evolution and there is a strong sense of the need to rename the School in order to progress to that stage. The view internally is that a stronger external identity will ensure continuity with the past and continue to build on the School’s sense of common community, whilst also establishing an external presence of common endeavour, joint intellectual enterprise and contribution to the future.

### 2.2 Business problems with the current name

Naming is a significant part of an institution’s image building and positioning. The School’s current name threatens to limit future growth and is problematic because it:

- Is generic, nondescript and easily forgotten.
- Is commonly mistaken with the names of other similarly named schools of politics and international relations.
- Lacks distinctiveness and thus does not serve to position the School as a world-class provider of research and education in Asian and Pacific politics in a globally competitive marketplace.
- Impedes communication particularly with prospective international students.
- Does not convey an image of prestige and quality that aligns with the ANU brand.

² Ibid, p 1.
³ Ibid, p 3.
The lack of distinctiveness poses a risk to the School. It is not uncommon for stakeholders to mistake the School for the similarly named School of Politics and International Relations (SPIR) in the ANU College of Arts and Social Sciences.

2.3 Looking to our comparators - schools with proper names

The length of the current name and lack of distinctiveness impede communication and marketing efforts and are problematic for student recruitment, particularly in international markets. Although the School is based in Australia, it is competing for domestic and international postgraduate students in a highly competitive global market and comparable institutions with proper names tend to incite greater recognition and brand awareness. Examples include:

- Woodrow Wilson School of Public and International Affairs at Princeton
- Edmund A. Walsh School of Foreign Service at Georgetown
- Elliott School of International Affairs at George Washington University
- Paul H. Nitze School of Advanced International Studies at John Hopkins University
- The Fletcher School at Tufts University
- Norman Patterson School of International Affairs at Carleton University
- Munk School of Global Affairs at University of Toronto
- S.Rajaratnam School of International Studies at Nanyang Technological University, Singapore

This preference for Schools with proper names is consistent with Treadwell's (2003) study on whether the names of universities/colleges influenced consumer responses in the US market. His findings showed that prospective university students preferred institutions with proper (personal) names, even if the name itself did not indicate what the institution did. His research suggested that there may be some anthropomorphic effect at play whereby potential students intuitively feel more closely connected and better able to relate with institutions that have proper names (Treadwell, 2003: 195).

In discussing his findings, Treadwell refers to the renaming of US institution, Beaver College, which elected to change its name to Arcadia University in a bid to increase enrolments and remove unfavourable connotations associated with the name. A year after their name change, Arcadia University reported higher enrolment and application rates, particularly from international students (Treadwell, 2003: 189). The same can be said for the Northern Territory University which changed its name in November 2003 to Charles Darwin University, a name chosen for its distinctive and aspirational qualities. Similarly, the University's own Crawford School (formerly the Asia Pacific School of Economics and Government) has experienced growth in enrolment and application rates and considerably enhanced its brand recognition and awareness after changing to a proper name.

The Australian higher education sector is facing a range of challenges, particularly in terms of funding and universities will need to fundamentally transform in order to survive. These changes will present ANU with the opportunity to definitively differentiate itself in the higher education market as a quality, prestige brand. In alignment with this differentiation strategy, there a strong need to build national and global awareness of the School as being usefully different and more than just the sum of its constituent parts. In order to succeed in this endeavour, the School must establish an external identity that provides stakeholders with a point of navigation. This can be achieved by strategically renaming the School to a proper (personal) name that has impact and instils the School's distinct image of excellence.

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5 Ernst & Young. (2012). University of the Future: A thousand year old industry on the cusp of profound change.
2.4 Choosing a name – the selection process

An institution’s name has two main qualities: image and function. These qualities were used to develop a framework for evaluating potential names against the stated business objectives (see page 9). The following key questions were posed:

<table>
<thead>
<tr>
<th>Image</th>
<th>Function</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Continuity with history</strong></td>
<td><strong>Accessibility</strong></td>
</tr>
<tr>
<td>· Does the name align with the origins and traditions of RSPAS and the history of the School and its component units?</td>
<td>· Is the name easy to pronounce and spell?</td>
</tr>
<tr>
<td><strong>Distinctiveness</strong></td>
<td>· Is the name spelled as it sounds?</td>
</tr>
</tbody>
</table>
| · Does the name help to establish a distinctive picture of what the School does? | · How many syllables are in the name? (research suggests the best names are short with one to three syllables as they are more easily remembered)
| · Does the name reflect the research and education activities of the School? | · Will stakeholders/consumers read the name properly and in its entirety? |
| **Contribution to future** | **Acceptability** |
| · Does the name reflect with the strategic objectives and brand of the University? | · Does the name have any unfavourable connotations in English or other languages? |
| · Does the name reflect the interdisciplinary and natural complementarity of the component units and their mandate for achieving global leadership in applied political and strategic research on Asia and the Pacific? | · Does the name have aesthetic appeal? |
| · Does the name reflect the interdisciplinarity and natural complementarity of the component units and their mandate for achieving global leadership in applied political and strategic research on Asia and the Pacific? | · Is the name intelligible in other languages? |
| · Prior usage - could the name be mistaken with other institutions/entities using the same or a similar name? | |

Applying this framework, the School Executive and members of the broader School community considered the names of a number of prominent historical figures from the University and Australian foreign affairs, the shortlist included:

- **Professor Wang Gungwu** – Director of RSPAS (1975-1980)
- **Professor Hedley Bull** – Professor of International Relations and Joint Head of the Department of International Relations in RSPAS (1967-1977)
- **Dr Coral Bell AO** – diplomat (1944-1951), Professor of International Politics at the University of Sussex (1972-1977), Senior Research Fellow in the ANU Department of International Relations (1977-1988), Visiting Fellow in the ANU Strategic and Defence Studies Centre, member of the International Institute for Strategic Studies (IISS), and author.
- **Sir Walter Crocker** – inaugural Head of the Department of International Relations, decorated military officer in World War II, diplomat and Australian Ambassador to India, Indonesia, Canada, Nepal, Belgium, The Netherlands, Kenya, Ethiopia, Uganda and Italy (1952-70), Lieutenant-Governor of South Australia (1973-1982)

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- **Sir John Latham** – Chief Justice of the High Court (1935-52), Lieutenant Commander in naval intelligence in World War I, Australia’s first ambassador to Japan, a Member of the House of Representatives 1922–34, including Minister for External Affairs (1932–34)

- **H.V. Evatt** – Australian jurist, lawyer, parliamentarian and author; President of the United Nations General Assembly (1948-49), Minister for External Affairs in the Australian War Cabinet (1941-49)

- **R.G. Casey, Baron Casey** – military officer (1914-19), Treasurer of the Commonwealth (1935-40), Ambassador to the United States (1940-42), Member of the War Cabinet of the UK (1942-1943), Governor of Bengal (1944-1946), Minister for External Affairs (1951-60)

- **Sir Percy Claude Spender** – barrister, politician and diplomat. Minister for the Army (1940-41), Minister for External Affairs and Minister for External Territories (1949-51)

All worthy in their own right, each name was given careful consideration against the stated criteria of image and functionality. Some names were eliminated based on functionality alone, for example: the Crocker School and the Bull School were perceived as having unfavourable connotations in Australian slang. Similarly, the Wang Gungwu School was eliminated based on perceived difficulties with pronunciation and spelling. Latham, Evatt and Casey were eliminated based on prior usage by other institutions - the Latham Lecture Theatre at University of Melbourne, the R.G. Casey Building is the headquarters of the Department of Foreign Affairs and Trade and the Evatt Foundation is a research institute named in honour of H.V. Evatt.

The School’s preference, based on considerations of both image and functionality, is to be renamed in honour of Dr Coral Bell AO.

### 2.5 Dr Coral Bell AO (1923-2012)

Described as “Australia’s most distinguished analyst of contemporary international politics”,[^7] Dr Coral Bell AO was an internationally renowned scholar with a close connection to the School’s Department of International Relations and Strategic and Defence Studies Centre. Dr Bell’s distinguished career as a leading analyst of international relations for more than 40 years bridges the School’s core missions of research excellence and policy engagement in international politics.

Career highlights:
- Dr Bell was one of the first women recruited to the Australian diplomatic service where she served during the late war years.
- Following her decision to leave the diplomatic service, she became a scholar of international politics and won a place at the Royal Institute of International Affairs (RIIA) in London.
- Subsequent academic positions included: Professor of International Politics at the University of Sussex (1972-1977), Senior Research Fellow in the Department of International Relations at ANU (1977-1988), Visiting Fellow, Strategic and Defence Studies Centre.
- Her research interests primarily focused on crisis management and the interaction of strategic, economic and diplomatic factors in international politics, especially as they affect US and Australian foreign policies.
- Her articles appeared in a number of leading international journals, such as *Foreign Affairs*, *The National Interest* and *The American Interest*.
- Dr Bell authored a number of world renowned books, journal articles and book chapters, including: *Negotiation from Strength*, *A World Out of Balance: American Power and International Politics in the Twenty-First Century*, *Dependent Ally: A study in Australian Foreign Policy*, *Living...*

with Giants (a study of Australian policy in a changing world power-balance) and ‘The International System and Changing Strategic Norms’ in Strategy and Security in the Asia-Pacific

- She was awarded an Order of Australia in 2005 and was the recipient of an Australia Institute of International Affairs Fellow Award in 2008, in recognition of her distinguished contribution to Australia’s international affairs.

Despite her distinguished career, Dr Bell is yet to have any institution or building named in her honour. This presents a unique opportunity for the School and if we don’t act on this opportunity quickly, then someone else will.

The School Director and other representatives from the School met with Dr Bell’s family on Friday 24 October to discuss the project and the family has endorsed the proposal to honour Dr Bell’s legacy through this renaming project.

The renaming of the School is proposed to coincide with the launch of a book highlighting Dr Bell’s distinguished academic career: “Power and International Relations: Essays in Honour of Coral Bell”, edited by Professor Desmond Ball AO and Ms Sheryn Lee, featuring essays from a number of academic staff (past and present) from the School (see Appendix 1).

3. Business Objective

Central to addressing the business problems identified above, the overarching objective is to improve recognition and awareness of the School’s core activities in research, education and engagement by building a stronger external identity that is befitting of the School’s distinct internal qualities. This cohesive identity will clearly signal to stakeholders (internal and external) the progress the School has made since its inception in coming together as a community and will highlight the future direction of the School as it enters its next phase of growth.

The primary business objective is therefore to strategically rename the School with a distinct, proper name that:
- Embodies the qualities of both image and function, and aligns with the University’s prestige brand
- Is consistent with the origins and traditions of the School and its component units
- Differentiates the School from other generically named schools in the same field
- Reflects the interdisciplinary research strengths of the component units and the comparative advantage of the intersecting scholarly communities
- Is easy to pronounce, easy to spell and conveys impact in such a way that it won’t be easily forgotten

The name that has been selected to achieve the stated business objective is the: Coral Bell School of Asia Pacific Affairs.

The founding mandate for the Coral Bell School is to be the world leading centre for Asia Pacific Affairs. The Coral Bell School will be world renowned for its methodological diversity in social scientific inquiry and differentiated by a distinctive approach that is grounded in deep research and derived from the intersection of discipline and area studies. Through its research, analysis and engagement with scholars and policymakers in the region, the Coral Bell School will be the leading foreign policy resource for Australian and regional governments, and will be recognised nationally and internationally as a leading centre for expertise in the study of Asia Pacific politics, broadly defined.
The following strategic drivers and objectives have been identified for the project:

<table>
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<tr>
<th>Strategy/Driver</th>
<th>Project Objectives</th>
<th>Outputs</th>
<th>Benefits</th>
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<tbody>
<tr>
<td><strong>ANU by 2020: Enhancing the distinctive excellence of ANU - maintain and enhance the peerless reputation for quality we presently enjoy</strong></td>
<td>Enhance the School’s image and reputation of quality by selecting a distinctive new name that reflects the history of the component units and aligns with strategic direction for the future. Build alumni engagement by ingraining current students with a sense of identity and belonging with the Coral Bell School, its history and traditions.</td>
<td>- Implementation of the new name: <em>Coral Bell School of Asia Pacific Affairs</em> &lt;br&gt; - Production of a written history of the School dating back to the emergence of the component units in RSPAS. &lt;br&gt; - Production of a School brochure for external stakeholders containing the School’s history (origins in RSPAS), the legacy of Dr Coral Bell AO and her focus on international politics and the Asia-Pacific region, stories about high profile research being undertaken in the School, academic impact, teaching profile, and alumni.</td>
<td>- Signal the positive changes and future direction of the School to key stakeholders (internal and external). &lt;br&gt; - Reduce confusion between the School and other similarly named schools. &lt;br&gt; - Increase visibility and recognition amongst stakeholders.</td>
</tr>
<tr>
<td><strong>ANU by 2020 and CAP Plan (2012-2014):</strong> Increase the number of alumni actively engaged with the University</td>
<td>Increase opportunities for cross-Departmental (whole of School) collaboration in learning and teaching.</td>
<td>- Introduction of a new Coral Bell School academic (coursework) program, owned and taught by multiple Departments within the School.</td>
<td>- A stronger sense of identity and collegiality across the constituent units within the School. &lt;br&gt; - Provide students with innovative, cross-disciplinary learning opportunities.</td>
</tr>
<tr>
<td><strong>ANU by 2020: Innovative learning and teaching</strong></td>
<td>Enhance the School’s image and reputation of quality with the mandate of becoming</td>
<td>- Official launch event, opened by the Hon Julie Bishop MP with</td>
<td>- Foster stronger relationships with government and</td>
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<tr>
<td><strong>ANU by 2020: Engagement with government</strong></td>
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Building critical mass of research and education excellence in public policy

<table>
<thead>
<tr>
<th>ANU by 2020: Develop a culture which supports and encourages staff to win external research funding</th>
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<tbody>
<tr>
<td>Create School-level (cross-departmental) research opportunities on key themes (thematic and geographic) and mobilise the interdisciplinary research strengths of the School to attract external research funding.</td>
</tr>
<tr>
<td>- Introduction of a new Coral Bell School cross-departmental research funding program</td>
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<td>- Continue to build a stronger sense of identity and community across the component units within the School.</td>
</tr>
<tr>
<td>- Increase innovation in research by fostering stronger collaboration between component units.</td>
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4. Success Criteria

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<th>Key Performance Indicator (KPI)</th>
<th>Project Outcomes</th>
<th>Success Criteria</th>
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<tbody>
<tr>
<td>Improved recognition and awareness of the School’s three core activities: research, education and policy engagement (policy and public)</td>
<td>Marketing and communicating the new name:</td>
<td></td>
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<td></td>
<td>- Coral Bell School booklet and printed marketing materials</td>
<td>- Recognised as a leading centre for research, education and engagement on Asian Pacific affairs (in the top 5 in the world).</td>
</tr>
<tr>
<td></td>
<td>- Coral Bell School website (a stronger, more unified web-presence)</td>
<td>- Emergence of new research synergies and collaborative projects (thematic or geographic in nature).</td>
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<td></td>
<td>- College website</td>
<td>- Increased postgraduate student numbers (particularly international) at rates which are sustainable and will not compromise quality.</td>
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<td>- Launch event</td>
<td>- Increased recognition and awareness in government and the policy community.</td>
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<td>- Signage – outside the School</td>
<td>- Increased in alumni engagement.</td>
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<tr>
<td></td>
<td>- Social media – Twitter, Facebook, LinkedIn</td>
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<td></td>
<td>- Business cards and signature blocks</td>
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5. Strategic Alignment

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<th>Strategic Plan</th>
<th>Goals/Objectives of the Plan</th>
<th>Alignment to Initiative</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ANU by 2020</strong></td>
<td>Enhance the distinctive excellence of ANU</td>
<td>- Signal the positive changes and future direction of the School to key stakeholders (internal and external).</td>
</tr>
<tr>
<td></td>
<td>Maintain and enhance the peerless reputation for quality we presently enjoy</td>
<td>- Reduce confusion between the School and similarly named schools of international relations.</td>
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<tr>
<td></td>
<td>Increase the number of alumni actively engaged with the University</td>
<td>- Increase visibility and recognition amongst stakeholders.</td>
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<tr>
<td></td>
<td>Innovative learning and teaching</td>
<td>- Foster stronger relationships with government and the policy community.</td>
</tr>
<tr>
<td></td>
<td>Engagement with government and building critical mass of research and education excellence in public policy</td>
<td>- Provide students with innovative, cross-disciplinary learning opportunities.</td>
</tr>
<tr>
<td></td>
<td>Develop a culture which supports and encourages staff to win external research funding</td>
<td>- Encourage innovation in education and research by fostering stronger collaboration between Departments.</td>
</tr>
<tr>
<td><strong>College of Asia &amp; the Pacific (CAP) Plan (2012-2014)</strong></td>
<td>Increase postgraduate coursework enrolments by 8 per cent annually across policy-relevant programs</td>
<td>- Provide for increased innovation in education and research by fostering stronger collaboration between the constituent units.</td>
</tr>
<tr>
<td></td>
<td>Develop a menu of coursework education focused on Asia and the Pacific that takes full advantage of the College’s research expertise</td>
<td>- Pave the way for the introduction of a new Coral Bell School academic (coursework) program, owned and taught by multiple Departments within the School.</td>
</tr>
<tr>
<td></td>
<td>A transformed web presence that is the leading national site for expert commentary on developments in the Asia Pacific region</td>
<td>- The catalyst for implementing a transformed web presence, in line with the College’s web governance framework.</td>
</tr>
<tr>
<td></td>
<td>Increase engagement with international alumni</td>
<td>- Provide for increased alumni engagement by establishing a stronger sense of identity and belonging in students.</td>
</tr>
</tbody>
</table>
### Strategic Plan

<table>
<thead>
<tr>
<th>Goals/Objectives of the Plan</th>
<th>Alignment to Initiative</th>
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</thead>
<tbody>
<tr>
<td>Seek out new synergies that can improve research communities encompassing members from all constituent units that are either thematic or geographic in nature. Seek to enhance the School’s overall appeal to wider and more internationalized student markets The School projecting itself more forcefully in a range of outreach activities: seminars, public lectures, media exposure, linkages with government Build new linkages across constituent units to enhance “brand name” and promote a stronger sense of School identity, both internally and externally</td>
<td>- Establish a stronger, more cohesive, external identity for the School which will be used to build recognition and enhance appeal to wider audiences including prospective international students, government and the public. - Encourage academics to seek out new synergies in education and research by fostering an even stronger sense of community and collegiality between Departments.</td>
</tr>
</tbody>
</table>

### 6. High Level Scope Statement

Important milestones and deliverables for this project:

- Official approval and endorsement of the new name (*Coral Bell School of Asia Pacific Affairs*) through appropriate University channels

- Implementation of the new name:
  - Facilities – signage, foyer
  - Printed marketing materials
  - School and College website
  - Business cards, signature blocks, stationery, merchandise
  - Social media handles and branding - Twitter, Facebook

- Production of a written history of the School dating back to the emergence of the component units in RSPAS.

- Production of School brochure for external stakeholders containing the School’s history, the legacy of Dr Coral Bell AO in the field of international affairs and her focus on the Asia Pacific region and disciplines in the School, stories about high profile research being undertaken in the School, academic impact, teaching profile, and alumni.
- Communicate the new name to stakeholders at an official launch event to be held in early 2015 (tentatively scheduled during the first week of February 2015). The purpose of the event will be to clearly communicate the vision and mission for the Coral Bell School to key stakeholders. In pursuit of the School’s vision of becoming the Government’s leading foreign policy resource, the Hon Julie Bishop MP will be invited to officially launch the School’s new name. Other invited guests will include:
  o Senator the Hon Brett Mason
  o The Hon Tanya Plibersek MP
  o Senator the Hon Penny Wong
  o Mr Peter Varghese AO – Secretary, Department of Foreign Affairs & Trade
  o Mr Dennis Richardson AO – Secretary, Department of Defence
  o Mr Richard Maude - Director-General of the Office of National Assessments
  o Mr David Irvine – Director-General of Security
  o High profile alumni from the School
  o Members of the University Executive and the broader University community (College Deans, Directors and all staff and students from the School)
  o Other key stakeholders from the policy community

The launch will be held in the Atrium of the Hedley Bull Centre in February 2015

- Introduction of a new Coral Bell School academic (coursework) program owned and taught by multiple Departments within the School

- Introduction of a new Coral Bell School, cross-departmental research funding program

7. High Level Approach
The delivery of the project will be overseen by:

<table>
<thead>
<tr>
<th>Project sponsor</th>
<th>Professor Michael Wesley (School Director)</th>
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<tbody>
<tr>
<td>Project board</td>
<td>The School Executive:</td>
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<td></td>
<td>- Professor Michael Wesley (School Director)</td>
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<td></td>
<td>- Professor William Maley (Head of the Asia-Pacific College of Diplomacy)</td>
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<td></td>
<td>- Professor William Tow (Head of the Department of International Relations)</td>
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<td></td>
<td>- Associate Professor Greg Fealy (Head of the Department of Political and Social Change)</td>
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<td></td>
<td>- Dr Nicole Haley (Convenor - State, Society and Government in Melanesia)</td>
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<td></td>
<td>- Associate Professor Brendan Taylor (Head of the Strategic and Defence Studies Centre)</td>
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<td></td>
<td>- Ms Deanne Drummond (School Manager)</td>
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<tr>
<td>Project executive</td>
<td>Ms Deanne Drummond (School Manager)</td>
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<tr>
<td>Project manager</td>
<td>Ms Kate Hulm (School Outreach and Communications Coordinator)</td>
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<tr>
<td>Project team members</td>
<td>All administrative staff from Business, Student Engagement and Communications and Outreach will be engaged in the development and implementation of key project deliverables</td>
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## 8. Estimated timeline

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<td>Formal ANU approval process</td>
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<td>Alumni mapping/profiling</td>
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<td>School booklet/brochure</td>
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<td>New strategic plan</td>
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<td>Merchandise</td>
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<td>School website</td>
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<td>Social media refresh</td>
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<td>Email comms templates</td>
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<td>Building signage</td>
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<td>AOU administration</td>
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<td>Hedley Bull Atrium Upgrade</td>
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<td>Student BBQ</td>
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<td>Official launch</td>
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<td>Dinner with Exec, MPs, etc</td>
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<td>Research program</td>
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<td>Grad coursework program</td>
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</tbody>
</table>
9. Initial Risk Assessment

Likelihood: Almost certain, likely, possible, unlikely
Impact: Catastrophic, major, moderate, minor
Risk rating: Extreme, High, Moderate, Low

<table>
<thead>
<tr>
<th>Risk (what could go wrong)</th>
<th>Likelihood</th>
<th>Impact</th>
<th>Risk rating</th>
<th>Risk mitigation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Backlash from internal stakeholders (staff and students)</td>
<td>Unlikely</td>
<td>Moderate</td>
<td>Low</td>
<td>The name has been selected following extensive consultation with the School community through Departmental meetings and School forums.</td>
</tr>
<tr>
<td>Poor execution of implementation</td>
<td>Possible</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Ensuring sufficient project planning, consultation, staff time and resources are allocated to renaming project</td>
</tr>
</tbody>
</table>

10. Funding Sources

<table>
<thead>
<tr>
<th>Fund provider name</th>
<th>Fund type</th>
<th>Amount ($) ex GST</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>School strategic funding</td>
<td>$</td>
<td>$57,250.00</td>
<td>The School Executive has allocated $57,250.00 of strategic funding for the project</td>
</tr>
</tbody>
</table>

TOTAL Funding: $57,250.00

11. Cost Benefit Analysis

<table>
<thead>
<tr>
<th>Category</th>
<th>Item</th>
<th>Total ex GST</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities</td>
<td>Hedley Bull Signs on Building</td>
<td>$10,000.00</td>
</tr>
<tr>
<td></td>
<td>Coral Bell School on Signage</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Foyer upgrade – including installation of alumni photos, frosted glass, displays</td>
<td></td>
</tr>
<tr>
<td>Marketing and Communications</td>
<td>Printed materials</td>
<td>$1,500.00</td>
</tr>
<tr>
<td></td>
<td>Website</td>
<td>$10,000.00</td>
</tr>
<tr>
<td></td>
<td>Merchandise</td>
<td>$1,000.00</td>
</tr>
<tr>
<td></td>
<td>Business Cards</td>
<td>$5,750.00</td>
</tr>
<tr>
<td>Events</td>
<td>Official name launch event</td>
<td>$5,000.00</td>
</tr>
<tr>
<td></td>
<td>Student BBQ</td>
<td>$1,500.00</td>
</tr>
<tr>
<td></td>
<td>Dinner with University Exec, MP’s, School Exec</td>
<td>$2,500.00</td>
</tr>
<tr>
<td>Programs</td>
<td>Coral Bell School Research Funding Program (Horizons Seminar Series)</td>
<td>$20,000.00</td>
</tr>
<tr>
<td></td>
<td>New graduate coursework program</td>
<td>TBC</td>
</tr>
</tbody>
</table>

TOTAL COST: $57,250.00
Benefits for the life of the project:

- Recognised as a leading centre for research, education and engagement on Asian and Pacific affairs (in the top 5 in the world)
- Emergence of new research synergies and collaborative projects (thematic or geographic in nature)
- Diversified research funding by attracting new research funding for collaborative research projects
- Increased postgraduate student numbers (particularly international) at rates which are sustainable and will not compromise quality, with a corresponding increase in revenue from International Student Fees (ISF) and Domestic Tuition Fees (DTF)
- Increased recognition and awareness in government and the policy community.
- Increased alumni engagement

12. Performance Measures

<table>
<thead>
<tr>
<th>Description of Benefit</th>
<th>Benefit Measure</th>
<th>Level of Benefit achieved (% of total or $ amount)</th>
<th>When will the benefit be realised?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increase in world rankings</td>
<td>Increase in ranking</td>
<td>Ranked in the top 5 in the world</td>
<td>2016</td>
</tr>
<tr>
<td>Increased postgraduate student numbers</td>
<td>% increase in ISF and DTF</td>
<td>5% increase in ISF 2.5% increase in DTF</td>
<td>2016</td>
</tr>
<tr>
<td>Increased alumni engagement</td>
<td>% increase of engaged alumni</td>
<td>50% actively engaged</td>
<td>2016</td>
</tr>
<tr>
<td>New postgraduate coursework program</td>
<td># new students in program</td>
<td>40 new postgraduate students</td>
<td>2016</td>
</tr>
<tr>
<td>New research synergies</td>
<td># of new collaborative research projects across the component units</td>
<td>New collaborative research projects being undertaken across the School</td>
<td>2016</td>
</tr>
<tr>
<td>Attracting new research funding for collaborative research projects</td>
<td>$ amount of research funding</td>
<td>$XX,XXXX in research funding for collaborative research projects</td>
<td>2016</td>
</tr>
</tbody>
</table>
### 13. Alternatives Analysis

<table>
<thead>
<tr>
<th>No Initiative (Status Quo)</th>
<th>Reasons For Not Selecting Status Quo</th>
</tr>
</thead>
<tbody>
<tr>
<td>We do nothing – School name stays the same, business as usual</td>
<td>The risk of being complacent and not renaming, is far greater than the cost of renaming.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Alternative Option 1</th>
<th>Reasons For Not Selecting Alternative 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>School name remains the same and we increase marketing and communications efforts under the current name</td>
<td>The current name is an impediment to communications and marketing efforts and will not reap the same return on investment as marketing a School with a proper name.</td>
</tr>
</tbody>
</table>
APPENDIX 1

Power and International Relations: Essays in Honour of Coral Bell
Edited by Desmond Ball and Sheryn Lee

Introduction
Desmond Ball and Sheryn Lee

Coral Mary Bell AO, one of the world’s foremost academic experts on International Relations, crisis management and Alliance diplomacy, passed away in Canberra on 26 September 2012, aged 89. She worked at the Royal Institute of International Affairs (Chatham House) in London in the 1950s, was a Senior Lecturer in Government at the University of Sydney in 1961-65, a Reader in International Relations at the London School of Economics (LSE) in London in 1965-72, a Professor in International Relations at Sussex University in 1972-77, a Senior Research Fellow in the Department of International Relations at the Australian National University from 1977 to 1988, and a Visiting Fellow at the Strategic and Defence Studies Centre (SDSC) at the ANU for the next two decades.

She was a prolific author. She published eight major books, including Negotiation from Strength: A Study in the Politics of Power (1962), The Debatable Alliance: An Essay in Anglo-American Relations (1964), The Conventions of Crisis: A Study in Diplomatic Management (1971), The Diplomacy of Détente: The Kissinger Era (1977), Dependent Ally: A Study in Australian Foreign Policy (1984), and A World Out of Balance: American Ascendancy and International Politics in the 21st Century (2003). She edited five other books, published some 20 monographs, and wrote about 75 chapters in edited books and articles in academic journals. (A full list of her publications is included at the end of this volume). She was still working on five different papers at the time of her death.

This volume is divided into three parts. Part 1 describes Coral’s personal constitution and provides an overview of her career. Chapter 1, by her brother Harry Bell, recounts her early years. They were not easy. Her mother died when she was only seven years old, her father lost his job at the beginning of the Great Depression, and she was looked after by relatives during her primary school years. She was 15 at the time of the Munich Crisis. She started at Sydney University just a few months before the Battle of the Coral Sea, was worried that the presence of Japanese submarines in Sydney Harbour presaged a Japanese invasion, and worked with a degaussing unit at the National Physics Laboratory at Sydney University on techniques to protect Australian ships against magnetic mines. She later acknowledged that her life-long interest in international crises and her ‘realist’ perspective originated in this period. She had initially sought a career in the Australian Diplomatic Service, but as Desmond Ball tells in chapter 2, she ran afoul of a group in the Department of External Affairs who

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8 Introduction to Power and International Relations: Essays in Honour of Coral Bell, edited by Desmond Ball and Sheryn Lee, provided with permission of the editors.
were spying for the Soviet Union and wanted her away from their predacity. Academia was essentially an accidental vocation.

Geoffrey Barker provides in chapter 3 a journalistic description of Coral. He describes her as ‘perhaps Australia’s most eminent and respected international security scholar’ who ‘was present at the creation of the post-War world of U.S.-Soviet superpower competition’. He recalls her ‘scholarly modesty’ and notes that ‘she did not play the media game and seek to promote her views…. To her, international security issues were too profound to be reduced to the often glib formulas to which journalists seek to reduce complex issues’. She described her work as ‘a sort of meditation on history’. Meredith Thatcher worked for Coral as a research assistant in the Strategic and Defence Studies Centre from 2002 to 2010, and describes her, in chapter 4, from a quite different perspective. She notes that Coral was of course a female, very rare in a male-dominated profession, at least when Coral entered it. She characterises Coral as ‘an optimistic realist’, who was also compassionate, gracious, and humble, with ‘a dry wit and warm personality’.

Robert O’Neill provides in chapter 5 a comprehensive overview of Coral’s academic career, from when she obtained her doctorate at LSE in the early 1950s and then worked at Chatham House, where she enjoyed the tutelage of Martin Wight, through her association with the founders of the International Institute for Strategic Studies (IISS) in London in the late 1950s and her professorship at Sussex University in the 1970s, to the three decades or so that she spent with the Department of International Relations and the SDSC at the ANU. He characterises her as a ‘conservative realist’, who shared the conservative political philosophy of Michael Oakeshott, but was opposed to the US (and Australian) intervention in Vietnam in the 1960s and early 1970s, critical of covert operations of the US Central Intelligence Agency (CIA) such as the overthrow of Iran’s populist prime minister, Mohammad Mossadegh, in 1953, and despaired at the simplicity of the foreign policy views of successive conservative Australian governments. She was a fan of Henry Kissinger in the 1970s and applauded the way President Ronald Reagan had dealt with the Soviet Union in the 1980s, but she later supported the basic approach to international affairs articulated by President Barack Obama, who she praised for recognising that the world had undergone a ‘profound, irreversible redistribution of power’ towards Asia.9

Most of Coral’s academic career was spent in Departments of International Relations, but she was always more interested in critiques of policy rather than International Relations theory. Indeed, she disdained theoretical approaches to the field.10 Nevertheless, as the contributions to Part 2 of this volume show, she inevitably possessed a theoretical framework, albeit rarely explicated and somewhat inchoate. In chapter 6, Ian Hall argues that ‘her international thought’, which he calls an ‘agent-centred interpretive theory of international relations’, was actually quite sophisticated. She accepted from Martin Wight that the disciplines of philosophy, literature and history could ‘capture truths about human

9 Coral Bell, ‘Seven Years to Get it Right’, American Review, November 2009, at http://americanreviewmag.com/stories/Seven-years-to-get-it-right.
societies’, and that politics was best explained in terms of ideas (the beliefs and perceptions of policy-makers) and institutions (including conventions and norms of behaviour as much as formal institutions), with events being determined essentially by ‘agency, contingency and contestability’. JDB (‘Bruce’) Miller, in chapter 7, reiterates this perspective. He notes that Coral ‘brought a practical and sophisticated analysis to the study of the international system’, in which the beliefs of policy-makers, mediated through decision-making processes, are paramount. In chapter 8, James L Richardson locates her in ‘classical realism, grounded in history and the humanities’, not at all deterministic but providing great scope for political and diplomatic choice.

Part 3 moves from International Relations to the realm of power politics, which Coral explored with respect to practical policy-making concerning such critical matters as crisis management, Cold War competition, Alliance diplomacy, US and Australian foreign and defence policies, and the construction of a stable and sustainable international system. In chapter 9, Brendan Taylor relates that she was a devoted Australian, always conscious, in her own words, of ‘her own country’s efforts to provide for its future security’, and that this laid ultimately in the durability of ‘the central balance’ between the great powers, and Australia’s alliance with a principal power in this ‘balance’.11 He is greatly impressed by her unremitting sense of optimism and her ‘unrelenting drive to look imaginatively toward the future’. He notes that as far back as the 1960s, in *The Debatable Alliance*, she was already searching for alternative power-sharing arrangements, developing the concept of a ‘shadow condominium’.12

In chapter 10, Michael Wesley examines Coral’s interpretation of the Cold War. He notes that her ‘first professional engagement with international affairs was as a practitioner’ in government service and that this had ‘a lasting impact on her work’; moreover, this formative period coincided with the beginning of the Cold War, which she watched closely through to its end. He stresses her intuitive capacity, which allowed her, ‘without being cased in … ponderous methodology’, but nevertheless grounded in fecund concepts, to portray the Cold War and its outcome primarily in terms of the characters, beliefs and judgements of the key policy-makers involved. Over the long term, the US emerged victorious because it proved better able to ‘negotiate power’.

In chapter 11, Robert Ayson reviews Coral’s work on crisis management. He notes at the outset that she was concerned with ‘the ideas that could be gleaned from the practice of international diplomacy’; this ‘made her more of a commentator than a theorist’, but she was ‘an exceptionally adroit commentator’. Crisis management for Coral was a fundamental alternative to catastrophic war. Wars have become potentially much more destructive, but they still flourish. Crises can only be managed by the parties to ‘the central balance of power’. Only the dominant powers can affect ‘central crises’, and only they can prevent local crises from turning into central ones. The quality of crisis diplomacy is

determinate, which in practice means the policy choices of the decision-makers of the dominant powers. Shared conventions, or patterns of behaviour, are more important than formal institutions. Power, represented by armed force, is crucial, but it is mediated by ‘signals’ (which communicate threats or offers to the other party to the crisis); shared conventions ensure that the signals are correctly understood by the respective decision-makers.

William Tow, in chapter 12, reviews Coral’s work on ‘alliance politics’, which includes her assessments of both US leadership of the Western alliance system and, more particularly, the functioning of the US-Australia alliance. Again, diplomatic history rather than international relations theory was her main instrument in these endeavours. With regard to US leadership, she appreciated by the early 2000s, following the terrorist attack on the US homeland in September 2011 and the ‘ineffuctual US invasion and occupation of Iraq’ in 2003, that global power was inevitably being redistributed by ‘economic, demographic and technological changes’, as well as ‘jihadist challenges’, and that this required new forms of alignment, but she remained persuaded that the US would ‘remain the paramount power of the society of states’ for the foreseeable future. With regard to the US-Australia alliance, she believed that by hosting US facilities such as Pine Gap, Australia had become less dependent on the US; the alliance had become ‘considerably less unequal’, transmuted into ‘interdependence of a relatively symmetrical sort’. She remained convinced that Australia would remain ‘inextricably and beneficially tied to US power as the best means for ensuring its own national security and for pursuing global stability’; but she also believed that Australia could play a positive role in adjudicating US reconciliation of its Cold War bilateral alliance system with the burgeoning construction of multilateral institutions in the Asia-Pacific region.

Hugh White brings together and develops the key themes articulated in earlier chapters in his culminating essay on ‘The Concert of Power: Avoiding Armageddon’. He recapitulates the impact of strategic developments in Coral’s formative years on her subsequent career – the destructiveness of the Second World War, the development and use of the atomic bomb, the practitioner’s perspective on the workings of the international system, and the importance of diplomacy. She was an optimistic realist, believing that the policy-makers in the dominant states could reach and sustain modes of communication and agreements which could minimise the risks of war and hence avoid atomic Armageddon. Following on from Martin Wight and other members of the English School of International Relations and also the influence of Henry Kissinger, she moved from implicit support for notions of a ‘shadow condominium’ to being a dedicated advocate of a ‘concert of powers’. In a conflict-ridden world, with nuclear weapons aplenty, only a concert in which power is shared in the over-riding interest of preventing major wars can avoid Armageddon. White agrees with this analysis, but believes that Coral underestimated the difficulties involved in the construction of such a concert. He concludes with the admonition that, precisely because avoidance of catastrophic war should be our highest priority, we should all – academics and policy-makers alike – devote our energies to overcoming those difficulties,

especially with respect to achieving an accommodation between the US and China (and Asia’s other great powers).

Finally, then, after hearing from more than a dozen of her friends and colleagues, it should be possible to say who Coral Bell was, what she was like, what she did, and what was her legacy. She in fact had many close friends, which attests to her charm, compassion, generosity and engaging personality. And she had many colleagues willing to write about her, which signifies that the things she did were both important and interesting.

Coral’s legacy is difficult to summarise; it is primarily indirect, through her ideas and arguments rather than concrete products. O’Neill reckons that ‘her analytical legacy is a view of the world where US power and influence have been eroded through poorly thought-out policies and lack of understanding of the United States’ own weakness in the first decade of this century’. It is surely broader than that, encompassing the whole discourse on power politics and international relations, including crisis management and Alliance diplomacy, as well as other periods when US power was ascendant rather than eroding. As Taylor notes, her impact was frequently second-order, through ‘the people she worked with, taught and mentored’, and in particular, ‘her education of a significant number of emerging scholars’, many of whom subsequently took up ‘senior positions in academia, government and the military’. An important legacy concerns gender, where she opened the path for women into the international politics field. For over half a century, ‘ever since her appointment as one of Australia’s first female diplomats,… [she served] as a mentor and role model for female scholars and practitioners’ in this field. Internationally, she lifted Australia’s ‘diplomatic profile’.

Unusually for academics, she attracted the respect of policy-makers from around the globe. Denis Healey, a founder of the IISS and the Secretary of State for Defence from 1964 to 1970 and Chancellor of the Exchequer from 1974 to 1979, observed, with her in mind, that ‘from the middle fifties Australia has contributed more to international understanding of defence problems than any country of similar size’.¹⁴ Henry Kissinger, former National Security Advisor and Secretary of State under President Richard Nixon, invoked her ideas in his own writings.¹⁵ Sir Keith Waller, Australia’s first career ambassador to the United States (1964-70) and Secretary of the Department of Foreign Affairs in Canberra (1970-74) said that ‘her work has brought a new lustre to the reputation of Australia in all countries where people follow the serious study of foreign affairs’.¹⁶ Kim Beazley, former Minister for Defence and leader of the Australian Labor Party, said in 2008 that Coral ‘stood out’ as one of the two scholars (the other being Hedley Bull) who had ‘captured the attentions of policy practitioners’.¹⁷ Her funeral was attended by former heads of the Australian Department of Defence and the Department of

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¹⁵ See, for example, Henry Kissinger, *Does America Need a Foreign Policy?*, 2nd edn, Touchstone, New York, 2002, p. 288.
Foreign Affairs and Trade, the Defence Intelligence Organisation (DIO) and the Office of National Assessments (ONA).

She was clearly a realist, for whom power, relational and broadly defined, was the central concept in the functioning of the international system. But her realism was unique; she could be characterised not only as a ‘conservative realist’ or a ‘classical realist’, but also, a much rarer breed, an ‘optimistic realist’. Indeed, she could be called a ‘constructivist realist’. It has been said (by Ayson) that she was a commentator, not a theorist, but she was never content to be merely descriptive. Her commentaries were invariably prescriptive, stipulating how the international system (or statecraft, for agency was more important than structure) should function. In fact, adept statecraft can create sound structures. It has also been pointed out (by Wesley) that Coral emphatically opposed value-laden foreign policies, but not because she lacked values; rather, values were difficult to negotiate, whereas contests over power could be bargained and managed. In fact, contests over values were usually resolved by power contests anyway.

For Coral, the ultimate value was the avoidance of catastrophic war (or Armageddon) and the ‘preservation of human life and human society’ in a conflict-ridden world. As Hall argues, she held ‘a vision of international relations that was both human and humane’. In the end, she was a committed humanitarian.

Acknowledgements

Three of the chapters (those by JDB Miller, James L Richardson and Brendan Taylor) are more or less revised versions of articles published in the Australian Journal of International Affairs (AJIA), Volume 59, No. 3, September 2005. We are grateful to Professor Andrew O’Neill (editor-in-chief), Dr Tracey Arklay (Managing Editor), and Michelle Whittaker (Permissions & Licensing Administrator at the Routledge Taylor & Francis Group) for permission to reprint these articles.

An earlier version of Geoffrey Barker’s chapter was published in the Australian Financial Review Magazine on 29 July 2005. Desmond Ball’s chapter is a slightly revised version of an article originally published in The Australian on 14 January 2012.

The photograph on the front cover, as well as Plates 8 and 9, were taken at a lecture given by Coral at the Lowy Institute for International Policy in Sydney on 19 March 2008. Plate 10 was contributed by Dr Katherine Morton, Department of International Relations, ANU. Darren Boyd and Olivia Cable helped with the digital processing of some of the images. Harry and Hellen Bell, Coral’s brother and sister-in-law, provided several of the photographs and were supportive of this project from the outset.

We are very grateful to Associate Professor Brendan Taylor and Dr Peter Dean, the editors of the Military/Strategy series of Melbourne University Press’s Academic Monograph Series, for their encouragement and assistance throughout the publication process.

17 ANU FRAUD CONTROL FRAMEWORK

PURPOSE To approve the ANU Fraud Control Framework.

PREPARED BY Manager Audit & Risk, Corporate Governance & Risk Office

REVIEWED BY Director, Corporate Governance & Risk

APPROVED BY Director, Corporate Governance & Risk

SPONSOR Audit & Risk Management Committee

RECOMMENDATION That Council approve the ANU Fraud Control Framework (182/2014).

ACTION REQUIRED
For discussion ☑️ For decision ☑️ For information ☐

BACKGROUND

The ANU Fraud Control Framework (the ‘Framework’) has been developed with reference to the Commonwealth Fraud Control Guidelines (CFCG), Public Governance, Performance and Accountability Act 2013 (PGPA Act) and the Australian Standard AS8001-2008.

The Framework outlines the University’s attitude towards fraud and the governance structure in place to minimise the occurrences of fraud. The Framework is accompanied by a fraud control plan template to assist business areas within the University to understand their fraud risk exposures and the mitigation strategies that need to be put in place.

ATTACHMENTS

17.1 – Fraud Control Framework (182/2014)
17.2 – Fraud Control Plan template (183/2014)
The Australian National University
Fraud Control Framework

Corporate Governance & Risk Office

Confidential
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Executive Summary

Introduction

Fraud against the Australian National University (ANU) is an extremely serious matter. Not only is it a criminal offence, but fraud reduces the funds available for delivering public goods and services and can undermine public confidence in the University.

Fraud prevention strategies are the first line of defence and provide the most cost-effective method of controlling fraud within an entity. Key factors that contribute to the prevention of fraud are:
- an ethical organisational culture;
- an effective internal control framework; and
- a strong fraud risk management process among employees.

The Commonwealth Fraud Control Guidelines (CFCG) are issued by the Minister for Justice to assist accountable authorities to meet their obligations under the Public Governance, Performance and Accountability Act 2013 (PGPA Act) and section 10 of the Public Governance, Performance and Accountability Rule 2014 (PGPA Rule).

Section 10 of the PGPA Rule ensures that there is a minimum standard for accountable authorities of Commonwealth entities (such as the ANU) for managing the risk and incidence of fraud. It articulates the key principles for establishing and maintaining fraud control systems, including prevention, detection and responses to fraud.

The purpose of this plan is to expand on the legislative principles to articulate a flexible framework for fraud control tailored to the circumstances and needs of the Australian National University. It also seeks to deliver a coherent, consistent and transparent framework that guides staff on their respective accountability requirements. It does this by promoting high standards of governance, performance and accountability by establishing principles and processes for effective fraud control for all ANU employees and contractors.

Purpose of the ANU Fraud Control Plan

The ANU Fraud Control Plan (FCP) is designed to provide a holistic approach to fraud control at the ANU. The plan outlines the measures taken at each stage of the fraud control cycle from prevention activities, to detection of fraudulent activity, the investigation of alleged fraud and the organisational response in the event of fraud occurring at the ANU.

Definition of Fraud

The ANU has adopted the following definition of fraud as advocated by the Australian Government’s Fraud Control Guidelines 2011:

“Dishonestly obtaining a benefit, or causing a loss, by deception or other means”

This includes fraud or corrupt acts or omissions that may or may not have a direct financial impact upon either the ANU or the person committing the fraud. Fraud against the ANU constitutes an offence against the Australian Government and can be prosecutable under the Crimes Act 1914 and Criminal Code Act 1995 (Cth).
Statement of Attitude to Fraud

The ANU has zero tolerance for fraud; accordingly, the ANU is committed to minimising the incidence of fraud through the identification of fraud risk and the development, implementation and regular review of a range of fraud prevention and detection strategies as well as control processes. To this end the ANU will seek to prosecute those who commit frauds against it, reclaim all lost monies or property and will take disciplinary action against staff members found to have engaged in fraudulent activity.

Code of Conduct

ANU facilitates an important role in regard to promoting the principles and values of the Code of Conduct outlined on its website1 (i.e. academic freedom, protection from liability, responsibility of the University and staff, respect and behaviour), by adopting and demonstrating the highest standards of integrity, ethical behaviour and accountability in line with the provisions contained within them. The University’s overarching principles relating to official conduct is the Code of Conduct:

- provides a broad framework for the identification and resolution of issues concerning the conduct of staff members;
- is intended to guide staff in their dealings with colleagues, students, the University and the local, national and international communities;
- does not address all possible situations that may arise in employment with the University but is a set of principles that provide guidance to staff on acceptable and unacceptable behaviour; and
- stands beside but does not exclude or replace the rights and obligations of staff under common and statute law and is not intended to inhibit academic freedom.

The ANU expects members of the University community to conduct themselves in accordance with ANU policies, the Code of Conduct and the general law, and as such staff members are expected to carry out their duties honestly, responsibly and impartially to the best of their ability.

Where an incident of fraud is concerned, the Code of Conduct supports staff to report genuinely suspected or known fraud or corrupt conduct to appropriate University staff and/or authorities through the appropriate channels.

Governance

The ANU organisational structure includes seven Colleges and multiple Service Divisions, which represent a large number of separate local area budget units across the campus. In such a devolved environment, the prospect of exposure to fraud exists in relation to research, education and / or administrative activities undertaken. The devolved management structure adopted by the ANU requires that all management and staff take an active role in the detection and prevention of fraud. Senior management are accountable for ensuring suitable control strategies have been implemented and are operating effectively. In turn, senior management are responsible for ensuring annual reports on the effectiveness of controls are provided to the ANU executive.

In addition, the ANU has oversight over ANU student associations that are recipients of the Student Services and Amenities Fee (SSAF) as the ANU is responsible for ensuring SSAF funds are spent in accordance with the Commonwealth’s Higher Education Legislation Amendment (Student Services and Amenities) Act 2011.

## Biennial Cycle

### Australian National University – Fraud Control Cycle (Biennial)

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- **Fraud Procedure Review**
- **College Fraud Risk Assessment**
- **Service Division Risk Assessment**

### Internal Audits and Management Initiated Reviews

### Computer Assisted Audit Techniques (data analytics)

- **Staff Fraud Training**
- **Students Fraud Training**
- **Material Personal Interest Declarations**
- **Control Self-Assessment**
- **Development of 2017-18 Fraud Control Plan**
- **Material Personal Interest Declarations**
Planning and Resourcing

Risk management is an integral part of good management practice and has been integrated into University’s strategic and business planning process. This allows for ANU to address any possible business risk, including potential fraud risks that may impact upon the University’s key organisational and core business objectives. Undertaking a risk-based approach enables ANU to target its resources, both in prevention and detection, for problem areas or incidents.

Fraud control planning and review

ANU will:
- Identify fraud risk areas and develop an understanding of fraud materiality issues through the development and implementation of the ANU Fraud Control Plan and ANU Fraud Risk Profiles, to be revised every two years;
- Raise fraud risk awareness across campus through the distribution of staff guidelines such as ‘Protecting Ourselves from Fraud’ together with a series of fraud risk awareness training sessions for staff and students;
- Ensure material personal interest disclosures are completed;
- Encourage and promote professional and ethical business practice by staff, students and contractors;
- Establish and maintain key policies and procedures such as the Public Interest Disclosure Policy to support an effective control environment;
- Articulate clear standards, controls and procedures to act as a fraud deterrent;
- Ensure probable identification of fraud through regular review/scrutiny of our operations;
- Train selected employees in initial investigation techniques, including the recognition of fraud risk indicators and how they can implement measures and procedures to assist in the detection of fraud;
- Clearly define the hierarchical reporting and decision making processes with respect to suspected instances of fraud;
- Use all available avenues to recover money or property lost through fraudulent activity;
- Prosecute persons and / or organisations for fraud offences should they occur; and
- Implement arrangements for the provision of information to appropriate authorities on all prima facie cases of fraud against ANU.

Fraud Control Resourcing

The Corporate Governance & Risk Office (CGRO) has an officer responsible for fraud control who works under the direction of the Director CGRO. The officer has responsibility for ensuring that all of the entity’s fraud control resources are well coordinated in accordance with the ANU Fraud Control Plan.

The Executive Director, Administration and Planning (EDAP) has ultimate responsibility for ensuring that fraud control outcomes are delivered, including a responsibility for ensuring that fraud control resources are effectively coordinated. Effective and timely communication with the Audit & Risk Management Committee (ARMC) of Council is also an important part of the monitoring and reporting process.

Internal audit will play an important role in fraud control by ensuring the annual internal audit program is aligned within areas of greatest risk and potential fraud. Internal audit findings and recommendations will be designed to minimise areas of risk and fraud control and internal audit will act as facilitators in enabling prompt action on outstanding audit recommendations agreed by management.

Where external assistance is sought from a contractor, the CGRO will ensure the contractor is appropriately qualified and has signed and/or been made aware of all the necessary documentation relating to conflict of interest, privacy and confidentiality.
# Governance for Fraud Control

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<td><strong>Council</strong></td>
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| **Audit & Risk Management Committee of Council** | • Receive, review and endorse the ANU Fraud Control Plan every 2 years;  
  • Monitor the management of fraud risks, as part of risk management planning within the University, and the controls related to those risks;  
  • Receive a report from CGRO on the completion of material personal interest disclosures by University Executive, Heads of Service Divisions, College Deans and Directors annually.  
  • Receive, review and endorse the Fraud Risk Assessment; and  
  • Inform Council of any fraudulent instances reported and remedial actions taken. |
| **Vice-Chancellor**               | • Foster an environment that makes active fraud control the responsibility of all staff;  
  • Ensure that appropriate measures are in place in relation to fraud prevention and detection;  
  • Determine the course of action following reported incidents of fraud (including referral to Australian Federal Police);  
  • Ensure material personal interest disclosures are completed annually by University Executive, Heads of Service Divisions, College Deans and Directors;  
  • Articulate clear policies and procedures that encourage the minimisation and deterrence of fraud, and facilitates the detection and prosecution of offences and offenders respectively;  
  • Receive and review the ANU Fraud Risk Profiles every 2 years; and  
  • Report on the adequacy of ANU fraud control arrangements via its annual report based on assurances received from the completion of the annual Control Self-Assessment (CSA) survey. |
| **University Executive**          | • Foster an environment that makes active fraud control the responsibility of all staff;  
  • Encourage the reporting of suspected fraud;  
  • Complete material personal interest disclosures annually;  
  • Receive and review the ANU Fraud Control Plan every 2 years; and  
  • Receive and review the ANU Fraud Risk Profiles every 2 years. |
| **Executive Director (Administration & Planning)** | • Issue guidelines to managers and staff on the reporting of incidents of suspected fraud;  
  • Receive and review progress reports from areas on the implementation of fraud control strategies; and  
  • Ensure appropriate resourcing within the CGRO to lead fraud control at the ANU. |
| **Director Corporate Governance & Risk Office** | • Coordinate fraud risk management activity across ANU including monitoring, reviewing, and receiving reports on fraud issues;  
  • Be the first point of contact for all reported incidents of suspected fraud and advice on the appropriate course of action;  
  • Coordinate the annual completion of material personal interest disclosures by University Executive, Heads of Service Divisions, College Deans and Directors;  
  • Report incidents of suspected fraud to the Vice-Chancellor (VC) and take appropriate action as per the Fraud Control Procedure and Public Interest Disclosures Policy;  
  • Review and update the Fraud Control Plan every 2 years;  
  • Coordinate and facilitate the Fraud Risk Profile process for regular reporting to the Executive; |
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<th>ANU officer</th>
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| ANU officer       | • Inform the ARMC of any reported fraud and actions taken;  
|                  | • Arrange fraud awareness education and training for management, staff and students; and  
|                  | • Direct internal audit activity so it is planned and conducted in accordance with fraud detection, deterrence and response provisions of the Professional Practices Framework (PPF) of the Institute of Internal Auditors. |
| Chief Finance Officer | • Review, on an ongoing basis, the financial fraud controls that are in place and ensure the controls are operating effectively to minimise financial fraud risks.  
|                  | • Provide assurance on the adequacy of the University's financial fraud control arrangements to the Vice Chancellor, through CGRO, annually. |
| Heads of Service Division / College Deans / Directors | • Foster an environment that makes active fraud control the responsibility of all staff;  
|                  | • Complete material personal interest disclosures annually;  
|                  | • Ensure that a Fraud Risk Profile for the area of responsibility is prepared and updated no later than every 2 years or whenever significant organisational change is implemented (eg. change in administrative control systems or new activities or policies are introduced);  
|                  | • Ensure that appropriate internal controls are in place and operating effectively to minimise fraud risks (including ensuring appropriate record keeping practices are in place);  
|                  | • Report annually to the Vice-Chancellor, through CGRO, on the effectiveness of fraud control strategies;  
|                  | • Ensure that staff are provided with fraud awareness education and training, where appropriate; and  
|                  | • Ensure that agreed recommendations relating to fraud contained in internal and external audit reports are implemented within an acceptable timeframe. |
| All Staff         | • Disclose to their supervisor any material personal interest that relate to the affairs of the ANU;  
|                  | • Undertake and maintain appropriate record keeping practices.  
|                  | • Apply the principles inherent in the University’s Code of Conduct when undertaking their duties, and/or representing the University;  
|                  | • Take appropriate action in relation to suspected fraudulent or improper conduct within their area of responsibility;  
|                  | • Implement fraud risk management strategies and actively participate in activities relating to fraud control;  
|                  | • Advise their supervisor of any concern, suspicion, or information of any instance of fraudulent, corrupt or improper conduct and encourage others to do the same;  
|                  | • Deal with all reports of suspected fraud or improper conduct in a professional and prompt manner; and  
|                  | • Be aware of the Public Interest Disclosures Policy that offer protection to those who suspect fraudulent activities. |
Fraud Prevention

The ANU is exposed to the potential for fraud perpetrated by individuals and companies both internal and external to the University. Fraud can involve attempts to secure financial or non-financial benefits and, if left unchecked will have an adverse impact upon the reputation, integrity/perceptions of the ANU. Fraudulent activity may include but is not limited to:

Research & Academic fraud:
- Falsification of research results
- Falsification of qualifications;
- Any form of cheating, including falsification of research;
- Plagiarism;
- Identity theft
- Theft or leakage of exam papers;

Operational Fraud
- Theft of cash, funds, inventory, plant and equipment;
- False invoicing;
- Theft of intellectual property;
- Engaging in transactions of self-interest rather than interests of the entity;
- Misuse of University assets and resources;
- Money laundering; and
- Tax evasion

The ANU has a range of fraud prevention measures in place across the University, including fraud risk assessments, fraud awareness training, requiring material personal interests to be disclosed, appropriately trained staff and a commitment to control self-assessments to inform ongoing fraud prevention activities.

Fraud Risk Assessment

The University’s Fraud Risk Assessment program will be undertaken on a University-wide basis to assess both inherent fraud risk and the strength of control strategies. FRAs are developed according to the following process:
- Establish the context for each College or business unit;
- Conduct a series of one–to–one interviews with a good cross–section of key personnel at the ‘coal face’;
- List all potential areas of significant risk;
- Identify the 'likelihood and consequence of risks identified
- Request departmental heads to validate the likelihood and consequence of significant risks as identified by their staff;
- Document the existing internal controls;
- CGRO to verify the veracity of existing internal controls; and
- CGRO and departmental heads to agree upon the level of tolerance and the mitigating strategies to reduce the fraud risk to an acceptable level.

This assessment process will be undertaken in accordance with the Commonwealth Fraud Control Guidelines every two years.

Fraud Awareness Initiatives

In addition to University’s fraud risk assessment program, CGRO will ensure it:
- Conducts regular fraud awareness training to ensure staff and students are aware of their responsibilities to the University;
- Ensures all updates and changes to fraud-related policies, procedures and codes of conduct are circulated to staff; and
• Communicates staff responsibilities with the circulation of the “Protecting ourselves from fraud” booklet, which provides guidelines on fraud prevention, detection and reporting. The booklet also encourages staff to report on unethical and illegal activities.

A strong fraud control culture will be maintained by senior management through:
• Fostering an appropriate fraud control environment by encouraging all staff to be vigilant and to report any incident of suspected fraudulent activity;
• Ensuring appropriate record keeping practices are in place;
• Promoting accountability for fraud control across the ANU;
• Communication of apparent control failures across campus to ensure there is continuous improvement from 'lessons learnt'; and
• Adopting practices recommended by the CFCG, ANAO and AS 8001 – 2008 standards.

There will be a regular review of operations conducted by CGRO and senior management by:
• Reviewing Fraud Risk Profiles every 2 years;
• Developing / enhancing quality processes;
• Regularly reviewing the context for changes to policies, procedures and key controls; and
• Regularly reviewing financial and personnel authorisation / delegations.

Material Personal Interest Disclosures

Section 29 of the PGPA Act requires ANU staff to disclose material personal interest that relate to the affairs of the ANU.

CGRO staff will coordinate the annual completion of material personal interest disclosures by University Executive, Heads of Service Divisions, College Deans and Directors University Executive, Heads of Service Divisions, College Deans and Directors. CGRO staff will also communicate the need for staff to disclose material personal interests to their supervisors through its fraud awareness initiatives.

Fraud Investigation Training

The Director CGRO will maintain responsibility for the initial assessment of suspected instances of potential fraud, and will make a recommendation to the Vice-Chancellor, on whether the matter requires further investigation and/or referral for prosecution to the Australian Federal Police (AFP) and Commonwealth Director of Public Prosecutions (CDPP) respectively.

CGRO staff will be trained with the skills necessary to conduct initial fraud investigations where appropriate and as guided by the Australian standards AS 8001 - 2008.
Fraud Detection

Early detection of fraud is an essential element of fraud control, particularly in areas of identified high risk. Underpinning University’s fraud response strategies is the establishment of appropriate channels for reporting fraud activities and applying appropriate detection mechanisms to support investigation capability.

Internal Audit Program

The Fraud Risk Assessments will be taken into account in developing the ANU Strategic Internal Audit Plan. On this basis specific fraud-focused internal audits will be undertaken each year directed at areas where significant vulnerabilities are identified. All internal audits will consider fraud in accordance with internal auditing standards.

Continuous Monitoring Program

The University’s information systems are an important source of information on fraudulent and, to a lesser extent, corrupt conduct. With the use of software applications and computer assisted audit techniques, a series of suspect transactions can be identified and then investigated. Periodic tests will focus on:

- Bona fides of students, staff and contractors;
- Ghost employees on the payroll;
- False invoicing;
- Duplicate invoicing;
- Fictitious names of suppliers;
- Fictitious addresses; and
- Suppliers with different addresses.

Testing will be conducted by personnel unconnected with the business unit in which the transactions were effected.

External Audit Program

The ARMC and senior management will undertake discussions with the external auditor of the University’s financial statement in terms of the audit procedures that will be carried out during the audit that are aimed at detecting material misstatements due to fraud or error. ANU will cooperate with the external auditor and provide such assistance as required in fraud detection.

Reporting Suspected Fraud

Suspected fraud may, in the first instance, be reported to a staff member’s supervisor or the Director CGRO except in cases where University legislation or policy dictates otherwise such as public interest disclosures or research falsification. In these particular instances, the Director CGRO should be notified in conjunction with the key person nominated in the policy. The Director CGRO will then assist (as required) the persons nominated in the policy to ensure the matter is dealt with in accordance with ANU legislation/policy. Any investigation following the reporting of suspected frauds will, in the first instance be undertaken on the presumption of innocence of the implicated individual(s).
Responding to Fraud

It is important also that all personnel associated with the ANU have means by which to report matters of concern involving unethical or illegal behaviour. Reports of behaviour involving possible fraud should be capable of being communicated to senior management through an appropriate system. The ANU has a process that relies upon its management hierarchy, with alternative reporting lines in the event that this is inappropriate.

Internal Reporting

Management will maintain its commitment to providing a clearly defined hierarchical reporting and decision making structure with respect to suspected instances of fraud.

The Director CGRO will be responsible for the receipt of information on suspected instances of fraud except in cases where University legislation or policy dictates otherwise. Management recognises that the reporting of fraud remains a sensitive issue (especially against one's colleagues) and will therefore ensure the confidentiality of the information passed to this officer. Confidentiality of both the complainant and suspect will also be maintained to avoid rumours and associated morale problems, as well as the possibility of wilful destruction of evidence.

The Director CGRO has authority to provide confidential and independent advice to staff, students and contractors in relation to fraud control or suspected fraud, and can also advise and assist management where concern has arisen.

Preliminary Assessment

The Director CGRO will promptly examine instances of suspected fraud. On the basis of the information supplied, the Director CGRO will determine whether the alleged fraud:

- is without foundation;
- is a matter for action (i.e. disciplinary, civil or administrative proceedings to recover any monies lost); or
- is a serious matter for prompt referral to an accredited fraud control service provider for investigation.

Investigating officers will take into account the possible effects on the ANU and the suspect in determining whether an incident is to be treated as fraud, and whether this classification, given the circumstances, is justified.

The Director CGRO will ensure that a fraud control service provider is appropriately accredited and has the necessary security clearances.

Investigation of Suspected Incidents of Fraud

Following the preliminary assessment, if fraud is confirmed, the matter will be referred to the Vice-Chancellor who, in consultation with the Legal Office, will determine matters that require further internal investigation and/or referral to an accredited external Fraud Investigation service provider or the Australian Federal Police (AFP) for investigation.

Disciplinary Action

The Australian National University has zero tolerance for fraudulent behaviour. If a case of fraud is substantiated against an employee, the University will take disciplinary action as appropriate. Disciplinary action in the context of a breach of the Code of Conduct (including fraudulent behaviour) includes: formal counselling; written warnings. Withholding increments;
demotion from an increment point within a classification level, demotion to a lower classification; other action as recommended by a review committee; or termination of employment.

The University may also use misconduct procedures if a member of staff:

- Knowingly makes false or misleading reports about another person;
- Acts in a retaliatory, discriminatory or otherwise adverse manner in regard to a person, as a result of that person making a genuine report or providing assistance in a relevant inquiry;
- Hinders or impedes a formal fraud investigation, and fails to assist any person authorised by management to conduct an investigation; and
- Condones suspected fraudulent or improper conduct within their area of responsibility.

**Recovery of Monies**

Where economical to do so, the University will undertake a range of actions to recover monies or property that has been lost due to fraudulent activity. This may include, but is not limited to formal legal proceedings against the individual or individuals responsible for the fraud.

ANU will confer with the ANU Legal Office should civil action be contemplated for recovery of losses.

**Referral to AFP**

In determining whether a particular matter, fraudulent or otherwise, is of sufficient seriousness that it should be referred to the AFP for investigation, the following issues will be assessed:

- Is the matter of a fraudulent nature within the terms of the definition of fraud given in section 1 of this document;
- What were the findings of a preliminary assessment / investigation of the alleged case of fraud undertaken by the relevant officer; and
- Have sufficient facts been disclosed from which there is a reasonable cause to believe an offence has been committed, or attempted to be committed.

All instances of potential serious or complex fraud offences must be referred to the AFP in accordance with the AGIS and the AFP referral process (published on the website www.afp.gov.au). It is recognised that the AFP may not always determine that prosecution action is necessary or possible from the available evidence.

Once a matter has been officially referred to the AFP, the ANU will provide assistance as requested with the external investigation process, including access to official records and employees.

**Review of Internal Controls following Discovery of Fraud**

CGRO in conjunction with the internal auditors and line management will conduct a review of the internal controls in the area where a fraud was detected and suggest enhanced and more robust controls to prevent a recurrence of fraud.

**Record Keeping**

The Director CGRO will also be responsible for maintaining an appropriate recording and tracking system to ensure that all instances of suspected fraud are satisfactorily resolved. This system will also facilitate the extraction of statistical data for monitoring the effectiveness of the ANU Fraud Control Plan.
The information provided should include, wherever possible:

- Details relating to the suspected offence;
- Details of any staff involved (name and location);
- Details of any clients or outside parties involved (name, description and address);
- Potential sources of additional information about the matter in question, such as people and files; and
- The contact details of the person reporting the fraud (as further information or assistance maybe required from them to ensure that enquiries and investigations are carried out promptly and efficiently).

**Fidelity Guarantee Insurance**

As articulated in best practice, ANU will ensure it has in place appropriate insurance cover against losses emanating from fraudulent activity.

**More Information**

Other relevant information is contained in ANU policies published on the staff web pages including, but not limited to:

 TEMPLATE
Australian National University
Service Division/ College Fraud Control Plan
2015

Approval:

Date:
Contents

1 PURPOSE 3

2 EXECUTIVE SUMMARY 3

3 STRUCTURE AND USE OF THE FCP 3

APPENDIX A FRAUD RISK ASSESSMENT TEMPLATE 4

APPENDIX B RISK ACTION PLAN 5

APPENDIX C FRAUD INDICATORS AND POSSIBLE CONTROLS 6

FRAUD INDICATORS 6

CONTROLS 6

APPENDIX D RISK MATRIX 7
1 Purpose
All Colleges and Services Divisions are required to have a Fraud Control Plan (FCP) in place to summarise their fraud risk profile. The FCP also outlines key internal controls to minimise fraud risks and allows for annual reporting on the effectiveness of fraud control strategies. A FCP will also assist the College or Service Division to respond to fraud appropriately.

2 Executive Summary
In order to minimise the incidence of fraud it is important to identify fraud risk and develop, implement and regularly review a range of fraud prevention and detection strategies as well as control processes. Fraud prevention strategies are the first line of defence and provide the most cost-effective method of controlling fraud within the Australian National University. The ANU-wide Fraud Control Framework is designed to provide a holistic approach to fraud control at the ANU. The plan outlines the measures taken at each stage of the fraud control cycle as shown below:

- Prevention
- Detection
- Investigation
- Response

3 Structure and use of the FCP
Fraud control is an integral part of good management practice and has been integrated into ANU’s strategic and business planning process. This allows for ANU to address any potential fraud risks that may impact upon the University’s key organisational and core business objectives. Undertaking a risk based approach enables ANU to target its resources, both in prevention and detection of fraud.

This FCP should be read in conjunction with the Australian National University’s Entity Wide Fraud Control Framework and Policy, which outlines the planning, resourcing and governance arrangements in place for fraud management.

Fraud prevention
As part of an ANU-wide fraud risk assessment program to assess both fraud risk and the strength of controls, Colleges and Service Divisions must provide context for their College or Service Division, participate in a one-one-one interview, and list and assess all potential areas of risk. The template in Appendix A is to be completed as part of this assessment process. Appendix B contains a list of fraud indicators and possible controls that may assist in the completion of the template.

Colleges and Service Divisions are required to implement treatments where fraud controls are inappropriate or ineffective. A template for documenting the treatment actions, the responsible officers and critical dates are detailed in Appendix C.

In addition to the University’s fraud risk assessment program, regular fraud awareness training will be conducted to ensure that all staff are aware of their responsibilities to the university. Colleges and Service Divisions must ensure that a strong fraud control culture is maintained by senior management. Additionally, all ANU staff are required to disclose material person interests that relate to the affairs of the ANU.

Fraud detection
Underpinning ANU’s fraud response strategies is the application of appropriate detection mechanisms to support investigation capability, including internal audits, external audits and testing performed upon the University’s information systems.

Responding to fraud
Suspected fraud should, in the first instance, be reported to a staff member’s supervisor or the Director CGRO except in cases where University legislation or policy dictates otherwise. In these particular instances, the Director CGRO should be notified in conjunction with the key person nominated in the policy. The Director CGRO will then assist (as required) the persons nominated in the policy to ensure the matter is dealt with in accordance with ANU legislation/policy.
Appendix A  Fraud Risk Assessment template

Colleges and Service Divisions must ensure that a Fraud Risk Profile is prepared and updated every 2 years or whenever a significant organisational change is implemented. The template is used to list all areas of potential risk, identify the sources and impacts of the risk, and note current controls and planned treatments. Appendix B contains a list of fraud indicators and example controls that may assist in the completion of this template.

<table>
<thead>
<tr>
<th>#</th>
<th>Fraud Risk</th>
<th>Risk Sources and Impacts</th>
<th>Current Fraud Controls (Existing Controls)</th>
<th>Current Risk (Controls in place)</th>
<th>Accept risk?</th>
<th>Planned Fraud Monitoring Activities</th>
<th>Planned Fraud Prevention Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Fraud risk title</td>
<td>Sources:</td>
<td>• xxx</td>
<td>• xx</td>
<td>Consequence: Likelihood: Risk Rating:</td>
<td>No</td>
<td>1.1 xxx</td>
</tr>
<tr>
<td></td>
<td>Fraud risk description.</td>
<td>Impacts:</td>
<td>• xxx</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Fraud risk title</td>
<td>Sources:</td>
<td>• xxx</td>
<td>• xx</td>
<td>Consequence: Likelihood: Risk Rating:</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fraud risk description.</td>
<td>Impacts:</td>
<td>• xxx</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix B  Risk Action Plan

The following risk action plan should be used by the XXX to monitor the implementation of planned risk treatment strategies.

<table>
<thead>
<tr>
<th>Fraud Risk</th>
<th>Action #</th>
<th>Treatment action</th>
<th>Owner and Timeframe</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Title</td>
<td>1.1</td>
<td>xxx</td>
<td>Officer responsible</td>
<td>Not started</td>
</tr>
<tr>
<td>Risk description</td>
<td></td>
<td></td>
<td>Due date</td>
<td></td>
</tr>
</tbody>
</table>
Appendix C  Fraud Indicators and possible controls

Fraud indicators
In populating the Fraud Risk Assessment template, the following prompts may be useful to assist Colleges and Service Divisions to capture as many fraud risks across the business cycle as possible.

- Account payable
- Cash handling
- Procurement
- Asset management
- Travel
- Payroll
- Employee Leave
- Staff Reimbursement
- Pre-employment Screening
- Examination Procedures
- ITS Security
- Student Grades
- Private Consulting
- Research Integrity
- International Agents

Within each of these business-cycle areas a number of fraud risks may exist, for example:

- Non-enforcement of the University’s Code of Conduct or other policies
- End-of-period transactions that are complex, unusual or significant
- Unexplained changes in trends or financial statements
- High staff turnover
- Low staff morale
- Inventory shortages
- Staff members with excessive annual leave entitlements
- Multiple changes to student exam results
- Changes in a staff member’s lifestyle or behaviour

Controls
The following examples may assist Colleges and Service Divisions to identify controls and risk mitigation strategies:

- Clearly defined lines of authority and responsibilities for decision-making as outlined in policies and procedures
- Separation of duties to ensure that more than one person is required to complete a task as outlined in policies and procedures
- Physical safeguards, such as locks, sign-out procedures and inventory tags, over assets to prevent unauthorised acquisition, use or disposition of ANU assets
- Proper documentation, paper or electronic, to support the completion of the lifecycle of a transaction or activity, including evidence that the transaction or activity was performed, who performed it and where authority to perform came from and appropriate storage protocols as outlined in policies and procedures
- Proper approvals and delegations that are specific, appropriate, accurate and comply with policy and procedures
- Physical inventories, undertaken frequently, over assets to ensure timely detection of authorised acquisition, use of disposition of ANU assets
- Independent validation of transaction accuracy as part of checking and reporting procedures
- Conflict of interest declarations are enforced
- Staff members are obligated to take holidays over university shut down periods
- Mandatory compliance with gift policy and the regular checking and reporting of a gift register
- Proper training of staff on fraud management principles and activities
- Extensive pre-employment checks, including police checks
Appendix D  Risk Matrix

Risk is typically assessed as a function of the likelihood and consequence of the risk materialising, as a result, not all risks are the same and should not be managed as such. Where fraud risk is being evaluated, usage of this matrix is essential to ensure appropriate decisions are made regarding the allocation of resources for fraud prevention and monitoring.

ANU Risk Rating Matrix

<table>
<thead>
<tr>
<th>LIKELIHOOD (ROUTINE)</th>
<th>IMPACT/CONSEQUENCE</th>
<th>CATASTROPHIC (4)</th>
<th>MAJOR (3)</th>
<th>MODERATE (2)</th>
<th>MINOR (1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALMOST CERTAIN (4)</td>
<td></td>
<td>EXTREME 16</td>
<td>EXTREME 12</td>
<td>HIGH 8</td>
<td>MODERATE 4</td>
</tr>
<tr>
<td>LIKELY (3)</td>
<td></td>
<td>EXTREME 12</td>
<td>HIGH 9</td>
<td>MODERATE 6</td>
<td>MODERATE 3</td>
</tr>
<tr>
<td>POSSIBLE (2)</td>
<td></td>
<td>HIGH 8</td>
<td>MODERATE 6</td>
<td>MODERATE 4</td>
<td>LOW 2</td>
</tr>
<tr>
<td>UNLIKELY (1)</td>
<td></td>
<td>MODERATE 4</td>
<td>MODERATE 3</td>
<td>LOW 2</td>
<td>LOW 1</td>
</tr>
</tbody>
</table>

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

Key

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

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

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

### Risk Rating Descriptors

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

PURPOSE
To consider and approve the recommendation put forward by the Chair, The Australian Foundation for Mental Health Research (ANU) to dissolve the Foundation.

PREPARED BY
Director, Alumni Relations and Philanthropy

REVIEWED BY
Vice-Chancellor

APPROVED BY
Vice-Chancellor

SPONSORED BY
Vice-Chancellor

RECOMMENDATION
That Council approve the dissolution of The Australian Foundation for Mental Health Research (ANU) in accordance with section 14(3) of The Australian National University Endowment For Excellence Statute 2012.

ACTION REQUIRED
For discussion ☐  For decision ☒  For information ☐

BACKGROUND
The Australian Foundation for Mental Health Research (ANU) (“the University Foundation”) is a Foundation of the ANU Endowment for Excellence in accordance with The Australian National University Endowment for Excellence Statute 2012 (“the Statute”), following ANU Council’s ratification of the Foundation Charter in 2001.

The University Foundation has worked closely with AFFIRM: The Australian Foundation for Mental Health Research (“AFFIRM Inc”) since the incorporation of AFFIRM Inc. AFFIRM Inc is a charitable organisation dedicated to funding and advocating for the importance of mental health research. Despite sharing resources, projects and commonalities of purpose with the University Foundation, AFFIRM Inc is an independent legal entity, incorporated in 2006 with its own DGR status and its own mission. The objects and purposes of AFFIRM Inc have always been broader than that of the University Foundation. To enable it to expand its remit by supporting and funding research into mental health across Australia more broadly, AFFIRM Inc made the decision to operate independently of the University Foundation in early 2014.

Since that time, AR&P have successfully managed negotiations between the University and AFFIRM Inc in finalising the separation. The issues of board membership, existing donation mechanisms and bequests, joint programs, web presence and collateral, the ownership of property, and a joint communications policy have now been resolved to the satisfaction of all parties.

A letter from The Hon Margaret Reid AO, Chair of the University Foundation, was received in early November 2014. The letter (attached) recommends the dissolution of the University Foundation to ANU Council in accordance with s14(3) of the Statute, which states “The Council may, on the advice of the Board, approve the dissolution of a Foundation.”

The Board of the University Foundation has given due consideration to recent changes and their impact upon the University Foundation’s operations, coming to the conclusion that the University Foundation is no longer the most effective vehicle to accomplish the philanthropic object and purpose outlined in the University Foundation Charter.

ATTACHMENT
18.1 Letter from The Hon Margaret Reid AO, Chair, recommending the dissolution of The Australian Foundation for Mental Health Research (ANU) (190/2014).
31 October 2014

ANU Council
C/o Corporate Governance & Risk Office
Chancery Building 10
The Australian National University
Acton ACT 2601

The Hon Margaret Reid, AO
Chair

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+61 2 6125 9581
+61 2 6125 5968
endowment@anu.edu.au
Acton ACT 2601 Australia
www.anu.edu.au
CRICOS Provider No. 00120C

Council Members,

I write on behalf of The Australian Foundation for Mental Health Research (ANU) to recommend the dissolution of the Foundation.

Background

The Australian Foundation for Mental Health Research (ANU) is a Foundation of the ANU Endowment for Excellence in accordance with The Australian National University Endowment for Excellence Statute 2012, following ANU Council's ratification of the Foundation Charter in 2001.

The Australian Foundation for Mental Health Research (ANU) ("the University Foundation") was established with the purpose of enabling the University to:

a) Promote and support mental health in the community through research, training, prevention, community education and policy development through activities of the Centre for Mental Health Research; and

b) Promote scholarship, teaching and research at the Centre for Mental Health Research into mental health.

Operations

The University Foundation has worked closely with AFFIRM: The Australian Foundation for Mental Health Research ("AFFIRM Inc") since the inception of AFFIRM Inc. AFFIRM Inc is a charitable organisation dedicated to funding and advocating for the importance of mental health research. Despite sharing resources, projects and commonalities of purpose with the University Foundation, AFFIRM Inc is an independent legal entity, incorporated in 2006 with its own DGR status and its own mission. The objects and purposes of AFFIRM Inc have always been broader than that of the University Foundation. To enable it to expand its remit by supporting and funding research into mental health across Australia more broadly, AFFIRM Inc made the decision to operate independently of the University Foundation in early 2014.

The Centre for Mental Health Research at ANU has also undergone recent change and is now the National Institute for Mental Health Research. NIMHR has established the National Institute for Mental Health Research Endowment to support its research and outreach including its global e-mental health services.

The Board of the University Foundation have given due consideration to these changes and their impact upon the Foundation’s operations. We have come to the conclusion that the University Foundation is no longer the most effective vehicle to accomplish the philanthropic object and purpose outlined in the University Foundation Charter.

Section 14(3) of The Australian National University Endowment for Excellence Statute 2012 states:

'The Council may, on the advice of the Board, approve the dissolution of a Foundation.'
Recommendation

As Chair of the Foundation, I therefore recommend the dissolution of The Australian Foundation for Mental Health Research (ANU) to ANU Council in accordance with Section 14(3) of The Australian National University Endowment for Excellence Statute 2012.

Yours sincerely

[Signature]

The Hon Margaret Reid, AO
Chair, The Australian Foundation for Mental Health Research (ANU)
PART 5 – OTHER MATTERS FOR NOTING

C* 19. – 20. Confidential to Council Members
21 REVIEW OF PERFORMANCE – AUDIT AND RISK MANAGEMENT COMMITTEE AND FINANCE COMMITTEE

PURPOSE
To brief Council on the outcomes of the biennial self-assessment of the Audit & Risk Management Committee and the Finance Committee.

PREPARED BY
Manager, Corporate Governance & Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

SPONSOR
Chairs, Audit and Risk Management Committee and Finance Committee.

RECOMMENDATION
That Council note the report on the outcomes of the biennial self-assessment of the Audit & Risk Management Committee and the Finance Committee.

ACTION REQUIRED
For discussion ☐  For decision  ☐  For information  ☑

BACKGROUND
Council requires that the Audit & Risk Management Committee and the Finance Committee conduct a review of their performance on a self-assessment basis. Audit & Risk Management Committee is required to undertake an annual review; and the Finance Committee is required to undertake a review at least every two years (noting that Council will receive a recommendation in early 2015 to change this to annual reviews following the completion of a current review of Council Committee charters and terms of reference).

AUDIT & RISK MANAGEMENT COMMITTEE
On behalf of the ARMC, the Corporate Governance & Risk Office developed a survey based on the Public Sector Audit Committee Better Practice Guide published by the Australian National Audit Office. 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. A summary of the Committee’s assessment of performance follows:

Charter Fulfilment
The ARMC members strongly agreed that the ARMC Charter facilitates and supports the effective operation of the Committee. The ARMC maintains an annual work plan to ensure that it addresses all aspects of its Charter.

Appropriate Mix of Skills & Expertise
The ARMC members strongly agreed that Committee’s overall financial literacy is adequate in light of its responsibilities and that there is an appropriate mix of skills and experience.

Operation & Resourcing
The ARMC members strongly agreed that the Committee meetings are well run and productive, with agendas well structured, with comprehensive meeting papers provided in a timely manner. The ARMC members also agreed that the Committee is appropriately resourced to assist it in understanding and dealing with complex and difficult matters on a timely basis.

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

PART 5 – OTHER MATTERS FOR NOTING
FINANCE COMMITTEE
On behalf of the Finance Committee, the Corporate Governance & Risk Office developed a survey that is reflective of a similar survey run for the ANU Audit & Risk Management Committee (ARMC). The ARMC’s survey is based on the Public Sector Audit Committee Better Practice Guide published by the ANAO. The Finance Committee’s survey was subsequently circulated to all Finance Committee members and regular Finance Committee meeting attendees to provide for the opportunity to evaluate the performance of the Finance Committee. A summary of the Committee’s assessment of performance follows:

Charter Fulfilment
Finance Committee members agreed that the Finance Committee Terms of Reference facilitate and support the effective operation of the Committee. It was however noted that the Finance Committee does have a heavy workload.

Appropriate Mix of Skills & Expertise
Finance Committee members strongly agreed that the Committee’s overall financial literacy is adequate in light of its responsibilities and that there is a good, broad suite of skills and experience in place.

Operation & Resourcing
Finance Committee members agreed that the Committee meetings are well run and productive. Members have noted the desirability to increase the allocated time to fully discuss issues of significance; and to receive email updates on open issues discussed at Committee meetings.

It was considered by some members of the Committee that there would be benefit in contributing topics to the rolling forward agenda.

Committee members recorded the gradual improvement in the quality of meeting papers over 2014, but noted that further quality improvements can still be achieved.

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

PART 5 – OTHER MATTERS FOR NOTING
*22 2014 INTERNATIONAL RANKINGS AND STRATEGIC IMPLICATIONS

**PURPOSE**
To brief Council on how the major three international rankings are determined and their strategic implications for ANU.

**PREPARED BY**
Corporate Governance & Risk Office

**REVIEWED BY**
Deputy Vice-Chancellor (Research)

**APPROVED BY**
Vice-Chancellor

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council note the report on 2014 international rankings and their strategic implications for ANU.

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

2014 UNIVERSITY RANKING ANALYSIS

*(i) QS Ranking*

**Indicators and Weights for QS**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Indicator</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Reputation</td>
<td>Academic reputation is measured via a global survey, asking academics to tell us where the best work is currently taking place within their field of expertise.</td>
<td>40%</td>
</tr>
<tr>
<td>Employer Reputation</td>
<td>The survey asks graduate employers to identify the universities that in their view produce the best graduates.</td>
<td>10%</td>
</tr>
<tr>
<td>Student-to-faculty ratio</td>
<td>Number of academic staff employed for every student enrolled</td>
<td>20%</td>
</tr>
<tr>
<td>Citations per faculty</td>
<td>The latest five complete years of data are used, and the total citation count is assessed in relation to the number of academic faculty members at the university, so that larger institutions don’t have an unfair advantage. QS uses Scopus.</td>
<td>20%</td>
</tr>
<tr>
<td>International faculty ratio</td>
<td>Proportion of international faculty members in relation to overall numbers</td>
<td>5%</td>
</tr>
<tr>
<td>International student ratio</td>
<td>Proportion of international student members in relation to overall numbers</td>
<td>5%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

ANU has improved from 27 to 25 this year, and has been relatively stable since 2011 in the range 24-27. This year, ANU optimised the submission in terms of staff numbers (faculty) with two main outcomes – citations per faculty (20%) improved 11 points, while faculty-student ratio (20%) fell 6.5 points. This had an overall positive impact on the ANU score and ranking, however despite the improved score, citations per faculty is ranked 5th in the Go8.

ANU also slightly improved its Employer Reputation score, marking 3 consecutive years of improvements in this area. However, ANU is also ranked 5th in the Go8 on this indicator.

**PART 5 – OTHER MATTERS FOR NOTING**
Ranking Scores 2011 - 2014

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>ANU rank in Go8</th>
<th>Melb 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Rank</td>
<td>26</td>
<td>24</td>
<td>27</td>
<td>25</td>
<td>33</td>
<td>33</td>
</tr>
<tr>
<td>National</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Academic Reputation (40%)</td>
<td>99.8</td>
<td>99.7</td>
<td>99.7</td>
<td>99.6</td>
<td>2</td>
<td>99.8</td>
</tr>
<tr>
<td>Employer Reputation (10%)</td>
<td>59.4</td>
<td>82.5</td>
<td>92.4</td>
<td>95.8</td>
<td>5</td>
<td>100.0</td>
</tr>
<tr>
<td>Faculty Student (20%)</td>
<td>71.7</td>
<td>79.6</td>
<td>83.4</td>
<td>76.9</td>
<td>1</td>
<td>48.7</td>
</tr>
<tr>
<td>Citations per Faculty (20%)</td>
<td>70</td>
<td>64.3</td>
<td>63.2</td>
<td>74.2</td>
<td>5</td>
<td>89.1</td>
</tr>
<tr>
<td>International Faculty (5%)</td>
<td>100</td>
<td>100</td>
<td>99.9</td>
<td>100</td>
<td>1=</td>
<td>79.6</td>
</tr>
<tr>
<td>International Students (5%)</td>
<td>96.8</td>
<td>96.3</td>
<td>94.1</td>
<td>96.4</td>
<td>3</td>
<td>97.0</td>
</tr>
<tr>
<td>Overall score</td>
<td>85.7</td>
<td>87.61</td>
<td>88.5</td>
<td>89.7</td>
<td>1</td>
<td>86.5</td>
</tr>
</tbody>
</table>

(ii) ARWU Ranking

Indicators and Weights for ARWU

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Indicator</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality of Education</td>
<td>Alumni of an institution winning Nobel Prizes and Fields Medals</td>
<td>10%</td>
</tr>
<tr>
<td>Quality of Faculty</td>
<td>Staff of an institution winning Nobel Prizes and Fields Medals</td>
<td>20%</td>
</tr>
<tr>
<td></td>
<td>Highly cited researchers in 21 broad subject categories</td>
<td>20%</td>
</tr>
<tr>
<td>Research Output</td>
<td>Papers published in Nature and Science*</td>
<td>20%</td>
</tr>
<tr>
<td></td>
<td>Volume of papers indexed by Thomson Reuters Web of Science</td>
<td>20%</td>
</tr>
<tr>
<td>Per Capita Performance</td>
<td>Per capita academic performance of an institution</td>
<td>10%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

* For institutions specialized in humanities and social sciences such as London School of Economics, N&S is not considered, and the weight of N&S is relocated to other indicators.

ANU dropped from 66 to 74 this year, contrasting Melbourne’s improvement from 54 to 44. The most significant factor in these changes is the release of a new Thomson Reuters methodology for the Highly Cited researcher (HiCi) list (20%). This resulted in a marked decrease in the number of HiCi researchers at ANU, and an improvement for Melbourne. This year, ARWU used a combination of the previous and new HiCi lists, softening the impact for ANU. If ARWU transitions fully to the new HiCi list in 2015, ANU is likely fall further in this ranking.

Other criteria all fell slightly, except publications (volume), which improved slightly but is still 7th out of 8 in the Group of Eight.

Ranking Scores 2011 - 2014

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>ANU rank in Go8</th>
<th>Melb 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Rank</td>
<td>70</td>
<td>64</td>
<td>66</td>
<td>74</td>
<td>44</td>
<td>44</td>
</tr>
<tr>
<td>National</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Alumni (10%)</td>
<td>15.6</td>
<td>14.3</td>
<td>14.1</td>
<td>13.9</td>
<td>4=</td>
<td>17.5</td>
</tr>
<tr>
<td>Award (20%)</td>
<td>12.6</td>
<td>19.8</td>
<td>19.4</td>
<td>19.2</td>
<td>1</td>
<td>13.3</td>
</tr>
<tr>
<td>HiCi (20%)</td>
<td>33.9</td>
<td>32.3</td>
<td>32.3</td>
<td>24.8</td>
<td>2</td>
<td>29.3</td>
</tr>
<tr>
<td>Nature &amp; Science (20%)</td>
<td>26.3</td>
<td>24.4</td>
<td>24</td>
<td>22.8</td>
<td>3</td>
<td>26.7</td>
</tr>
<tr>
<td>Publications (20%)</td>
<td>43.5</td>
<td>43.1</td>
<td>43</td>
<td>45.1</td>
<td>7</td>
<td>65.9</td>
</tr>
<tr>
<td>Per Capita (20%)</td>
<td>29.2</td>
<td>28.9</td>
<td>29.3</td>
<td>29.1</td>
<td>2</td>
<td>29.7</td>
</tr>
<tr>
<td>Total</td>
<td>28.6</td>
<td>29.1</td>
<td>28.9</td>
<td>27.4</td>
<td>2</td>
<td>32.6</td>
</tr>
</tbody>
</table>

PART 5 – OTHER MATTERS FOR NOTING
(iii) *Times Higher Ed Ranking*

**Indicators and Weights for THE**

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Indicator</th>
<th>Weight</th>
<th>Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Teaching – the learning environment</strong></td>
<td>Reputation survey – teaching</td>
<td>15%</td>
<td>30%</td>
</tr>
<tr>
<td></td>
<td>PhDs awarded per academic staff</td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Undergraduates admitted per academic</td>
<td>4.5%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>PhD awards/bachelor awards</td>
<td>2.25%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Income per academic</td>
<td>2.25%</td>
<td></td>
</tr>
<tr>
<td><strong>Research – volume, income and reputation</strong></td>
<td>Reputation survey – research</td>
<td>18%</td>
<td>30%</td>
</tr>
<tr>
<td></td>
<td>Research income (scaled)</td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Papers per academic and research staff</td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td><strong>Citation – research</strong></td>
<td>Citation impact (normalised average citations per paper)</td>
<td>30%</td>
<td>30%</td>
</tr>
<tr>
<td><strong>International Outlook: People, Research</strong></td>
<td>Ratio of international to domestic staff</td>
<td>2.5%</td>
<td>7.5%</td>
</tr>
<tr>
<td></td>
<td>Ratio of international to domestic students</td>
<td>2.5%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>International co-authorship</td>
<td>2.5%</td>
<td></td>
</tr>
<tr>
<td><strong>Economic</strong></td>
<td>Research income from industry (per academic staff)</td>
<td>2.5%</td>
<td>2.5%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

ANU improved its position from 48 to 45, retaining 2nd position in Australia. ANU Research Reputation and Teaching Reputation improved (surveys account for a total of 33% of the total in THE rankings), but this is only a partial recovery after significant falls in 2013.

THE gives a weighting of 30% to normalised citations per paper; ANU ranks 3rd in Australia behind Melbourne and Queensland on this measure of impact. ANU performs poorly on research income from industry per academic staff member, however this is weighted only 2.5%.

**Ranking Scores 2011 - 2014**

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>ANU rank in Go8</th>
<th>Melb 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>World Rank</td>
<td>38</td>
<td>37</td>
<td>48</td>
<td>45</td>
<td>33</td>
<td>60.4</td>
</tr>
<tr>
<td>National</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Teaching</td>
<td>62.8</td>
<td>68.6</td>
<td>51.8</td>
<td>53.7</td>
<td>2</td>
<td>70.9</td>
</tr>
<tr>
<td>Research</td>
<td>75.1</td>
<td>83.5</td>
<td>65.1</td>
<td>70.9</td>
<td>1=</td>
<td>80.6</td>
</tr>
<tr>
<td>Citations</td>
<td>72.6</td>
<td>73.5</td>
<td>71.2</td>
<td>71.1</td>
<td>3</td>
<td>81.3</td>
</tr>
<tr>
<td>International Outlook</td>
<td>93.8</td>
<td>90</td>
<td>91.4</td>
<td>91.3</td>
<td>1</td>
<td>61.2</td>
</tr>
<tr>
<td>Industry Income</td>
<td>41.7</td>
<td>39.6</td>
<td>44.8</td>
<td>38.9</td>
<td>8</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>71.2</td>
<td>75.4</td>
<td>64.4</td>
<td>66.5</td>
<td>2</td>
<td>71.2</td>
</tr>
</tbody>
</table>
RESEARCH PERFORMANCE AT ANU

Over an extended period of time, evidence of declining institutional performance has been presented to Council. This is not a new feature - the gradual decline of the ANU research performance has been occurring for 15 years. There are still many elements of ANU of which we should be very proud, but in relative terms, we are not as good as we once were. The following charts (presented originally to Council in October 2014) highlight recent declining results:

ANU Ranking Performance (Melbourne comparison)

Relative Citation Performance
STRATEGIC ACTIONS TO ENHANCE PERFORMANCE

To improve funding growth, the University is making an increased investment in enhanced marketing and recruitment systems to grow student revenue. In addition, a major investment has been made in Alumni & Philanthropy to grow philanthropy.

A more targeted capital investment program is being implemented. The University budget has been restructured to ensure a minimum of approximately $30M per annum is allocated to renewal of building stock across the campus.

Driving a stronger culture of performance through an enhanced focus on staff performance and Development is being delivered with implementation of a new Performance, Development and Review (PDR) system and process.

To reinvigorate research capability in Health and Medical Sciences, a major review of the disciplinary area has been undertaken and its recommendations are being implemented.

The drop in our performance in the ARWU HiCi category shows our best researchers are now either retired, or approaching retirement. The Voluntary Early Retirement Scheme, run in 2013, was aimed at attracting quality staff, developing the next generation of outstanding staff and strengthening the University’s emeritus profile by retaining links with retiring eminent academic staff. Work will continue in these areas to ensure that ANU has in place a vibrant, agile workforce based on a foundation of performance excellence.
**23 ADMINISTRATIVE REFORM AT ANU - UPDATE**

**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**
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**
It is recommended that Council note the progress report on administrative reform.

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

**BACKGROUND**

**Introduction**
One of the key priorities arising from the tighter budget circumstances of 2013 and the consequent budget solutions package was the need to accelerate administrative reform within the University. This paper constitutes a summary of the current status of administrative reform activity across the University.

1. **Administrative Process Changes**

**Chief Investigator Financial Reporting** - In August, four new financial reports were released to automate and provide useable central financial reports for Chief Investigators to manage their research funds. The reports are automatically emailed to researchers every four weeks. While the technology and reports themselves are performing well, the underlying data quality in underpinning finance and research systems is a problem which continues to be worked on.

**New University Budget Model and Tools** – In September, the new University budgeting tool was implemented for the overall University budget and subsequent releases have delivered tools for budgeting at College, School and AOU levels. Student load modelling, pricing and costing of projects and activity based costing are all planned as part of the future roll out.

**ANU Recruit** – In October, the University implemented a new on-line staff recruitment system replacing extensive manual processes. Implementation has gone smoothly and there are no major issues.

**Workspace desktop and end user computing** – In October, formal agreement was reached on a new management and procurement model for desktop computing. Equipment is now being procured under a Whole of Australian Government (WOAG) contract and annual savings targets set in budget solutions of circa $1M a year will be achieved. Centralised procurement, software procurement and updating and support elements are all part of the agreed new model. By the end of the year over 2,000 new machines will have been rolled out under the new model.

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**PART 5 – OTHER MATTERS FOR NOTING**
Travel approval process – In November, the new on line travel approval process, using software donated by Intelledox, went live. The new process replaces the current complex manual process with a streamlined, fully digitised and standardised solution that seamlessly integrates technology, bringing separate information together in a central location.

ANU Gateway - In November, the University rolled out the first release of its new website, consolidating all of the top level University websites in a single content management system. The second phase of sites to be delivered is due in April 2015.

Archibus: managing space - Archibus is the new Space Management system implemented in 2014 and currently being populated with the drawings of over 250 priority buildings across the campus. The system holds drawings of all buildings breaking these down by levels and offices/workspaces. The initial upload is of building drawings however has the capacity to include significant information which will be developed as the project progresses.

Electronic Records Management System – This new system is due to go into production on 22 December, moving us from a paper-based records management system to an Electronic Records Management System (ERMS). Staff will be able to directly access and contribute official University records, streamlining administrative procedures, removing duplicate record keeping systems and accessing a single source for University records. The digitisation of existing paper HR records is currently underway and all staff personnel files should be digitised by year end for loading into the new system. Student files will be digitised and loaded into the system next.

ANU’s Strategic Planning Framework – Changes to the resourcing and management of the strategic planning framework including how operational College and Divisional plans link to ANU 2020 as well as the new planning cycle were approved by the Executive in September and are currently being implemented.

New parking system in 2015 - The new web-based parking system is planned to be operational for staff in late 2014 and students in early 2015. The system will remove the current sticker based permits and introduce virtual permits with licence plate recognition. The system will be largely self-service with staff and students going on line to register for permits. Initially the process will replicate the current arrangements with reviews to eligibility and processes to follow in 2015.

Transition to Salary Based Accruals – The cash based provision for 27 pays and the accompanying on cost charge of 1.32% will be abolished from 1 January 2015, following the implementation of an accrual based payroll – general ledger interface. This stage also sets the scene for a revamp of management reporting in 2015.

Turnitin – The Turnitin deployment provides two major components: text-matching service and online grading capability. The text-matching service is used as a learning tool for students to review, revise and resubmit their work before their submission is graded. It also benefits teaching staff by reducing their time and effort from the manual search on text matches. The online grading capability saves time for staff as it enables graders to create a personal comment bank and reuse their detailed feedback.

Special consideration – The centralised submission of application for special consideration for assessment was introduced in September. The change has reduced the multiple points of submission for students (previously through the colleges for each course), centralised the management of application forms and improved the data capture for analytical reporting. Assessment continues to be undertaken in the colleges.

Online academic advice - The delivery of online academic advice for all undergraduate coursework students commenced from first semester 2014 through Programs and Courses. As an outcome of the Double Degree Project Management Group, information for students enrolling for the first time was linked to the program pages on Programs and Courses. This initiative provided valuable detailed academic advice to students enabling more students to enrol online while allowing staff to devote more time to the provision of more detailed advice to students with more complex circumstances.
Majors, Minor and Specialisation online selection - The ability for students to select or change their majors, minors or specialisation was introduced for second semester. For a limited time at the start of each semester this additional service is available online to students while freeing staff resources from manual data entry processing. Staff checking for eligibility to graduate will be supported by the provision of this service to students to accurately reflect the structure of their degrees.

Program/Degree Transfer - A review of the business processes associated with students transferring from one degree to another within the ANU was completed in 2014 for implementation in 2015. During the working party, a trial was commenced to use the Application Evaluation Centre in the Student Administration System to track the progress of program/degree transfer approval process. As a result of the trial, significant staff processing time was saved by eliminating manual document movement across campus. The trial will be implemented campus wide as a recommendation from the working party.

Reduced Study Load - Streamlining the process to apply for reduced study load by international students has improved the turn-around time for students and allowed staff who make the decision to complete the transaction. When college enrolment access until census date was opened, the business process to allow international students to reduce their study load as soon as the student completed the request was change to closely align to when the academic advisor made the decision. This has meant that student fees are dropped immediately, if applicable, and alleviates student concern and enquiries about the progress of their request.

Graduation Services - As a result of feedback from the Graduation Survey, a tender process for graduation services was undertaken. The provision of graduation regalia was contracted to an external vendor. The vendor provided an online ordering and a centralised distribution service for the July ceremonies. The distribution service included dressing the students in accordance with the ANU’s guidelines. In conjunction with a revised website, the introduction of these services significantly streamlined the graduation experience for graduates and freed ANU staff to undertake other dedicated services at the ceremonies.

Improving HDR Administrative Support - A new project has been initiated to identify improvements for administration and support functions that affect the HDR student experience. This project aims to undertake a comprehensive analysis of the current state of processes to understand the problem areas and pain points across the recruitment, admissions and continuing administrative support functions for HDR students. Project findings, which will lead to a plan of works, are due in first quarter 2015.

2. Data and Information Improvement

Integrated business reporting through ANU Insight - ANU Insight is the University's new self-service reporting portal (replacing the former IMIS) for integrated performance management and business reporting across the University's suite of enterprise systems.

New Student Enrolment Reporting Available - A new suite of self-service Student Enrolment Reports were released in November through the ANU Insight Portal.

Planning and Predicting University Load – The University is currently implementing new processes to better plan and predict future student load. These will be integrated within the budget model.

Research Grant and Publication Reporting - Research Services Division in partnership with Planning & Performance Measurement Division have been upgrading the research reporting in the new ANU Insight system.

HDR Reporting – New reporting on the number of Higher Degree Research students and associated cohort analysis are due for release by the end of the year with further HDR reporting releases into first quarter 2015.

New Workplace Health & Safety Reporting - Human Resources Division in partnership with the Planning & Performance Measurement Division have been developing a new suite of self service Workplace Health & Safety Reports which will be available through the ANU Insight Portal in December.
Data Integration Project – One of the major problems identified within the University’s major IT systems is their failure to share data in real time. A business case is currently being prepared for a major data integration project which would improve data quality and sharing across enterprise systems. The report is due first quarter 2015.

Review of the University Network – UXC has completed an independent review of the University network and are currently working on a proposed implementation plan to address their findings. There are significant opportunities to improve the performance of the network, its reliability, security and management overheads.

3. Structural Change

Creation of an Intelledox Digital Transformation Centre - In September 2014, digitalisation software company, Intelledox, donated its flagship software, Infiniti, to help transform administrative practices through the digitalisation and streamlining of business processes. To support the donation, the ‘Intelledox Digital Transformation Centre’ has been established within the University’s Service Improvement Group. Staff recruitment is now nearing completion and most staff are expected to have commenced by early December.

Facilities and Services Division Restructure – A major restructure of the Facilities and Services Division was undertaken with all management positions replaced. A number of functions have been subject to major change and further change proposals on security and information technology within the Division will be implemented in this calendar year.

Extended Library Operating Hours – The University library has commenced a trial of extended operating hours. On the first night of the trial, over 1,000 students visited the Chifley Library overnight.

Creation of a Finance Shared Services Team – Agreement has been reached with Colleges that financial processing across the University should be centralised. A new manager for this function has been recruited and commenced on 10 November, allowing the implementation planning to now proceed with the aim of finalising the change by mid-2015.

ITS Division restructure – A full restructure of Information Technology Services is currently being finalised for release late in 2014 or early in 2015 to improve service delivery and project models, improve communications and reduce administrative burdens.

HR Division restructure – Similarly a restructure of Human Resources is also being worked on for release in late 2014, focussed on a number of key functions are being redistributed and redesigned to support organisational priorities including streamlined business process, reduced administrative burden, systems improvements and improved safety outcomes. The majority of management positions have been turned over in 2014, and a further reduction in staffing levels will be introduced in mid-2015 when Intelledox solutions are implemented for HR business processes.

University Records – a restructure to downsize the staffing levels preceding the imminent deployment of the University’s electronic records management system was implemented in early 2014.

Alumni Relations & Philanthropy – A restructure has been undertaken in the second half of 2015 to improve service delivery models, embed resources within Colleges and continue the growth trajectory.

Merger of Student Services & Residential and Campus Communities – a major restructure in early 2014 to merge the Division of Student Services and the Halls of Residences to form the Division of Student Life. This delivered cost savings, reduced staffing levels and has led to an improved coordinated approach to on campus student life.

Division of Student Recruitment & Admission and Division of Global Engagement – a complete restructure to support the strategic direction of the University's objectives for student recruitment growth, improvements to admissions processes, and international recruitment. This involved considerable changes to staffing structures and business processes.
Planning & Performance Measurement – restructure to better align resources with projects and university strategic objectives. Significant changes to staffing structure and the development on a cadetship program for implementation in 2015.

There have been additional college based administrative reviews and changes including to the administrative structures supporting the Research School of Arts and Humanities, College of Arts and Social Sciences and to the IT team in the College of Engineering and Computer Science.

Administrative Services Survey - Results and Action
Since 2013, we have undertaken a survey of staff assessment of Administrative Services. The biggest improvements in 2014 are in shown in the table below:

<table>
<thead>
<tr>
<th>Administrative process</th>
<th>2013 n</th>
<th>Average satisfaction</th>
<th>2014 n</th>
<th>Average satisfaction</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market research and analysis</td>
<td>86</td>
<td>4.25</td>
<td>143</td>
<td>2.55</td>
<td>0.45*</td>
</tr>
<tr>
<td>Management information and reporting from the data warehouse (iMIS)</td>
<td>111</td>
<td>4.30</td>
<td>134</td>
<td>2.78</td>
<td>0.45*</td>
</tr>
<tr>
<td>Quality and standard of the Delegations Framework</td>
<td>198</td>
<td>4.28</td>
<td>211</td>
<td>2.82</td>
<td>0.42*</td>
</tr>
<tr>
<td>Performance management</td>
<td>288</td>
<td>4.27</td>
<td>230</td>
<td>3.17</td>
<td>0.41*</td>
</tr>
<tr>
<td>Space utilisation and planning</td>
<td>193</td>
<td>4.14</td>
<td>211</td>
<td>2.93</td>
<td>0.41*</td>
</tr>
<tr>
<td>Purchasing and tendering</td>
<td>216</td>
<td>4.08</td>
<td>203</td>
<td>3.34</td>
<td>0.40*</td>
</tr>
<tr>
<td>Management of service improvement initiatives</td>
<td>123</td>
<td>4.19</td>
<td>186</td>
<td>3.09</td>
<td>0.39*</td>
</tr>
<tr>
<td>Management of minor works projects and refurbishments (&lt;$200K)</td>
<td>156</td>
<td>4.05</td>
<td>166</td>
<td>3.04</td>
<td>0.38*</td>
</tr>
<tr>
<td>Recruitment of domestic students</td>
<td>116</td>
<td>4.55</td>
<td>152</td>
<td>3.09</td>
<td>0.37*</td>
</tr>
<tr>
<td>Recruitment of international students</td>
<td>117</td>
<td>4.47</td>
<td>149</td>
<td>3.03</td>
<td>0.35*</td>
</tr>
</tbody>
</table>

The bottom 10 processes are as follows:

However, it should be noted that a number of these have also shown strong improvement since 2013.

This and related information continues to be used to inform the setting of priorities for further administrative reform.

PART 5 – OTHER MATTERS FOR NOTING
24 UNIVERSITY ICT AND IT INFRASTRUCTURE PROGRAM OF WORK FOR 2015

<table>
<thead>
<tr>
<th>PURPOSE</th>
<th>To note the University's ICT and IT infrastructure program of work for 2015.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PREPARED BY</td>
<td>Chief Information Officer</td>
</tr>
<tr>
<td>REVIEWED BY</td>
<td>Executive Director (Administration and Planning)</td>
</tr>
<tr>
<td>APPROVED BY</td>
<td>Executive Director (Administration and Planning)</td>
</tr>
<tr>
<td>SPONSOR</td>
<td>Vice-Chancellor</td>
</tr>
</tbody>
</table>

**RECOMMENDATION**

That Council note the University's ICT and IT infrastructure program of work for 2015.

**ACTION REQUIRED**

For discussion ☐ For decision ☐ For information ☑

**BACKGROUND**

To enable the ANU to deliver on its research and teaching aspirations as described in the *ANU by 2020* Strategic Plan, the University's Information, Communication and Technology Committee (UICT) considered two Draft Programs of Work at its November meeting:

- UICT Program of Work ($6,000,000 allocation per annum); and
- IT Infrastructure Program of Work ($6,000,000 allocation per annum).

In order to support project prioritisation and selection, Information Technology Services (ITS) surveyed the ANU Executive, College Deans, Service Division Directors, College General Managers, Academic Directors, Administrative Unit Heads, Service Portfolio Directors and College IT Managers in September 2014. The results of this process have informed the development of the programs. The process has also confirmed that there is strong consensus across the ANU community about ICT and IT infrastructure priorities and investment.

Detailed scoping of the majority of these projects is underway, and, at this stage, Council is provided with forecast estimates, only, for each project. These estimates are based on modelling the complexity of each project and analysing the historical costing trend of similar types of projects. A forecast is made through the following banding approach:

- $0 - $300,000 – small
- $300,000 – $500,000 – medium
- >$500,000 – large /complex

Further cost refinement will be progressively undertaken over Q1 2015 as more detailed project assessment is undertaken and formal project reporting initiated.
UICT Program of Work
The UICT program covers the three core business streams, Research, Student Experience and Corporate Support, and comprises 15 discrete projects. Key projects and areas of investment include:

<table>
<thead>
<tr>
<th>Stream</th>
<th>Description</th>
<th>Estimated Project Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Student Experience</strong></td>
<td><strong>ANU On Line</strong> – contains multiple projects to enhance ANU’s on-line teaching capability such as lecture recording replacement service, digital content repository, Moodle Upgrade and Enhancements.</td>
<td>$1.6 m</td>
</tr>
<tr>
<td></td>
<td><strong>Student Portal</strong> – a unified point of entry for students to access all ANU systems, and relevant links to news, resources and procedures. A single sign-on website containing self-selected and standard University information would allow services and community networks to be linked, as well as providing a means to push services and messages.</td>
<td>&lt;$500,000</td>
</tr>
<tr>
<td></td>
<td><strong>Upgrade of Timetabling System</strong> - The current version of Syllabus Plus is extremely out of date and lacking appropriate vendor support. This project will upgrade the tool to the current version, ensuring continued product support and the capacity to introduce a more holistic timetable service across ANU</td>
<td>&lt;$500,000</td>
</tr>
<tr>
<td></td>
<td><strong>Student Tutorial Registration (class allocation) System</strong> - implementation of an Enterprise System to enable students to self-manage tutorial registration. This would allow the decommissioning of multiple bespoke systems across the University. It would also provide embedded reporting and analysis tools to track student demand peaks which would allow more effective planning for future capital works projects.</td>
<td>&lt;$1.0m</td>
</tr>
<tr>
<td><strong>Research</strong></td>
<td><strong>Research Information Management System</strong> - selection and implementation of an Enterprise Research Information Management System (RIMS) that will maintain and enhance the distinctive excellence of ANU research. This project will support the transformation of research administration across the University, and will provide appropriate management information to ensure decisions can be made in alignment with University strategy and statutory obligations.</td>
<td>&gt;$3.0m</td>
</tr>
<tr>
<td></td>
<td><strong>Research Repository</strong> - Research outputs at ANU are currently managed using inefficient and time-consuming processes through a variety of repository tools and services, which result in unnecessary administrative overheads. Multiple repositories for this data, which creates issues around data quality, consistency of data management and disconnected sources of management information. The current systems are also not compliant with the open access requirements of major research funders, such as ARC and NHMRC.</td>
<td>&lt;$300</td>
</tr>
</tbody>
</table>

PART 5 – OTHER MATTERS FOR NOTING
<table>
<thead>
<tr>
<th>Stream</th>
<th>Description</th>
<th>Estimated Project Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><em>eResearch</em> - enhancing awareness of available infrastructure and associated services, providing a framework for coordination and management of the University’s research information at an institutional level. This project will develop an overarching strategy relating to research information storage and retrieval, and will provide a roadmap for future investment.</td>
<td>$&lt;300</td>
</tr>
</tbody>
</table>
| Corporate| *Workspace Program* - This program, through a series of interconnected projects, aims to provide the underpinning infrastructure and services for the managed personal computing requirements of the University’s staff, and within the Information Commons. Infrastructure and services encompasses the full end user computing lifecycle via the following core functions:  
- Procurement via a self-service portal,  
- Asset tagging and management,  
- Deployment services (physical and software)  
- Financial lifecycle operations,  
- Remote support services,  
- Refresh/replacement services. | $<1.0m |

**IT Infrastructure Program of Work**

This program aims to deliver robust and contemporary foundational IT infrastructure and services enabling teaching and research, and maintaining our competitiveness within the higher education sector. This is a three year program of work incorporating twelve projects designed to create a springboard environment for agile and innovative IT based service delivery. The following are key priorities for 2015:

<table>
<thead>
<tr>
<th>Stream</th>
<th>Description</th>
<th>Estimated Project Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure</td>
<td><em>Data Network Refresh</em> - Design, source and implement the delivery of a foundational “state of the art” wired and wireless data network, delivering integrated voice, video, and data services that enable the transformative and innovative delivery of campus and online services..</td>
<td>$&gt;3.0m</td>
</tr>
<tr>
<td></td>
<td><em>Identity and Access Management Core Services</em> - To design and implement an Identity and Access Management Service utilising standards-based infrastructure and identity related capabilities that are shared and leveraged across the University to provide the right people with the right access at the right time.</td>
<td>$&lt;300</td>
</tr>
<tr>
<td></td>
<td><em>Hybrid Storage Solution and Data Protection</em> - Create and implement a strategy and associated capability to harness both on campus and cloud solutions to deliver the relevant services based on data type and business value whilst ensuring common security standards, flexibility, efficiency, and ease of future growth.</td>
<td>$1.0m</td>
</tr>
<tr>
<td>Stream</td>
<td>Description</td>
<td>Estimated Project Cost</td>
</tr>
<tr>
<td>--------------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td>Hybrid Compute Review and Storage</td>
<td>Create and implement a strategy and associated capability to harness both on campus and cloud solutions to deliver a fast, scalable and economic model for the utilisation of compute. This will increase efficiency and availability, allow seamless scalability, provide simplification and standardisation and enable flexibility and innovation to the core research, teaching and learning environments.</td>
<td>$&lt;300</td>
</tr>
<tr>
<td>Single Active ANU Directory</td>
<td>Design and implement a single institutional Active Directory service that enables single account access to University systems and services, thus reducing administration overhead and providing productivity enhancements.</td>
<td>$&lt;300</td>
</tr>
</tbody>
</table>
25  CAPITAL BUILDING FINANCIAL SUMMARY REPORT

PURPOSE  To consider the Capital Building Financial Summary Report.

PREPARED BY  Associate Director, Facilities and Services

REVIEWED BY  Chief Financial Officer

APPROVED BY  Director, Facilities and Services

SPONSOR  Executive Director (Administration and Planning)


ACTION REQUIRED
For discussion  ☐  For decision  ☐  For information  ☑

SUMMARY

The recurring Capital Building Financial Summary Report is provided in Attachment 25.1. Key points to note are as follows:

- **High Performance Computer** – work is progressing. The completion date for the project has moved from October 2014 to January 2015 due to the delay in ordering and delivery of generator equipment. The project is showing 69% spent against a completion rate of 30% due to the payment in advance for equipment and services not yet installed.

- **JCSMR (CT Lab)** – occupancy certificate issued. Project has moved into defects liability period which will run for 12 months. Invoices received at end of period 10 have cost completion at 77%. It is expected that the project will be completed under budget with the remaining claims for payment submitted by 31 December 2014.

- **National Centre for Indigenous Studies** – construction complete. Space handed over for occupancy 29th August 2014. Post occupancy work currently being completed.

- **Acton Underhill Carpark** – car park works well underway. Lift component of the project is with the National Capital Authority (NCA) for approval.

- **Student Services (Copland)** – construction complete and space handed over for occupancy in August 2014. Financial handover to occur early November 2014 which is why the project is only showing 80% completion.

- **Coombs ARC “Centre of Excellence” Fitout** – project to be handed over early November with landscaping component delayed to late November due to adverse weather conditions.

- **Hugh Ennor Façade Replacement** – the status of the project remains unchanged from the September report to Finance Committee. The design phase of the project continues to progress with fabrication of components to commence shortly.

- **JCSMR (Building 54 Project)** – construction is well progressed with completion of total project expected March 2015. The major medical school component of the project is due for completion in November 2014. The high cost mechanical components have not yet been delivered. Invoices received at end of September have cost completion at 46%. Subcontractor claims continue to lag behind site progress.

- **Mt Stromlo (RSAA Directors Residence Restoration)** – construction underway with certain elements of the project with NCA for approval. Large cost items have been delivered but not yet invoiced.

- **SSO Water Treatment Upgrade** – project continues to progress in line with status reported at the September meeting. This is a three year program (2013-2015) with funding

PART 5 – OTHER MATTERS FOR NOTING
of $300k per annum. Main 2014 works are complete with next stage to include relining of water tanks and replacement of water treatment system.

- **Hancock West (ITS Refurbishment)** – contractor appointed and demolition now scheduled to begin November 2014. Large cost claims to commence post demolition.

- **SSO Fire Recovery Works Program** – the status of this project remains unchanged from that reported in September with restoration and rebuild to commence once insurance settlement terms finalised. Expected settlement by December 2014.

- **CECS (Craig Building Refurbishment)** – final design being resolved. Additional significant mechanical works which were not included in feasibility stage now confirmed and estimated to cost an additional $825k. Additional $550k funding from CECS with remainder provided from central funds. Internal demolition has occurred to fast track the project once design is finalised.

**ATTACHMENT**

25.1 Summary of Approved Capital Works over $500k as at 28 September 2014 (184/2014).
### Australian National University

**Summary of Approved Capital Works over $500,000**

as at 28 September 2014

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Funding Source</th>
<th>Current Budget</th>
<th>Funds expended @ 28/9/14</th>
<th>Remaining Funds</th>
<th>% Spent</th>
<th>% Completed</th>
<th>Current Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Performance Computer - additional generator</td>
<td>NCI</td>
<td>$1,300,000</td>
<td>$1,300,000</td>
<td>$408,983</td>
<td>69%</td>
<td>30%</td>
<td>15-Jan-15</td>
</tr>
<tr>
<td>JCSMR - CT Lab</td>
<td>Education Investment Fund (EIF)</td>
<td>$1,300,000</td>
<td>$1,450,000</td>
<td>$336,432</td>
<td>77%</td>
<td>99%</td>
<td>31-Jul-14</td>
</tr>
<tr>
<td></td>
<td>ANFF</td>
<td>$150,000</td>
<td>$1,113,588</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$1,450,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Centre For Indigenous Studies (NCIS)</td>
<td>Building Infrastructure Fund</td>
<td>$1,680,000</td>
<td>$1,094,964</td>
<td>$585,016</td>
<td>65%</td>
<td>95%</td>
<td>29-Aug-14</td>
</tr>
<tr>
<td>Acton Underhill Carpark (includes Noel Butlin Archives)</td>
<td>Commonwealth NSC/ANZOG Surplus</td>
<td>$1,300,000</td>
<td>$1,700,000</td>
<td>$1,191,039</td>
<td>30%</td>
<td>25%</td>
<td>30-Mar-15</td>
</tr>
<tr>
<td></td>
<td>CMPI Loan</td>
<td>$400,000</td>
<td>$508,961</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$1,700,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Services - Copland - Access and Inclusion</td>
<td>Student Amenities Fee</td>
<td>$1,635,000</td>
<td>$1,635,000</td>
<td>$740,524</td>
<td>55%</td>
<td>80%</td>
<td>29-Aug-14</td>
</tr>
<tr>
<td>CAP - Coombs ARC &quot;Centre of Excellence&quot; fitout</td>
<td>CAP ISF &amp; Capital Renewal Funds</td>
<td>$935,000</td>
<td>$1,135,000</td>
<td>$967,018</td>
<td>15%</td>
<td>50%</td>
<td>30-Nov-14</td>
</tr>
<tr>
<td>Hugh Ennor Façade Replacement</td>
<td>Capital Renewal Fund balances on buildings occupied by JCSMR</td>
<td>$1,000,000</td>
<td>$1,000,000</td>
<td>$826,663</td>
<td>17%</td>
<td>25%</td>
<td>30-Jan-15</td>
</tr>
<tr>
<td>JCSMR - Building 54 Project</td>
<td>Colleges of Science Project Savings</td>
<td>$6,643,642</td>
<td>$25,500,000</td>
<td>$13,713,570</td>
<td>46%</td>
<td>80%</td>
<td>15-Mar-15</td>
</tr>
<tr>
<td></td>
<td>RPIF/-RJ</td>
<td>$150,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>College of Medicine Biology &amp; Medicine Strategic Fund</td>
<td>$44,879</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>College of Medicine Biology &amp; Medicine ISF Capital Funds</td>
<td>$2,489,472</td>
<td>$11,786,430</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Colleges of Science Joint Programs ISF Capital Funds</td>
<td>$3,272,007</td>
<td>$13,713,570</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Building Infrastructure Fund</td>
<td>$5,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CMP II Loan</td>
<td>$2,900,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>CMPI Loan</td>
<td>$5,000,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$25,500,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mt Stromlo-RSAA Directors Residence Restoration</td>
<td>Dept of Environment</td>
<td>$497,000</td>
<td>$994,000</td>
<td>$994,000</td>
<td>52%</td>
<td>80%</td>
<td>31-Dec-14</td>
</tr>
<tr>
<td></td>
<td>Building Infrastructure Fund</td>
<td>$497,000</td>
<td>$512,118</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$994,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SSO Water treatment Upgrade</td>
<td>Building Infrastructure Fund</td>
<td>$600,000</td>
<td>$575,342</td>
<td>$24,658</td>
<td>96%</td>
<td>99%</td>
<td>31-Dec-14</td>
</tr>
<tr>
<td>Hancock West - ITS refurbishment and move</td>
<td>CMP I Loan</td>
<td>$11,700,000</td>
<td>$11,700,000</td>
<td>$11,502,649</td>
<td>2%</td>
<td>30%</td>
<td>2-Jun-15</td>
</tr>
<tr>
<td>SSO Fire Recovery works program including discrete sub-projects</td>
<td>Insurance Claim</td>
<td>$11,840,000</td>
<td>$11,840,000</td>
<td>$10,563,889</td>
<td>11%</td>
<td>5.00%</td>
<td>1-Jan-16</td>
</tr>
<tr>
<td>College of Engineering &amp; Computer Science Craig Building Refurbishment</td>
<td>College of Engineering &amp; Computer Science Funding</td>
<td>$4,550,000</td>
<td>$8,825,000</td>
<td>$8,219,433</td>
<td>7%</td>
<td>10%</td>
<td>1-Jun-15</td>
</tr>
<tr>
<td></td>
<td>CMPI Loan</td>
<td>$4,275,000</td>
<td>$605,567</td>
<td>$4,619,433</td>
<td>7%</td>
<td>10%</td>
<td>1-Jun-15</td>
</tr>
<tr>
<td></td>
<td>Total Project Funding</td>
<td>$8,825,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research School of Social Sciences Building</td>
<td>Major Capital Works Fund</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>$0</td>
<td>0%</td>
<td>0%</td>
<td>2015/2016</td>
</tr>
<tr>
<td>College of Engineering &amp; Computer Science &amp; Mathematical Science Institute Co-location to New Building</td>
<td>Major Capital Works Fund</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>$0</td>
<td>0%</td>
<td>0%</td>
<td>2017</td>
</tr>
<tr>
<td>Physics Building Stage 1 Project</td>
<td>Major Capital Works Fund</td>
<td>$50,000,000</td>
<td>$50,000,000</td>
<td>$0</td>
<td>0%</td>
<td>0%</td>
<td>2018/2019</td>
</tr>
<tr>
<td>Research School of Biology Robertson Building Refurbishment</td>
<td>Major Capital Works Fund</td>
<td>$24,000,000</td>
<td>$24,000,000</td>
<td>$0</td>
<td>0%</td>
<td>0%</td>
<td>2020</td>
</tr>
<tr>
<td>GRAND TOTAL</td>
<td></td>
<td>$217,359,000</td>
<td>$19,797,044</td>
<td>$198,074,074</td>
<td>9.11%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**ATTACHMENT 25.1**

**SUMMARY OF APPROVED CAPITAL WORKS OVER $500k**
26  ACADEMIC BOARD REPORT

PURPOSE To consider the report from the Academic Board.

PREPARED BY Corporate Governance and Risk Office

REVIEWED BY Chair, Academic Board

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the report from the meeting of the Academic Board held on 26 September 2014.

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

ATTACHMENT
26.1 Academic Board Report 26 September 2014 (1081/2014).
ACADEMIC BOARD

Meeting No. 5/2014 of the Academic Board was held on Friday 26 September 2014 at 9.30am in the RC Mills Room, Chancelry.

Present: Professor Bottomley (in the Chair), Professor Harding, Professor Corbett, Professor Baker, Dr Milnes, Mr Erickson, Professor Makkai, Professor Taylor, Professor Leitch, Professor Cuevas, Prof van Leeuwen, Professor Carver, Professor Coulhon, Professor Pickering, Professor Dovers, Professor Raymer, Associate Professor Ferris, Professor Powers, Professor Faragher, Professor Pitchford, Associate Professor van der Eng, Professor Renz, Associate Professor Strazdins, Associate Professor Tamsitt, Dr Fahrer, Dr Winterburg, Dr Othia, Associate Professor Bennett (for Professor Ireland), Professor Kewley, Mr Niles, Mr Wilson, Associate Professor Fforde (for Professor Dodson), Ms Martin, Dr McKinnon, Dr Sadeghi, Ms Stewart, Ms Willis.

Observers: Ms Gouldthorpe, Mr Heath, Mr Francis, Ms Wilson, Ms Potts, Ms Missingham, Dr Gustavson, Mr Gill, Mr McCarthy-Gill, Associate Professor Newitt.

Apologies: Professor Glasgow, Professor Young, Professor Hughes-Warrington, Professor Dodson, Professor Ireland, Professor Cribb, Ms Veness, Dr Lithander, Professor Cardew-Hall, Associate Professor Gani, Professor Kirk, Associate Professor Ganguly, Ms Apps.

In Attendance: Ms Easton.

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements
Professor Bottomley was the Acting Chair for this meeting.

Item 1.1 Apologies

The apologies recorded above were received.

Item 1.2 Announcements

The Chair welcomed the new Board members; Dr Parastoo Sadeghi, Ms Anne Martin, Dr Merryn McKinnon, Ms Di Stewart, Ms Tania Willis and also Mr Ben Gill next President of ANUSA who joined the meeting as an observer.

1.2.1 2015 Meeting Dates

The Board endorsed the 2015 meeting dates and noted the change of day to Tuesday.

Resolved

Academic Board approved the meeting dates for 2015.

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 1-11; 13 – 14, 17, 22, 28 – 32. The unstarred items were dealt with as proposed in the agenda.
Resolution
The Academic Board resolved to approve unstarred items.

Item 4 Minutes
Resolution
The Academic Board resolved to confirm the Minutes (1045/2014) of meeting 4/2014 of the Academic Board held on 20 June 2014 as a true and accurate record.

Item 5 Matters Arising from the Minutes & Action Items
Action from last meeting: The Chair and secretariat of the Board will develop a process for communication of information about the Board to all staff of the University. The Chair reported that the Academic Board web site has been updated http://about.anu.edu.au/governance-structure/committees/academic-board to include broader information about the Board. The Chair circulated an all staff email prior to this meeting (circulated Friday 19 September 2014).
Resolution
The Academic Board noted the current action items list (803a/2014) and updates on action items as reported above.

Item 6 Confidential Items
No confidential items were discussed.

Part 2 – Information Flow

Item 7 Report from the Deputy Vice-Chancellor (Research)
The Chair noted that Professor Harding is currently the Acting Vice-Chancellor.
The Deputy Vice-Chancellor (Research) presented a verbal report, commenting on matters including:
- The Vice-Chancellor is currently with a delegation in India; their mission is largely scoped around student recruitment. This will be followed up by a trip to the United States to meet with alumni and look into philanthropic opportunities.
- On 4 September 2014, the Senate referred the Higher Education and Research Reform Amendment Bill 2014 to the Senate Education and Employment Legislation Committee for inquiry and report. The closing date for submissions was 22 September 2014 http://www.aph.gov.au/Parliamentary_Business/Committees/Senate/Education_and_Employment/Higher_Education
- Ed Talks are a series of small focus groups, designed by PARSA, ANUSA and the Vice-Chancellor, to include students in the discussion around the future direction of ANU. http://renew.anu.edu.au/ed-talks/
- A review of ANU Act 1991 has been commissioned by Department of Education. The review is being led by Professor Sally Walker. The review will be discussed with Council at the 3 October meeting, with a report due back to the Department by 12 December.
ANU has been ranked 25 in the world and number one in Australia in the 2014 QS Top Universities Rankings. We all know that rankings are imperfect measures, and move around year to year, but they do tell you the company you are keeping.

The HDR Administrative Support project is being managed via the Service Improvement Group. The project aims to improve administrative support of prospective, current and completing HDR students http://sig.anu.edu.au/hdr-administrative-support.

Resolution

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

Item 8 Report from the Chair

The Board noted a written report from Professor Glasgow was included in the Agenda papers. In particular, for discussion at today’s meeting, was a proposal for bringing items forward for consideration by the Academic Board. Dr Orthia provided an overview of the initiative from Science Board members that had been the genesis of this proposal. The seven academics elected or appointed this year from CPMS and CMBE to represent staff on Academic Board had send out an email to invite all staff in the Colleges of Science to think about any matters they would like brought before the Board, and to talk to them about them, so that they may use their positions to represent interests on behalf of the staff they represent. The candidate statements for those who were elected were also added to the Board web site http://about.anu.edu.au/governance-structure/committees/academic-board/academic-board-elections.

The Chair noted that it is important that the Board allow an avenue for staff to raise issues or suggest hot topics. It was noted that the submission of issues needs to state the impact on the broad University community; highlighting which areas it impacts and how it impacts them.

Resolution

The Academic Board resolved to note the report and to trial the process for ‘Items for consideration by the Board’.

Item 9 General Question Time

There were no general questions raised at the meeting.

Part 3 – Strategy & Planning

Item 10 HOT Topic: Development of employment opportunities for ANU Indigenous graduates as academics at ANU

The Chair noted that this Hot Topic contributes to the Board commitment to biannual discussion on Indigenous engagement. Professor Baker reported that this discussion builds on the item discussed at the Board last year, and discussion today is on the issue of academic employment for ANU Indigenous graduates; and to seek the views of Academic Board on how best to develop employment opportunities for ANU Indigenous graduates. Professor Baker provided a handout to Board members that presented a summary of Indigenous support schemes at other institutions. A copy of the handout is available on the Board Alliance site.

Professor Baker reported that the Indigenous tutoring scheme has been discontinued, and the University is now putting in a bid under a replacement scheme – this may be an opportunity to put in place some strategic plans, for example to encourage students to go on to honours. Ms Martin, Director, Tjabal Indigenous Higher Education Centre, reported that she has been at ANU for two and a half years and during that time she has noted that we are already doing a lot to engage in communities within ANU. However, pathways for employment for postgraduate students are lacking. At the moment there is general disarray nationally, however a new indigenous advancement strategy allows an opportunity to bid for funding to support employment. Ms Martin reported that she is working on a submission for the 17 October deadline. http://www.dpmc.gov.au/indigenous_affairs/ias/index.cfm. Ms Martin suggested that the Board consider getting a small group together to consider what we might do and coordinate across the campus.
Attach 26.1

Associate Professor Fforde from the National Centre for Indigenous Studies, supported Ms Martin’s comments and noted the opportunity that is presented by the new Indigenous Advancement Strategy funding. PhD students often study part time whilst in a full time job and discussions are underway with Colin Taylor on how ANU can widen criteria to support part time students.

Professor Taylor reported that the ANU College of Asia and the Pacific has put a lot of work into an Aboriginal and Torres Strait Islander Professional Staff Employment strategy, aimed at expanding employment opportunities for indigenous staff within the College. Next year they plan to launch an indigenous employment plan for the college, this will include fully funded post-doctoral positions http://asiapacific.anu.edu.au/about-us/reconciliation.

The Board discussed the issues and agreed there is merit in looking at what has been tried and what has proven to be effective. A small group would be most effective in considering what the best approach is. We need a starting point, for example this could be scholarships for honours students.

The Chair requested that anyone interested in participating in a small discussion group get in touch with Anne Martin as soon as possible. Contact: Anne.Martin@anu.edu.au.

Resolution

The Academic Board:

i) discussed the issues relating to the employment of Indigenous graduates as academics; and

ii) is invited to provide further written advice to the Pro Vice-Chancellor (Student Experience) by the end of October on how Indigenous academic opportunities might be developed.

iii) Board members interested in participating in a discussion group are asked to contact Anne.Martin@anu.edu.au.

Item 11 Hot Topic: ANU Global Programs

Ms Davina Potts, Director Global Engagement provided an overview of the paper that was included in the Agenda ‘ANU Global Programs’. Ms Potts noted that when she started at ANU ten months ago it was apparent outgoing opportunities had not really been considered. The paper was pitched as a starting point for discussion. The data in the report comes directly from Colleges, there is not a central reporting requirement and thus we are reliant on the Colleges recording and reporting on the data.

The Board discussed the paper and the following issues were noted;

- Students often seek opportunities outside of the framework.
- Students whilst abroad sometime participate in more than one program.
- The New Colombo Plan Scholarship Program provides opportunities for Australian undergraduates to undertake semester-based study and internships or mentorships in participating regional locations.
- It is interesting to note what is happening in other institutions such as the Bachelor of Arts (Global) http://www.monash.edu.au/pubs/handbooks/courses/3910.html
- Discipline-specific programs can cause administrative and financial transaction costs. Administration strain could be made easier with better coordinated support. Resourcing of the initial creation of the course, assistance setting up interactions would be very helpful.
- Six of the Group of Eight institutions have now implemented a centralised database. ANU is just in the trial phase of rolling that out.
- Program information has not been readily available on the ANU web site – but this is being addressed.
- Students seek different opportunities; some students are looking for something tied to their program, others for a more individual experience.
- Students now have access to the new application portal online.
- Dealing with different academic calendars in different countries, is a challenge. ANU endorses flexibility where possible.
• Although it is the student’s responsibility to check information, e.g. grade transfer there can be a problem when they get conflicting information from the institutions. There needs to be strong alignment with other institutions to ensure no anomalies on transcripts.

• ANU has had success with field based courses. The emphasis is on integrating formal learning with first-hand experience. For example see http://fennerschool-people.anu.edu.au/richard_baker/ENVS2017/introduction/index1.html

The Chair thanked Ms Potts for her presentation and encouraged Board members to provide further feedback.

Resolution

The Board provided feedback on ANU Global Programs (as per above).

Part 4 – Academic Quality & Standards

Item 12 Results of the national 2013 University Experience Survey

Resolution

The Academic Board

(i) noted the results of the national 2013 University Experience Survey and actions taken by Colleges in response to the survey; and

(ii) agreed that College actions be communicated to students through the Planning and Performance Measurement website.

Item 13 ANU Honours Working Party Final Report

Dr Royston Gustavson, Chair of the Working Party provided an overview of the process for the ANU Honours Working Party, which included representatives from each of the seven Colleges and ANUSA and held 8 hours of meetings between May and August 2014. The Chair of the Working Party sent the Draft Report to the Associate Dean (Education) of each College and to the President of ANUSA on 23 July, with written feedback requested by 14 August. Written feedback was received from: each of the 7 Colleges (CBME and CMPS submitting jointly), ANUSA, the PhD Pathways Working Group, Research School of Biology, Research School of Earth Sciences, Department of Mathematics, and the Medical School. Discussion of the received feedback and subsequent amendment of the Draft was the principal item on the Agenda of the Working Party’s final meeting on 22 August.

The Chair noted that the ANU College of Engineering and Computer Science had submitted a written response to the Board on the main points in the Recommendations of the Honours Working Party that are of concern to CECS.

The Board discussed the report, noting that there had already been extensive discussion on each of these recommendations at the University Education Committee. After some debate the Board agreed that the recommendations that were of concern to CECS that had not already been referred to the Education Standards and Quality Committee would be referred back to that Committee. The Board endorsed the recommendations and referred some to subcommittees as per details that appear in Appendix 1.

The ANU College of Engineering and Computer Science raised concerns about the consultation process surrounding the report from the Working Party. On behalf of the Deputy Vice-Chancellor (Academic), Professor Baker noted that the working party had met throughout 2014 and included representatives from all Colleges. As far as the DVC(A) Office was aware CECS had representatives attending those meetings. It was noted that there had been no change in process. The DVC(A) did not want the Board to think that this was a hasty process.

The Acting Dean of ANU College of Engineering and Computer Science agreed to schedule an offline discussion regarding the process and internal College consultation with the Deputy Vice-Chancellor (Academic).
Professor Corbett provided an update on the Pathways to PhD Working Party, noting this was set up at the request of the Board last year after a Hot Topic discussion. The pathways working party is a small group discussing matters of principle, which still has a couple more meetings before proposing to bring a report to the Board. Professor Corbett noted she has invited CECS to send a representative to the working party and is happy if any other areas what to send someone.

Resolution

The Academic Board approved the following recommendations from the Honours Working Party (see separate table for details) and resolved to refer additional concerns raised by the ANU College of Engineering and Computer Science to the Education Standards and Quality Committee

Item 14 Bachelor of Arts, Program Review
Professor Makkai provided the Board with an overview of the review process and noted thanks to the Review Committee and in particular the Chair Dr Royston Gustavson.

Professor Baker as Acting Deputy Vice-Chancellor (Academic) asked the Board to consider amending the recommendation to the Board so that it read “the Board reaccredits the undergraduate coursework program reviews for the Bachelor of Arts conditional on the provision of (a) at least one more external reviewer report; and (b) a system implementation plan.”

The Board discussed this proposal at some length and ultimately decided that there was no need to change the recommendation. The Dean, CASS advised the Board there was an external review commissioned by the DVC(A) already undertaken as part of this process, and that there is an agreed implementation strategy; operational processes will be worked through in 2015 by a Working Party with ANUSA representation for implementation in 2016.

Resolution

The Board approved the undergraduate coursework program review for the Bachelor of Arts.

Item 15 MOOCs 2014 report

Resolution

The Academic Board noted the MOOCs 2014 report.

Item 16 2015 Good Universities Guide

Resolution

The Academic Board noted the University’s performance and comparative data in the 2013 Good Universities Guide.

Item 17 Zero credit point courses

Recommendations

The Academic Board approved the following recommendations:

1. That zero credit point courses are only used for the purposes of:
   a. Work experience in industry or hurdle activities that need to be met for professional practice; or
   b. Honours shell course enrolment (with individual College codes only)

2. The ANU academic programs and courses accreditation procedure will be revised to also include cross-institutional courses and Honours shell course enrolment. A University-wide course code, UNSP5999, is to be used to record cross-institutional enrolment.
Item 18  Legislation Review Update

Resolution

The Academic Board noted the work undertaken to review the University's Student Legislation.

Item 19 Approved Late Withdrawal for Students on Academic Progress

Resolution

The Academic Board approved the process for students who are approved for a late withdrawal where they were previously excluded or suspended from the University due to breaching the Academic Progress Rules.

Part 5 – Policy Development

Item 20  Costing and Pricing

Resolution

The Academic Board endorsed the Costing and Pricing of Externally-Funded Research Projects, University Consultancies and Commercial Services policy and procedure for approval by the Vice-Chancellor, to come into effect from 1 January 2015.

Item 21  Protection of Personal Information Policy

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval the revisions to clause 5 of the Protection of Personal Information Policy.

Item 22  Timetable Policy and Timetabling Procedure

The Board appointed Professor Leitch as the temporary Chair for this item. The ANU College of Law noted concerns that the policy framework only addresses traditional semester based courses. It does not address nonstandard courses and there is no consideration of off campus classes.

The Board noted the following issues:

- The policy paper states “The University will centrally develop one timetable for teaching activities in semesters….” There have been issues in the past when requesting the timetabling office to cater for intensive course where there was no outcome.
- Some areas pay large sums to rent space off campus.
- Ability to book space well in advance is an issue. While there is clearly a need to prioritise teaching activities, there also needs to be consideration of the need to book venues well in advance (e.g. for major international conferences or for outreach priorities).
- The timetable policy and procedure are quite new, only implemented over the last 12 to 18 months. Establishment has highlighted many issues.
- Operational issues can be brought to the attention of the Registrar registrar.student.administration@anu.edu.au.
- Suitability of teaching spaces is being dealt via the DVC(A) Office. There has been a review of the quality of teaching spaces and a decision made to retire some unsuitable spaces.
- The academic calendar needs to be overlayed with an online teaching schedule.

The Board agreed to endorse the amendments and highlighted the need to see additional work done in terms non-standard courses and online teaching.
Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Timetable policy; and
2. The revised Timetabling procedure.

Professor Bottomley resumed the Chair at the conclusion of this item.

Item 23  Student Academic Study Load and Progression Procedure

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revision to clauses 11 and 35 of the Student Academic Study Load and Progression procedure.

Item 24  Professional and Short Courses Policy and Professional and Short Courses Procedure

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The proposed Professional and Short Courses Policy; and
2. The proposed Professional and Short Courses Procedure.

Part 6 – Reports from Committees

Item 25  Report from University Education Committee

Resolution

The Academic Board noted the report.

Item 26  Report from University Research Committee

Resolution

The Academic Board noted the report.

Item 27  Report from University Access & Equity Committee

Item 27.1  University Access & Equity Committee Options Paper

Resolution

The Academic Board considered the options canvassed in this paper for enhancing the UAEC and is requested to provide feedback to College Deans on the implementation of College based access and equity Committees.

Item 27.2  University Access & Equity Committee Report

Resolution

The Academic Board noted the report.

Part 7 – Accreditation

The Chair noted that a Supplementary Agenda paper had been circulated as subsequent to the publication of Academic Board Agenda Papers for Meeting 5/2014 there has been an amendment made to some Accreditation proposals from ANU College of Arts and Social Sciences.

A number of the amendments contained a single thesis code for the entire College. It has now been clarified that one thesis code means one field of education code. These fields of education are then used to determine funding clusters, from which funding for CGS load is derived.
Following this clarification the CASS Education Committee has confirmed that three identical versions of each College thesis course be created to permit appropriate funding. The final digit of the course code maps to the relevant funding cluster:

**Item 28** Undergraduate Coursework Awards

**Item 28.1** Undergraduate Coursework Program Reviews

**Resolution**

The Board approved the undergraduate coursework program reviews as detailed below;

ANU College of Engineering and Computer Science
Bachelor of Information Technology (Honours); HIT; AQF Level 8 - Bachelor Honours;
(1213/2914)

**Item 28.2** Amendments to Undergraduate Coursework Awards

**Resolution**

The Board approved the amendments to undergraduate coursework Awards as detailed below;

ANU College of Arts and Social Sciences
Diploma of Languages; ELANG (1153/2014); AQF Level 5 – Diploma
Bachelor of Arts; BARTS (992/2014); AQF Level 7 Bachelor Degree
Bachelor of Arts; BARTS (1208/2014); AQF Level 7 Bachelor Degree
Bachelor of Classical Studies; BCLAS (998/2014); AQF Level 7 Bachelor Degree
Bachelor of Criminology; BCRIM (999/2014); AQF Level 7 Bachelor Degree
Bachelor of Design Arts; BDESA (1000/2014); AQF Level 7 Bachelor Degree
Bachelor of European Studies; BEEURO (1151/2014); AQF Level 7 Bachelor Degree
Bachelor of International Relations; BIR (1152/2014); AQF Level 7 Bachelor Degree
Bachelor of Latin American Studies; BLAMS (1154/2014); AQF Level 7 Bachelor Degree
Bachelor of Politics, Philosophy and Economics; BPPE (1209/2014); AQF Level 7 Bachelor Degree
Bachelor of Philosophy (Honours); APHAR (997/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Art History and Curatorship (Honours); HAHCS (1155a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Archaeological Practice (Honours); HAPRC (1156a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Arts (Honours); HART2 (1157a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Arts (Honours); HARTS (1158a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Classical Studies (Honours); HCLAS (1159a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Criminology (Honours); HCRIM (1160a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Design Arts (Honours); HDESA (1161a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Development Studies (Honours); HDEVS (1162a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of European Studies (Honours); HEURO (1163a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of International Relations (Honours); HIR (1164a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Languages (Honours); HLANG (1165a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Latin American Studies (Honours); HLAS (1166a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Middle Eastern and Central Asian Studies (Honours); HMECA (1167a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Policy Studies (Honours); HPOLS (1168a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Politics Philosophy and Economics (Honours); HPPE (1169a/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Visual Arts (Honours); HVART (1170a/2014); AQF Level 8 Bachelor Honours Degree

ANU College of Asia and the Pacific
Bachelor of Pacific Studies; BPAST (978/2014); AQF Level 7 Bachelor Degree

ANU College of Business and Economics
Bachelor of Economics; BECON (1171/2014); AQF Level 7 Bachelor Degree

ANU College of Engineering and Computer Science
Bachelor of Engineering (Honours); AENGI (1172/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of Engineering (Research and Development) (Honours); AENRD (1173/2014); AQF Level 8 Bachelor Honours Degree

ANU College of Medicine, Biology, and the Environment
Bachelor of Biotechnology; BBIOT (1175/2014); AQF Level 7 Bachelor Degree
Bachelor of Interdisciplinary Studies (Sustainability); BISSU (1176/2014); AQF Level 7 Bachelor Degree
Bachelor of Interdisciplinary Studies (Sustainability) Advanced (Honours); AISSU (1174/2014); AQF Level 8 Bachelor Honours Degree

Item 28.3 New Undergraduate Coursework Awards

Resolution

The Board approved and accredited the new undergraduate coursework Awards as detailed below:

ANU College of Asia and the Pacific
Bachelor of Asian Studies (Honours); HASIA (977/2014); AQF Level 8 Bachelor Honours Degree
Bachelor of International Security Studies (Honours); HINSS (976/2014); AQF Level 8 Bachelor Honours Degree

Item 28.4 New Undergraduate Majors

Resolution

The Board approved and accredited the major as detailed below:

ANU College of Business and Economics
Economic Studies; ECST-MAJ (1210)

Item 28.5 New Undergraduate Minors

Resolution

The Board approved and accredited the minors as detailed below:

ANU College of Arts and Social Sciences
Demography; DEMO-MIN; (974/2014)
Digital Humanities; DIHU-MIN; (989/2014)

ANU College of Business and Economics
Economic Studies; ECST-MIN; (1212/2014)

Item 28.6 Disestablishment of Undergraduate Majors and Minors

Resolution

The Board approved the majors and minors be disestablished as detailed below:
Item 28.7 Streamlined changes for noting
Resolution

The Board noted that amendments to the following undergraduate programs, majors, minors and specialisations have been approved by the relevant ANU College.

<table>
<thead>
<tr>
<th>Doc. No.</th>
<th>Code</th>
<th>Name</th>
<th>Type</th>
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</tr>
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<tbody>
<tr>
<td>1219/2014</td>
<td>ANPH-MIN</td>
<td>Analytical Philosophy</td>
<td>Minor</td>
<td>CASS</td>
</tr>
<tr>
<td>1220/2014</td>
<td>INDG-MIN</td>
<td>Indigenous Australian Studies</td>
<td>Minor</td>
<td>CASS</td>
</tr>
<tr>
<td>1219/2014</td>
<td>COPL-MIN</td>
<td>Continental Philosophy</td>
<td>Minor</td>
<td>CASS</td>
</tr>
<tr>
<td>1219/2014</td>
<td>MPPH-MIN</td>
<td>Moral and Political Philosophy</td>
<td>Minor</td>
<td>CASS</td>
</tr>
<tr>
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<td>SDAR-MIN</td>
<td>Sculpture Design Arts</td>
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<td>CASS</td>
</tr>
<tr>
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<td>Spanish Language and Culture</td>
<td>Major</td>
<td>CASS</td>
</tr>
<tr>
<td>1220/2014</td>
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<td>CASS</td>
</tr>
<tr>
<td>1072/2014</td>
<td>VAPR-MAJ</td>
<td>Visual Arts Practice</td>
<td>Major</td>
<td>CASS</td>
</tr>
</tbody>
</table>

Item 28.8 Name change – VC course
Resolution

The Academic Board approved the name change of the VC course ‘Joy and Beauty of Computing’ to ‘The Art of Computing.’

Item 29 Vertical Coursework Awards

Item 29.1 Amendments to Vertical Double Degrees
Resolution

The Board approved and accredited the amendments to vertical double degrees as detailed below:

ANU College of Arts and Social Sciences and ANU College of Law
Bachelor of Politics, Philosophy, and Economics/Juris Doctor; BPPEVMJD (906a/2014); AQF Levels 7 – Bachelor Degree and 9 – Master Degree (Extended)

Item 30 Graduate Coursework Awards

Item 30.1 Graduate Coursework Program Reviews
Resolution

The Board approved the graduate coursework programs be reaccredited as detailed below:

ANU College of Asia and the Pacific
Graduate Certificate of Public Policy; 6192; AQF Level 8 – Graduate Certificate; (1221/2014)
Graduate Certificate of Military and Defence Studies; 6829; AQF Level 8 – Graduate Certificate; (1223/2014)
Graduate Diploma of Military and Defence Studies; 6828; AQF Level 8 – Graduate Diploma; (1222/2014)
Master of Military and Defence Studies; 7829; AQF Level 9 – Master Degree (Coursework); (1224/2014)
Master of Military and Defence Studies Advanced; 7828; AQF Level 9 – Master Degree (Coursework); (1225/2014)

Joint Colleges of Science
Master of Science Communication (NUS); 7614XMNUS; AQF Level 9 – Master Degree (Coursework); (1234/2014)

Item 30.2  New Graduate Coursework Awards and Augmentations
Resolution
The Board approved and accredited the new Awards and Augmentations as detailed below:

ANU College of Arts and Social Sciences
Master of Arts (Advanced); 7179 VARTS (990a/2014); AQF Level 9 – Master Degree (Coursework)
Master of Museum and Heritage Studies; 7178 MMUHS (993/2014); AQF Level 9 – Master Degree (Coursework)
Master of Museum and Heritage Studies (Advanced); 7178 VMUHS (994a/2014); AQF Level 9 – Master Degree (Coursework)

ANU College of Asia and the Pacific
Graduate Diploma of Public Policy; DPUBP (1207/2014); AQF Level 8 - Graduate Diploma
Executive Master of Public Administration; 7837 MEMPA (1226/2014 and justification 1227/2014, 1228/2014); AQF Level 9 – Master Degree (Coursework)

ANU College of Medicine, Biology and the Environment
Graduate Diploma of Environment; 6621 DENVI (750/2014); AQF Level 8 - Graduate Diploma
Graduate Certificate of Public Health; 6664 CPUBH (755/2014 and justification 1229/2014); AQF Level 8 - Graduate Certificate
Graduate Diploma of Public Health; 6614 DPUBH (754/2014 and justification 1229/2014); AQF Level 8 - Graduate Diploma

ANU College of Physical and Mathematical Sciences
Master of Science Communication (Hong Kong); 7640 MSCHK (756/2014); AQF Level 9 – Master degree (Coursework)

Item 30.3  Amendments to Graduate Coursework Awards
Resolution
The Board approved and accredited the amendments to Graduate Coursework Awards as detailed below:

ANU College of Asia and the Pacific
Graduate Certificate of Public Policy; 6192XGCPPP (1177/2014); AQF Level 8 - Graduate Certificate
Graduate Certificate in Military and Defence Studies; 6829XGCMDS (1179/2014); AQF Level 8 - Graduate Certificate
Graduate Diploma in Military and Defence Studies; 6828XGDMDS (1178/2014); AQF Level 8 - Graduate Diploma
Master of Military and Defence Studies; 7829XMMDS / MMDS (1181/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Military and Defence Studies Advanced; 7828XMMDSA (1180/2014); AQF Level 9 - Masters Degree (Extended)
Master of Asia-Pacific Studies; MAPST (979/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Climate Change; MCLCH (1182/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Environmental Management and Development; MEMDV (988/2014); AQF Level 9 -
Masters Degree (Coursework)
Master of Environmental and Resource Economics; MEREC (987/2014); AQF Level 9 - Masters Degree (Coursework)
Master of International and Development Economics; MIDE (986/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Administration; MPUAD (1183/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy; MPUBP (980/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy in Development Policy; NPPDP (985/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy in Economic Policy; NPPEP (984/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy in International Policy; NPPIP (983/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy in Policy Analysis; NPPPA (982/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Public Policy in Social Policy; NPPSP (981/2014); AQF Level 9 - Masters Degree (Coursework)

ANU College of Arts and Social Sciences
Master of Applied Anthropology and Participatory Development; MAAPD (1184/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Art History and Curatorial Studies; MAHCS (1185/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Anthropology; MANTH (1186/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Culture Health and Medicine; MCHAM (1187/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Classical Studies; MCLAS (1188/2014); AQF Level 9 - Masters Degree (Coursework)
Master of History; MHISt (1189/2014 linked); AQF Level 9 - Masters Degree (Coursework)
Master of Liberal Arts; MLIBA (1190/2014); AQF Level 9 - Masters Degree (Coursework)
Masters of General and Applied Linguistics; MLING (1191/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Social Research; MSRES (1192/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Studies; MSTUD (1193/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Applied Anthropology and Participatory Development (Advanced); VAAPD (1194a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Art History and Curatorial Studies (Advanced); VAHCS (1195a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Anthropology (Advanced); VANTH (1196a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Culture Health and Medicine (Advanced); VCHAM (1197a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Classical Studies (Advanced); VCLAS (1198a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of History (Advanced); VHIST (1199a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Liberal Arts (Advanced); VLIBA (1200a/2014); AQF Level 9 - Masters Degree (Coursework)
Masters of General and Applied Linguistics (Advanced); VLING (1201a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Social Research (Advanced); VSRES (1202a/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Studies (Advanced); VSTUD (1203a/2014); AQF Level 9 - Masters Degree (Coursework)

ANU College of Business and Economics
Graduate Certificate of Finance and Actuarial Statistics; CFAS (1204/2014); AQF Level 8 – Graduate Certificate
Master of Business Administration; 7810XMB (1249/2014); AQF Level 9 - Masters Degree (Coursework)
Master of Statistics; MSTAT (1195/2014); AQF Level 9 - Masters Degree (Coursework)

ANU College of Engineering and Advanced Computing
Master of Computing; 7706XMCOMP (1255/2014); AQF Level 9 - Masters Degree (Coursework)

ANU College of Law
Graduate Certificate of Australian Migration Law and Practice; 6353XGCMGL (1250/2014); AQF Level 9 - Masters Degree (Coursework)
Graduate Certificate of Military Law; 6319 CMILL (1251/2014), AQF Level 8 – Graduate Certificate
Graduate Diploma of Military Law; 6320 DMILL (1251/2014), AQF Level 8 – Graduate Diploma
Master of Military Law; 7316XMMIL (1251/2014); AQF Level 8 – Master Degree (Coursework)

ANU College of Medicine, Biology and the Environment
Master of Environment; MENVI (1206/2014); AQF Level 9 - Masters Degree (Coursework)

Joint Colleges of Science
Master of Science Specialising in Science Communication (NUS); 7614XMNUS (752/2014); AQF Level 9 - Masters Degree (Coursework)

Item 30.4 Amendments to Graduate Coursework Awards and Specialisations – College

Approved Changes for noting

Resolution

The Board noted the following amendments to Graduate Coursework Awards and Specialisations as approved by the Colleges.

<table>
<thead>
<tr>
<th>College</th>
<th>Doc. No</th>
<th>Code</th>
<th>Name</th>
<th>Amendment</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBE</td>
<td>1247/2014</td>
<td>MECPO</td>
<td>Master of Economic Policy</td>
<td>Remove all progression requirements, replace with pass grade for progression. This change reflects the non-technical nature of this offering</td>
</tr>
<tr>
<td>CAP</td>
<td>-</td>
<td>MNSPO</td>
<td>Master of National Security Policy</td>
<td>INTR8032 Global Security 1 has replaced INTR8036 World Politics as a compulsory course</td>
</tr>
<tr>
<td>CAP</td>
<td>-</td>
<td>VNSPO</td>
<td>Master of National Security Policy (Advanced)</td>
<td>INTR8032 Global Security 1 has replaced INTR8036 World Politics as a compulsory course</td>
</tr>
<tr>
<td>CMBE</td>
<td>-</td>
<td>VENVI</td>
<td>Master of Environment (Advanced)</td>
<td>Revise progression requirements from 60% to 70%</td>
</tr>
<tr>
<td>CMBE</td>
<td>-</td>
<td>VFORE</td>
<td>Master of Forestry (Advanced)</td>
<td>Revise progression requirements from 60% to 70%</td>
</tr>
<tr>
<td>CMBE</td>
<td>-</td>
<td>MFORE</td>
<td>Master of Forestry</td>
<td>Change of research essay code to ENVS8105 Forestry Research Essay</td>
</tr>
<tr>
<td>CASS</td>
<td>-</td>
<td>HIST-SPEC</td>
<td>History Specialisation</td>
<td>Addition of courses to the core course list</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/2014</td>
<td>VANTH</td>
<td>Master of Anthropology (Advanced)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/2014</td>
<td>VANTH</td>
<td>Master of Anthropology (Advanced)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/2014</td>
<td>VAAPD</td>
<td>Master of Applied Anthropology and</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>Course Code</td>
<td>Thesis Code</td>
<td>Course Title</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>-------------</td>
<td>-------------</td>
<td>--------------</td>
<td>---------------------</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VAAPD</td>
<td>Master of Applied Anthropology and Participatory Development (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VARSC</td>
<td>Master of Archaeological Science (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VAHCS</td>
<td>Master of Art History and Curatorial Studies (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VBIAN</td>
<td>Master of Biological Anthropology (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VBIAN</td>
<td>Master of Biological Anthropology (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VCLAS</td>
<td>Master of Classical Studies (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VCHAM</td>
<td>Master of Culture Health and Medicine (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VCHAM</td>
<td>Master of Culture Health and Medicine (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VDIGA</td>
<td>Master of Digital Arts (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VDIGA</td>
<td>Master of Digital Arts (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VGLOB</td>
<td>Master of Globalisation (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VHIST</td>
<td>Master of History (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VLIBA</td>
<td>Master of Liberal Arts (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VMECA</td>
<td>Master of Middle Eastern and Central Asian Studies (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VMUSI</td>
<td>Master of Music (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VSRES</td>
<td>Master of Social Research (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VVISA</td>
<td>Master of Visual Arts (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>CASS 1252/2014</td>
<td>VVISA</td>
<td>Master of Visual Arts (Advanced)</td>
<td>Replace thesis code</td>
<td></td>
</tr>
<tr>
<td>Code</td>
<td>Year</td>
<td>Code</td>
<td>Program Description</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>-------</td>
<td>-------</td>
<td>----------</td>
<td>----------------------------------------------------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7142XANTH</td>
<td>Master of Anthropology (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7143XARSC</td>
<td>Master of Archaeological Science (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7023XAHCSR</td>
<td>Master of Art History and Curatorial Studies (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7129XVISA</td>
<td>Master of Visual Arts (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7141XBIAN</td>
<td>Master of Biological Anthropology (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7153XMCHM</td>
<td>Master of Culture Health and Medicine (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7154XMSSR</td>
<td>Master of Social Research (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7162XMHR</td>
<td>Master of History (Research)</td>
<td>Replace thesis code</td>
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<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7148HVC R</td>
<td>Master of Liberal Arts (Visual Culture Research) (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7149HMSC</td>
<td>Master of Liberal Arts (Museums and Collections) (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7151HCEH</td>
<td>Master of Liberal Arts (Cultural and Environmental Research) (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>7150HWWHL</td>
<td>Master of Liberal Arts (Writing, World Histories and Lives) (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>XLING</td>
<td>Master of Linguistics (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>XMMUSA</td>
<td>Master of Music Advanced</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>XMGLBA</td>
<td>Master of Globalisation Advanced</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>XDART</td>
<td>Master of Digital Arts (Research)</td>
<td>Replace thesis code</td>
</tr>
<tr>
<td>CASS</td>
<td>1252/14</td>
<td>XDART</td>
<td>Master of Digital Arts (Research)</td>
<td>Replace thesis code</td>
</tr>
</tbody>
</table>
Item 30.5 Disestablishment of Graduate Coursework Awards

Resolution

The Board approve the disestablishment of the Graduate Coursework Awards as detailed below:

ANU College of Arts and Social Sciences
Master of Arts; 7100XMARTS; (1235/2014); AQF Level 9 Master Degree (Coursework)

Item 30.6 New Graduate Specialisations

Resolution

The Board approved and accredited the Specialisations as detailed below:

ANU College of Arts and Social Sciences
English; ENGH-SPEC; (975/2014)

ANU College of Asia and the Pacific
Australian Defence Policy; ADEF-SPEC; (1236/2014)
Australia and the Use of Force; AFOR-SPEC; (1237/2014)
Military operations, leadership and command; MOLC-SPEC; (1238/2014)
Strategy and Operations; STOP-SPEC; (1239/2014)

ANU College of Medicine, Biology and the Environment
Biodiversity Conservation and Management; BICM-SPEC; (1240/2014)
Climate Science and Policy; CLSP-SPEC; (1241/2014)
Environmental Policy; ENVP-SPEC; (1242/2014)
Environmental Studies and Human Ecology; ESHE-SPEC; (1243/2014)
Geography; GEOG-SPEC; (1244/2014)
Natural Resource Management; NRMG-SPEC; (1245/2014)
Sustainability Science; SUSC-SPEC; (1246/2014)
Water Science and Management; WSMG-SPEC; (1247/2014)

Item 30.7 Specialisation Accreditation Period

Resolution

The Board approved the Museum Education and Heritage Interpretation Specialisation accreditation without conditions.

Item 31 Higher Degree Research Programs

Item 31.1 HDR Program Review

Resolution

The Board approve the HDR program reviews as listed below:

ANU College of Asia and the Pacific
1. 8050 Master of Philosophy, Culture, History and Language – 4 year accreditation (1047/2014)
2. 8510 Master of Philosophy, International, Political and Strategic Studies – 4 year accreditation (1048/2014)
3. 8540 Master of Philosophy, Crawford School of Economics and Government – 4 year accreditation (1049/2014)
4. 8560 Master of Philosophy, Regulation, Justice and Diplomacy – 4 year accreditation (1050/2014)
5. 8850 Master of Philosophy, National Security College – 5 year accreditation (1051/2014)
6. 9050 Doctor of Philosophy, Culture, History and Language – 4 year accreditation (1052/2014)
7. 9510 Doctor of Philosophy, International, Political and Strategic Studies – 4 year accreditation (1053/2014)
8. 9540 Doctor of Philosophy, Crawford School of Economics and Government – 4 year accreditation (1054/2014)
9. 9560 Doctor of Philosophy, Regulation, Justice and Diplomacy – 4 year accreditation (1055/2014)
10. 9850 Doctor of Philosophy, National Security College – 5 year accreditation (1056/2014)
<table>
<thead>
<tr>
<th>Item</th>
<th>Program</th>
<th>College</th>
<th>Years</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.</td>
<td>Master of Philosophy, Research School of Social Sciences</td>
<td>5 year</td>
<td>mid-term report required</td>
<td>1057/2014</td>
</tr>
<tr>
<td>12.</td>
<td>Master of Philosophy, Research School of Humanities and the Arts</td>
<td>4 year</td>
<td>accreditation</td>
<td>1058/2014</td>
</tr>
<tr>
<td>13.</td>
<td>Doctor of Philosophy, Australian Demographic and Social Research Institute</td>
<td>4 year</td>
<td>accreditation</td>
<td>1059/2014</td>
</tr>
<tr>
<td>14.</td>
<td>Doctor of Philosophy, Research School of Social Sciences</td>
<td>5 year</td>
<td>accreditation</td>
<td>1060/2014</td>
</tr>
<tr>
<td>15.</td>
<td>Doctor of Philosophy, Research School of Humanities and the Arts</td>
<td>4 year</td>
<td>accreditation</td>
<td>1061/2014</td>
</tr>
<tr>
<td>16.</td>
<td>Master of Philosophy, National Centre for Indigenous Studies</td>
<td>4 year</td>
<td>accreditation</td>
<td>1062/2014</td>
</tr>
<tr>
<td>17.</td>
<td>Doctor of Philosophy, National Centre for Indigenous Studies</td>
<td>4 year</td>
<td>accreditation</td>
<td>1063/2014</td>
</tr>
</tbody>
</table>

**Item 31.2 HDR Program Disestablishment**

Resolution

The Board approved the HDR program disestablishments as listed below:

<table>
<thead>
<tr>
<th>ANU Joint Colleges of Science</th>
<th>Program</th>
<th>Years</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Master of Philosophy, Microscopy</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>2.</td>
<td>Master of Philosophy, Translational Medicine</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>3.</td>
<td>Doctor of Philosophy, Microscopy</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>4.</td>
<td>Doctor of Philosophy, Translational Medicine</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>5.</td>
<td>Master of Philosophy, NCEPH, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>7.</td>
<td>Master of Philosophy, ACERH, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>8.</td>
<td>Master of Philosophy, CMHR, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>10.</td>
<td>Doctor of Philosophy, NCEPH, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>11.</td>
<td>Doctor of Philosophy, APHCRI, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
<tr>
<td>12.</td>
<td>Doctor of Philosophy, ACERH, Institute of Population Health</td>
<td>4 year</td>
<td>accreditation</td>
</tr>
</tbody>
</table>

**Item 31.3 HDR Program Establishment**

Resolution

The Board approved the new HDR programs as listed below:

<table>
<thead>
<tr>
<th>ANU College of Medicine, Biology &amp; Environment, Research School of Population Health</th>
<th>Program</th>
<th>Years</th>
<th>Approval Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>HDR Program Establishment: MPhil</td>
<td>Research School of Population Health</td>
<td>4 year</td>
</tr>
<tr>
<td>2.</td>
<td>HDR Program Establishment: PhD</td>
<td>Research School of Population Health</td>
<td>4 year</td>
</tr>
</tbody>
</table>

**Part 8 – Items of Other Business**

**Item 32 Any Other Business**

The Dean of Students reported that there had been a great response to nominations for the Last Lecture. [http://www.anu.edu.au/dos/lecture.php](http://www.anu.edu.au/dos/lecture.php) Voting is underway. The Dean of Students will forward the names of nominees to the Deans so they recognise the nominees. The Last Lecture will be held Thursday 30th October at 5.30pm.

The Chair noted that today was Professor Cuevas last day as the Acting Dean, ANU College of Engineering & Computer Science and thanked Professor Cuevas for his contribution to the Board.
1. The ANU Bachelor Honours degree exemplifies ANU’s commitment to research-led education. It prepares students for professional life or, with completion of a thesis, entry into a PhD, through the development of an advanced knowledge of the research principles and methods and theoretical concepts of their discipline/s or specialisation such that they can design and implement research projects that lead to the development of new understandings or that provide solutions to complex problems.

2.1 All Honours plans will specify at least 48 units of courses as Honours courses, which are to be identified through coding at 4000-level; the learning outcomes for these courses will be at a minimum of AQF Level 8.

2.2 All Honours plans must include both research training and the application of that training in one or more research projects to ensure that students develop “an advanced knowledge of the research principles and methods and theoretical concepts of their discipline/s or specialisation such that they can design and implement research projects that lead to the development of new understandings or that provide solutions to complex problems.”

2.2.1 The research training minimum in an Honours plan must be equivalent to 12 units of summative assessment tasks at a minimum of AQF Level 8.

2.2.2 The research project minimum in an Honours plan must be equivalent to 12 units of summative assessment tasks at a minimum of AQF Level 8. To serve as a potential PhD pathway the research project in an Honours plan must comply with the recommendations of the ANU PhD Pathways Working Group as approved by Academic Board.

2.3 The PhD Pathways Working Group will make recommendations about the minimum requirements for possible entry into an ANU PhD. Each embedded Honours plan in which the minimum requirements do not provide a possible pathway to a PhD is required to provide an option in its structure that is a possible pathway to a PhD. This option may have entry requirements additional to those for entry into the Bachelor Honours degree.

2.4 At least 25% of the summative assessment, or a combination of both (i) a minimum of 15% summative assessment and (ii) formalized progress monitoring involving staff other than the supervisor or Honours convenor, is to be completed in the first half (in terms of duration) of an Honours plan. The form for the creation, amendment, or review of Honours plans will have a section for explanation of how this requirement is met. Where an Honours plan has a thesis, the thesis course outline will also include this information.

2.5 The form for the creation, amendment, or review of Honours plans will have a section for explanation of how the assessment is structured such that it can be determined whether or not each student meets the learning outcomes for the Honours plan.
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>UEC agreement</th>
<th>AB agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Coursework must be consistent with the ANU Academic Programs and Courses Accreditation Policy and Procedure, including Procedure para 22: &quot;The standard unit value of courses at ANU is 6. Courses worth multiples of 6 (e.g., 12, 18, 24) may also be permitted to meet professional accreditation or clinical requirements, or to support research training.&quot;</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4. 4000-level courses may be rebadged or co-badged versions of 6000/7000/8000-level courses that have the same learning outcomes, assessment, and contact as the 6000/7000/8000-level courses. For purposes of the micro-load levy, the EFTSL load in these rebadged or co-badged courses will be added together to determine the load of these courses.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>5. The relevant Delegated Authority may approve for an Honours student to substitute 2000-, 3000-, 6000-, 7000-, or 8000-level courses for 4000-level Honours courses specified in the orders for the Honours plan. A maximum of 12 units of 2000- and 3000-level courses may be counted towards the 48 units of Honours courses.</td>
<td>✓</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td>6. If a student attends classes and submits assessment for a formally-approved course as part of an Honours plan, the student is to formally enrol in that course, with the course, mark, and grade appearing on the transcript.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>7. Where Honours research training courses are run only once per calendar year, disciplines are to report to Academic Board on the strategies for ensuring that students who enter the plan in a session in which these courses are not taught will not be disadvantaged (i) whenever an Honours plan is created; and (ii) as part of the proposal to Academic Board as part of the Review Process when each plan is reviewed as per the Programs and Courses Accreditation Policy, paragraph 8. If a Review finds that there is any disadvantage then the Review document must explain how the issue will be addressed and the timeframe for implementation. Affected students may appeal under the Assessment Rules 2014 <a href="http://about.anu.edu.au/__documents/rules/assessmentrules.pdf">http://about.anu.edu.au/__documents/rules/assessmentrules.pdf</a>.</td>
<td>Referred to ESQC to develop the mechanics of the process.</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td>8. The Requisite for all 4000-level Honours courses be &quot;Enrolment in [list all relevant Honours plan codes]&quot; and/or with &quot;Permission of the Convenor&quot; (noting that the use of permission codes is to be minimised) and/or one or more specified courses. Other expectations can be communicated as &quot;assumed knowledge&quot;. (Note: this was revised following discussion at UEC)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9.1 Honours is a plan within an undergraduate program.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9.2 For the purposes of Paragraph 8 of the Programs and Courses Accreditation Policy, when calculating EFTSL load in a program, where there is both a pass plan and an Honours plan, the EFTSL load in each will be added together to determine the program load for determining both load and viability.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9.3 All undergraduate programs that have a pass plan should normally also have an Honours plan; exceptions may be approved by Academic Board based on a case put by the relevant College.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9.4 Undergraduate programs that have an Honours plan are not required to also have a pass plan.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>9.5 A student completing two majors in one program may, if meeting the Honours entry requirements for Honours in both disciplines, do two separate Honours years, one for each discipline.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>10. There be no change to the time limits for completion of an Honours program as set out in paragraphs 2.11.1-2.11.3 and 2.11.5-2.11.6 of the Undergraduate Award Rules.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recommendation</td>
<td>UEC agreement</td>
<td>AB agreement</td>
</tr>
<tr>
<td>----------------</td>
<td>--------------</td>
<td>--------------</td>
</tr>
<tr>
<td>11. That in paragraph 2.11.4(a) of the Undergraduate Award Rules, “undertakes the honours year immediately after finishing the requirements for the corresponding pass degree” be amended to “commences the honours year within two years of completing the requirements for the corresponding pass degree”. That paragraph 2.11.4(b) of the Undergraduate Award Rules be amended. From: “for a student undertaking 2 honours programs—he or she undertakes the honours year of each program: (i) immediately after completing the requirements for the corresponding pass degree; or (ii) immediately after completing the honours year for the other component degree.” To: “for a student undertaking 2 honours programs—he or she commences the honours year of each program: (i) within two years of completing the requirements for the corresponding pass degree; or (ii) immediately after completing the honours year for the other component degree.”</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>12. The Undergraduate Award Rules be amended as appropriate such that students applying for admission to an Honours year must commence in the session for which they have applied unless the Honours Delegate approves otherwise.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>13. Withdrawn.</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>14.1 An Honours plan requires the specification of at least 48 units of courses as Honours courses. As noted at 3.3 above, the Delegated Authority may approve variations on a student-by-student basis.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>14.2 For programs with embedded Honours, these courses should not form part of the first 96 units of the program. (Note: this was revised following discussion at UEC)</td>
<td>✓</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td>14.3 All Honours components listed in program orders will be coded 4XXX.</td>
<td>✓</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td>14.4 The 4XXX code is to be restricted to use for Honours components.</td>
<td>Referred to ESQC (need to develop implementation plan for recoding current 4000-level courses that are not Honours courses)</td>
<td>Referred to ESQC</td>
</tr>
</tbody>
</table>
### Recommendation

| 15.1 | The term "Honours Specialisation" be created to describe a 48-unit set of Honours courses. The definition of "Specialisation" in the Glossary is to be amended to: A University-approved set of advanced courses, the completion of which indicates depth of specialist knowledge of the discipline or field identified by the name of the specialisation. The structure of a specialisation
| **Subject to any adjustment to definition that may be approved by ESQC.** |
| **Subject to any adjustment to definition that may be approved by ESQC** |

- at undergraduate level, requires the completion of 24 units of 2000/3000-level courses that must be completed in conjunction with a specific major or as a specified requirement within a degree; it indicates additional study in a discipline above any normal major requirement;
- at Honours level, an “Honours Specialisation” requires the completion of 48 units of 4000-level courses; it includes both research training and the application of that training in one or more research projects; and
- at graduate level, requires the completion of 24 units of 6000/7000/8000-level courses.

| 15.2 | Each program that has one pass plan should normally have one Honours plan; an exception is where a pass plan has two Honours plans to enable a student to take two Honours "years" (plans) within a program.
| **Referred to ESQC** |
| **Referred to ESQC** |

(Note: this was revised following discussion at UEC)

| 15.3 | An Honours plan may have multiple Honours Specialisations.
| **Referred to ESQC** |
| **Referred to ESQC** |

| 15.4 | An Honours plan is not required to have any Honours Specialisations.
| **Referred to ESQC** |
| **Referred to ESQC** |

| 15.5 | The creation, disestablishment, and amendment of Honours Specialisations will follow the requirements as detailed for programs in the Academic Programs and Courses Accreditation Policy. The proforma for Honours Specialisations will replicate as closely as possible the current proforma for majors, minors and specialisations ([http://drss.anu.edu.au/asqo/docs/New-Major-Minor-Specialisation.docx](http://drss.anu.edu.au/asqo/docs/New-Major-Minor-Specialisation.docx)) with the expectation that the College completed section be less than one page.
| **ASQO to develop a form and submit for consideration of ESQC.** |
| **Referred to ESQC** |

| 15.6 | Before approving proposals relating to Honour Specialisations, Academic Board will consider, amongst other things, the sustainability, distinctiveness, and role as a pathway of the Specialisation.
| **Referred to ESQC** |

| 16. | The structure of the orders for each Honours plan is, subject to any amendments resulting from recommendations of this report, to follow the Structure and Wording of Coursework Award Requirements (Program Orders) ([https://policies.anu.edu.au/cs/groups/confidential@dsa/documents/edrms/dxbf/mda2/~edisp/anup_006803.pdf](https://policies.anu.edu.au/cs/groups/confidential@dsa/documents/edrms/dxbf/mda2/~edisp/anup_006803.pdf))
<p>| <strong>Referred to ESQC</strong> |
| <strong>Referred to ESQC</strong> |</p>
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>UEC agreement</th>
<th>AB agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>17.1</strong> Research projects of 24 units or more are called “Thesis”. The current definition of “Thesis” is to be amended to “Thesis (HDR)” and a new definition added to the Glossary: “Thesis (Coursework). The product of a research project of at least 24 units that investigates a research question through the application of an advanced knowledge of the research principles and methods and theoretical concepts of one or more disciplines or specialisations.” The Glossary (<a href="https://policies.anu.edu.au/ppl/document/ANUP_002601">https://policies.anu.edu.au/ppl/document/ANUP_002601</a>) is to be amended to include this definition. The use of the term “Sub-Thesis” is to be discontinued. Research projects of less than 24 units are not to be called “Thesis”; each discipline may determine what term, other than Thesis or Sub-Thesis, to use.</td>
<td>Referred to ESQC (confirm definition of a Thesis)</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td><strong>17.2</strong> Each thesis course will be set up as single variable unit course (e.g. 6-24u that may be taken more than once).</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>17.3</strong> College Education Committees may determine the appropriate number of thesis courses for that College, noting that the micro-load levy will be applied to coursework thesis courses.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>17.4</strong> Each thesis will receive a mark of between 0 and 100.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>17.5</strong> If a thesis is not completed in one semester, the interim grade KU will be used until there is a final result.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>17.6</strong> Theses are exempt from the <em>Student Assessment (Coursework) Policy and Procedure</em> sections “Assessment Task Submission” and “Late Assessment Task Submission” and instead follow the requirements in the relevant Course Outline. Theses will be consistent with the practice of HDR theses with regard to the use of text matching software.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>17.7</strong> A student who is enrolled in two Honours plans may enrol in the same thesis course twice, but must write on a different topic each time; any material common to the two theses must be appropriately quoted and cited as common to the two theses. <em>(Note: this was revised following discussion at UEC)</em></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>18.1</strong> Current classifications (H1, H2A, etc.) and bands (80-100, etc.), as specified in the <em>Student Assessment (Coursework) Policy</em>, paragraph 30, will continue to be used.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>18.2</strong> Where an Honours plan consists of more than one course, an administrative shell will be created to enable the award of a final Honours mark and class of Honours.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>18.3</strong> There should be no more than one such shell for each College for “+1 year” Honours plans. Each College’s default shell will be coded HONS4XXX, with the second digit indicating the College. Where approved by Academic Board on the basis of justification based on academic or professional accreditation reasons, there may be separate shells for each embedded Honours program.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>18.4a</strong> For “+1 year” Honours plans, the final Honours mark will include all courses taken towards the plan and be calculated as follows:  [ \text{Σ (mark x units) / Σ units, giving NCN and WN a nominal mark of zero} ]</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Recommendation</td>
<td>UEC agreement</td>
<td>AB agreement</td>
</tr>
<tr>
<td>----------------</td>
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</tr>
<tr>
<td><strong>18.4b</strong> For “embedded” Honours plans the WAM will be approved by Academic Board. NCN and WN will have a nominal mark of zero. <em>(Note: this was revised following discussion at UEC)</em></td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>18.5</strong> Moderation of marks may apply to individual courses, but not to an administrative shell.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>19.</strong> The following be incorporated into Part 3 Division 3 of the <em>Undergraduate Award Rules</em>: Limit on obligation If a person seeking acceptance into a Bachelor Honours program satisfies or exceeds the minimum requirement for admission to the Bachelor Honours program, the Delegated Authority is not obliged to admit the person to the program only because the person has satisfied the minimum requirement for admission.</td>
<td>Referred to CAAC.</td>
<td>Referred to CAAC.</td>
</tr>
<tr>
<td><strong>20.</strong> The admissions standards template for “+1 year” Bachelor Honours Plans is: A Bachelor Degree completed within the last two years  [1] in a cognate area [cognate areas to be identified in program proposals]  [2] with an average of at least ___ [select level] [Standard statement of how the average is calculated]  [3] with at least ___ courses in ____ [Select [3]if required; the list may have multiple components; maximum of 12 courses]  [4] and with the written approval of an identified supervisor for the research project/thesis [Select [4] if required; if [4] selected, select research project or thesis]</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>21.1</strong> The average referred to in the template will be calculated from the numerical marks for the best 36 units of courses, excluding courses coded as first year courses (i.e., 1000-level), that are in the discipline/s determined by the program as cognate.</td>
<td>Referred to ESQC (best 36 or at least 36 units or specified 36 units?)</td>
<td>Referred to ESQC</td>
</tr>
<tr>
<td><strong>21.2</strong> For the purpose of calculating averages, the <em>Programs and Courses Accreditation Policy</em> be amended by replacing references to letter grades with “the minimum mark required for a [insert grade]”.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td><strong>22.</strong> The quality floor for direct-entry Honours programs will be an ATAR of 90 or equivalent.</td>
<td>Referred to CAAC.</td>
<td>Referred to CAAC.</td>
</tr>
<tr>
<td><strong>23.1</strong> Transfer into a Bachelor Honours plan from a Bachelor pass plan This is only relevant where there is a direct entry Bachelor Honours plan. Students may transfer if they meet the entry requirements for direct entry into the Bachelor Honours plan.</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>
### Recommendation

<table>
<thead>
<tr>
<th></th>
<th>23.2 Transfer out of a Bachelor Honours plan into a Bachelor pass plan</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Voluntary transfers</td>
</tr>
<tr>
<td></td>
<td>It is not possible for a student transfer out of a “+1 year” Honours plan into a pass plan, as completion of a pass plan is a prerequisite for entry into the Honours plan.</td>
</tr>
<tr>
<td></td>
<td>For a direct entry 192-unit Bachelor Honours plan, a student, subject to meeting academic progress requirements, may voluntarily transfer from a Bachelor Honours plan into a Bachelor pass plan within the same program, with full credit for all completed courses. An Honours plan may also specify additional plans into which a student may voluntarily transfer.</td>
</tr>
</tbody>
</table>

**Forced transfers resulting from not meeting an internal hurdle**

If a student does not meet an internal hurdle in a 192-unit direct-entry Bachelor Honours plan, but meets other academic progress requirements, the student will be forcibly transferred into another plan or program. In all instances, a 192-unit direct-entry Bachelor Honours plan with an internal hurdle must state the default program into which students will be transferred if they do not meet the internal hurdle. Students will receive full credit towards the default program for all courses completed in the Bachelor Honours plan from which they have been transferred. Appeals to a decision to forcibly transfer are available under paragraph 6.3 of the Undergraduate Awards Rules (No. 2) 2013 http://about.anu.edu.au/__documents/rules/undergradawardsrules.pdf. (Note: this was revised following discussion at UEC)

<table>
<thead>
<tr>
<th></th>
<th>24. A student will normally follow the Honours requirements of the Academic Organisation Unit (AOU) to which the student will submit the thesis for examination.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>25.1 Students in a 48-unit Honours Plan, or in the final 48 units of a 192-unit Honours Plan, are normally expected to complete all units at ANU, but may apply to take between 6u and 24u of coursework (but not the thesis) at approved exchange institutions subject to the following conditions, noting that there is no assurance of being able to undertake an exchange even where desired.</td>
</tr>
<tr>
<td></td>
<td>25.2 Students in a 48-unit Honours Plan who do not have an ANU AQF Level 7 qualification must complete 48 units of their program through enrolment in ANU courses (that is, courses created and controlled by ANU).</td>
</tr>
<tr>
<td></td>
<td>25.3 Exchanges in a 48-unit Honours Plan, or in the final 48 units of a 192-unit Honours Plan, must be at an institution that is on a list of institutions approved by the University Education Committee for Honours exchanges; the list will include but not be limited to all IARU universities.</td>
</tr>
<tr>
<td></td>
<td>25.4 Each course undertaken at a partner institution must be approved IN ADVANCE by both the relevant Program/Honours Convenor and the relevant College's Associate Dean Education or Sub Dean.</td>
</tr>
</tbody>
</table>

### UEC agreement | AB agreement

<p>|   | ✓ | ✓ |</p>
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>UEC agreement</th>
<th>AB agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td>25.5 The student must provide documentation to the satisfaction of the Program/Honours Convenor and the College's Associate Dean Education or Sub Dean such that it can be determined that each exchange course will contribute to the learning outcomes of the Honours plan, that the combination of courses that the student proposes will ensure that the Honours plan learning outcomes can be met, and that the proposed courses will enhance the writing of the Thesis.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.6 Credit will be calculated as 6 ANU units = 7.5 ECTS credits.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.7 Where it is explicitly stated, disciplines may require students to demonstrate to the relevant Honours Convenor that the specific learning outcomes anticipated by the exchange have been met.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.8 The grade for courses taken on exchange will appear on the transcript as STE (external status); marks or grades awarded by another institution will, after benchmarking and moderation so that they accord with ANU marking standards, be taken into consideration by the Examiners' Committee when recommending the final Honours mark and class of Honours.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.9 Students cannot graduate until after receipt of official confirmation from the host university of both the study load and the passing of the courses undertaken while on exchange; students should note that in some cases this may take more than six months and in such cases the completion of Honours and graduation will be delayed until after this has been received.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.10 Exchange will not constitute reason for extension to or special consideration towards the Honours thesis.</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>25.11 Scholarships, unless the scholarship rules expressly prohibits it, will continue.</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

26. The Working Party report is to be implemented as follows:

- R4 co-badging and calculation of course load
- R9.2 calculation of plan load
- R15.1 addition of term “Honours Specialisation” to Glossary
- R17.1 amendment of term “Thesis” in Glossary

The Registrar is responsible for implementation of R4 and R9.2, and the Education Standards and Quality Committee for the implementation of R15.1 and R17.1.

Section 26 will be updated to include recommendations on any points made by the sub-committee they were referred too.

Section 26 will be updated to include recommendatio ns on any points made by the sub-committee they were referred too.
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>UEC agreement</th>
<th>AB agreement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>26.2</strong> Effective from date of approval by Council: Changes to <em>Undergraduate Award Rules</em>: R11, R12, R13, R19. The Registrar is responsible for implementation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>26.3</strong> Effective from the effective date of any changes to ANU policies or procedures: changes to ANU policies or procedures. The Education Standards and Quality Committee is responsible for implementation.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>26.4</strong> Effective from 01 January 2015: All other recommendations become available for implementation should Colleges so choose. Colleges are responsible for implementation, including taking down information from College pages that duplicate information on programs and courses; the Registrar is responsible for configuration of programsandcourses.anu.edu.au for the implementation of Honours Specialisations, noting that until 01 January 2016 specialisations will display within program orders but not as separate pages as, for example, majors.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>26.5</strong> Effective from 01 January 2016: Full compliance required, except for the MBBS Hons on the grounds that no new students are being admitted. Colleges are responsible for implementation, and will report to UEC 1/2016 on compliance.</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>
27  POWER OF ATTORNEY

PURPOSE  To consider a list of documents signed under Power of Attorney by the Investment Manager and Acting Investment Manager between 12 September 2014 and 5 November 2014.

PREPARED BY  Investment Office

REVIEWED BY  Chief Finance Officer

APPROVED BY  Executive Director, (Administration and Planning)

SPONSOR  Executive Director (Administration and Planning)

RECOMMENDATION  That Council note that the Investment Manager and Acting Investment Manager exercised the Power of Attorney over the attached transactions between 12 September 2014 and 5 November 2014.

ACTION REQUIRED  For discussion ☐  For decision ☐  For information ☑

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

ATTACHMENT  27.1 List of transactions over which the Investment Manager and Acting Investment Manager exercised Power of Attorney between 12 September 2014 and 5 November 2014 (186/2014).
<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1150</td>
<td>12/09/2014</td>
<td>201211748</td>
<td>Equity Swap Transaction – Deal Reference 505637 between Macquarie Bank Limited and The Australian National University re Telstra Corp Ltd on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1151</td>
<td>12/09/2014</td>
<td>201212806</td>
<td>Subscription Agreement Investor Version between The Australian National University, IFM Fiduciary Pty Ltd, IFM Fiduciary No 2 Pty Ltd and IFM Investors Pty Ltd on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1152</td>
<td>22/09/2014</td>
<td>20120079C</td>
<td>Beneficiary Deed for Lost Bank Guarantee in favour of each of National Australia Bank Limited and EP Johnson &amp; Davies re lease of Level 3, 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1153</td>
<td>30/09/2014</td>
<td>201211748</td>
<td>Request for Direct Credit of Payments re the University’s holding in Goodman Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1154</td>
<td>30/09/2014</td>
<td>201211762</td>
<td>Request for Direct Credit of Payments re the University’s holding in Goodman Group on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1155</td>
<td>07/10/2014</td>
<td>201211749</td>
<td>Change of Name Request re the University’s second holding in Caltex Sub Notes on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1156</td>
<td>07/10/2014</td>
<td>201211749</td>
<td>Request to Consolidate re the University’s two holdings in Caltex Sub Notes on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1157</td>
<td>13/10/2014</td>
<td>201211748</td>
<td>Termination Agreement Ref 505637 1F re Equity Swap Transaction for Telstra Corp Ltd between Macquarie Ban Limited and the Australian National University on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1158</td>
<td>20/10/2014</td>
<td>201211748</td>
<td>Request to Merge Multiple Holdings re the University’s two holdings of Brambles Limited on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1159</td>
<td>21/10/2014</td>
<td>20050580C</td>
<td>Proxy Form Appointing Micah Manners to vote on behalf of the University re Seeing Machines Limited General Meeting on 21 October 2014 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1160</td>
<td>21/10/2014</td>
<td>20050580C</td>
<td>Appointment of Corporate Representative appointing Micah Manners to attend the general meeting of Seeing Machines on 21 October 2014 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1161</td>
<td>28/10/2014</td>
<td>201211749</td>
<td>Request to Consolidate Holdings re the University’s two holdings of ANZ Banking Group Convertible Preference Shares on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1162</td>
<td>28/10/2014</td>
<td>200601687</td>
<td>Unanimous Written Consent of the holders of certain convertible promissory notes issued by Proacta Inc to be cancelled on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1163</td>
<td>28/10/2014</td>
<td>200601687</td>
<td>Action by Written Consent of the Stockholders of Proacta Inc for voluntary dissolution of the company on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1164</td>
<td>28/10/2014</td>
<td>200601687</td>
<td>Proacta Inc Convertible Promissory Note Satisfaction and Cancellation Agreement on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1165</td>
<td>28/10/2014</td>
<td>201411322</td>
<td>Building Plans and Documentation Search Owners Consent form to allow Matt Stagg of Colliers International to view documentation re 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1166</td>
<td>05/11/2014</td>
<td>201211748</td>
<td>Letter to Boardroom Pty Limited requesting change of address for all companies re shareholdings on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1167</td>
<td>05/11/2014</td>
<td>201211748</td>
<td>Letter to Link Market Services requesting change of address for all companies re shareholdings on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1168</td>
<td>05/11/2014</td>
<td>201211748</td>
<td>Letter to Computershare Investor Services requesting change of address for all companies re shareholdings on behalf of the Long Term Investment Pool</td>
</tr>
</tbody>
</table>
28 UNIVERSITY SEAL REPORT

PURPOSE To consider uses of the University Seal.

PREPARED BY Office of Vice-Chancellor

REVIEWED BY Vice-Chancellor

APPROVED BY Vice-Chancellor

RECOMMENDATION That Council note that the documents to which the University Seal has been affixed since the meeting of Council held on 3 October 2014.

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

SUPPORTING MATERIAL

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

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

A list of documents to which the University Seal has been affixed since the meeting of Council held on 3 October 2014 is as follows:

- 17 October 2014 UniSuper Limited – Annual General Meeting Proxy Form 2014
- 30 October 2014 Deed of Indemnity and Access – Council Member – Matthew Colless
- 30 October 2014 Deed of Indemnity and Access – Council Member – Karen Hussey
- 30 October 2014 Deed of Indemnity and Access – Council Member – Tim Senden
- 30 October 2014 Staff Superannuation (Repeal) Statute 2014
- 30 October 2014 Superannuation Funds (Investment and Management)(Repeal) Statute 2014
- 30 October 2014 Academic Board and Committees Statute 2014
- 13 November 2014 Deed of Indemnity and Access – Council Member – Ben Gill

PART 5 – OTHER MATTERS FOR NOTING
29 SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

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

PREPARED BY Office of Strategic Communications and Public Affairs

REVIEWED BY Director, Strategic Communications and Public Affairs

APPROVED BY Vice-Chancellor

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

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

ATTACHMENT 29.1 Report of significant visits and events, grants and consultancies (187/2014).
**Significant Events from 1 September – 31 October 2014**

What constitutes a Significant Event?

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

**SEPTEMBER**

**VIP Event**

**ANU Crawford School of Public Policy**

*Tuesday 2 September 2014*

Forum – **ANU’s place in Australia and the world**

Professor Marnie Hughes-Warrington introduced Professor Brian Schmidt, Dr Shiro Armstrong and Dr Amy King as panel members to discuss the future of higher education in Australia and how ANU can differentiate itself domestically and in the global context.

Hosted by the East Asia Forum

**Public Lecture**

**ANU/Canberra Times meet the author event**

*Wednesday 3 September 2014*

Book talk – **Triumph and Demise** presented by journalist Paul Kelly

**VIP Event**

**ANU Crawford School of Public Policy**

*Thursday 4 September 2014*

Book launch – **India economy and business update**

Professor Marnie Hughes-Warrington launched the book *Diets, malnutrition and disease: The Indian experience*.

Hosted by the Australia South Asia Research Centre

**VIP Event**

**ANU College of Asia and the Pacific**

*Thursday 4 September 2014*

John Gee Memorial Lecture – **Weapons of mass destruction and the US rebalance to Asia**

The ANU Chancellor chaired the lecture presented by Ambassador Hill, former US Assistant Secretary of State for East Asian and Pacific Affairs. Members of the diplomatic community were in attendance.

Hosted by the School of International Political & Strategic Studies and the Strategic and Defence Studies Centre.

**VIP Event**

**ANU and Questacon**

*Monday 8 September 2014*

Science Communication Workshop

Professor Hughes-Warrington officially opened the science communication workshop for the visiting Vietnamese delegation. Dr Graham Durant, Director of Questacon, spoke and His Excellency Mr Luong Thang Nghi, Ambassador of Viet Nam was in attendance.

Hosted by the ANU Australian National Centre for the Public Awareness of Science

**VIP Event**

**ANU Alumni Relations and Philanthropy**

*Tuesday 9 September 2014*

Intelledox Gift to ANU Announcement

Ms Katy Gallagher, ACT Chief Minister, announced the gift of a donation to the value of more than $1 million to ANU.

Hosted by ANU Alumni Relations and Philanthropy
VIP Event
ANU/Canberra Times meet the author event
Tuesday 9 September 2014
Book talk – *Inside the Hawke-Keating Government* presented by Professor Gareth Evans AC QC

VIP Event
ANU Australian National Centre for Latin American Studies
Tuesday 9 September 2014
Seminar - *Latin America and the Pacific Alliance*
Ambassadors from Chile, Colombia, Mexico, Peru and members of the Department of Foreign Affairs and Trade, the Council on Australian Latin American Relations were in attendance.

VIP Visit
ANU College of Medicine and Biology
Thursday 11 September 2014
Norwegian Parliament Delegation
Thirteen members of a Norwegian Parliamentary Committee along with His Excellency Ms Unni Klovstad, Ambassador of Norway, met with researchers from the Research School of Population Health, Australian Prime Health Care Research Institute and the ANU Medical School to learn about medical studies in Australia and if there are educational streams that allow for enhanced cooperation between primary and specialty health services.

Public Lecture
ANU College of Asia and the Pacific
Friday 12 September 2014
*Negotiating peace: the peace settlement in Mindanao, Philippines*
Members of the diplomatic community attended the lecture.
Hosted by ANU Regulatory Institutions Network, the School of Culture, History and Languages and the ANU Filipino Students Association.

VIP Event
ANU College of Asia and the Pacific
Tuesday 16 September 2014
Public Lecture – *Reflections: 39 years of sovereign statehood in Papua New Guinea*
His Excellency Charles Lepani, High Commissioner for Papua New Guinea, His Excellency Pedro Villagra Delgarda, Ambassador for Argentina and Mr Josef Reichhardt, from the German Embassy, attended the lecture.

Forum
ANU Crawford School of Public Policy
Tuesday 16 September 2014
ANU Policy Outlook 2014
Professor Margaret Harding introduced Dr Ken Henry who presented the keynote address on public policy resilience and the reform narrative.

VIP visit
Kyushu University Japan
Wednesday 17 September 2014
Professor Motofumi Yoshida, Deputy Director General at Kyushu University Library, and Mr Masahiro Oki, Chief of the eResources Management Section at Kyushu University Library, met with Ms Roxanne Missingham. The purpose of this visit was to learn about the stable supply of electronic journals and how ANU handles eResourcing.

Major Event
ANU Research Skills & Training
Wednesday 17 September 2014
The ANU Three Minute Thesis (3MT) Competition final
Eleven ANU research students battled it out for the ANU 3MT crown, $4000 in prize money and a ticket to the 3MT grand final
VIP Event
ANU Centre for Continuing Education
Friday 19 September 2014
Lifeline Bookfair
Professor Jenny Corbett introduced The Hon Dr Brendan Nelson, patron of Lifeline, at the opening of the Lifeline book fair.

VIP Visit
BAPPENAS, Indonesia
Friday 19 September 2014
A BAPPENAS (Badan Perencanaan dan Pembangunan Nasional) delegation, including Dr Slamet Seno Adjii, Principal Secretary, Dr Ir Yahya Rachmana Hidayat, Head, Centre for Planners’ Development, Education and Training (Training Centre), Mr Hari Nasiri, Divisional Head at the Training Centre and Ms Endah Dwi Handini, Consultant for handling SPIRIT scholarship applications, visited ANU to enhance mutual understanding in regards to current and future sponsorship opportunities.

Forum
ANU College of Asia and the Pacific
Wednesday 24 September 2014
Investing in gender equality at the G20 leaders’ summit – Australia to Turkey
Senator the Hon Michaelia Cash delivered the keynote address on how issues concerning gender equality can be incorporated into the G20 agenda in the handover from Australia to Turkey.
Hosted by the ANU School of International, Political and Strategic Studies, the Asia-Pacific College of Diplomacy and the ANU Gender Institute

VIP Visit
Matriculation Division, Ministry of Education Malaysia delegation
Wednesday 24 September 2014
Director of Matriculation Division, Ministry of Education Malaysia, met with the Deans of the ANU College of Business and Economics, ANU College of Physical and Mathematical Sciences and Associate Dean Education, ANU College of Engineering and Computer Science to explore the possibility of MOEMP graduates pursuing degrees at ANU.

VIP Lecture
ANU Sustainability Learning Community
Wednesday 24 September 2014
Great green debate 2014
Senator Scott Ludlam, Senator for Western Australia, participated in a panel discussing the issue of economy and the environment.

Public Lecture
ANU College of Arts and Social Sciences
Wednesday 24 September 2014
Turkey-Australia: from enmity to friendship and partnership
His Excellency Mr Cemil Cicek, Speaker of the Grand National Assembly of the Republic of Turkey, spoke about the last 100 years of Turkish-Australian relations and how this relationship has been transformed from enmity during the 1915 Gallipoli/Canakkale Wars to the friendship and close partnership that we see today.
Co-hosted by the Centre for Arab and Islamic Studies

VIP Visit
National University of Singapore
Thursday 25 September - Friday 26 September 2014
A delegation from National University of Singapore including, Ms Sarah Chia, Associate Registrar and Ms Tan Ching Ching, Senior Manager, Registrar’s Office, met with Mr Mark Erickson, Mr Brendon Colquhoun, Ms Narelle Buckley and Ms Sarah Walker over two days. This visit is part of NUS’s Administrative Staff Exchange Programme (ASEP) for full-time NUS Executive and Professional staff members to conduct a study visit at partner universities so as to promote greater knowledge and understanding of the operations at partner universities and to improve work practices. The main topics of interest were management and crisis management
of timetables, management of registration process and the logistical arrangement of examination processes.

VIP Event  
**ANU National Centre for Indigenous Studies**  
*Friday 26 September 2014*  
‘House warming’  
Professor Margaret Harding spoke about the significance and growth of the National Centre for Indigenous Studies and its contribution to the ANU research community.

Event  
**Australian Dictionary of Biography**  
*Tuesday 30 September 2014*  
Launch of the online resource *Exploring Australia printed map series*  
Professor Jacqueline Lo, represented the Vice-Chancellor at the launch of the online resource hosted by Chief Scientist of Australia, Professor Ian Chubb AC.

**OCTOBER**

VIP Event  
**ANU College of Asia and the Pacific**  
*Thursday 2 October 2014*  
Book launch – *Australia’s defence: towards a new era?*  
The Vice-Chancellor introduced Senator the Hon David Johnston, Minister for Defence, who launched the book written by ANU academics Professor Brendan Taylor and Dr Stephan Fruhling.  
Hosted by Strategic and Defence Studies Centre and the School of International Political and Strategic Studies

Public lecture  
**ANU/Canberra Times meet the author event**  
*Thursday 2 October 2014*  
Book talk – *The Wife Drought: Why women need wives, and men need lives* presented by political commentator Annabel Crabb.

Seminar  
**ANU College of Medicine, Biology and Environment**  
*Friday 3 October 2014*  
Professor Galloway, US Government adviser on flood management policy, spoke on water resources policy, resilience and disaster risk management under climate change reforms.  
Hosted by the ANU Fenner School of Environment and Society

VIP Event  
**ACT Chinese Students and Scholars Association**  
*Friday 3 October 2014*  
CHINASoul @Great Hall, Parliament House  
The Vice-Chancellor attended the gala dinner co-hosted by the CSSA and the Chinese community in Canberra to celebrate the mid-autumn festival as well as the Chinese National Day.  
Hosted by the ACT Chinese Students and Scholars Association

VIP Event  
**National Capital Model United Nations Conference**  
*Friday 3 October – Sunday 5 October 2014*  
Opening ceremony – National Capital Model United Nations Conference (NCMUN)  
Speakers at the conference included: His Excellency Mr Pedro Villagra Delgado, Ambassador of the Argentine Republic, Professor the Hon Gareth Evans AC, QC, The Hon Dr Andrew Leigh MP, Mr Christopher Woodthorpe, Director, United Nations Information Centre and His Excellency Mr Michael Potts, High Commissioner New Zealand High Commission.  
Hosted by National Capital Model United Nations
Event
ANU College of Physical and Mathematical Sciences
StarFest 2014
Friday 3 October – Sunday 5 October 2014
Siding Spring Observatory (SSO) celebrated three significant anniversaries in 2014 with a three day festival at the site in Coonabarabran.

VIP visit
Yangon University, Myanmar
Tuesday 7 October – Friday 10 October 2014
A delegation including Rector Aung Thu, Pro Rector Dr Aung Kyaw and Professor Dr Htun Ko, Head of Geography at Yangon University came to ANU for a visit organised by ANU Edge and funded by Department of Foreign Affairs and Trade. While at ANU, the delegation met with each College, as well as the Vice-Chancellor, Professor Richard Baker, Professor Jenny Corbett and Professor Erik Lithander.

Public Lecture
ANU College of Arts and Social Sciences
Wednesday 8 October 2014
Lecture – Understanding the Berlin Wall presented by Dr Marion Detjen from Humboldt-Universitat Berlin. Members of the diplomatic community were in attendance.
Co-Hosted by ANU Centre for European Studies and the Embassy of the Federal Republic of Germany

Event
ANU/Canberra Times meet the author
Thursday 9 October 2014
Book talk - The Official History of ASIO 1949-1963
Presented by Professor David Horner AM
Hosted by the ANU Strategic and Defence Studies Centre

VIP Visit
ANU College of Arts and Social Sciences
Tuesday 13 October 2014
His Excellency Rubem Barbosa, Ambassador of Brazil, and his wife attend the farewell of Brazilian-sponsored Portuguese lecturer.

Public Lecture
ANU/Canberra Times meet the author
Tuesday 14 October 2014
Book talk - The Rosie Project
Presented by author Graeme Simsion

VIP Visit
Lund University, Sweden
Tuesday 14 October 2014
Margareta Nordstrand, Executive Director, Division of External Relations and Ulrika Qvist Mathiesen, International Coordinator, Regional Manager Australia, New Zealand and the Middle East, Division of External Relations visited ANU from Lund University, Sweden. The purpose of this visit was to meet together as partners after signing an exchange agreement, and for the delegation to learn more about how ANU works with alumni, recruitment and management of visits.

VIP Visit
ANU Office of the Vice-Chancellor
Thursday 16 October 2014
High Commissioner-Designate for Pakistan
Her Excellency formally introduced herself to the Vice-Chancellor.
VIP Exhibition
ANU College Arts and Social Sciences
Thursday 16 October 2014
Exhibition – Sand and Magma
His Excellency Raul Gangotema, Ambassador of Ecuador, officially launched the exhibition of Ecuadorian artist Michael Ayala.
Hosted by the ANU School of Art

VIP Event
ANU College of Asia and the Pacific
Friday 17 October 2014
2014 Japan Update: Political, economic and social change
The Vice-Chancellor introduced Senator the Hon Brett Mason, Parliamentary Secretary to the Minister for Foreign Affairs, who delivered the keynote address.
Hosted by Australia-Japan Research Centre

VIP Visit
Northwestern Polytechnical University, China
Friday 17 October 2014
A Northwestern Polytechnical University (NWPU) delegation visited ANU for the purposes of signing a University-wide MOU and a CECS level Articulation Agreement.

VIP Event
ANU Office of Pro Vice-Chancellor (International and Outreach)
Tuesday 21 October 2014
Thirteen African Heads of Mission attended a lunch with ANU academics from across the Colleges to discuss areas for further engagement in the future.

VIP Event
ANU College of Arts and Social Sciences
Wednesday 22 October 2014
Book launch – Zone of crisis: Afghanistan, Pakistan, Iran and Iraq
The Vice-Chancellor introduced Professor Gareth Evans AC, QC who officially launched the book by Professor Amin Saikal AM. Sixteen Heads of Diplomatic Communities were in attendance.
Hosted by Centre for Arab and Islamic Studies

Public Lecture
ANU/Canberra Times meet the author event
Wednesday 22 October 2014
Book talk – The Art of Belonging presented by Hugh Mackay

Major Event
Wednesday 22 October 2014
20th Annual Lions Oratory Competition Finals
Public speaking competition for ANU undergraduates.

VIP Visit
ANU Colleges of Science
Thursday 23 October 2014
Ten members of the Helmholtz Association, Germany, met with the Vice-Chancellor and other members of the Executive before touring the Heavy Ion Accelerator.

VIP Event
ANU Office of the Pro Vice-Chancellor (Student Experience)
Thursday 23 October 2014
VC Student Leadership Program Dinner
The Vice-Chancellor spoke and presented certificates to students who had undertaken the leadership program.
Hosted by Pro Vice-Chancellor (Student Experience)
VIP Event
**ARC Centre of Excellence for Translational Photosynthesis**
Friday 24 October 2014
*Launch of the Australian Research Council Centre of Excellence for Translational Photosynthesis*
Professor Margaret Harding welcomed and introduced Zed Seselja, Senator for the Australian Capital Territory, who officially launched the Centre. In attendance was Professor Ian Chubb AC, Chief Scientist of Australia and Professor Aidan Byrne, Chief Executive Officer of the ARC.

VIP Event
**Tuesday 28 October 2014**
Swiss Prize
Professor Margaret Harding, representing the Vice-Chancellor, spoke and presented the prizes.
Co-Hosted by Swiss Embassy and ANU

VIP Event
**ANU College of Asia and the Pacific**
Tuesday 28 October 2014
*Book launch – A new Australia-China Agenda*
The book, edited by Professor Germie Barme, was launched at Parliament House by Senator Dean Smith in the presence of the Hon Andrew Leigh MP and other members of parliament including the Hon Phillip Ruddock MP and the Hon Jason Clare MP
Hosted by the Australian Centre on China in the World
Australian National University - Research Services Division

Grants and Consultancies
Awarded between 1 September 2014 and 5 November 2014

College of Arts and Social Sciences ................................................................................................................................. 2
College of Asia and the Pacific ......................................................................................................................................... 4
College of Business and Economics ................................................................................................................................. 6
College of Engineering and Computer Science ................................................................................................................ 7
College of Medicine, Biology and Environment .............................................................................................................. 8
College of Physical and Mathematical Sciences ............................................................................................................. 14
National Centre for Indigenous Studies .......................................................................................................................... 20

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>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Aaron Corn</td>
<td>Engaging the global legacy and impact of the Aboriginal Artists Agency</td>
<td>$481,766</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Fiona Jenkins</td>
<td>Gendered Excellence in the Social Sciences</td>
<td>$397,514</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Edith Gray</td>
<td>Inequality in first family formation in contemporary Australia</td>
<td>$144,948</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr David Irving</td>
<td>Malay Music and Dance from the Cocos (Keeling) Islands and Christmas Island</td>
<td>$212,429</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Maria Maley</td>
<td>'Political' public servants: challenges, risks and rewards</td>
<td>$123,072</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof James Raymer</td>
<td>The demographic consequences of migration to, from and within Australia</td>
<td>$240,158</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Dougal O'Reilly</td>
<td>Unravelling the mystery of the Plain of Jars, Laos</td>
<td>$425,100</td>
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<td>Australian Research Council (ARC)</td>
<td>Ms Elizabeth Ellis</td>
<td>Western Desert speech styles and verbal arts</td>
<td>$480,227</td>
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<tr>
<td>Commonwealth Department of Immigration and Border Protection</td>
<td>Dr Mohammad Abbasi Shavazi</td>
<td>Drivers and Decision Making Process of Irregular migration Among Afghans in Iran</td>
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<tr>
<td>Amnesty International Australia</td>
<td>Dr Sarah Holcombe</td>
<td>Translating the Universal Declaration of Human Rights into Pintupi-Luritja</td>
<td>$5,400</td>
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<td>ACT Gambling and Racing Commission</td>
<td>Dr Tanya Davidson (previously Caldwell)</td>
<td>The 2014 Survey on gambling, health and wellbeing in the ACT</td>
<td>$360,617</td>
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<td>World Vision Solomon Islands</td>
<td>Dr Patrick Kilby</td>
<td>Evaluation of Honiara Community Vision for Change Project</td>
<td>$22,550</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Christopher (Ian) Hall</td>
<td>After Nehru: The evolution of Indian international thought, 1964-present</td>
<td>$117,932</td>
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<td>Australian Research Council (ARC)</td>
<td>Ms Hsiao-Chun Hung</td>
<td>Evolution of the Economic Landscape in Taiwan: Looking Inward and Outward</td>
<td>$288,660</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Warwick McKibbin</td>
<td>Global Economic Consequences of Korean Re-unification</td>
<td>$397,900</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Marcus Mietzner</td>
<td>Presidential Power and its Limits in Post-Authoritarian Indonesia</td>
<td>$170,768</td>
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<td>Australian Research Council (ARC)</td>
<td>A/Prof Thomas DuBois</td>
<td>Soybeans and socialism: agrarian transformation in Manchuria, 1935-1965</td>
<td>$154,978</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Ida Kubiszewski</td>
<td>An Integrative Assessment of Factors Contributing to Wellbeing in Australia</td>
<td>$338,000</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Elisa Nesossi</td>
<td>Changes in China's concepts of criminal justice, 1980-2015</td>
<td>$353,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Lia Kent</td>
<td>Local Memories and Nation-building in Timor-Leste and Bougainville</td>
<td>$369,354</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Jeroen Van der Heijden</td>
<td>Rethinking collaborative governance for urban sustainability and resilience</td>
<td>$354,190</td>
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</table>
### College of Asia and the Pacific

<table>
<thead>
<tr>
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<th>Total Amount Awarded</th>
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<tbody>
<tr>
<td>Bill and Melinda Gates Foundation</td>
<td>Prof Stephen Howes</td>
<td>Australian Aid Policy Research</td>
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<tr>
<td>Monash University</td>
<td>Prof Peter McDonald</td>
<td>Extending Accessibility of Indonesian Official Databases</td>
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<td>Monash University</td>
<td>Dr Arianto Patunru</td>
<td>Household Nutritional Intake and Trade Reform in Indonesia</td>
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<td>Monash University</td>
<td>Dr Budy Resosudarmo</td>
<td>Assessing Food Security and Resilience of Small Island Communities to Socio-environmental Changes: The Case of the Kei Islands in Southeast Maluku</td>
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<td>Monash University</td>
<td>Dr Robert Sparrow</td>
<td>Universal health Coverage for the Informal Sector: Evidence from Indonesia's National Social Health Insurance</td>
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<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr Nicole Haley</td>
<td>National General Elections Observation - Solomon Islands</td>
<td>$180,000</td>
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<td>Ministry of Education and Science of Mongolia</td>
<td>Prof Li Narangoa</td>
<td>Mongolian Update</td>
<td>$11,188</td>
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<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Sharon Friel</td>
<td>Centre of Research Excellence on Social Determinants of Health Equity (CRESDHE): Policy research on the social determinants of health equity (Externally-led by Flinders University)</td>
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<td>Indian Council of Social Science Research</td>
<td>Dr Kuntala Lahiri-Dutt</td>
<td>Challenges of Feminized Agriculture in India</td>
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### College of Business and Economics

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<td>Australian Research Council (ARC)</td>
<td>Prof Simon Restubog</td>
<td>To step-in or to stand-by: Third party responses to abusive supervision</td>
<td>$145,300</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Chi Chun (Joshua) Chan</td>
<td>New approaches to estimating nonlinear time-varying macro econometric models</td>
<td>$365,000</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Wen Zhang</td>
<td>The cocktail party problem: Advancing binaural localisation techniques</td>
<td>$330,000</td>
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<td>Prof Rodney Kennedy</td>
<td>Harnessing Spherical Geometry in Scientific and Engineering Data Processing</td>
<td>$424,300</td>
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<td>Australian Research Council (ARC)</td>
<td>Mr Xiangyun (Sean) Zhou</td>
<td>Safeguarding Future Wireless Communications with Physical Layer Security</td>
<td>$340,300</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Antonio Tricoli</td>
<td>Early-Stage Medical Diagnostics by Plasmon-Mediated Gas Sensing</td>
<td>$434,300</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Andres Cuevas</td>
<td>Transparent metal oxides, a window of opportunity for silicon solar cells</td>
<td>$443,900</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Fatih Porikli</td>
<td>Semantic Vectorisation: From Bitmaps to Intelligent Representations</td>
<td>$370,100</td>
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<td>Australian Research Council (ARC)</td>
<td>Prof Robert Williamson</td>
<td>Uncertainty, Risk and Related Concepts in Machine Learning</td>
<td>$426,700</td>
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<td>Prof Marcus Hutter</td>
<td>Unifying Foundations for Intelligent Agents</td>
<td>$421,500</td>
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<td>Australian Research Council (ARC)</td>
<td>Dr Laurent Kneip</td>
<td>In-person tele-presence through hybrid camera networks</td>
<td>$360,000</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Kathleen Griffiths</td>
<td>Technology-enabled and consumer-informed approaches to improving mental health - SRF B</td>
<td>$739,515</td>
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<td>Dr Maria Carola Garcia De Vinuesa</td>
<td>Centre for Personalised Immunology</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr David Tscharke</td>
<td>Recognition of virus-infected cells by T cells</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Jonathan Tan</td>
<td>Understanding the mechanisms that regulate spleen organogenesis</td>
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<td>What is the role of ABCA4 in vision and how does it contribute to retinopathies?</td>
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<td>Suicide prevention in schools: A social connectedness approach</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 animals</td>
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<td>Host-microbe interactions in Crohn's disease</td>
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<td>A pilot study of a new GP-delivered weight loss program for adults in primary care, The Change Program</td>
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<td>Experiencing integration: A pilot study of consumer and provider experiences of integrated primary health care</td>
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<td>Liver lipotoxicity and NASH: mechanistic roles of free cholesterol, saturated FFA, JNK1 and TLR4</td>
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<td>Building capacity in government and academic institutions for evidence-based health development in Indonesia</td>
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<td>Prof Hal Kendig</td>
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<td>Project Development Trip to Vietnam and Lao PDR</td>
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# College of Physical and Mathematical Sciences

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# College of Physical and Mathematical Sciences

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### National Centre for Indigenous Studies

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### LEGISLATION

**PURPOSE**

The purpose of this item is for Council to:

- approve proposed legislation;
- note legislation made by the Vice-Chancellor; and
- note a progress report in relation to the 2014 review of University legislation.

**PREPARED BY**

Corporate Governance and Risk Office

**REVIEWED BY**

Director, Corporate Governance and Risk Office

**APPROVED BY**

Vice-Chancellor

**SPONSOR**

Vice-Chancellor

**RECOMMENDATION**

That Council:

1. Approve the following legislation:
   (a) Academic Misconduct Statute 2014
   (b) Appeals Statute 2014
   (c) Pro-Chancellorship Statute 2014

2. Note the Assessment Rules (No. 2) 2014 made by the Vice-Chancellor under subsection 9.5 of the Vice-Chancellorship Statute 2013; and

3. Note the report on the outcomes of the 2014 review of University legislation.

**ACTION REQUIRED**

For discussion ✅  For decision ✅  For information ☐

**BACKGROUND**

1. Legislation for approval

The recommendations to Council detailed below have arisen following review of legislative instruments under the 2014 review of University legislation.

*Academic Misconduct Statute 2014*

There has been discussion at the University for some time that the academic misconduct provisions in the Discipline Rules required further detail and amendment. The Deputy Vice-Chancellor (Academic), after consultation with the relevant stakeholders, was of the view that there should be separate legislation to cover academic misconduct. After consultation with the Legal Office and statutory drafter it was decided that there would be a separate set of legislation for discipline and academic misconduct, to keep the behavioural and academic aspects clear and distinct.

The Academic Misconduct Statute enables the making of Academic Misconduct Rules. The Rules are being drafted for completion before the end of the year.

The main purposes of the Rules are to define clearly academic misconduct, and to establish processes for dealing with allegations of misconduct. The Rules will set up a number of different levels of inquiry for looking at allegations of academic misconduct, at the course level, multiple allegations across colleges, research misconduct and serious research misconduct. Penalties will
range from resubmitting the assessment, attending further training etc to rescinding of the award depending on the seriousness of the finding of research misconduct and the behaviour involved.

**Appeals Statute 2014**

After a number of appeals under the Discipline Rules at the end of 2013 it became apparent that the appeals mechanisms in these rules required some amendment. For example when there was more than one appeal the number of members on the appeals panel was too small to constitute an appeals committee. It was also decided that having a consistent mechanism for appeals in relation to matters concerning student behaviour would be beneficial to the University.

A new set of appeals rules to cover appeals arising from the discipline rules, academic integrity rules, medical leave rules and the student appeals from the information infrastructure rules are in the process of being drafted. The purpose of these rules is to:

- streamline student appeals from these four sets of rules,
- assemble a larger appeals panel to minimise problems with assembling an appeals committee
- have an appeals committee presiding over all sets of rules to help with consistency of decision making
- provide clear and consistent grounds for appeals of decisions under these “behavioural” sets of rules.

The Appeals Statute allows the Vice Chancellor to make one set of Rules in relation to appeals arising from proceedings under the Discipline Rules, Academic Misconduct Rules, Medical Leave Rules and the student aspects of the Information Infrastructure and Services Rules.

**Pro-Chancellorship Statute 2014**

At its meeting in December 2012 Council amended the Chancellorship Statute to incorporate into the tenure of office section, a provision that the Chancellor holds office while retaining the confidence of the Council. It is recommended that the retention of office with the confidence of Council provision be added to section 3 of the Pro-Chancellorship Statute. The Chancellor and the Pro-Chancellor support the proposal.

2. **Legislation made by the Vice-Chancellor**

**Assessment Rules (No. 2) 2014**

The Rules were amended to eliminate the possibility of confusion between the use of the word “special” (at rules 8 and 12) and the term “special examinations” (at rule 11) in the current Rules. The “special examinations” provided for under rule 11 have been renamed “deferred examinations.”


At its meeting on 25 July Council noted a progress report in relation to the review of University legislation initiated by the Chancellor earlier this year, and noted that a further report on progress would be provided for its meeting in December.

The aims of the review are to ensure currency and to better align the Statutes as principle-focused instruments, supported by Rules and Orders which articulate the operational processes for implementation. To this end members of the University Executive and Directors of Service Divisions were asked to test those legislative instruments within their portfolio against the following criteria:

- is the instrument still needed or can it be repealed or the essence of the instrument included in another;
- consistency with the University’s strategic plan, ANU 2020;
- consistency with relevant University policies and procedures, that is, if there are inconsistencies, do the policies and procedures need to be changed or the instrument(s);
- compliance with relevant Commonwealth or ACT legislation;
- clarity of language, that is, are there parts of an instrument that are not clear

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PART 5 – OTHER MATTERS FOR NOTING
The number of University legislative instruments at the commencement of the review was 50. It is pleasing to report that all areas of the University have completed and reported on the outcome of their reviews. All involved are to be congratulated for their thorough and timely reviews of legislation.

The results of the review process are that:

- 19 instruments do not require amendment;
- 22 instruments require amendment (this number includes 9 that can be amended in 2015 to ease pressure on legislative drafting resources);
- 4 instruments are to be amended in 2015 if, as is likely, the impending review of University delegations and the Ministerial review of the ANU Act generate changes to these instruments;
- 6 new instruments are needed in relation to arrangements for appeals, academic misconduct; coursework awards and academic progress arrangements for the ANU Medical School; and
- 2 obsolete staff superannuation Statutes instruments have been repealed.

There will be no significant change in the number of instruments comprising the University’s suite of legislation as a result of the review process - the number will rise from 50 to 51. The collapsing of three coursework awards Rules into one set of Rules and the repeal of two superannuation Statutes offset the 6 new instruments.

Arrangements by the Legal Office to expand the University’s legislative drafting capacity are in place and the Corporate Governance & Risk Office and the Legal Office are reasonably confident that those instruments that need to be in force from 1 January 2015 will be completed and in force by that date.

Changes made to individual instruments in 2015 as a result of the review will be flagged as such in the relevant Council agenda item. However a further overall report on the review will be provided to Council if necessary.

**ATTACHMENTS**

30.1 Academic Misconduct Statute 2014
30.2 Appeals Statute 2014
30.3 Pro-Chancellorship Statute 2014
30.4 Assessment Rules (No. 2) 2014
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University Act 1991

ACADEMIC MISCONDUCT STATUTE 2014

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

Dated: 5 December 2014

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of Statute

1.1 This Statute is the Academic Misconduct Statute 2014

2 Commencement

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

3 Rules

3.1 The Vice Chancellor may make Rules with respect to academic misconduct by students of the University.
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University Act 1991

APPEALS STATUTE 2014

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

Dated: 5 December 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of Statute
1.1 This Statute is the Appeals Statute 2014.

2 Commencement
2.1 This Statute commences on the day after it is registered.

3 Rules
3.1 The Vice Chancellor may make one set of Rules pursuant to this Statute with respect to appeals of decisions made under the:
   (a) Academic Misconduct Rules;
   (b) Discipline Rules;
   (c) Information Infrastructure and Services Rules; or
   (d) Medical Leave Rules.
The Council of The Australian National University makes the following Statute under section 50 of the Australian National University Act 1991.

Dated: 5 December 2014.

Professor the Hon Gareth Evans AC QC FASSA
CHANCELLOR

1 Name of statute
1.1 This Statute is the Pro-Chancellorship Statute 2014.

2 Commencement
2.1 This Statute commences on the day after it is registered.

3 Tenure of office
3.1 Subject to retaining the confidence of the Council, the Pro-Chancellor holds office for such period, not exceeding 3 years, as the Council, in the resolution of appointment, determines, but is eligible for re-appointment.

3.2 For the purposes of subsection 3.1, the Council forms its opinion by resolution passed at a meeting of the Council if the resolution is passed at the meeting by at least a two-thirds majority of the members of the Council.

3.3 The Council may, by resolution, establish procedures for determining whether the Pro-Chancellor retains its confidence and may make provision for the removal of the Pro-Chancellor from office if the Council determines that such confidence is no longer held.

4 Resignation
4.1 The Pro-Chancellor may resign office by notice in writing under his or her hand to the Council delivered to the Chancellor.

5 Pro-Chancellor to preside at meetings of Council in absence of Chancellor
5.1 The Pro-Chancellor must preside at any meeting of the Council at which the Chancellor is not present.

5.2 In the absence of both the Chancellor and the Pro-Chancellor from a meeting of the Council, the members present must elect one of their number to preside at the meeting.
6 Pro-Chancellor to preside on ceremonial occasions in absence of Chancellor

6.1 In the absence of the Chancellor, the Pro-Chancellor must preside on ceremonial occasions at which he or she is present.

7. Repeal

7.1 The Pro-Chancellorship Statute 2005, as amended and in force immediately before the commencement of this Statute, is repealed.
THE AUSTRALIAN NATIONAL UNIVERSITY

Programs and Awards Statute 2013

ASSESSMENT RULES (No. 2) 2014

I, Professor Ian Young AO, Vice-Chancellor of The Australian National University acting in accordance with subsection 50(3) of the Australian National University Act 1991 and subsection 9.5 of the Vice-Chancellorship Statute 2013 make these Rules for section 8 of the Programs and Awards Statute 2013.

Dated: 3 November 2014.

Professor Ian Young AO
VICE-CHANCELLOR

Name of Rules and commencement

1(1) These Rules are the Assessment Rules (No. 2) 2014.

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

Application

2(1) These Rules apply in relation to all undergraduate and graduate coursework programs.

Interpretation

3(1) In these Rules, unless the contrary intention appears:

assessment, in relation to a course, includes any task that is required to be performed by a student for a judgment to be made of the student's level of performance in that course;

defered examination for a student in relation to a course, means an examination the student is permitted to take under subrule 11(1);

Delegated Authority means a person appointed under subrule 4(1);

examination, in relation to a course, includes any task that is required to be performed by a student for the assessment of the student's performance in that course;

final assessment, for a course, means the final task for the course described in subrule 5(1) that must be performed by a student for the satisfactory completion of the course;
**further assessment** means an assessment required by a Chair of Examiners for a course under subrule 9(3);

**hurdle assessment**, for a course, means an assessment task that tests competency or skills or knowledge considered to be fundamental to passing the course or is required by a discipline-specific or other accreditation authority;

**special assessment**, for a student in relation to a course, means an assessment the student is permitted to take under subrule 12(6);

**special assessment arrangements**, for a student in relation to an assessment for a course, are arrangements approved under rule 8 for the student;

**student** means a person undertaking all or part of a program and who is eligible to undertake, or is undertaking, an assessment;

**supplementary assessment** in relation to a course includes, but is not limited to, assessment by a formal assessment, a practical assessment, a take-home assessment and an essay.

**Appointments**

4(1) An Associate Dean for an ANU College may appoint a member of the staff of the ANU College to be a Delegated Authority for the purposes of these Rules in relation to a course offered by the ANU College.

**Final assessment**

5(1) For the definition of **final assessment** in subrule 3(1), the final assessment for a course is to be in the form of a compulsory examination where the student is required to sit the whole of the examination on a particular day commencing at a particular time, or any other form of assessment, including, but not limited to practical examinations, take-home examinations and essays representing the final task for the course.

**Eligibility to be assessed**

6(1) A student is eligible to be assessed for a course if the person is enrolled in the course and complies with the requirements of the Rules and Orders applicable to taking that course.

**Manner, time and place of assessment**

7(1) Notice of the manner, time and place of final assessments to be conducted during University assessment sessions at the end of semester (including session):

(a) for assessments to be administered by the Registrar - must be published on the University's timetable website by the Registrar not less than 3 weeks before the commencement of the assessment session; and

(b) for assessments to be administered by the ANU College offering the course - must be displayed by the Delegated Authority not less than 3 weeks before the commencement of the assessment session in at least one of the following ways:

(i) on a notice board used for the purpose in the ANU College by which the course is offered;

(ii) to students enrolled in the course in class;
(iii) if possible, on the website for the course.

(2) A failure to comply with subrule (1) is not to be taken to affect the validity of an assessment or of anything done in relation to an assessment under these Rules.

(3) In this rule, a reference to a notice board is to be read as a reference to a notice board that is commonly used for displaying notices to students, including an electronic notice board or an appropriate part of the University’s website.

**Special assessment arrangements**

8(1) A student with a temporary or chronic disability who has dealt with the University’s Disability Services Centre in relation to his or her disability may ask the Centre to determine special assessment arrangements for the student for an assessment, including, but not limited to, additional reading or writing time, the provision of special equipment, separate accommodation or the services of an amanuensis.

(2) Special assessment arrangements for a student referred to in subrule (1) must be approved by the Registrar.

(3) Details of special assessment arrangements are to be sent by the Registrar to the Delegated Authority who may request changes to the arrangements.

(4) The Registrar is to ensure that the Chair of Examiners for a course is informed of the arrangements.

(5) A student with a temporary or chronic disability or other condition to whom subrule (1) does not apply may ask the Delegated Authority to approve special assessment arrangements in relation to the student.

(6) The Delegated Authority may approve special assessment arrangements requested under subrule (5).

(7) The assessments referred to in subrule (2) or (5) are to be conducted in accordance with the arrangements set out in subrule (1).

**Examiners**

9(1) The Delegated Authority must, at the commencement of the semester (including a session) in which the course is offered, appoint a Chair of Examiners and at least 1 other examiner, for the course.

(2) The Chair of Examiners for a course must:

(a) ensure that the academic performance of each student attempting the course is adequately and fairly assessed; and

(b) ensure that no student is failed in the course unless the student’s performance in assessments in the course has been reviewed by at least 2 of the examiners appointed in relation to the course; and

(c) submit to the examiners’ meeting for the course a written report setting out, for each student examined, the marks and the grade of result that the examiners recommend be awarded to that student.
(3) Before submitting recommendations under paragraph (2)(c), the Chair of Examiners may require a student to take a further assessment to ensure that the academic performance of the student in that course is adequately and fairly assessed, and any such assessment may be oral, written or practical.

(4) The Delegated Authority must ensure that meetings of examiners are held to consider reports on marks, grades of results and further assessments required by the Chair of Examiners, and to moderate results.

(5) The Chair of Examiners must, before submitting recommendations to the examiners’ meeting for a course:

(a) permit full-time members of the staff who participated in the teaching of the course to examine and comment on the recommendations; and

(b) take into account any matters put to the Chair by those members.

(6) The Chair of Examiners must make final marks and a grade of result recommended for award to each student for a course available to the Delegated Authority, for approval by the Delegated Authority.

(7) The Delegated Authority may approve, for a student for the course:

(a) the marks and the grade of result recommended or amended by the Chair of Examiners; or

(b) in exceptional circumstances, marks and a grade of result that are different from the marks and the grade of result recommended or amended by the Chair of Examiners.

(8) After the Delegated Authority has approved the results for a course for release, the Delegated Authority must send the results to the Registrar.

(9) The Registrar must cause the results in a course to be published.

(10) To avoid doubt, for the purposes of subrule (9), published includes published electronically in an appropriate part of the University’s website, including a part of the website accessible only to a student whose results are so published.

Review of decisions

10(1) If, after being notified of the final result for a student in a course approved by the Delegated Authority, the student considers that he or she has received an inappropriate or incorrect result in the course, he or she may apply for a review of the result.

(2) Before formally applying for a review, the student must discuss the disputed result with the Course Convener who must review the result, decide whether to amend the result or not and inform the student accordingly.

(3) If, after discussion with the Course Convener, the student believes that the established criteria of assessment or some aspect of the Assessment Rules or relevant policy or procedure has not been followed, he or she may, within 20 working days of being notified under subrule (2) of the Course Convener’s decision (or within such further period as the Associate Dean determines), submit to the College Student Office a formal request for a review to the Associate Dean.
(4) A request for a review under subrule (3) must:

(a) be in writing; and

(b) state clearly the reason why the result is inappropriate or incorrect; and

(c) include any relevant supporting evidence available to the appellant.

(5) The Associate Dean must consider the appeal and may inform himself or herself in any way on any matter relating to the review, including, but not limited to, seeking recommended outcomes from other parties.

(6) The Associate Dean may:

(a) confirm the final result in a course for a student; or

(b) approve marks and the grade of a final result (which may be different from the marks and the grade of result in a course recommended by the Chair of Examiners) for the student.

(7) The decision of the Associate Dean and the reasons for the decision must be sent in writing by the Associate Dean to the student within 20 working days of receipt of the appeal.

(8) The Associate Dean must also send the results to the Registrar.

(9) Subject to subrule (10), the decision of the Associate Dean following a review of a student's marks and grade of result in the course is final.

(10) An appeal against a decision of the Associate Dean made under this rule may be made to the College Dean:

(a) on procedural grounds only;

(b) within 20 working days of the notification of the relevant decision by the Associate Dean to the appellant;

(11) The decision of the College Dean following an appeal under subrule (10) is final and must be given in writing to the applicant within 20 working days of the Dean's receipt of the appeal to the appellant and the Registrar accordingly.

(12) Except with the approval of the Delegated Authority, a student awaiting the outcome of a review of marks and grade of result in a course may not enrol in another course for which the subject course is a prerequisite until the student is awarded a passing result in the course.

(13) However, if a person seeking a review is already enrolled, he or she is entitled to remain enrolled pending the outcome of the review.

(14) An Associate Dean may, for this rule, appoint a nominee to exercise the powers or perform the functions of the Associate Dean, and a person so appointed may exercise those powers or perform those functions as if the person were the Associate Dean concerned.
Deferred examinations

11(1) The Delegated Authority may permit a student who was eligible to take an examination in a course but was unable to attend the examination to take such deferred examination as the Delegated Authority determines.

(2) A student seeking permission to take a deferred examination must lodge an application with the Registrar not later than 3 working days after the time fixed for the completion of the examination that the student failed to attend, or within such further time as the Delegated Authority allows.

(3) An application under subrule (2) is to be accompanied by a statement in writing setting out the circumstances that prevented the student from attending the examination and by such evidence as is available to the student in support of that statement.

Special consideration etc.

12(1) A student who considers that his or her academic performance in respect of a course has been adversely affected by illness or other cause during the period of studies to which an assessment relates, may furnish a statement of the circumstances in writing to the Delegated Authority in the ANU College offering the course, together with any medical or other evidence, before the assessment is held.

Invigilated examinations

(2) If, during an examination the conduct of which is under the supervision of invigilators:

   (a) a student notifies an invigilator that he or she considers that his or her performance in the examination has been adversely affected by illness or other cause in the course of the examination; or

   (b) another person present at the examination notifies an invigilator that it appears that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination; or

   (c) it otherwise appears to an invigilator that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination;

the invigilator must, as soon as possible after the completion of the examination, so inform the Delegated Authority in writing.

Other assessment tasks

(3) If a student considers that the student's performance in an assessment other than an assessment of the kind referred to in subrule (2) has been adversely affected by illness or other cause during the assessment, the student may, before the conclusion of the assessment, so notify the Delegated Authority.

(4) Upon receiving a notification under subrule (1), (2) or (3), the Delegated Authority must report accordingly to the examiners.
(5) The examiners must take the report into account in making their assessment of the performance of the student in the course.

(6) The Delegated Authority may permit a student to whom this rule applies to undertake further assessment in the course.

Eligibility for supplementary assessment

13(1) A student must be offered supplementary assessment for a course if the student achieves a final result for a course of N45%-N49%.

[Note 1: This includes ungraded (CRS) courses.]

[Note 2: For subrule (1), the student must have achieved a result of N45%-N49%, not NCN.]

(2) A student must be offered a supplementary assessment for a course if the student fails the course because of a requirement that a pass in a hurdle assessment is necessary to achieve a pass in the course and the student achieves a final result for the course of not less than N45%.

[Note: For subrule (2), the student must have achieved a result of N45% or above, not NCN.]

Offer of supplementary assessment

14(1) If a student is eligible for supplementary assessment for a course, the student’s Notification of Results must show an interim result of PX for the course.

(2) If a student is notified of an interim result of PX for a course, the notification constitutes an offer by the Delegated Authority of supplementary assessment for the course.

(3) However, subrule (2) does not prevent the Delegated Authority from offering a supplementary assessment in writing or in any other way.

(4) A student must accept or reject the offer by notifying, in writing, the Delegated Authority within 7 working days of the offer being made to the student.

(5) A student who fails a course following supplementary assessment may be eligible to be offered supplementary assessment in another attempt at the same course.

Supplementary assessment

15(1) The Delegated Authority must determine the form a supplementary assessment is to take.

(2) The Delegated Authority must give adequate notice to the student (at the student’s most current address notified to the Registrar) of the form, time and place of the supplementary assessment.

(3) If a student passes a supplementary assessment offered under rule 14, the student is regarded as having passed the course concerned with a result of 50PS.
(4) Except with the approval of the Delegated Authority, a supplementary assessment must be held before the end of the first week of the semester (includes session) next following that to which the assessment relates.

(5) If a student fails the supplementary assessment, the student is regarded as having failed the course concerned with a result of N plus the original mark (for a supplementary assessment mentioned in subrule 13(1)) or (for a supplementary assessment mentioned in subrule 13(2)) a result of NCN.

(6) The Registrar must cause the result in the course in relation to which a supplementary assessment is undertaken to be published.

(7) There is no limit to the supplementary assessments that a student may be offered.

(8) To avoid doubt, for the purposes of subrule (6), published includes published electronically in an appropriate part of the University's website, (including a part of the website accessible only to a student whose results are so published) or otherwise inform the student concerned.

Prerequisite courses

16(1) Except with the approval of the Delegated Authority, a student awaiting the result of a supplementary assessment in a course (the subject course) may not enrol in another course for which the subject course is a prerequisite until the student is awarded a result of 50PS in the subject course.

Repeal

17(1) The Assessment Rules 2014, as amended and in force immediately before the commencement of these Rules, are repealed.
*31 APPOINTMENT TO THE BOARD OF GOVERNORS OF THE ANU ENDOWMENT FOR EXCELLENCE

PURPOSE To acknowledge the resignation of the current President of the ANU Endowment for Excellence and approve the appointment of the next President.

PREPARED BY Director, Alumni Relations and Philanthropy

REVIEWED BY Vice-Chancellor

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council approve the following changes to the Board of Governors of the ANU Endowment for Excellence, in accordance with s3(1) of The Australian National University Endowment for Excellence Rules 2012:

- Accept the resignation of Mr Tony Hartnell as President and appoint him as a Governor under s3(1)(d) until 19 February 2017; and
- Approve the appointment of Dr Vince FitzGerald as President, Board of Governors of the ANU Endowment of Excellence until 31 May 2018.

ACTION REQUIRED For discussion ☐ For decision ☑ For information ☐

BACKGROUND

Mr Tony Hartnell was first appointed by Council to the Board of Governors of the ANU Endowment for Excellence in August 2000, and was appointed as President in 2009. He announced his intention to resign from the Presidency to the Board of Governors at their meeting on 13 November 2014. Written confirmation of this is expected to have been received by the Vice-Chancellor prior to the present Council meeting. Mr Hartnell is happy to continue as a Governor of the ANU Endowment for Excellence, appointed under s3(1)(d) of the Rules, until the end of his current term of appointment (end 19 February 2017).

Dr Vince FitzGerald was appointed by Council to the Board of Governors under s3(1)(d) of the Rules. Dr FitzGerald has been an active contributor to the University, having served on ANU Council for 10 years prior to his appointment to the Board of Governors in June 2014. He is most willing to take on this appointment for the duration of his current appointment (end 31 May 2018).

ATTACHMENT

31.1 Mr Hartnell’s Resignation Letter (200/2014).
A G Hartnell

c/- Level 10
Atanaskovic Hartnell House
75-85 Elizabeth Street
SYDNEY NSW 2000
Tel: (02) 9777 7000
Fax: (02) 9777 8777
Website: www.ah.com.au

17 November 2014

Professor Ian Young AO
Vice Chancellor
Australian National University
CANBERRA ACT 0200

Dear Vice Chancellor

By this letter I seek to resign from the position of President of the ANU Endowment for Excellence. I am quite happy, as discussed with you, for the actual timing and arrangements of this resignation to be in your absolute discretion.

I thank you and the University for the great support I have had in carrying out the function of President.

Yours sincerely

AG Hartnell
C*  32  Confidential to Council Members

PART 5 – OTHER MATTERS FOR NOTING
PART 6 – OTHER BUSINESS

* 33 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 ☐
34 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 ☐
* 35 NEXT MEETING

PURPOSE
For Council Members to note the date of the next meeting of Council which will be conducted on 19 February 2015 (business meeting of Council), followed by Council’s strategic retreat, scheduled for 20 February 2015, at ANU House, Melbourne.

SPONSOR
Chancellor

RECOMMENDATION
That it be noted that the next meeting of Council will be conducted on 19 February 2015 (business meeting of Council), followed by Council’s strategic retreat, scheduled for 20 February 2015, at ANU House, Melbourne.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

PART 6 – OTHER BUSINESS