COUNCIL

The 438th meeting of the Council will be held at 11:00 am on Thursday 16 February 2017 in the Board Room, ANU House, Melbourne. Any additional papers and briefing materials will be available in the Mills Room from 10.30 am.

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

AGENDA SUMMARY

Part 1 - Procedural Items
* 1. Announcements and apologies.................................................................4
* 2. Leave of absence....................................................................................4
* 3. Disclosure of material personal interest..................................................4
* 4. Arrangement of agenda ........................................................................4
*C 5. Minutes...............................................................................................4

Part 2 – Key Business Items
*C 6 - 9  Confidential to Council Members

Part 3 – Strategic Issues – Separate Agenda for Planning Day, 16-17 February 2017

Part 4 – Presentations
* 10. 2016 ANU Staff Engagement Survey Results ........................................8
* 11. Academic Board 2016 update ...............................................................11

Part 5 – Other Matters for Decision
C 12. Confidential to Council Members
13. Appointments to the Board of Governors of the ANU Endowment for Excellence. 14
14. Internal Audit Charter review ..................................................................16
15. Amendment of Burgmann College Incorporated Rules 2004 ....................18

Part 6 – Other Matters for Noting
*C 16-18 Confidential to Council Members
19. ANU Strategic Risk Register 2017 and Update on Risk Appetite program of work 20
C 20-25 Confidential to Council Members
26. ANU Emeritus Faculty Annual Report 2016 .........................................23
27. Scholarships and Prizes Approvals 2016 ...............................................24
28. Academic Board report ........................................................................25
29. Academic Board annual report 2016 ......................................................26
30. Power of Attorney ................................................................................27
31. University Seal report ..........................................................................28
32. Report of significant visits and events, grants and consultancies ...............29
33. Legislation ............................................................................................30
Part 7 – Other Business

* 34. Question time ........................................................................................................... 32
* 35. Other business .......................................................................................................... 33
  36. Next meeting ............................................................................................................ 34

ATTACHMENTS ............................................................................................................. 35
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:

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

* 1 ANNOUNCEMENTS AND APOLOGIES

There are no apologies for this meeting.

The Chair may speak.

* 2 LEAVE OF ABSENCE

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

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

* 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST

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

* 4 ARRANGEMENT OF AGENDA

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstared items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 35, Other Business.
5. The Chair will ask if there are any agenda items that need to be re-sequenced.

*C5. MINUTES

RECOMMENDATION It is recommended that Council confirm the minutes of the meeting held on 2 December 2016 (829/2016) as a correct record.
CONFIDENTIAL

COUNCIL

The 437th meeting of the Council was held at 9:15am on Friday 2 December 2016, in the R C Mills Room, Level 4, Chancelry Building, ANU campus, Canberra.

Confidential until confirmed by Council
PART 2 – KEY BUSINESS ITEMS

*C6 – 9.  Confidential to Council Members
PART 3 – STRATEGIC ISSUES – SEPARATE AGENDA TO BE ISSUED FOR PLANNING DAY ON 16-17 FEBRUARY 2017
PART 4 – PRESENTATIONS

*10. 2016 ANU STAFF ENGAGEMENT SURVEY RESULTS

PURPOSE
To brief Council on the methodology and results of the 2016 ANU Staff Engagement Survey (VOICE Survey).

PREPARED BY
Director, Human Resources

REVIEWED BY
Executive Director (Administration and Planning)

APPROVED BY
Executive Director (Administration and Planning)

SPONSOR
Executive Director (Administration and Planning)

RECOMMENDATION
That Council note the overview of the 2016 ANU Staff Engagement Survey (VOICE Survey) (13/2017).

ACTION REQUIRED
☑️ For discussion ☐ For decision ☐ For information

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

BACKGROUND
Engaged employees are committed to their work, and actively contribute to organisational performance. A staff engagement survey (sometimes also known as an employee opinion survey, staff satisfaction survey, or employee climate survey) is an objective measure of staff behaviours, perceptions, and satisfaction with their work in order to assess level of engagement.

ANU has previously conducted two staff engagement surveys through Voice Project, in 2011 and 2014. The Voice Project began as a research program at Macquarie University, exploring the impact of employee and client “voice” on engagement, leadership and service quality. The Voice Project now has a decade long track record of working with universities on staff engagement.

Undertaking a staff engagement survey through Voice Project assists with:
• assessing performance on a range of staffing and management practices;
• involving staff in the organisational development process;
• monitoring performance over time and measuring the effectiveness of change initiatives; and
• acting on issues identified in the survey.

Survey methodology
The staff engagement survey provided by Voice Project has respondents assess multiple indicators of performance, estimating the relative importance of these practices for maximising Passion / Engagement and Progress. The survey delivers a benchmark of the performance of work units across ANU, and compares scores against the previous results from 2014 and 2011 (where available). It is noted that the University only obtains results for work areas with responses of 10 or more in order to preserve the confidentiality of respondents.

The survey also provides a benchmark against 43 other Universities in the Voice Project database (comprising 40 Australian Universities, 2 international Universities and a smaller private University), and against a normative database compiled from over 1900 organisations from a wide range of professions and industries broadly representing the Australian economy.
Since 2011, the ANU staff survey has consistently drawn from a core set of questions from the standard Voice Project survey tool. In 2016, the survey also included additional questions to enhance the range of data in relation to gender diversity. Overall, the survey comprised a total of 129 agree/disagree questions, 2 open-ended questions (greatest strengths and areas requiring improvement), and 12 demographic questions.

The survey was conducted by Voice Project using a confidential personal invitation via email to eligible staff members (continuing and fixed term staff, excluding casuals), and was “live” for a period of 3 weeks from Monday 10 October to Friday 28 October.

SUMMARY OF RESULTS

All three staff surveys have been conducted in varying circumstances. The 2011 and 2016 surveys took place in the first year of a new Vice-Chancellor, resulting in increased response rates and strong Progress results relating to organisational objectives, change and innovation and customer satisfaction. In contrast, the 2014 survey was run immediately after an extended period of financial constraint within the University, with suspension on staff recruitment and a significant range of strategic budget and administrative reforms. It was also run during a challenging public debate on fee-deregulation.

Survey response rate

The University achieved a response rate of 68%, with 2804 surveys completed from an eligible population of 4097. The survey took respondents an average of 19 minutes to complete. In comparison, the 2014 survey was also conducted in October, for a similar period of time, and achieved a 62% response rate. The average higher education sector response rate is 66%.

Survey results overview

Whilst more detailed results and discussion will be presented at the Council meeting, a snapshot of the key indicators of Engagement / Passion and Progress for the University are presented below.

Overall, the 2016 results were very positive, increasing by around 3-4 percentage points, on average, since the previous survey in 2014. Some of the most notable increases in results may represent staff confidence and enthusiasm generated by a new Vice-Chancellor, and a strong vision and strategy for the future of the organisation. This is reflected in survey items relating to ANU achieving its goals and objectives, having a positive future ahead of it, that the University is innovative and that the way it is being run has improved over the last year.

The 2016 results record an increased organisational commitment and job satisfaction since 2014 may also reflect the context of the 2014 survey, which was run immediately after an extended period of financial constraint within the University, and more broadly within the higher education sector as previously outlined.
Another noteworthy result from the 2016 survey is the value placed on research being a clear differentiator for ANU, with satisfaction levels coming in around 10 to 15 points higher than those typically seen at other Universities.

Significantly, there were no survey items showing any meaningful decrease beyond one percentage point, within the margin of error. The highest priority issues identified to be addressed by the University in its post-survey action planning include:

- ensuring the survey results are clearly communicated to all staff and ensuing action is explicitly linked to survey feedback;
- increasing effective communication between areas;
- ensuring procedures/processes are efficient and clear;
- ensuring confidence in senior management through communication and consultation with staff; and
- exploring issues of wellness, stress and bullying in a small number of identified work areas.

**Next Steps**
The following steps are now being undertaken regarding the distribution of the survey results, and implementation of action planning:

1. Circulation and explanation of results to upper and middle management of individual work areas.
2. Communicate high-level results of the survey to all staff.
3. Develop a standardised Action Plan focussed on institutional and local area priorities, consistent with the Strategic Plan.
4. Undertake detailed and purposeful action planning and implementation at the local area.

**ATTACHMENT**

10.1 2016 ANU Staff Engagement Survey Results (13/2017).

**COMMUNICATION**

For public release ☐  For internal release ☐  Not for release ☑
*11. ACADEMIC BOARD 2016 UPDATE

PURPOSE
To note a presentation from the Chair, Academic Board on key Board initiatives and developments to enhance academic governance during 2016.

AUTHOR
Chair, Academic Board

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the presentation and issues raised by the Chair, Academic Board on key Board initiatives and developments to enhance academic governance during 2016.

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

BACKGROUND
The new Higher Education Standards Framework 2015 took effect on 1 January 2017. A self-assessment undertaken by the Academic Standards and Quality Office identified Academic Board as a Primary Responsible Officer for 13 of the standards. Of particular note is that TEQSA will expect the University to demonstrate that the governance system enables the corporate governing body to arrive at an informed and reliable view of the quality and outcomes of the provider’s higher education activities and the adequacy of its academic governance and other academic quality assurance systems, including the effectiveness of the academic policy framework.

To ensure compliance with the standards, Academic Board has implemented a number of initiatives to improve the transparency, governance and reporting of the Board. In particular, the impact of the new standards was added to the scope of the Academic Board Working Party.

SUMMARY OF ISSUES

ANU Academic Board 2016 Initiatives:

1. Academic Board Working Party
   Recommendations included an Academic Board Strategic Retreat, an internal review in 2017 and an accreditation sub-committee, in preparation for the external review by TEQSA.

2. Academic Integrity Scoping Working Party
   The Board resolved to establish an Academic Integrity Implementation Working Party.

3. Academic Board Digest
   The Digest provides a tool for wide scale communication with stakeholders.

4. Coffee Sessions with the Chair
   Small groups of 3-6 members to facilitate informal engagement and feedback.

5. Internal Feedback
   The Board will receive anonymous feedback on each meeting from two members.

6. Information Flow Poll
   Board members vote on three issues or questions to put to the Executive.
7. Collaboration with the Sector
   Chairs of Academic Boards/Senates Network: Academic Integrity discussions.
8. New Agenda Item Template
   A new action list to provide a concise and transparent reporting mechanism.

Academic Board at a Glance:

<table>
<thead>
<tr>
<th>Diversity</th>
<th>Meetings (2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Female: 27 - 55%</td>
<td>Number of meetings: 6</td>
</tr>
<tr>
<td>Executive: 14 - 29%</td>
<td>Duration: 2-3 hours</td>
</tr>
<tr>
<td>Academic Staff: 27 - 55%</td>
<td>Number of items: 260</td>
</tr>
<tr>
<td>Professional Staff: 6 - 12%</td>
<td>Number of Policy Items: 25</td>
</tr>
<tr>
<td>Students: 2 - 4%</td>
<td>Executive Actions: 14</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Constitution</th>
<th>Program Accreditations (2016)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ex-Officio: 19 - 39%</td>
<td>Undergraduate: 834</td>
</tr>
<tr>
<td>Elected: 25 - 51%</td>
<td>Postgraduate: 1206</td>
</tr>
<tr>
<td>Appointed: 5 - 10%</td>
<td>Higher Degree by Research: 142</td>
</tr>
<tr>
<td>Total: 49</td>
<td>Total: 2182</td>
</tr>
</tbody>
</table>

COMMUNICATION

For public release □  For internal release □  Not for release ☑
PART 5 – OTHER MATTERS FOR DECISION

C12. Confidential to Council Members
13. APPOINTMENTS TO THE BOARD OF GOVERNORS OF THE ANU ENDOWMENT FOR EXCELLENCE

PURPOSE
To approve the appointment of Kate Jordan, Michelle Melbourne and David Olsson as Governors to the Board of Governors of the ANU Endowment for Excellence. To approve the renewal of appointment for Robyn Watts.

PREPARED BY
Director, Alumni Relations & Philanthropy

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council approve:
1. the appointment of Kate Jordan, Michelle Melbourne and David Olsson to the Board of Governors of the ANU Endowment for Excellence for a period of four years (from 17 February 2017 until 17 February 2021), and
2. the renewal of appointment of Robyn Watts for a period of two years (from 20 February 2017 to 20 February 2019).

ACTION REQUIRED
☐ For discussion  ☑ For decision  ☐ For information

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

BACKGROUND
With the terms of several long-standing Governors coming to an end, the Board of Governors of the ANU Endowment for Excellence formed a Nominations Subcommittee to discuss the appointment of new Governors. The subcommittee proposed five prospective Governors, all of whom were approached in the last weeks of 2016. Three responded positively and, pending the approval of Council, have since indicated that they would be available to join the Board: Kate Jordan, Michelle Melbourne, and David Olsson.

Ms Kate Jordan is the recipient of multiple degrees from ANU. An engaged alumna, she was a speaker at last year’s graduation ceremony. Her extensive business and law networks in Sydney make her a valuable replacement for departing Governor Tony Hartnell.

Ms Michelle Melbourne is a significant ongoing philanthropic prospect for the University and an existing donor, having given a $1m gift in kind in 2014. She is a highly engaged alumna with an extensive Canberra network.

Mr David Olsson is an engaged law alumnus and a past graduation speaker. He has networks in Melbourne and offshore capability and knowledge, with extensive networks in China.

In addition to the new prospective appointments, Robyn Watts, who has to date served ten years on the Board, has agreed to serve a further two years, pending Council approval.

Appointments to the Board of Governors of the ANU Endowment for Excellence are made by Council under Part 7 of The Australian National University Endowment for Excellence Statute 2012.

SUMMARY OF ISSUES
No issues are anticipated in making these appointments.
ATTACHMENTS

13.1 Profile for Ms Kate Jordan (36/2017).
13.2 Profile for Ms Michelle Melbourne (37/2017).
13.3 Profile for Mr David Olsson (38/2017).

COMMUNICATION

☐ For public release  ☐ For internal release  ☑ Not for release
14. **INTERNAL AUDIT CHARTER REVIEW**

**PURPOSE**
To approve the Internal Audit Charter, following its review and endorsement by the Audit and Risk Management Committee.

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

**REVIEWED BY**
Manager, Audit and Risk

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

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

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**RECOMMENDATION**
That Council approve the Internal Audit Charter, following its review and endorsement by the Audit and Risk Management Committee.

---

**ACTION REQUIRED**
For decision

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

**COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION**
Finance, Audit & Risk Management, Campus Planning, Remuneration, Major Projects, Honorary Degrees, Nominations, Academic Board

The Audit and Risk Management Committee considered the Charter at its meeting on 1 February 2017 and recommends it for Council approval.

**SUMMARY**
Section 5.5.5 Para 7 of the Audit and Risk Management Committee Charter refers to the Committee’s responsibility in relation to the Review of the Internal Audit Charter:

*Review and endorse the Internal Audit Charter annually to ensure appropriate organisational structures, authority, access, and reporting arrangements are in place.*

The following amendments are recommended in respect of the Internal Audit Charter:

<table>
<thead>
<tr>
<th>Ref</th>
<th>Changes to Internal Audit Charter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>Replace ‘the Director is the Head of Internal Audit’ with ‘the Director is the Chief Audit Executive’</td>
</tr>
<tr>
<td>Scope of internal audit activity</td>
<td>Replace ‘organisation’s’ with ‘University’s’</td>
</tr>
<tr>
<td>Roles and responsibility</td>
<td>Remove ‘governance’ from ‘Internal Audit has a primary responsibility to advise on governance, risk management and control issues…..’</td>
</tr>
<tr>
<td>Risk management</td>
<td>Insert ‘Reviewing and updating the University’s Entity-wide Risk Management Framework and its components, to align and support programs of work in relation to risk management at the University.’</td>
</tr>
<tr>
<td>Audit reports</td>
<td>Replace ‘audit representatives’ with ‘key internal audit stakeholders’</td>
</tr>
<tr>
<td>Reporting and monitoring</td>
<td>Added the sentence ‘The Director, CGRO and ARMC Chair will meet with the Vice-Chancellor at least annually’.</td>
</tr>
</tbody>
</table>

PART 5 – OTHER MATTERS FOR DECISION
ATTACHMENT

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑
15. AMENDMENTS TO BURGMANN COLLEGE INCORPORATED RULES 2004

PURPOSE
To approve amendments to the Burgmann College Inc. Rules 2004

PREPARED BY
Robin Brown, Secretary, Burgmann College Inc.

SPONSOR
Vice-Chancellor

RECOMMENDATION
That the ANU Council approve the amendments to the Burgmann College Inc Rules 2004 contained in the attached Special Resolution dated 29 September 2016, this resolution having been adopted by the Council of Burgmann College.

ACTION REQUIRED
☐ For discussion ☑ For decision ☐ For information

BACKGROUND

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

2. Special Resolutions dated 29 September 2016
   On 29 September 2016, the general meeting of the Council of Burgmann College passed special resolutions to amend the Rules. The special resolutions appear at Attachment 16.1. A marked-up version of the Rules appears at Attachment 16.2, and is provided for the purpose of placing the amendments in their context.

SUMMARY OF ISSUES
These amendments change the College’s Rules to:
   1. Recognise the Burgmann College Alumni Association and make its president an ex-officio member of Council
   2. Rationalise the provision relating to expulsion of members

ATTACHMENTS
15.1 Special Resolution of the Council of Burgmann College dated 29 September 2016 (21/2017).
15.2 Burgmann College Incorporated Rules 2004, marked up to reflect proposed operation of Special Resolution dated 29 September 2016 (35/2017).

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

PART 5 – OTHER MATTERS FOR DECISION
PART 6 – OTHER MATTERS FOR NOTING

*C16 - 18. Confidential to Council Members
19. ANU STRATEGIC RISK REGISTER 2017 AND UPDATE ON RISK APPETITE PROGRAM OF WORK

PURPOSE
To present the ANU Strategic Risk Register 2017; and provide an update on the ANU Risk Appetite Statements Development Program.

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

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Director, Corporate Governance and Risk Office

SPONSOR
Chair, Audit and Risk Management Committee

RECOMMENDATION
That Council note:

1. The ANU Strategic Risk Register 2017, as endorsed by the Audit and Risk Management Committee; and
2. The next steps being taken in relation to the development of risk appetite statements to support delivery of the University’s strategic objectives.

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

The University’s Executive has been engaged in a series of workshops, and discussions facilitated by EY, with the primary objective of determining and assessing the strategic risks facing the University as it implements the new strategic plan and key strategic initiatives.

COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION
☐ Finance ☑ Audit & Risk Management ☐ Campus Planning ☐ Remuneration
☐ Major Projects ☐ Honorary Degrees ☐ Nominations ☐ Academic Board

BACKGROUND
Following approval of the business case by the Executive in June 2016, work commenced on Phase 1 - Key Strategic Risk Identification and Assessment of the two year program of work undertaken by the Corporate Governance and Risk Office (CGRO) in collaboration with internal auditors, Ernst & Young (EY), to develop Risk Appetite Statements for the University.

In Quarter 3 2016, extensive groundwork was undertaken through a series of one on one discussions with each member of the Executive and their respective management teams, to draw out keys risks within their portfolios. These risks were then compiled and further refined and validated through an iterative process with the Executive.

In Q4 2016, the strategic issues/risks and their related components, which were documented based on a ‘bow tie’ model for risk assessment, were finalised by the Executive. This has been a dynamic process which has culminated in a defined Strategic Risk Register for ANU, and which will be reviewed quarterly to incorporate any changes to the University’s risk landscape, with a progress report on the risk treatments provided to the Audit and Risk Management Committee each quarter.

PART 6 – OTHER MATTERS FOR NOTING
NEXT STEPS
In Q1 2017, CGRO in collaboration with EY, will work towards commencement of Phase 2 – *Development of Risk Appetite Statements* through a pilot roll out of the risk appetite statements and tolerances within the DVC (A) portfolio, followed by a scenario role-play exercise with the Executive in Q1- Q2 2017 to elicit the University’s appetite for risks in pursuing its strategic objectives, as contained in the Strategic Plan.

Subsequent to this, CGRO will determine its approach to engaging more broadly with the Senior Management Group and enabling implementation rollout across Services Divisions and Colleges, in Q3-Q4 2017.

To complement the program of work in 2017, CGRO will also:

- Update the Enterprise Risk Management Framework;
- Update the Risk Management policy to ensure alignment with, and reference to, risk appetite statements and tolerances;
- Develop a Risk Management Handbook to communicate procedures and guidelines on risk management to the University community; and
- Update the risk management website with tools, templates, guidelines.

ATTACHMENT
19.1 ANU Strategic Risk Register 2017 (30/2017).

COMMUNICATION
☐ For public release ☐ For internal release ☑ Not for release
C20 - 25. Confidential to Council Members
26. ANU EMERITUS FACULTY REPORT

PURPOSE To note the Annual Report of the ANU Emeritus Faculty for the year ended 31 December 2016.

PREPARED BY Chair, ANU Emeritus Faculty

REVIEWED BY Chair, ANU Emeritus Faculty

APPROVED BY Chair, ANU Emeritus Faculty

SPONSOR Vice-Chancellor


ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

ATTACHMENT

COMMUNICATION
☐ For public release ☐ For internal release ☑ Not for release
27. SCHOLARSHIPS AND PRIZES APPROVALS 2016

PURPOSE To note Scholarships and Prizes approvals for 2016.

PREPARED BY Director, Human Resources

REVIEWED BY Director, Corporate Governance and Risk Office

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the Prizes and Scholarships approved for 2016 (516/2017).

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

ATTACHMENT 27.1 Scholarships and Prizes approvals report 2016 (516/2017)

COMMUNICATION ☐ For public release ☐ For internal release ☑ Not for release
**28. ACADEMIC BOARD REPORT**

**PURPOSE**
To note the report from the meeting of Academic Board held on 6 December 2016.

**AUTHOR**
Chair, Academic Board

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council note the report from the meeting of Academic Board held on 6 December 2016 (572/2016).

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

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

**ATTACHMENT**
28.1 Academic Board report, 6 December 2016 (572/2016).

**COMMUNICATION**
☐ For public release  ☐ For internal release  ☑ Not for release
29. ACADEMIC BOARD ANNUAL REPORT 2016

PURPOSE
To note the 2016 Annual Report from the Academic Board.

AUTHOR
Chair, Academic Board

SPONSOR
Vice-Chancellor

RECOMMENDATION

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

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

BACKGROUND
The Annual Report provides Council with an overview of the nature and distribution of the Academic Board’s activities, accreditations considered and initiatives implemented in 2016. Key activities are mapped against the Boards Terms of Reference and governing legislation.

ATTACHMENT

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
30. POWER OF ATTORNEY

PURPOSE
To note the list of transactions signed under Power of Attorney by the Acting Investment Manager, between 11 November 2016 and 18 January 2017.

PREPARED BY
Investment Manager

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the list of transactions over which the Acting Investment Manager, exercised Power of Attorney between 11 November 2016 and 18 January 2017.

ACTION REQUIRED
☐ For discussion  ☐ For decision  ☑ For information

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

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

Attachment 30.1 provides the list of transactions signed under Power of Attorney by the Acting Investment Manager, between 11 November 2016 and 18 January 2017.

ATTACHMENT
30.1 List of transactions signed under Power of Attorney between 11 November 2016 and 18 January 2017 (19/2017)

COMMUNICATION
☐ For public release  ☐ For internal release  ☑ Not for release
31. UNIVERSITY SEAL REPORT

PURPOSE To inform Council of the uses of the University Seal.

PREPARED BY Director, Office of the Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the documents to which the University Seal has been affixed since the meeting of Council held on 2 December 2016.

ACTION REQUIRED For decision ☐ For information ☑

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

BACKGROUND AND SUMMARY OF ISSUES

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

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

A list of documents to which the University Seal has been affixed since the meeting of Council held on 2 December 2016 is as follows:

5 December 2016 Deed of Indemnity and Access – Ms Natasha Stott Despoja, Council member

COMMUNICATION

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32. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

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

PREPARED BY  
Communications Officer (Special Events)  
Office of Research Excellence

REVIEWED BY  
Vice-Chancellor

APPROVED BY  
Vice-Chancellor

SPONSOR  
Vice-Chancellor

RECOMMENDATION  
That Council note the report of significant visits and events, grants and consultancies (20/2017).

ACTION REQUIRED  
For discussion ☐  For decision ☐  For information ☑

ATTACHMENT  
32.1 Report of significant visits and events, grants and consultancies (20/2017)
### 33. LEGISLATION

**PURPOSE**  
To note legislation made by the Vice-Chancellor.

**PREPARED BY**  
Associate Director, Corporate Governance and Policy

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

**APPROVED BY**  
Vice-Chancellor

**SPONSOR**  
Vice-Chancellor

**RECOMMENDATION**  
That Council note the legislation as approved by the Vice-Chancellor, namely:

- Assessment Rule 2016
- Coursework Awards Rule 2016 (No. 2)
- Fees Rule 2016
- Research Awards Rule 2016

**ACTION REQUIRED**

- For discussion ☐
- For decision ☐
- For information ☑

**CONSULTATION**

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

These Rules were enacted following an annual review in 2016 by the University’s Academic Standards and Quality Office of student-related legislation to ensure that such legislation remains fit for purpose in the coming year. They amend previous Rules and clarify queries (from staff and students) that have arisen in relation to the Rule over the course of the previous year.

**BACKGROUND**

The Assessment Rule 2016 is made under section 8 of the Programs and Awards Statute 2013. The Rule provides for the assessment of the performance of students in the courses in which they are enrolled, being undergraduate and graduate coursework programs, and for review and appeal processes in relation to decisions made under the Rule.

The Coursework Awards Rule 2016 (No. 2) is made under section 8 of the Programs and Awards Statute 2013. The Rule provides a framework in relation to the undertaking of programs of study leading to the award of coursework awards of the University.

The Fees Rule 2016 is made under section 3 of the Fees Statute 2006. The Rule authorise the types of fees the University is permitted to charge under the Higher Education Support Act 2003, the fees the Council of the University has authorised for collection, and certain arrangements for the payment and collection of those fees. The Rule also repeals the Fees (General) Order 2016, as that instrument is no longer required. The Higher Education Provider Guidelines 2012 provides that Fees Schedules must be published on the Higher Education Provider’s website on, or before, the earliest enrolment date for the unit of study. Fees Schedules are published on the ANU website.

The Research Awards Rule 2016 is made under section 8 of the Programs and Awards Statute 2013. The Rule provides a framework in relation to the undertaking of programs of study leading to the award of research awards of the University.
ATTACHMENTS

33.1 - Assessment Rule 2016 (22/2016).
33.2 - Coursework Awards Rule 2016 (No. 2) (23/2016).
33.3 - Fees Rule 2016 (24/2016).
33.4 - Research Awards Rule 2016 (25/2016).

COMMUNICATION

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The new legislation has been published on the ANU legislation webpage and the Federal Legislation website.
PART 7 – OTHER BUSINESS

*34. QUESTION TIME

PURPOSE For Council members to ask questions.

SPONSOR Chancellor

RECOMMENDATION That Council note any matters raised in question time.

ACTION REQUIRED ☑ For discussion ☐ For decision ☐ For information
*35. 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
36. NEXT MEETING

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

SPONSOR Chancellor

RECOMMENDATION That it be noted that the next meeting of Council will be held on 7 April 2017.

ACTION REQUIRED ☑ For information

☐ For discussion ☐ For decision
ATTACHMENTS
2016 ANU Staff Engagement Survey Results
purpose

This report on the Australian National University Staff Engagement Survey:

- Assesses multiple indicators of ANU’s performance across a broad range of HR and general management practices and outcomes
- Estimates the relative importance of these practices for maximising (1) Passion and (2) Progress
- Benchmarks the performance of various organisational units within ANU
- Compares scores from the ANU 2016 Engagement Survey against results from 2014 and 2011
- Benchmarks performance against 43 other Universities in our database
- Benchmarks performance against our normative database compiled from over 1900 organisations from a wide range of professions and industries broadly representing the Australian economy
methodology

The 2016 survey of ANU:

- Was based on a core set of questions drawn from the Voice Engagement Survey and a number of tailored questions specific to ANU
- Comprised a total of:
  - 129 agree/disagree questions, 2 open-ended questions, 12 demographic questions
  - Included three new questions about diversity in ANU
- Included the following definitions:
  - “Senior Management” = College Heads, Research School Directors and Service Division Directors
  - “Supervisor” = the person you report to
  - “Customers” = students, government, research and industry partners, and other stakeholders we work with
- Was “live” for three weeks from Monday 10 October to Friday 28 October
- Achieved a response rate of 68% (compared to 62% in 2014, 66% industry average) based on completions of 2804 online surveys from a targeted population of 4097
- Had a margin of error for the overall sample of 1.0%
- Took an average of 19 minutes to complete
## Demographics

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<th>Person of Aboriginal or Torres Strait Islander Descent</th>
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### Demographics

#### Gender Identity

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#### Age

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#### Length of Service

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Groups with less than 10 responses are not separately analysed elsewhere in this report.
## Performance Details

### ANU Staff Engagement Survey Results

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<th>Scale</th>
<th>2016</th>
<th>2014</th>
<th>2011</th>
<th>% N/A</th>
<th>% Fav</th>
<th>% Diff</th>
<th>% Diff</th>
<th>Distribution</th>
<th>Uni</th>
<th>All Ind</th>
<th>Impact On</th>
<th>Impact On</th>
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<td>42%</td>
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<td>Community Engagement</td>
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<td>60%</td>
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<tr>
<td>Entrepreneurship</td>
<td>39%</td>
<td>39%</td>
<td>+3%</td>
<td>0%</td>
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<tr>
<td>Motivation &amp; Initiative</td>
<td>4%</td>
<td>77%</td>
<td>+2%</td>
<td>+2%</td>
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<tr>
<td>Talent</td>
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<tr>
<td>Teamwork</td>
<td>2%</td>
<td>87%</td>
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<td>+1%</td>
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<td></td>
</tr>
<tr>
<td>Survey Response</td>
<td>33%</td>
<td>39%</td>
<td>+6%</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

* For scale scores, the % Diff is the average of the % Diffs across all benchmarkable items in that scale (tailored items may not be benchmarkable).

** Questions in these scales were only answered by those identifying themselves as involved in research and/or teaching.
**Top 10% Fav**

<table>
<thead>
<tr>
<th>Topic</th>
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<th>% Fav</th>
<th>% Diff</th>
<th>% Diff</th>
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<td><strong>Teamwork</strong></td>
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<td>2%</td>
<td>92%</td>
<td>0%</td>
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<tr>
<td>I have good working relationships with my co-workers</td>
<td></td>
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<td></td>
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</tr>
<tr>
<td><strong>Mission &amp; Values</strong></td>
<td></td>
<td>1%</td>
<td>90%</td>
<td>+3%</td>
</tr>
<tr>
<td>I believe in the work done by ANU</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Role Clarity</strong></td>
<td></td>
<td>0%</td>
<td>89%</td>
<td>+1%</td>
</tr>
<tr>
<td>I understand how my job contributes to the overall success of ANU</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Mission &amp; Values</strong></td>
<td></td>
<td>2%</td>
<td>89%</td>
<td>+5%</td>
</tr>
<tr>
<td>I believe in the overall purpose of ANU</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Job Satisfaction</strong></td>
<td></td>
<td>2%</td>
<td>89%</td>
<td>0%</td>
</tr>
<tr>
<td>I like the kind of work I do</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Research</strong></td>
<td></td>
<td>53%</td>
<td>88%</td>
<td>+3%</td>
</tr>
<tr>
<td>Research is regarded favourably within my work unit</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Organisational Commitment</strong></td>
<td></td>
<td>2%</td>
<td>88%</td>
<td>+2%</td>
</tr>
<tr>
<td>I am proud to tell people that I work for ANU</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Role Clarity</strong></td>
<td></td>
<td>0%</td>
<td>88%</td>
<td>+1%</td>
</tr>
<tr>
<td>I understand my goals and objectives and what is required of me in my job</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Research</strong></td>
<td></td>
<td>54%</td>
<td>88%</td>
<td>+5%</td>
</tr>
<tr>
<td>Research by co-workers within my work unit is of a high quality</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Rewards &amp; Recognition</strong></td>
<td></td>
<td>1%</td>
<td>86%</td>
<td>+2%</td>
</tr>
<tr>
<td>I am satisfied with the benefits I receive (super, leave, etc.)</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

**Questions only answered by those identifying themselves as involved in research and/or teaching**

---

**2016 ANU STAFF ENGAGEMENT SURVEY RESULTS**

©Voice Project
top 10 changes since 2014

Change & Innovation
- The way ANU is run has improved over the last year (111)
  - 16% N/A, 51% Fav
  - +22% Diff, +14% Diff

Organisation Objectives
- The future for ANU is positive (108)
  - 6% N/A, 72% Fav
  - +16% Diff, -7% Diff

Organisation Direction
- I am aware of the vision the Vice-Chancellor has for the future of ANU (1)
  - 3% N/A, 71% Fav
  - +15% Diff, -6% Diff

- I am aware of the overall strategy the Vice-Chancellor has for ANU (3)
  - 3% N/A, 62% Fav
  - +12% Diff, -11% Diff

Change & Innovation
- ANU is innovative (112)
  - 8% N/A, 56% Fav
  - +10% Diff, -2% Diff

Organisation Objectives
- The goals and objectives of ANU are being reached (107)
  - 17% N/A, 62% Fav
  - +10% Diff, -4% Diff

Organisation Objectives
- Overall, ANU is successful (109)
  - 5% N/A, 81% Fav
  - +9% Diff, -5% Diff

Rewards & Recognition
- I am satisfied with the salary I receive (57)
  - 1% N/A, 68% Fav
  - +8% Diff, +9% Diff

Leadership
- I have confidence in the ability of senior management (39)
  - 1% N/A, 55% Fav
  - +8% Diff, 0% Diff

Involvement
- I am encouraged to give feedback about things that concern me (53)
  - 1% N/A, 60% Fav
  - +7% Diff, +3% Diff

2016 ANU STAFF ENGAGEMENT SURVEY RESULTS
<table>
<thead>
<tr>
<th>Attitude</th>
<th>% N/A</th>
<th>% Fav</th>
<th>% Diff</th>
<th>% Diff</th>
<th>PASSION</th>
<th>PROGRESS</th>
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<tr>
<td><strong>Cross-Unit Cooperation</strong></td>
<td>4%</td>
<td>25%</td>
<td>+3%</td>
<td>0%</td>
<td>-6%</td>
<td>-22%</td>
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<tr>
<td><strong>Survey Response</strong></td>
<td>39%</td>
<td>27%</td>
<td>+4%</td>
<td></td>
<td>-10%</td>
<td>-20%</td>
</tr>
<tr>
<td><strong>Change &amp; Innovation</strong></td>
<td>9%</td>
<td>29%</td>
<td>+4%</td>
<td>-5%</td>
<td>-5%</td>
<td>-24%</td>
</tr>
<tr>
<td><strong>Cross-Unit Cooperation</strong></td>
<td>4%</td>
<td>29%</td>
<td>+3%</td>
<td>-1%</td>
<td>-5%</td>
<td>-22%</td>
</tr>
<tr>
<td><strong>Change &amp; Innovation</strong></td>
<td>17%</td>
<td>33%</td>
<td>+7%</td>
<td>0%</td>
<td>-3%</td>
<td>-25%</td>
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<tr>
<td><strong>Processes</strong></td>
<td>1%</td>
<td>34%</td>
<td>+6%</td>
<td>0%</td>
<td>-6%</td>
<td>-23%</td>
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<tr>
<td><strong>Entrepreneurship</strong></td>
<td>39%</td>
<td>34%</td>
<td>+3%</td>
<td>-1%</td>
<td>-1%</td>
<td>-1%</td>
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<tr>
<td><strong>Cross-Unit Cooperation</strong></td>
<td>5%</td>
<td>36%</td>
<td>+3%</td>
<td>+2%</td>
<td>-3%</td>
<td>-20%</td>
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<td>20%</td>
<td>38%</td>
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<td>-5%</td>
<td>-12%</td>
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<td>+3%</td>
<td>0%</td>
<td>-4%</td>
<td>-5%</td>
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</table>
### **Teaching**

- **80 I am given enough support to evaluate my teaching effectively**
  - ANU 2016: 66%
  - ANU 2014: 54%
  - ANU 2011: 54%
  - % N/A: 0%
  - % Fav: 66%

- **78 Teaching by co-workers within my work unit is of a high quality**
  - ANU 2016: 64%
  - ANU 2014: 74%
  - ANU 2011: 74%
  - % N/A: 0%
  - % Fav: 64%

**Role Clarity**

- **15 During my day-to-day duties I understand how well I am doing**
  - ANU 2016: 0%
  - ANU 2014: 79%
  - ANU 2011: 79%
  - % N/A: 0%
  - % Fav: 0%

**Intention To Stay**

- **125 I would like to still be working at ANU in five years’ time**
  - ANU 2016: 7%
  - ANU 2014: 70%
  - ANU 2011: 70%
  - % N/A: 0%
  - % Fav: 7%

- **124 I am likely to still be working at ANU in two years’ time**
  - ANU 2016: 8%
  - ANU 2014: 76%
  - ANU 2011: 76%
  - % N/A: 0%
  - % Fav: 8%

**Diversity**

- **16 Sexual harassment is prevented and discouraged**
  - ANU 2016: 3%
  - ANU 2014: 85%
  - ANU 2011: 85%
  - % N/A: 0%
  - % Fav: 3%

**Questions only answered by those identifying themselves as involved in research and/or teaching**

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2016 ANU STAFF ENGAGEMENT SURVEY RESULTS

Page 11
Ms Kate Margaret Jordan  Age: 46           RE ID: 37058

Affiliation with the ANU

- Alumna: BComm ‘92, LLB ‘93.
- Kate delivered the Graduating Address at the College of Law Conferral of Degrees in December 2016.

Education

- ANU: BComm ‘92, LLB ‘93.
- University of Sydney: LLM ‘96.

Employment

Current

- Deputy Chief Executive Partner, Clayton Utz (since 2014).

Former

- Partner in Charge of Sydney, Clayton Utz (2012 – 2014).

Trusteeships

Current

- Trustee, Clayton Utz Foundation (since 2014).
- Director, World Education Australia (since 2012).

Former

- None known.

Wealth

Capacity: 3) $100,000 – $499,999.

- In 15 years as Partner,Kate is likely to have accumulated significant wealth, likely earning the inflation-adjusted equivalent of $450,000 a year or more in that time.
- In 2011/2012, according to the Australian Financial Review, “top” Equity Partners at Clayton Utz earned between $1.3 and $1.5 million. The firm’s annual revenue, which informs Partner remuneration, is believed to have remained relatively steady since that time. As one of the highest-ranked Partners at the firm since 2012, it is possible that Kate earns at an even higher level.
- Home in Mosman is valued at over $5 million.
- Kate is Director and 50% owner of Budage Pty Ltd. This company’s activities are unknown but believed to be tied to Clayton Utz, as all its Directors and the other owner, Robert Cutler, are Partners at the firm.
- She co-owns K & M Ivanhoe Pty Ltd with her husband. This is a small company believed to be a consultancy or investment holding company. Kate is also a Director of JJ Bear Dan Superannuation Pty Ltd. Her husband Mark is its owner.
- The above factors – mainly home value and past earnings – indicate that Kate is likely capable of a gift in the mid-range of the Capacity range given.

Primary Manager: Assignment pending.
Charitable giving

- **2014**: Kate and a colleague, Fran Rush, raised $23,300 for Good Return, by asking friends to sponsor them on a four-day trek in the Philippines.
- **2011**: A Kate Jordan donated between $500 and $4,999 to the Sydney Children’s Hospital Foundation. It has not been confirmed if it was this Kate.

Contact reports *(last five only)*

- **15/12/2016**: Fiona Preston emailed Kate to thank her for her address at the College of Law Conferral of Degrees, including some photos from the event. Kate replied stating it was "a pleasure to be back at ANU and such a privilege to be delivering the graduating address."
- **14/12/2016**: Kate flew in to Canberra and delivered her address at the College of Law Conferral of Degrees. Her parents, Brian and Therese, attended the ceremony.
- **11/11/2016**: Fiona emailed Kate to invite her to deliver the Graduating Address at the College of Law Conferral of Degrees Ceremony in December. Kate was "delighted" to accept.
- **17/06/2016**: Kate and her colleague Andrew Plaskett met with Stephen and Fiona at Clayton Utz’s offices in Sydney. She apologised that she had been unable to attend the Reception the previous day. Kate described her time at ANU, stating that she was “proud” to be an ANU Law graduate and that Clayton Utz felt favourably about ANU Law alumni. Kate later reported that 17 (10%) of the firm’s Partners were ANU alumni. Kate grew up in Canberra and her parents still live in the city. Stephen invited her to visit campus next time she is in Canberra. They discussed Clayton Utz’s recruitment of ANU graduates and possible ways to collaborate in ways that could benefit both ANU and CU.
- **30/05/2016**: Stephen Bottomley sent a letter to Kate inviting her to attend an Alumni Reception in Sydney and meet individually with him. Kate’s Executive Assistant, Elise Tully, sent a reply to Fiona Preston, accepting both invitations.

Contact Information

**Email:** kjordan@claytonutz.com

**Phone:** (02) 9353 4721.

**Social media:** [linkedin.com/in/kate-jordan-1b7a3323](https://www.linkedin.com/in/kate-jordan-1b7a3323/)

**Mailing address:** Clayton Utz, Level 15 1-7 Bligh Street, Sydney NSW.

H 11 Buena Vista Avenue, Mosman NSW 2088.

Other Information

Honours and Awards

- Listed as a Leading Individual by Legal 500 Asia Pacific in the field of Media and Entertainment (2016) and a recommended lawyer in Corporate and M&A (2016)
- Ranked Up and Coming by Chambers Global in Corporate M&A and Band 1 for Media (2016)

Professional Organisations

- Member, Chief Executive Women.
- Admitted to practice in New South Wales and the High Court of Australia.
- Member, Law Society of New South Wales, the Australia and New Zealand Sports Law Association, the Australian Sports and Marketing Association, the Communications and Media Law Association Inc.

Social Responsibility

- Kate is responsible for Clayton Utz’s social responsibility programs, which include the firm’s pro bono program. Clayton Utz is the only law firm outside the United States to achieve 500,000 pro bono hours.
- Kate is committed to increasing female representation in leadership positions within the firm. She is a member of the Clayton Utz Diversity Committee and is driving the firm’s gender diversity initiatives to ensure that the firm reaches its target of 35% women partners.
- World Education Australia is a not-for-profit founded to provide education and financial services to assist people out of poverty. World Education and its active arm, Good Return, currently operate in Cambodia, Fiji, Indonesia, Laos, Nepal, the Philippines, the Solomon Islands and Tonga.

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Family

- Mother of three. Husband Mark Ivanhoe’s occupation is unknown.

Document history

Created: January 2017 – Rhys Evans
Ms Michelle Margaret Melbourne  
Age: 46  
RE ID: 36112

Affiliation with the ANU

- Married to Alumnus Phillip Williamson (BSc – Botany ‘88 & GradCert Mgt ’03).
- Daughter Holly is a current student.
- Through their company, Michelle and Phillip made a gift of Intelledox software to ANU. The estimated value of this gift was more than $1 million (2014).
- Phillip and Michelle jointly received the 2015 Alumnus of the Year Award (Innovation & Entrepreneurship).
- Previously attended 12 ANU events, most recently the In Conversation with Richard Roxburgh Event in October 2016.

Education


Employment

Current:
- Director, ACT and Southern NSW Rugby, Brumbies Rugby (since 2016).
- Deputy Chair, Canberra Institute of Technology (since 2015).
- Co-Founder, Intelledox Software, Canberra (since 2005).

Former:

Trusteeships & Voluntary Positions

Current:
- Advisory Board Member, Royal Australian Mint (since 2015).
- Member, Australian Industry & Skills Committee (since 2015).
- Ambassador, ACT Exporters’ Network (since 2011).

Former:
- Board Member, Canberra Business Chamber (2015 – 2016).
- Chair, Canberra Business Council (2012 – 2015).
- Chair, CollabIT (2010 – 2015).
- Member, Australian Information Industry Association.

Wealth

Capacity: 5) $1,000,000+
- In 2014, wealth intelligence company Wealth-X estimated Michelle’s total wealth at “at least $55 million”, the majority represented by her and Phillip’s stake in Intelledox.
- Phillip and Michelle own equal shares of 33.49% in Intelledox. The remainder is distributed between 13 other shareholders.
In August 2015, Michelle stated in conversation that Intelledox’s revenue was approximately $5 million and that the company was worth approximately $30 million.

Intelledox’s revenue was reported in media as $10 million in March 2016. At that time, Michelle stated that “turnover was expected to triple in the next 12 months.”

- Michelle’s 2015 estimate may be based on several additional factors, but the values suggest that she is using a sales multiple of six to estimate the value of the company. This is above average in the field, but potentially stems from the rapid growth of the company.
- Applying the sales multiple of six to the latest revenue information, we estimate the value of Intelledox at approximately $60 million. Within that, Michelle and Phillip’s stake would be worth $40 million.

- Home in Deakin is valued at approximately $1.6 million.
- It is estimated that Michelle and Phillip could give at least at the low end of the given Capacity rating.

**Charitable giving**

- 2014: Through Intelledox, Michelle and Phillip donated a license for their Infiniti software package to ANU. The software, which helps businesses to digitise and streamline processes, is valued at $1 million, but its application was stated by ANU Executive Director Chris Grange to potentially be worth “more than $10 million to the university.” The ANU launched the Intelledox Digital Transformation Centre to coordinate the project.

**Contact reports (last five only)**

- 2/11/2016: Michelle emailed Brian Schmidt to ask if he would be willing to be the subject of a short biographical documentary as part of a university assignment for her eldest daughter, Sammy. Brian agreed and Sammy spent a day filming and interviewing him. Michelle thanked Brian for “accommodating the budding documentarists”, reporting that the film had been a “raging success.”
- 8/09/2016: Michelle emailed Colin Taylor, reporting that she had seen “inspirational” alumni profiles on a visit to the campus of Queensland University of Technology and asking if ANU had anything similar. Colin replied that ANU had something similar at the College of Law and CBE. He offered to give her a tour next time she visited campus, and also proposed an individual meeting in the near future.
- 25/08/2016: Colin invited Michelle and Phillip to attend a Luncheon at the National Press Club, at which Gareth Evans and Hugh White were discussing the topic “The US and China in Asia: How should Australia respond?” They accepted and attended the event, sitting with Colin, Robin Hughes, Veronica Taylor, Ros and Jim Williams and Nicola and Claire Clark.
- 19/03/2016: Michelle and Phillip attended the 2016 ANU Alumni Awards Gala Dinner, sitting at a table with Vice-Chancellor Brian Schmidt and other significant prospects and donors.
- 1/01/2016: A Season’s Greetings card was sent from Ian Young thanking Michelle and Phillip for their gift and continued support of ANU.

**Contact information**

Email: michelle.melbourne@intelledox.com.
Phone: M 0438 041 520    H (02) 6273 4454.
Mailing address: 14 Robe Street, Deakin 2600 ACT.

**Other information**

Intelledox is a developer of business process automation software with more than 300 customers and more than 400,000 users. Michelle and her husband Phillip founded the company in 1991 as DPM Consulting, rebranding to Intelledox in 2005.

- High-profile corporate customers include Scotiabank, AXA, Sydney Water, Stockland, Lend Lease and the Australian Public Service.
- Intelledox maintains offices in Australia, Singapore, the UK, New Zealand, Hong Kong, the USA and Canada. Its annual revenue as of March 2016 was approximately $10 million.
- Intelledox was named in the BRW Fast 100 in 2011 and 2012, as well as the Anthill Smart 100 in 2013. The company was ACT Business of the Year in the Telstra Business Awards 2014 and won two awards at the...
the ACT Chief Minister’s Export Awards. It was a Merit Recipient for Business Services in the ACT in the 2016 iAwards.

**Family**
- Married to Alumnus Phillip Williamson (BSc – Botany ’88 & GradCert Mgt ’03). Phillip and Michelle founded Intelledox together in 1991 in Michelle’s brother’s bedroom,
- Her and Philip have three daughters. The eldest, Sammy, has completed a degree at the University of Canberra. The middle, Holly, is studying a Bachelor of Science at ANU. The youngest is approximately 14. Michelle has indicated that she is the most interested in the field in which Phillip and Michelle work.
- 2016, Sammy directed a short documentary centred on Brian Schmidt, entitled *Reaching Maipenrai*.

**Honours**
- Named in Fairfax Media’s Top 10 Australian Female Entrepreneurs (2016).
- Phillip and Michelle jointly received the Alumnus of the Year Award (Innovation & Entrepreneurship) (2015).

<table>
<thead>
<tr>
<th>Document history</th>
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</table>
Mr. David Charles Olsson  
Age: 59  
RE ID: 84666

### Affiliation with the ANU
- Alumnus: LLB ’79.
- Gave the ANU CAP graduation address in December 2015.
- Former resident of Bruce Hall.
- Member of the Australian China Alumni Association as of 2012 (status unconfirmed).
- Has attended two ANU events, the latest being the Boardroom Lunch with Felicia Trewin in 2015.

### Education
- ANU: LLB ’79.

### Employment
**Current:**
- China Practice Consultant, King & Wood Mallesons, Melbourne (since 2013).
- Director, Black Diamond Group (since 2014).
- Chairman of the Board, The Unit Co (since 2016).

**Former:**
  - 2008 – 2013 in Beijing, China. Prior was based in other locations such as Hong Kong and Melbourne.

### Trusteeships
**Current:**
- Executive Committee Member, Australia China Business Council, Victoria (since 2013).
- Member of Advisory Board, Australia China One Belt, One Road Initiative (since 2016).
- Member of Advisory Council, China Matters (facilitating policy discussion on China) (since 2015).

**Former:**
- Board Member, Australia China Council (2013 – 2016).
- Director & Chairman, Melbourne Affordable Housing (2005 – 2008).

### Wealth
**Capacity:** 3) $100,000 – $499,999.
- Capacity rests largely on his time spent as a law firm Partner. It is unclear whether David benefited financially from the merger of King & Wood and Mallesons in 2012.
- David spent approximately 23 years in all levels of Partner roles, likely earning the inflation-adjusted equivalent of $400,000 a year or more in that time.
- It is unclear exactly how much time David spent as a Senior or Managing Partner (though was in such a role as of 2005), where remuneration at KWM was approximately $1.3 million in the early 2010s. That
amount is likely to have been received in his time as the head of the Melbourne, Hong Kong and Beijing offices.

- David was also paid $60,047 in 2015 for his role as Director of Canada-based Black Diamond Group.
- David’s home address in South Yarra was sold for $6.5 million in 2009, while he was based in Beijing.
- It is likely David’s capacity rests at least the mid-to-high end of the given Capacity range.

Primary Manager: Assignment Pending      Alumni Manager: Fiona Preston

Charitable giving

- A David and Lynne Olsson are in several Opera Australia Annual Reports up to 2013 in the $1,500 - $2,999 donor bracket, however it is unclear whether this is cumulative or one-off gifts.
- A David and Lynne Olsson have also given similar amounts to the National Gallery of Victoria.

Contact reports (last five only)

- 18/12/2015: David met with Professor Stephen Bottomley while on campus for CAP graduation address. David’s father was to attend but did not due to it being a hot day. David offered to help out the ANU College of Law in two ways – putting Stephen Bottomley in touch with some senior partners in the Melbourne branch of King & Wood Mallesons, and talking to students at ANU about career paths and possibilities.
- 14/12/2015: Lea Sublett emailed David to confirm readiness for his graduation presentation. Lea also proposed that David and his father could visit the new ANU College of Law foyer and have lunch with the Dean.
- 14/12/2015: Fiona Preston emailed David to invite him to lunch with COL Dean Stephen Bottomley while he was in Canberra to give the CAP graduation address, and also to tour the new College foyer space, where David featured on the Distinguished and Inspiring Alumni screens. David accepted and also mentioned he would be bringing his “elderly (but very mobile) father”.
- 1/12/2015: David and Lea Sublett spoke about the opportunity for him to speak at Graduation in December. He noted that it was an honour to be asked and was considering this invitation.
- 5/08/2015: Lea Sublett met David at his office in Melbourne. He stated he had found his seven years in Beijing “the most transformative” of his career and that China was “his entire focus now for the company.” Stated that when he returned from China in early 2014 he intended to retire, but the firm asked him to head their China practice, which involves “advising on global work with a China focus” and managing some key relationships.

Contact Information

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Other Information

Business:

- King and Wood Mallesons is a global law firm with over 2,200 lawyers and $1.3 billion in revenue, as of 2016.
  - Its European and Middle East operation was reported in November 2016 to be “grappling with cash flow issues because of a reported slowdown in business and partner defections” and has “lurched from one catastrophe to another”, and “on the brink of collapse” although the firm’s Chinese and Australian arms are “largely isolated from events in Europe”.
- David is described from web sources as “a lawyer specialising in Sino–foreign cross-border investments, China market-entry strategies, regional financial systems and financial market development. He is consistently recognised as a leading banking and capital market lawyer in China and Australia, as well as an expert in China’s financial markets”. It is also said “He has a particular interest in the development of China’s financial markets and cross-border capital flows”.
- David’s Linkedin profile states he “chairs the Australian RMB Initiative, a private sector led, government supported, working group that ensures that Australian companies are well positioned to take advantage of the growing use of China’s currency internationally and leads a related NSW Government initiative to promote the role of Sydney as an official offshore RMB hub and regional financial centre.”
Personal Profile | David Olsson – January 20 2017

- David stated to Lea Sublett on 5/08/2015 that his time in Beijing was the career location he found “most transformative, and which is his entire focus now for the company.”
- His time in Beijing culminated in “the creation of the world’s first Sino-foreign law firm” in March 2012. The Mallesons Beijing office grew from five lawyers to nearly 40 lawyers across Beijing and Shanghai before combining with King & Wood in March 2012 – now with over 1,000 lawyers and 12 offices in China and 1,000 lawyers in Australia and five other countries.
- Other roles:
  - The Australia China One Belt, One Road (OBOR) Initiative is a not-for-profit private sector engagement platform that enables Australian and Chinese industry leaders to articulate clear business opportunities available through China’s One Belt One Road (OBOR) strategy.
  - Was appointed by the Minister for Foreign Affairs, the Hon Julie Bishop, as one of 19 New Colombo Plan Business Champion to “play an important role in promoting the value of regional study to students’ career prospects and in fostering business engagement with the New Colombo Plan.”
  - Black Diamond Group provides workforce accommodation.
  - The Unit Co is an “end-to-end transformation capability” company that will “help businesses adapt, providing insurance from disruption”. A June 2016 article in the Australian Financial Review article stated it was planning a $40 million IPO on the ASX for the end of 2016. It does not appear to have listed at the time of writing. The money would be used to finance the acquisition of digital consulting and services companies.

Education

- Linkedin profile lists education as a Graduate of the Australian Institute of Company Directors (no date), and with the organisation Leadership Victoria (2002).

Australia China Council

- Quoted on the Australian Government DFAT website in his capacity as Chairman of the China-Australian Chamber of Commerce – about the AustCham China Scholarship Program “With our long term strategies in place I am confident the Scholarship will continue to thrive into the next decade and evolve into one of the most sought after, China focused career development platforms for young Australians”. It is unclear what role David has in the Program.

Family

- Married to Lynne Olsson. Lynne studied at RMIT (degree unknown).
- They have at least two children, a Kate Olsson and Rob Olsson, neither of whom are ANU alumni.
  - Lynne is friends on Facebook with ANU alumna and Net Capacity 5 prospect Virginia Zink (née Ford) CN25355.

Document history

| Created:         | January 2017 (Stephen Rowe) |

Alumni Relations and Philanthropy, ANU

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INTERNAL AUDIT CHARTER

Introduction
The Council of the Australian National University ('the University') has established the Internal Audit Charter under section 9 of the Australian National University Act 1991 and in compliance with section 16 of the Public Governance, Performance and Accountability Act 2013. The Internal Audit Charter describes and controls the activities of Internal Audit within the University. The Charter should be read in conjunction with the Charter of the Audit and Risk Management Committee of Council.

The Internal Audit function refers to the three operational components of the internal audit management framework managed under the direction of the Director, Corporate Governance & Risk Office ('the Director'), namely, in-sourced from within the Corporate Governance & Risk Office (CGRO); an out-sourced provider; and a co-sourced (partnering) arrangement with contribution from both sources. All personnel operating within the internal audit management framework are hereafter referred to within the Charter as 'Internal Auditors'.

The responsibilities of Audit and Risk Management Committee ('the Committee') include the provision of independent assurance, advice and assistance to the Council on internal audit and related matters.

The Director is the Chief Audit Executive, and is responsible for the management of the internal audit function as a whole.

Purpose of Internal Audit
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 University to achieve its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Scope of Internal Audit activity
The scope of internal auditing encompasses, but is not limited to, the examination and evaluation of the adequacy and effectiveness of the organization's governance, risk management, operations and internal process as well as the quality of performance in carrying out assigned responsibilities to achieve the University's strategic goals and objectives. Internal audit reviews may cover any of the programs and activities of the University, together with associated entities as provided for in relevant business agreements, memoranda of understanding or contracts.

Professionalism
Internal Audit adheres to (where directed by the Internal Audit Charter, which comprises this document and, as an addendum) the International Professional Practices Framework of The Institute of Internal Auditors (The IIA) which includes the:

- Definition of Internal Auditing;
- Code of Ethics;
- International Standards for the Professional Practice of Internal Auditing (the Standards).

Internal Audit conforms to other relevant standards containing, but not limited to, the:

- Standards for Information Systems Audit and Assurance issued by the Information Systems Audit and Control Association;
- Audit practice statements as appropriate to internal auditing of CPA and the Institute of Chartered Accountants Australia; and
- Practice advisories and other guidance issued by the Professional Issues Committee of the Global Institute of Internal Auditors.

Whenever appropriate, Internal Auditors will report that their activities were conducted in accordance with the standards.
In addition, Internal Audit adheres to all applicable University statutes, rules, orders, and policies, procedures and standards. Any conflict between these and the Charter will be brought to the attention of the Chair of the Committee and/or the Director for resolution. A review or appraisal by the Internal Audit function does not in any way relieve University officers of their individual responsibilities.

**Authority and confidentiality**

Internal Audit is authorised to direct a broad, comprehensive program of internal audit activity within the University with full, free and unrestricted access to all functions, property, University personnel (including the Vice-Chancellor, Committee Chair and Chancellor), records, accounts, files and other documentation. Information accessed in the course of internal audits is to be used strictly for internal audit purposes. Internal Audit is responsible and accountable for maintaining the confidentiality and safeguarding of the records and information received during the course of its work.

**Objectivity and Independence**

Internal Auditors are required to undertake their work objectively. Objectivity is an unbiased mental attitude that allows Internal Auditors to perform engagements in such a manner that they have an honest belief in their work product and that no significant quality compromises are made. Objectivity requires Internal Auditors not to subordinate their judgement on audit matters to that of others. Threats to objectivity must be managed at the individual Internal Auditor, engagement, functional, and organisational levels.

The Internal Audit function will report to the Committee and/or Vice-Chancellor any situations in which a conflict of interest or bias is present or may be reasonably inferred.

All of Internal Audit's assurance activities, including matters of audit selection, scope, procedures, timing, reporting, and report content, shall remain free of undue influence by any element in the University. Accordingly, Internal Auditors must exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal Auditors must make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others in forming judgments.

Independence is the freedom from conditions that threaten objectivity or the appearance of objectivity. Independence is critical to effective internal auditing and for preservation of the integrity of the internal audit function. The independence of the Internal Audit function is facilitated by the conditions established in respect of:

- Accountability – The Internal Audit function reports administratively to the Executive Director (Administration & Planning) on behalf of the Vice-Chancellor, and functionally to the Committee, on behalf of the Council.
- Reporting – The Internal Audit function has the discretion to present audit findings directly to the Vice-Chancellor, Chair of the Committee and/or the Chancellor; and
- Operational management – the Internal Audit function is independent from line management and has no direct responsibility for, or authority over, any of the activities under review. The Internal Audit function shall not assume operating responsibilities. Accordingly, Internal Auditors will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair internal auditor’s judgment. Where there is a perceived impairment to the Internal Auditors judgement, an external provider will be engaged to undertake internal audit work.

**Roles and responsibility**

In the conduct of its activities, Internal Audit plays an active role in:

- developing and maintaining a culture of accountability, integrity and adherence to high ethical standards;
• facilitating the integration of risk management into day-to-day business activities and processes; and
• promoting a culture of cost-consciousness and self-assessment.

Internal Audit has a primary responsibility to advise on risk management and control issues and is required to report inadequately addressed risks and non-effective control processes to management and/or the Committee. Reporting will be escalated to a level consistent with the internal audit assessment of the risk.

Internal Audit’s responsibility encompasses:

Assurance activities

• Reviewing the reliability and integrity of financial and operating information and the means used to identify, measure, classify, and report such information. An overall rating or assessment in each internal audit shall be assigned to the extent that the work undertaken can support such a rating, conclusion and/or other description that is a result of an individual internal audit engagement, relating to those aspects within the objectives and scope of the engagement.
• Reviewing the systems established to ensure compliance, and whether the University is in compliance with those policies, plans, procedures, laws, regulations, etc. that could have a significant impact upon operations and reports.
• Reviewing the adequacy and effectiveness of internal controls, including information technology system controls such as those relating to finance, operations, information technology systems and information and network security.
• Reviewing the means of safeguarding assets and, as appropriate, verifying the existence of such assets.
• Reviewing and appraising the economy, efficiency and effectiveness of business systems and processes.
• Reviewing operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.
• Reviewing specific operations at the request of the Committee or management, as appropriate.
• Monitoring and evaluating the effectiveness of the University’s risk management system.
• Reviewing statements by senior management in respect of internal control and related opinions by auditors for the purpose of informing internal audit planning.
• Assisting management to identify the risks of fraud and develop fraud prevention and monitoring strategies.
• Coordinating the University’s Fraud Control Plan.
• Assisting management to develop and monitor Business Continuity Plans and evaluating the implementation of mitigation strategies.
• Facilitating the engagement of a probity auditor in respect of significant procurement arrangements to conform with the expectations of internal and external stakeholders. This will be conducted in accordance with required policies, statutes and/or standards.

Risk management

• Coordinating the development of the University’s Entity-wide Risk Management Plan, and encouraging a culture that promotes appropriate management of risk across the University.
• Reviewing and updating the University's Entity-wide Risk Management Framework and its components, to align and support programs of work in relation to risk management at the University.
• Assisting management to identify and evaluate risks and develop risk mitigation and monitoring strategies as part of the risk management framework.
• Monitoring and reporting on the implementation of risk mitigation strategies.
• Reporting risk exposures and control issues identified from the audit or non-audit engagements by internal auditors, including fraud risks, governance issues, and other operational matters, to the Committee.

Advisory services
• Performing consulting and advisory services related to governance, risk management and control, subject to the approval of the Director, and reporting these non-audit engagements to the Committee.
• Providing advice on the development of new programs and processes and/or significant changes to existing programs and processes, including the design of appropriate controls.

Audit management and support activities
• Assisting the Committee to discharge its responsibilities.
• Reviewing the quality of performance of external contract auditor services (other than the Australian National Audit Office (ANAO) or their agents), including those engaged by management, and the degree of coordination with internal audit.
• Coordinating internal and external audit activities to ensure adequate audit coverage and to minimise duplication of effort.
• Meeting periodically between the Director and the University's external auditors (i.e. ANAO or their agents) to discuss matters of mutual interest.
• Making available internal audit strategies, programs, working papers and reports to the ANAO for review.
• Reporting periodically on the internal audit activity's purpose, authority, responsibility, and performance relative to its plan.

Internal Audit Work plans
Each year the Director will propose assurance and consultancy engagements for the forthcoming year (Internal Audit Work Plan) for endorsement by the Committee and approval by Council. The Internal Audit Work Plan will consist of a work program as well as budget and resource requirements for the next fiscal year. The Director will communicate the impact of resource limitations and any changes to the Internal Audit Work Plan to the Committee for consideration and approval.

The Internal Audit Work Plan will include strategic components that address:
• Assurance requirements of the organisation;
• Principles of coverage areas: assurance, performance improvement, basic controls, key systems;
• Other assurance providers and how their work will be relied upon;
• Coordination with the external auditor;
• Necessary skill sets and their acquisition;
• Distribution of work between service provider; and
The areas proposed for review during the forthcoming three-year period based on the University’s risk assessment outcomes.

Audit techniques
The Internal Audit function uses the most appropriate methodology for each engagement depending on the nature of the engagement and the predetermined parameters.

Audit reports
On conclusion of each engagement specified in the Internal Audit Work Plan (excluding management initiated reviews) a copy of the report on the engagement shall be issued to the key internal audit stakeholders and shall be tabled at the next meeting of the Committee. The audit report presents the audit objectives and scope and, where applicable, audit opinion, recommendations, management comments, and any agreed implementation timetable for audit recommendations.

The internal audit report includes management’s response and corrective action taken or to be taken in regard to the specific findings and recommendations. Management’s response of the audited area include a timetable for anticipated completion of action to be taken and an explanation for any corrective action that will not be implemented.

Reporting and monitoring
At each Committee meeting, the Director submits a written report summarising all engagement activities undertaken since the last meeting. This report indicates:
- Assignments completed or in progress;
- Outcomes of each assignment undertaken; and
- Progress of management action taken.

Annually, the Director submits a report on the internal audit activity’s performance against the agreed key performance indicators. The Director, Corporate Governance and Risk Office (CGRO) and ARMC Chair will meet with the Vice-Chancellor at least annually.

Quality assurance program and periodic assessment
The Director develops and maintains a quality assurance and improvement program that covers all aspects of the internal audit activity and continuously monitors its effectiveness. This program includes periodic internal and external quality assessments and ongoing internal monitoring. Each part of the program should be designed to help the internal auditing activity add value and improve the University’s operations and to provide assurance that the internal auditing activity is in conformity with the Internal Audit Charter and relevant standards (refer to Professionalism section above).

As part of a comprehensive quality assurance program, the Director will arrange for an independent review of the efficiency and effectiveness of the operations of the internal audit function at least every five years. The results of the external quality assessment will be reported to the Committee.

Follow up process
The internal audit function will be responsible for appropriate follow-up on engagement findings and recommendations. All significant findings will remain in an open issues register until adequately addressed.

A follow-up status report is provided by the audit sponsor to the Director on a semi-annual basis. The status report includes updated management responses and corrective actions taken in regard to the specific findings and recommendations.

Review of the Charter
This charter will be reviewed annually with any substantive changes to be endorsed by the Committee and approved by the Council.
SPECIAL RESOLUTION TO AMEND BURGMANN COLLEGE INC. RULES 2004

Passed by the Council of Burgmann College at its general meeting, 29 September 2016

1. PROPOSED AMENDMENTS TO THE RULES (CONSTITUTION) OF THE COLLEGE:

Mr Mills introduced Mr Naughton, Chairman of the Rule Review Committee to introduce two resolutions for amendments to the Rules.

1.1 Issue 1 - Recognition of the Burgmann College Alumni Association and making its President an Ex-officio member of Council:

Mr Naughton explained that the Rules Review Committee concluded that there would be merit in recognising the Alumni Association in the Rules and making its President a Council member ex-officio and providing for non-Council members of the Alumni Association Committee to be voting members of the Committee.

Mr Naughton MOVED (SECONDED Mr Proctor) to amend paragraphs 3.1, 7.1 and 25.2(c) of the Burgmann College Incorporated Rules 2004 to make the Alumni Association President an ex-officio member of Council. CARRIED.

1.2 Issue 2 - Rationalising the provision relating to expulsion of members:

Paragraph 19 of the Rules provides for expulsion of members of the College, but paragraph 46.4(e) does not provide that, should an expelled member be a member of Council, his/her seat on Council is vacated.

Mr Naughton MOVED (SECONDED Mr Wall) that paragraph 46.4(e) of the Burgmann College Incorporated Rules 2004 be amended to read has his or her membership of the College terminated under rule 19. CARRIED.
BURGMANN COLLEGE INCORPORATED
RULES 2004

Part 1: Preliminary
1 Citation
2 Commencement
3 Interpretation
4 Notice
5 Participating churches

Part 2: Burgmann Council
6 Objects of Burgmann Council
7 Membership of Burgmann Council
8 Officers of Burgmann Council
9 The Principal
10 The Deputy Principal
11 The Public Officer
12 The Visitor
13 Burgmann Council’s office
14 Seal of Burgmann Council
15 Annual general meeting
16 General meetings and special general meetings

Part 3: The College
17 Affiliation with the University
18 Compliance with Statute
19 Expulsion of members of the College

Part 4: The Board of Management
20 Powers of the Board of Management .......................................................... 13
21 Constitution of the Board of Management .................................................. 14
22 Meetings of the Board of Management ....................................................... 15

Part 5: The Executive Committee ..................................................................... 15
23 Constitution of the Executive Committee .................................................... 15
24 Powers of the Executive Committee ............................................................ 15

Part 6: Committees .......................................................................................... 16
25 Committees .................................................................................................. 16
26 Finance and Audit and Risk Committees ..................................................... 16

Part 7: Finances etc. ......................................................................................... 17
27 Financial year ............................................................................................... 17
28 Income and property of Burgmann Council ............................................... 17
29 Winding up .................................................................................................. 17
30 Accounts of receipts, expenditure, etc. ....................................................... 18
31 Banking and finance .................................................................................... 18
32 Disclosure of interest in contracts etc. ....................................................... 19
33 Auditor ......................................................................................................... 19
34 Audit of accounts ......................................................................................... 19
35 Custody of documents ............................................................................... 20
36 Inspection of documents ............................................................................. 20

Part 8: Meetings ............................................................................................... 21
37 Application of this Part ............................................................................... 21
38 Chair ........................................................................................................... 21
39 Notice .......................................................................................................... 21
40 Quorum ....................................................................................................... 21
41 Adjournment ............................................................................................... 22
42 Determination of questions arising ............................................................ 22
PART 1: PRELIMINARY

1 Citation

1.1 These Rules are the Burgmann College Incorporated Rules 2004.

2 Commencement

2.1 These Rules commence on 1 January 2005.

3 Interpretation

3.1 In these Rules, unless the contrary intention appears:

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

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

annual general meeting means an annual general meeting of Burgmann Council convened in accordance with rule 15;
Board of Management means the Board of Management of Burgmann Council constituted under rule 21;

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

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

BCAA means the Burgmann College Alumni Association or, if that body ceases to exist, an Association with similar objects nominated by the Board of Management;

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

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

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

Convocation includes:

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

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

(c) present and former full-time staff of the College who have been employed by the College for at least 1 year; and

(d) present and former members of Burgmann Council; and

(e) such other persons as a general meeting of Burgmann Council or a meeting of the Board of Management decides to invite, and who agree, to become members of the Convocation;

Councillor means a member of Burgmann Council under subrule 7.1;

effective staff means the Principal, Deputy Principal and such other effective staff as Burgmann Council or the Board of Management may from time to time nominate;

finance committee means the committee constituted under rule 26;

gen general meeting means an annual general meeting, a meeting mentioned in subrule 16.2 or a special general meeting, as the case requires;

guest means a person permitted by the Principal to lodge temporarily within the College;

member of Burgmann Council means a person referred to in subrule 7.1;

member of the College includes resident and non-resident members of the College;
non-resident member of the College includes those persons admitted to membership of the College in accordance with section 7 of the Statute;

officer of Burgmann Council means the officers referred to in subrule 8.1.

ordinary Board of Management member means a member of the Board of Management, other than an ex officio member;

ordinary member of staff means an employee of the College, except a member of the academic or executive staff;

postgraduate facilities means the residential accommodation constructed at the College in 2003 and 2004;

resident member of the College includes a resident of the College admitted to membership in a manner that does not contravene subsection 6(1) of the Statute or who is admitted to resident membership under subsection 6(2) of the Statute;

special general meeting means a special general meeting of Burgmann Council convened in accordance with rule 16;

special resolution means a resolution passed by three quarters of those personally present and voting;

Statute means the Residential Colleges (Affiliation) Statute;

student includes a member of the College proceeding to an award within the University;

University means the Australian National University.

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

4 Notice

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

5 Participating churches

5.1 Each of the following is a participating church for these Rules:

(a) the Anglican Church of Australia;

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

PART 2: BURGMANN COUNCIL

6 Objects of Burgmann Council

6.1 The objects of Burgmann Council are the provision, through the sponsorship of the participating Churches, of a residential College within and affiliated with the University, for undergraduate students, postgraduate students, University staff and guests, drawn from all over Australia and overseas, emphasising:

(a) a vital community; and

(b) pastoral care, including a chapel and chaplaincy service for the College community and, if possible, a wider University population; and

(c) tuition; and

(d) supervision of students, of a kind that involves maximum co-operation with student bodies and is flexible in meeting modern needs; and

(e) theological work at an advanced academic level; and

(f) the meeting of University persons with persons from outside the University world.

6.2 The powers of Burgmann Council in relation to the objects mentioned in subrule 6.1 include:

(a) the purchase, taking on lease or in exchange, and the hiring or otherwise acquiring of any real or personal property; and

(b) the buying, selling and supplying of, and dealing in, goods and services of all kinds; and

(c) the construction, maintenance, and alteration of buildings or works; and

(d) the accepting of any gift, whether subject to a special trust or not, for any one or more of those objects; and

(e) the taking of such steps from time to time as the Board of Management finds expedient for the purpose of procuring contributions to the funds of Burgmann Council, whether by way of donation, subscriptions, or otherwise; and
the printing and publishing of such newspapers, periodicals, books, leaflets, or other documents as the Board of Management thinks desirable for the promotion of the objects of Burgmann Council; and

the borrowing and raising of money in such manner and on such terms as the Board of Management thinks fit or as may be approved or directed by resolution passed at a general meeting; and

subject to the provisions of the *Trustee Act 1925* of the Australian Capital Territory, the investment of any moneys of Burgmann Council not immediately required for any of its objects or purposes in such a manner as the Board of Management may from time to time determine; and

the making of gifts, subscriptions, or donations to any of the funds, authorities, or institutions to which Division 30 of the *Income Tax Assessment Act 1997* of the Commonwealth relates; and

the establishment and support, or aiding in the establishment and support, of associations, institutions, funds, trusts, schemes, and conveniences calculated to benefit employees or past employees of Burgmann Council and their dependants, and the granting of pensions, allowances, or other benefits to employees or past employees of Burgmann Council and their dependants, and the making of payments towards insurance in relation to any of those purposes; and

the establishment and support, or aiding in the establishment or support of any other association formed for any of those objects; and

the absorption of, affiliation with, amalgamation with or entering any other relation, whether formal or informal, with any company, institute, society, association or other body having similar objects or purposes and subscribing to become a member of or to cooperate with any such body, provided that:

(i) Burgmann Council must not absorb or amalgamate with any company, institute, society, association or other body unless the body prohibits the distribution of its income and property among its members; and

(ii) unless the prior consent of the Council of the University is obtained; and

the purchase or acquisition, and undertaking, of all or any part of the property, assets, liabilities, and engagements of any association with which Burgmann Council may at any time become amalgamated in accordance with the provisions of the Act and these Rules;

the doing of all such other lawful things, including the employment or retaining of persons, as are incidental or conducive to the attainment of those objects; and
the entrance into derivative transactions (including without limitation any interest rate or currency swap or any "derivative" as defined in the Corporations Act 2001 (Cth)) for risk management purposes and any hedging agreement or derivative master agreement governing such derivative transactions.

6.3 However, the powers of Burgmann Council mentioned in subrule 6.2 are to be exercised:

(a) by the Board of Management; and

(b) in accordance with any strategic parameters or directions determined by Burgmann Council.

7 Membership of Burgmann Council

7.1 Burgmann Council consists of the following Councillors:

(a) 10 Councillors chosen from among the participating churches;

(b) 2 Councillors appointed by the Vice-Chancellor of the University;

(c) the Principal of the College (ex officio);

(d) the Deputy Principal of the College (ex officio);

(e) 3 Councillors elected from the academic staff of the College by the academic and executive staff of the College, each of whom must be a resident member of the College;

(f) 3 Councillors chosen by and from Convocation, at least 2 of whom must be former residents of the College;

(g) the President of the BRA (ex officio);

(h) 5 Councillors (not being members of the academic and executive staff of the College), elected, in a manner approved by Burgmann Council, by the resident members of the College (including the academic and executive staff of the College) from among their number, provided that at least 1 of these Councillors shall be resident in the postgraduate facilities and at least 1 of these Councillors shall be resident elsewhere in the College;

(i) 5 additional persons elected by Burgmann Council;

(j) the President of the BCAA (ex officio).

7.2 Each participating church must nominate a person or body in the church to appoint Councillors for paragraph 7.1(a).
7.3 For paragraph 7.1(a), Burgmann Council may determine the number of persons that a person or body mentioned in subrule 7.2 may, for a participating church, appoint as Councillors.

7.4 Councillors, other than those who hold *ex officio* appointments and persons elected under paragraphs 7.1(e) and 7.1(h), hold office for 4 years.

7.5 Councillors elected under paragraphs 7.1(e) and 7.1(h) hold office for 1 year.

7.6 A Councillor’s term of office commences on 1 January next following his or her appointment.

7.7 Councillors are eligible for reappointment.

7.8 A person elected under paragraph 7.1(e) or 7.1(h) ceases to be a Councillor on ceasing to be a resident member of the College.

7.9 A right, privilege, or obligation of a person obtained by virtue of holding a position as a Councillor:

(a) is not capable of being transferred or transmitted to another person; and

(b) terminates upon the person ceasing to be a Councillor.

8 **Officers of Burgmann Council**

8.1 The following officers of Burgmann Council must be elected by and from the Councillors at a general meeting mentioned in subrule 16.2:

(a) a Chair;

(b) a Secretary;

(c) a Treasurer.

8.2 Each officer of Burgmann Council holds office for 2 years commencing on 1 January next following the officer’s election (or until he or she ceases to be a Councillor, whichever first occurs), and may be eligible for re-election.

9 **The Principal**

9.1 The Principal of the College is to be appointed by a general meeting of Burgmann Council and must have qualifications for participating, where appropriate, in the academic life of the University.

9.2 The Principal is the chief executive officer, and a member, of the College.

9.3 The staff of the College and those occupied in the work and conduct of the College are under the general control of the Principal.
9.4 Subject to the Orders, the Principal may, on behalf of the Board of Management, appoint and dismiss members of the staff and is responsible to the Council for the good government of the College.

9.5 The Principal, in the conduct of his or her office, is subject to the general control and authority of the Board of Management.

10 The Deputy Principal

10.1 For paragraph 7.1(d), if there is no Deputy Principal, the Staff Tutor, Dean or person holding an equivalent office or if there is more than one person holding such an office, the most senior appointee, is to be regarded as the Deputy Principal.

11 The Public Officer

11.1 For the purposes of the Act, the Secretary, or another Councillor determined by the Board of Management, is the Public Officer of Burgmann Council.

12 The Visitor

12.1 Burgmann Council must, from time to time, appoint a suitable person to act as the Visitor to the College for the term and for the purposes determined by Burgmann Council.

12.2 The Visitor may perform such functions as the Council of the University from time to time approves.

[See paragraph 10(1)(b) of the Residential Colleges (Affiliation) Statute 2007.]

13 Burgmann Council’s office

13.1 The registered office of Burgmann Council is to be at the College or at such other place as the Board of Management from time to time determines.

14 Seal of Burgmann Council

14.1 The Seal of Burgmann Council is to be in the form of a rubber stamp, inscribed with the name of Burgmann Council encircling the word ‘seal’.

14.2 The Seal of Burgmann Council is not to be affixed to any instrument except by the authority of the Board of Management.

14.3 The affixing of the Seal to any document must be attested by 2 members of the Board of Management or 1 member of the Board of Management and the Public Officer or such other person as the Board of Management may appoint for that purpose.
14.4 The attestation of the application of the Seal is sufficient evidence for all purposes that the Seal was affixed by the authority of the Board of Management.

14.5 The Seal must remain in the custody of the Secretary.

14.6 The Secretary must keep a record of each affixing of the Seal and the authority by which the Seal was affixed.

15 **Annual general meeting**

15.1 Burgmann Council must hold an annual general meeting in March in each year on a day determined by the Board of Management.

15.2 The annual general meeting must be specified as such in the notice convening it.

15.3 The ordinary business of the annual general meeting is:

   (a) to confirm the minutes of the last preceding general meeting;

   (b) to receive from the Board of Management, Auditor, and employees of Burgmann Council reports upon the transactions of Burgmann Council during the last preceding financial year; and

   (c) to appoint the Auditor.

15.4 The annual general meeting may transact ordinary business and other business of which notice is given with the notice of the meeting.

16 **General meetings and special general meetings**

16.1 All general meetings other than the annual general meeting and the meeting mentioned in subrule 16.2 are to be called *special general meetings*.

16.2 Burgmann Council must hold a general meeting in September in each year on a day determined by the Board of Management.

16.3 The ordinary business of a general meeting held in September in a year includes the election of the officers of Burgmann Council (if their terms are to expire before 1 January next following the general meeting) and the election of ordinary Board of Management members.

16.4 The Board of Management may convene a special general meeting whenever it thinks fit.

16.5 The Board of Management must, on the request of the Principal or on the request in writing of not less than 6 Councillors, convene a special general meeting.
16.6 A request for a special general meeting must state the objects of the meeting and be signed by the persons requesting it and must be lodged at the office of Burgmann Council.

16.7 If the Board of Management does not convene a special general meeting within 21 days from the date on which a request is lodged at the office of Burgmann Council, the persons making the request, or any of them, may convene the meeting; but any meeting so convened must not be held after 3 months from the date of the lodging of the request.

16.8 A special general meeting convened under subrule 16.7 must be convened in a manner similar to that in which those meetings are convened by the Board of Management, and all reasonable expenses incurred in convening the meeting are to be refunded by Burgmann Council to the persons incurring them.

16.9 A general meeting and a special general meeting may transact ordinary business and other business of which notice is given with the notice of the meeting.

16.10 A special general meeting may not be convened without the concurrence of the Principal unless the meeting is convened when the Principal is unable to attend through death, incapacity or absence overseas, or when the terms and conditions of his or her dismissal are to be discussed.

16.11 The notice of a general meeting is to include a call for nominations for any positions to be filled by election at that meeting.

**PART 3: THE COLLEGE**

17 Affiliation with the University

17.1 The College must seek to remain affiliated to the University under the Statute.

18 Compliance with Statute

18.1 The Board of Management must ensure that the College complies with sections 6 to 10 of the Statute.

[NOTE: Sections 6 to 10 of the Statute provide variously for membership of the College, that a religious test may not be imposed on members, the establishment of a tutorial system and the constitution of the College and the appointment of a Visitor.]

19 Expulsion of members of the College

19.1 The Principal may terminate a person’s membership of the College for reasonable cause.
19.2 In subrule 19.1, a reference to reasonable cause includes, but is not limited to, a reference to:

(a) unsatisfactory academic progress; or

(b) the failure by a member to pay any fee or charge payable by that member within 30 days after the due date for payment; or

(c) behaviour that Burgmann Council or the Board of Management regards as being contrary to the interests of the College.

19.3 The Orders may set out other reasons, and the method the Principal must adopt, for terminating the membership of a member of the College.

19.4 If a person’s membership is terminated, the person ceases to be a member when the person is informed by the Principal accordingly.

19.5 A person whose membership of the College is terminated may not, without the express permission of the Principal, reside at the College or enter or remain on the premises of the College.

19.6 The termination of a person’s membership does not affect the person’s liability for any fees or charges:

(a) payable by the person; and

(b) falling due before the termination of his or her membership.

19.7 Orders under subrule 19.3 must set out the right of a person to appeal the decision to terminate the person’s membership and must provide for the conduct of the appeal by the Board of Management or a panel appointed for the purpose by the Board of Management.

19.8 Orders under subrule 19.3 must also provide that notice of an appeal by a resident member must be lodged with the Secretary within a specified number of days, not being fewer than 14, of the decision to terminate the person’s membership being notified to that member.

PART 4: THE BOARD OF MANAGEMENT

20 Powers of the Board of Management

20.1 The affairs of Burgmann Council are to be managed by the Board of Management.
20.2 The Board of Management may engage and employ for any of the purposes of the College such persons and on such terms as it may from time to time think fit.

[NOTE: Subrule 9.4 provides for the Principal to appoint and dismiss staff on behalf of the Board of Management.]

20.3 The Board of Management is responsible for the finances of the College.

20.4 The Board of Management:

(a) may do everything necessary or convenient to further the objects of Burgmann Council set out in subrule 6.1; and

(b) may exercise the powers and functions that may be exercised by Burgmann Council, other than those powers and functions that are required by these Rules to be exercised by general meetings of Councillors; and

(c) may perform all such acts and things as appear to the Board of Management to be essential for the proper management of the business and affairs of Burgmann Council; and

(d) may appoint, subject to ratification by Burgmann Council, a person to act as Principal if the Principal is absent from the College, is ill, or is otherwise unable to perform his or her duties, or if there is any vacancy in the office of Principal.

21 Constitution of the Board of Management

21.1 The Board of Management is to consist of:

(a) the officers of Burgmann Council;

(b) 1 of the Burgmann Councillors appointed by the Vice-Chancellor of the University;

(c) the president of the BRA;

(d) 2 Councillors, being representatives of the resident members of the College, at least one of whom is to be a representative of the academic staff;

(e) 4 other Councillors;

(f) the Principal; and

(g) the Deputy Principal.

provided that at least 1 member of the Board of Management is to be a representative of 1 of the participating churches.

21.2 The ordinary Board of Management members are to be elected by and from Burgmann Councillors at a general meeting mentioned in subrule 16.2.
21.3 If the Board of Management member referred to in paragraph 21.1(b) is not present at a meeting of the Board of Management, the other Burgmann Councillor appointed by the Vice-Chancellor of the University may take the place of that member at that meeting, and may vote on questions arising at that meeting.

21.4 Each ordinary Board of Management member holds office for 1 year commencing on 1 January next following the member’s election (or until the member ceases to be eligible to be a Councillor, whichever first occurs), and may be eligible for re-election.

22 Meetings of the Board of Management

22.1 The Board of Management is to meet at least 10 times in each calendar year as determined by the Board of Management.

22.2 A special meeting of the Board of Management may be convened by the Chair or by the Principal or by any 4 of its members.

22.3 Notice is to be given to members of the Board of Management of any special meeting, specifying the time and place for the meeting and the general nature of the business to be transacted.

22.4 Within 14 days after a meeting of the Board of Management, the Chair must send to each Councillor the minutes of the meeting (whether or not the minutes have been confirmed).

22.5 A meeting of the Board of Management may not be convened without the concurrence of the Principal unless the meeting is convened when the Principal is unable to attend through death, incapacity or absence overseas or when the terms and conditions of his or her dismissal are to be discussed.

PART 5: THE EXECUTIVE COMMITTEE

23 Constitution of the Executive Committee

23.1 The officers of Burgmann Council, the Principal and the President of the BRA constitute the Executive Committee of Burgmann Council.

24 Powers of the Executive Committee

24.1 The Executive Committee may direct the Public Officer and the employees of Burgmann Council in matters of urgency connected with the management of the affairs of Burgmann Council during the intervals between meetings of the Board of Management.
24.2 If any such instructions are issued, the Executive Committee must report on the circumstances and the outcome of the matter to the next meeting of the Board of Management.

24.3 The Board of Management may delegate any of its powers and functions to the Executive Committee except the power to make Orders and this power of delegation.

PART 6: COMMITTEES

25 Committees

25.1 Burgmann Council or the Board of Management may, at any time, appoint a committee from among its members.

25.2 Burgmann Council or the Board of Management may, when appointing a committee:

(a) appoint 1 of the members of that committee as the chair of the committee; and

(b) specify the terms, not exceeding 2 years, that members may serve on the committee and whether members of committee are eligible for reappointment; and

(c) co-opt as members of the committee such persons as it thinks fit, whether or not those persons are Councillors, who would be non-voting members except in the case of the BCAA committee.

25.3 The Chair of Burgmann Council has the right to attend, address and vote at any meeting of a committee.

25.4 The Principal has the right to attend and address, but not vote, at a meeting of a committee.

26 Finance and Audit and Risk Committees

26.1 There is to be a finance committee, appointed by Burgmann Council or the Board of Management and chaired by the Treasurer.

26.2 The finance committee is responsible for assisting the Treasurer in financial matters and the preparation of the budget.

26.3 There is to be an Audit and Risk committee, appointed by Burgmann Council or the Board of Management and chaired by a person appointed by the Council or Board of Management.

26.4 The Audit and Risk committee is responsible for assisting the Council or Board with compliance with regulatory and management requirements.
PART 7: FINANCES ETC.

27  Financial year

27.1 The financial year of Burgmann Council ends on 31 December in each year.

28  Income and property of Burgmann Council

28.1 The assets and income of Burgmann Council are to be applied solely in furtherance of the objects and purposes of Burgmann Council and no portion may be distributed directly or indirectly to Burgmann Councillors except as bona fide compensation for services rendered or expenses incurred on behalf of Burgmann Council.

28.2 Burgmann Council must not:

(a) appoint a person who is a Councillor to any office in the gift of Burgmann Council to the holder of which there is payable any remuneration by way of salary, fees or allowances, or

(b) pay to any such person any remuneration or other benefit in money or money’s worth (other than the repayment of out-of-pocket expenses).

28.3 Nothing in this rule prevents the payment in good faith to an employee of Burgmann Council, the College or a Councillor for:

(a) remuneration in return for the services as employee of Burgmann Council whether as Principal or as a member of the academic, executive or ordinary staff of the College, if those services have actually been or are being rendered to the College by that person, or for goods supplied to Burgmann Council (which are necessary to enable Burgmann Council to fulfil its objects) by the employee or Councillor in the ordinary course of business; or

(b) interest at a rate not exceeding the current bank rate on moneys lent to Burgmann Council by the employee or Councillor; or

(c) a reasonable and proper sum by way of rent for premises let to Burgmann Council by the employee or Councillor.

29  Winding up

29.1 If Burgmann Council is wound-up, no member is liable to contribute towards the payment of its debts and liabilities, or the costs, charges and expenses of the winding-up.

29.2 If Burgmann Council is wound up, any surplus assets remaining after the payment of Burgmann Council’s liabilities are to be transferred to the University for distribution to another organisation with similar purposes.
30 Accounts of receipts, expenditure, etc.

30.1 True accounts must be kept:

(a) of all sums of money received and expended by Burgmann Council and the matter in respect of which the receipt of expenditure takes place; and

(b) of the property, credits and liabilities of Burgmann Council

and, subject to any reasonable restrictions as to time and manner of inspecting them that may be imposed by the Board of Management, those accounts are to be open to the inspection of the Councillors.

30.2 The Treasurer of Burgmann Council must keep all general records, accounting books, and records of receipts and expenditure connected with the operations and business of Burgmann Council as directed by the Board of Management.

30.3 The accounts, books and records referred to in subrules 30.1 and 30.2 must be kept at Burgmann Council’s office or at such other place as the Board of Management determines.

31 Banking and finance

31.1 The Treasurer of Burgmann Council must, on behalf of Burgmann Council receive all moneys paid to Burgmann Council and issue relevant receipts.

31.2 The Board of Management must open a banking account in the name of Burgmann Council into which all moneys received are to be paid by the Treasurer as soon as possible after receipt.

31.3 The Board of Management may direct the limits on authorities to pay money from its accounts and must authorise or ratify all such payments.

31.4 However, any amount of capital expenditure exceeding 10% of the annual turnover of Burgmann Council in the previous financial year must not be made without the approval of Burgmann Council.

31.5 All cheques, drafts, bills of exchange, promissory notes, and other negotiable instruments must be signed by any 2 of those persons authorised by the Board of Management to sign on its behalf.
32 Disclosure of interest in contracts etc.

32.1 If a Councillor has any direct or indirect pecuniary interest in a contract or proposed contract to which Burgmann Council is or may be a party that Councillor must:

   (a) if the Councillor is a member of the Board of Management, as soon as the interest becomes apparent to him or her—disclose the nature and extent of the interest to the Board of Management; and

   (b) disclose the nature and extent of the interest at the next general meeting of Burgmann Council.

32.2 No member of Burgmann Council or the Board of Management may vote as a member of Burgmann Council or the Board of Management in respect of any contract or arrangement in which he or she is interested and if he or she does so vote his or her vote must not be counted.

33 Auditor

33.1 At each annual general meeting of Burgmann Council the Councillors present must appoint a person who is qualified under subsections (2) and (3) of section 74 of the Act and who is not a Councillor, as the Auditor of Burgmann Council.

33.2 A person so appointed holds office until the annual general meeting next after that at which he or she is appointed, and is eligible for reappointment.

33.3 If an appointment is not made at an annual general meeting the Board of Management must appoint an Auditor of Burgmann Council for the then current financial year of Burgmann Council.

33.4 The Auditor may only be removed from office by resolution at a general meeting of Burgmann Council.

33.5 If a casual vacancy occurs in the office of Auditor during the course of a financial year of Burgmann Council, the Board of Management must appoint another person as the Auditor and the person so appointed holds office until the next succeeding annual general meeting.

34 Audit of accounts

34.1 At least once in each financial year of Burgmann Council, the accounts of Burgmann Council must be examined by the Auditor.

34.2 The Auditor must certify as to the correctness of the accounts of Burgmann Council and is to report on those accounts to the Councillors present at the annual general meeting.
34.3 In the Auditor’s report, and in certifying to the accounts, the Auditor must state:

(a) whether he or she has obtained the information required by the Auditor;

(b) whether, in the Auditor’s opinion, the accounts are properly drawn up so as to exhibit a true and correct view of the financial position of Burgmann Council according to the information at his or her disposal and the explanations given to the Auditor and as shown by the books of Burgmann Council; and

(c) whether the rules relating to the administration of the funds of Burgmann Council have been observed.

34.4 The Treasurer of Burgmann Council must deliver to the Auditor a list of all the accounts, books and records of Burgmann Council.

34.5 The Auditor:

(a) has a right of access to the accounts, books, records, vouchers and documents of Burgmann Council;

(b) may require from the employees of Burgmann Council such information and explanations as may be necessary for the performance of his or her duties as Auditor;

(c) may employ persons to assist him or her in investigating the accounts of Burgmann Council; and

(d) may, in relation to the accounts of Burgmann Council, examine any member of the Board of Management or any employee of Burgmann Council.

35 Custody of documents

35.1 The Secretary has custody of any books, documents or securities of Burgmann Council, excluding those referred to in rule 30 kept by the Treasurer.

35.2 The books, documents and securities referred to in subrule 35.1 are to be kept at Burgmann Council’s office or at such other place as the Board of Management determines.

36 Inspection of documents

36.1 Upon receipt of a request in writing from a Councillor, the Secretary must within 14 days grant to the Councillor access to books or documents produced by Burgmann Council, its officers or employees.

36.2 However, the Secretary may restrict access to protect the confidentiality of any books or documents.
36.3 Access to any books or documents not produced by Burgmann Council, its officers or employees, but which have been submitted to or are held by Burgmann Council explicitly or implicitly in confidence, may only be granted with the permission of the person or persons who produced those books or documents.

36.4 All disputes concerning access to books or documents are to be resolved by the Board of Management.

PART 8: MEETINGS

37 Application of this Part

37.1 Unless the contrary intention appears, this Part applies to all general meetings, meetings of the Board of Management, meetings of the Executive Committee, and meetings of committees.

38 Chair

38.1 The Chair of Burgmann Council is to chair every meeting.

38.2 However, the Councillor who is specified as the Chair of a committee under paragraph 25.2(a) or subrule 26.1 is to chair meetings of that committee.

38.3 Also, if the Chair who is required to chair a meeting is absent from a meeting (or part of a meeting) or declares that he or she does not wish to chair that meeting (or part of that meeting), or if the meeting is of a committee and no chair has been appointed under paragraph 25.2(a), the Councillors present at that meeting may elect 1 of their number to chair that meeting (or part of that meeting).

39 Notice

39.1 The Chair of a meeting must give all people entitled to attend the meeting notice of a meeting.

39.2 For general meetings, at least 14 days’ notice is to be given.

39.3 In all other cases, reasonable notice is to be given.

40 Quorum

40.1 No item of business may be transacted at a meeting unless a quorum of Councillors or other members entitled under these Rules to vote at the meeting is present in person or, if the Chair so permits, participating by any means of telecommunication during the time when the meeting is considering that item.

40.2 A quorum for a general meeting is at least one third of the Councillors.
40.3  A quorum for a meeting of the Board of Management is 6 members of the Board of Management.

40.4  A quorum for a meeting of the Executive Committee is 3 members of the Executive Committee.

40.5  A quorum for a meeting of a committee (including the Finance Committee) is, unless Burgmann Council or the Board of Management otherwise determines, at least half of the Councillors appointed to that committee.

40.6  If within 1 hour after the appointed time for the commencement of a meeting a quorum is not present, the meeting:

   (a) if it is a special general meeting, is to be dissolved; and

   (b) in any other case, stands adjourned to a day in the next week, at the same time and place or at another time and place determined by the Chair at the time of the adjournment or by written notice to Councillors given before the day to which the meeting is adjourned, and if at the adjourned meeting a quorum is not present within 1 hour after the time appointed for the commencement of the meeting, the meeting is to be dissolved.

41  Adjournment

41.1  The Chair of a meeting at which a quorum is present may, with the consent of the meeting, adjourn the meeting from time to time and place to place, but no business may be transacted at an adjourned meeting other than the business left unfinished at the meeting at which the adjournment took place.

41.2  If a meeting is adjourned for 14 days or more, notice of the adjourned meeting must be given to all people entitled to attend the meeting.

41.3  However, it is not necessary to give any notice of an adjournment or of the business to be transacted at an adjourned meeting.

42  Determination of questions arising

42.1  A question arising at a meeting is to be determined on a show of hands or vocal assent/dissent or (at the request of any Councillor, before the show of hands or on the declaration of the result of the show of hands or vocal assent/dissent) by the taking of a poll.

42.2  After a show of hands or vocal assent/dissent, or the taking of a poll, the Chair must declare that the resolution has been carried, or carried unanimously, or carried by a particular majority, or lost.

42.3  At the discretion of the Chair a question may be decided out of session provided that notice periods applying to meetings are observed.
43 Votes

43.1 At a meeting, a Councillor has 1 vote on a resolution only.

43.2 However, the Chair of a meeting has a deliberative as well as a casting vote.

43.3 All votes must be given personally.

43.4 No member of the executive staff other than the Principal and Deputy Principal may vote at a meeting, although they may be heard.

44 Taking of poll

44.1 If at a meeting, a poll on any question is requested it must be taken at that meeting in a manner determined by the Chair, and the result of the poll is to be regarded as being the resolution of the meeting on that question.

44.2 However, if at least one third of the Councillors present at the meeting and entitled to vote request it, the Chair must determine a manner of taking the poll that ensures that the votes of individual Councillors are not revealed.

45 When poll to be taken

45.1 A poll that is requested on the election of a Chair, or on a question of adjournment, must be taken immediately, and a poll that is requested on any other question must be taken before the close of the meeting as directed by the Chair.

PART 9: VACANCIES

46 Vacancies

46.1 A Councillor may at any time resign from Burgmann Council by writing to the Secretary (or, in the case of the Secretary, to the Chair).

46.2 An officer of Burgmann Council may at any time resign from his or her office by writing to the Secretary (or, in the case of the Secretary, to the Chair).

46.3 A member of the Board of Management or of a committee may resign his or her position on the Board or committee by writing to the Secretary (or, in the case of the Secretary, to the Chair).
46.4 A Councillor’s seat becomes vacant if he or she:

(a) dies; or

(b) becomes bankrupt or applies to take or takes advantage of any law relating to bankrupt or insolvent debtors or compounds with his or her creditors, or makes any assignment of his or her estate for their benefit; or

(c) becomes of unsound mind; or

(d) resigns his or her office by writing to the Secretary (or, in the case of the Secretary, to the Chair)

(e) has his or her membership of the College terminated under rule 19.

46.5 If a Councillor is absent from 3 consecutive general meetings without leave of absence or good cause shown, his or her seat may be declared vacant, by Burgmann Council or by the Board of Management.

46.6 If a member of the Board of Management is absent from 4 consecutive meetings of the Board without leave of absence or good cause shown, his or her position on the Board may be declared vacant by the Board.

47 Removal of persons from office

47.1 Burgmann Council may remove from office:

(a) an officer of Burgmann Council; and

(b) the Principal; and

(c) a member of the Board of Management; and

(d) a member of a Committee;

if the person concerned is in breach of these Rules or otherwise by resolution of Burgmann Council for inappropriate behaviour.

48 Filling casual vacancies

48.1 If a casual vacancy arises in an office of Councillor, another person must be appointed to fill the vacancy by the original appointing body.

48.2 If a casual vacancy occurs in the office of one of the officers of Burgmann Council, Burgmann Council must appoint a Councillor to the vacant office.

48.3 If a casual vacancy occurs in the office of an ordinary Board of Management member, Burgmann Council or the Board of Management may appoint a Councillor to the vacant office.
48.4 If a casual vacancy arises on a committee, Burgmann Council or the Board of Management may appoint a Councillor to fill the vacancy.

48.5 A person appointed to fill a casual vacancy under this rule is appointed for the remainder of the term to which his or her predecessor had been appointed or elected and is be eligible for re-appointment or re-election.

PART 10: ORDERS

49 Orders

49.1 The Board of Management may make Orders, not inconsistent with these Rules, relating to the governance or ordering of the College.

49.2 However, no Order affecting the Principal may be made or amended without the Principal’s concurrence.

49.3 If an Order is made under these Rules, a copy of it must be sent as soon as possible after it is made to the Council and Boards Secretariat of the University.

PART 11: AMENDMENT OF RULES

50 Amendment of rules

50.1 These Rules may be amended by special resolution of a general meeting.

50.2 No amendment is to become effective until approved by the Council of the University.

50.3 At least 21 days’ written notice of any proposed amendment of these Rules must be sent to all Councillors.

50.4 However, no rule affecting the Principal may be amended during the Principal’s term of employment without the Principal’s concurrence.
| Strategic objectives impacted: | 1. Building on a Culture of Academic Excellence  
2. Fulfilling our Responsibility as the National University  
3. Creating an Unrivalled Campus Environment |
| Appetite rating: |  |
| Risk Owner: | Executive Director (Administration & Planning) |
| Primary accountability: | Executive |

**Causes:**
1. Resource allocation model does not support the implementation of strategic priorities.
2. Viability and sustainability of products and services are poorly understood.
3. Culture of entitlement in relation to longstanding/legacy revenue streams.
4. New strategic investment priorities yet to be finalised.
5. Lack of performance based approach to revenue allocation.

**Issue ID:** 1  
**Issue Event:** Revenue cannot be readily redirected to strategic priorities.

**Consequences:**
1. Inability to capitalise on the University’s strengths.
2. Inability to generate revenue in respect to education and research opportunities in comparison to competitors.
3. Activities of particular colleges and divisions may compete against the interests of other colleges and divisions, and/or the university as a whole.
4. Diminution of overall impact and global standing of the University over time.

**Existing Controls**
1. Finalise ANU Strategic Plan for Council approval.  
2. Adjustment to the FY17 budget allocation model.  
3. Targeted intervention in select colleges regarding financial viability.  
4. Withhold indexation on National Institute Grant (NIG) and reallocate harvested funds.

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<tr>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
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<tr>
<td>1. Develop performance metrics for key staff at the College and Service Division level that incentivise resource sharing and support of the Executive’s strategic priorities and encourage model behaviour.</td>
<td>VC</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>2. Reduce overhead costs through business process improvement and shared services reform.</td>
<td>EDAP</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>3. Complete overhaul of financial management reporting.</td>
<td>EDAP</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>4. Internal contestability approach for the strategic investments.</td>
<td>EDAP</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>5. Implement findings from activity-based costing exercise to improve efficiency.</td>
<td>EDAP</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>6. Re-engineer the budget allocation model.</td>
<td>EDAP</td>
<td>Quarter 2, 2017</td>
</tr>
</tbody>
</table>

**Timeframe:** Current  
**Likelihood rating:** Almost Certain  
**Consequence rating:** Major  
**Risk rating:** Extreme
### Strategic objectives impacted:

1. Building on a Culture of Academic Excellence
2. Building a Culture of Collegiality and Engagement across and Beyond ANU

### Appetite rating:

### Risk Owner:

Deputy Vice-Chancellor (Academic)

### Primary accountability:

Executive

---

**Causes:**

1. The University’s culture of excellence has been compromised.
2. High quality staff are separating and retiring and the ANU has not focused on attracting new staff of similar quality.
3. Insufficient recognition, incentives and support to retain and attract high quality staff.

---

**Issue ID:** 2  
**Issue Event:** A performance culture that tolerates mediocrity.

---

**Consequences:**

1. Declining university ranking.
2. Loss of differentiation as a National University.
3. Declining ability to attract the best and brightest students, and staff, to the University.
4. Activities of particular colleges and divisions may compete against the interests of other colleges and divisions, and/or the university as a whole.

---

**Existing Controls**

1. Academic Promotions policy with performance metrics in terms of teaching excellence is being introduced.
2. VC socialising expectation of excellence.

---

**Treatment**

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review Go8 performance standards with a view to introducing these at the ANU (also a treatment for Issue 4).</td>
<td>DVC(A)</td>
<td>Quarter 2, 2017</td>
</tr>
<tr>
<td>2. Implementation of progressive recruitment processes to attract high quality staff by offering start-up packages, policies and procedures etc.</td>
<td>VC</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>3. Allocate seed funding for significant global partnerships that will elevate ANU research on a global scale.</td>
<td>VC</td>
<td>2018-2020</td>
</tr>
<tr>
<td>4. Establish a &gt;$5m new Initiatives Strategic Investment fund, with time limited investment in high potential new research projects with industry. (also a Risk 2 treatment)</td>
<td>VC</td>
<td>2017-2020</td>
</tr>
<tr>
<td>5. Establish new career pathways for entrepreneurs from industry and within academia that foster engagement with innovative outcomes (also a Risk 2 treatment).</td>
<td>PVC (I)</td>
<td>from 2017</td>
</tr>
<tr>
<td>6. Articulation of performance expectations to achieve a culture of excellence across education, research, student experience, societal transformation, innovation and engagement.</td>
<td>DVC(A)</td>
<td>from 2017</td>
</tr>
</tbody>
</table>
### Strategic objectives impacted:
1. Building on a Culture of Academic Excellence
2. Creating an Unrivalled Campus Environment

### Timeframe:
Currently occurring

### Appetite rating:

### Likelihood rating:
Almost Certain

### Risk Owner:
Executive Director (Administration & Planning)

### Consequence rating:
Major

### Risk rating:
Extreme

### Primary accountability:
Executive

### Causes:
1. Legacy of under-investment in infrastructure.
2. Capital investment not prioritised historically.
3. Poor understanding of emerging physical and virtual infrastructure requirements for education, research, and student services.
4. Poor forecasting on infrastructure condition to inform future demand.

### Issue ID: 3

#### Issue Event:
Ageing and inadequate infrastructure.

### Consequences:
1. Ageing research infrastructure limits research productivity, and ageing teaching infrastructure limits innovation.
2. Inability to provide a highly differentiated on-campus experience, through state-of-the-art teaching, recreational and accommodation facilities.
3. Cost of delivering services may increase in relative terms due to less efficient infrastructure.

### Existing Controls

1. Continue the program of work earmarked within the Capital Management Plan.
2. Complete Union Court redevelopment and SA6.
3. Explore future investment opportunities through the Purpose Built Student Accommodation (PBSA) structure.

### Treatment

1. New processes required for infrastructure condition assessments to support forecasting future needs.

### Treatment Owner
EDAP

### Treatment due date
from 2017

2. Annual allocation of funding to buildings and infrastructure to ensure the University’s facilities are world class by 2025.

### Treatment Owner
EDAP

### Treatment due date
from 2017
### Strategic objectives impacted:
1. Building on a Culture of Academic Excellence

### Timeframe:
Current

### Appetite rating:

### Likelihood rating:
Almost Certain

### Risk Owner:
Deputy Vice-Chancellor (Academic)

### Consequence rating:
Major

### Risk rating:
Extreme

### Causes:
1. Quality of teaching standards and curriculum are declining.
2. Lack of personal accountability for poor student satisfaction ratings.
3. Embedded culture among academic staff of resistant to change.
4. Performance drivers are primarily research related.

### Issue ID: 4
**Issue Event:** Poor performance in teaching.

### Consequences:
1. Ability to attract and retain the best students cannot be sustained and is diminished.
2. ANU is less effective at serving its role as the national university.
3. Student satisfaction ratings continue to decline.
4. Graduate outcomes decline.
5. The conversion rate of degree of coursework students to research degrees declines.
6. Decline in university rankings.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review Go8 performance standards with a view to introducing these at the ANU (also a treatment for Issue 2).</td>
<td>DVC(A)</td>
<td>Quarter 2, 2017</td>
</tr>
<tr>
<td>2. Reward and recognise achievements of our most outstanding teachers through 15 Distinguished Educator awards.</td>
<td>DVC(A)</td>
<td>Quarter 1, 2017</td>
</tr>
<tr>
<td>3. Implement comprehensive upskilling and training for academic staff with teaching responsibilities.</td>
<td>DVC(A)</td>
<td>Quarter 4, 2017</td>
</tr>
</tbody>
</table>
| Strategic objectives impacted: | 1. Fulfilling our Responsibility as the National University  
2. Building a Culture of Collegiality and Engagement across and Beyond ANU |
<table>
<thead>
<tr>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Appetite rating:</td>
<td>Current</td>
</tr>
<tr>
<td>Risk Owner:</td>
<td>Likely</td>
</tr>
<tr>
<td>Consequence rating:</td>
<td>Major</td>
</tr>
<tr>
<td>Risk rating:</td>
<td>High</td>
</tr>
</tbody>
</table>
| Causes:                       | Poor alignment between the ANU’s activities to society’s needs and interests.  
2. The University’s insular culture.  
3. Lack of incentives for engagement within the University. |
| Issue ID: 5  
Issue Event:  
The ANU fails to engage with society effectively. |
| Consequences:                 | University loses its status as the National University.  
2. ANU fails to promote its brand and enhance its reputation.  
3. The University’s products and services are lacking relevance, insight and are not fit-for-purpose.  
4. Failure to identify and exploit other revenue streams.  
5. Poor alumni engagement and philanthropy outcomes.  
6. Failure to add value to local and international public policy. |

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1. Introduce new standard selection criteria for academic staff that targets staff experienced at engaging with society.</td>
<td>VC</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>2. Introduce incentives to encourage behaviours around engaging with society.</td>
<td>VC</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>3. Use the social and public policy hubs to influence national policy discourse, and involve highly influential national and international policymakers.</td>
<td>VC</td>
<td>from 2017</td>
</tr>
<tr>
<td></td>
<td>4. Collaborative partnership with Australian national institutions.</td>
<td>PVC(E&amp;GE)</td>
<td>from 2016</td>
</tr>
<tr>
<td></td>
<td>5. Develop and implement an effective Indigenous strategy.</td>
<td>VC/DVC(A)/PVC(UE)</td>
<td>from 2017</td>
</tr>
<tr>
<td></td>
<td>6. Increase access to students from diverse and disadvantaged backgrounds.</td>
<td>VC/DVC(A)</td>
<td>from 2017</td>
</tr>
<tr>
<td></td>
<td>7. Commitment to gender equity through Athena SWAN program.</td>
<td>VC/PVC(UE)</td>
<td>from 2016</td>
</tr>
</tbody>
</table>
### Strategic objectives impacted:

1. Building on a Culture of Academic Excellence
2. Fulfilling our Responsibility as the National University
3. Building a Culture of Collegiality and Engagement across and Beyond ANU
4. Achieving Equity Within ANU and in Society
5. Creating an Unrivalled Campus Environment

### Timeframe:

Expected to occur from 2025

### Appetite rating:

Possible

### Risk Owner:

Deputy Vice-Chancellor (Academic)

### Primary accountability:

Executive

### Causes:

1. Unanticipated political, environmental or technological disruption in the global tertiary education market.
2. Growth in competition through expansion in the domestic and international higher education market.
3. Inability to deliver industry relevant niche offerings.

### Risk ID: 1  
**Risk Event:** The University’s teaching model experiences disruption.

### Consequence rating:

Catastrophic

### Risk rating:

High

### Existing Controls

1. Development of the draft ten year student load plan. (also a control for Risk ID 5).
2. Targeted upskilling plan within the research and innovation portfolio to pro-actively secure funding from industry and business with additional budget allocation in 2017. (also a Risk 2 control).
3. The University’s existing participation in digital and online teaching delivery.

### Treatment

1. Develop market research capability and product offering.
2. Diversify revenue sources and source countries.
3. Develop additional capabilities in online and digital teaching delivery.
4. Develop comparative performance data to aid decision making.

### Treatment Owner

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Treatment Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop market research capability and product offering.</td>
<td>DVC(A)/PVC(E&amp;GE)</td>
</tr>
<tr>
<td>2. Diversify revenue sources and source countries.</td>
<td>DVC(A)/EDAP/DVC(R)</td>
</tr>
<tr>
<td>3. Develop additional capabilities in online and digital teaching delivery.</td>
<td>DVC(A)</td>
</tr>
<tr>
<td>4. Develop comparative performance data to aid decision making.</td>
<td>EDAP/DVC(A)</td>
</tr>
</tbody>
</table>

### Treatment due date

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop market research capability and product offering.</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>2. Diversify revenue sources and source countries.</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>3. Develop additional capabilities in online and digital teaching delivery.</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td>4. Develop comparative performance data to aid decision making.</td>
<td>Quarter 1, 2018</td>
</tr>
<tr>
<td>Strategic objectives impacted:</td>
<td>Timeframe:</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>1. Building on a Culture of Academic Excellence</td>
<td>Could be occurring currently</td>
</tr>
<tr>
<td>2. Fulfilling our Responsibility as the National University</td>
<td></td>
</tr>
<tr>
<td>3. Building a Culture of Collegiality and Engagement across and Beyond ANU</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Appetite rating:</th>
<th>Likelihood rating:</th>
<th>Consequence rating:</th>
<th>Risk rating:</th>
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</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk Owner:</th>
<th>Risk ID: 2 Risk Event:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deputy Vice-Chancellor (Research)</td>
<td>Lack of agility in innovating and partnering with industry.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Primary accountability:</th>
<th>Causes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive</td>
<td>1. A culture averse to entrepreneurship and partnering with industry.</td>
</tr>
<tr>
<td></td>
<td>2. Lack of incentives or rewards to engage with industry and business.</td>
</tr>
<tr>
<td></td>
<td>3. Current research support is not well positioned to provide a ‘one stop shop’ for parties interested in research collaboration.</td>
</tr>
<tr>
<td></td>
<td>4. Legacy/current workforce that may not be aligned with industry priorities.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Consequences:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Inability to undertake/participate in world leading research and interface with industry.</td>
</tr>
<tr>
<td>2. Inability to attract funding from industry for collaborative research.</td>
</tr>
<tr>
<td>3. Inability to attract top academic staff and renowned researchers.</td>
</tr>
<tr>
<td>4. Inability to attract HDR students and post-docs interested in universities with mature industry partnering.</td>
</tr>
<tr>
<td>5. Inability to compete in the growth market of public-private partnerships.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Targeted upskilling plan within the research and innovation portfolio to pro-actively secure funding from industry and business with additional budget allocation in 2017. (also a Risk 1 control).</td>
<td>1. Attracting and retaining early to mid-career researchers to secure future generation of research leaders, through the ANU Futures Scheme.</td>
<td>DVC(R)</td>
<td>Quarter 1, 2017</td>
</tr>
<tr>
<td>2. Change management program in research and innovation to refocus support activities to better align with industry and business innovation.</td>
<td>2. VC’s Entrepreneurship Scheme will recruit outstanding entrepreneurial academics to bridge the gap between business and the University.</td>
<td>DVC(R)</td>
<td>Quarter 1, 2017</td>
</tr>
<tr>
<td>3. Establishment of the Business and Industry Advisory Boards to advice on productive engagement with business and industry.</td>
<td>3. Redeploy resources in budget model to explicitly include accountability for Deans in relation to industry and partnering.</td>
<td>VC/EDAP</td>
<td>Quarter 1, 2017</td>
</tr>
<tr>
<td>4. Establish a &gt;$5m new Initiatives Strategic Investment fund, with time limited investment in high potential new research projects with industry (also a Issue 2 treatment).</td>
<td>4. Establish a &gt;$5m new Initiatives Strategic Investment fund, with time limited investment in high potential new research projects with industry (also a Issue 2 treatment).</td>
<td>VC/PVC(I)</td>
<td>2017-2020</td>
</tr>
<tr>
<td>5. Establish new career pathways for entrepreneurs from industry and within academia that foster engagement with innovative outcomes. (also an Issue 2 treatment)</td>
<td>5. Establish new career pathways for entrepreneurs from industry and within academia that foster engagement with innovative outcomes. (also an Issue 2 treatment)</td>
<td>PVC(I)</td>
<td>from 2017</td>
</tr>
<tr>
<td>6. Actively engage with business and industry, guided by the Business &amp; Industry Advisory Board.</td>
<td>6. Actively engage with business and industry, guided by the Business &amp; Industry Advisory Board.</td>
<td>DVC(R)/PVC(I)</td>
<td>from 2017</td>
</tr>
</tbody>
</table>
| Strategic objectives impacted: | 1. Building on a Culture of Academic Excellence  
2. Creating an Unrivalled Campus Environment |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Appetite rating:</td>
<td>Impact not defined</td>
</tr>
<tr>
<td>Risk Owner:</td>
<td>Executive Director (Administration &amp; Planning)</td>
</tr>
<tr>
<td>Primary accountability:</td>
<td>Executive</td>
</tr>
<tr>
<td>Timeframe:</td>
<td>from 2018</td>
</tr>
<tr>
<td>Likelihood rating:</td>
<td>Likely over 5-10 years</td>
</tr>
<tr>
<td>Consequence rating:</td>
<td>Catastrophic</td>
</tr>
<tr>
<td>Risk rating:</td>
<td>Extreme</td>
</tr>
</tbody>
</table>

**Causes:**
1. High dependency on the NIG and other Government funding.
2. Historical complacency in the identification of new, non-government revenue streams.
3. Historic underperformance in fundraising (based on Go8 comparison data).
4. Heavy reliance on single market for international student intake. (particularly from China).
5. Increased clustering of international revenue in two colleges (CBE and CECS).
6. Individual colleges are highly dependent on single revenue streams (e.g. CBE).
7. Limited revenue from industry based research.

**Risk ID: 3**  
**Risk Event:** Revenue sources are not sufficiently diverse.

**Consequences:**
1. Inability to adapt to volatility in current revenue streams.  
2. Inability to respond with agility to changes in the tertiary education market.  
3. Insufficient financial capacity to meet current and future needs.

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatment</th>
<th>Treatment Owner</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reporting to Minister on the declining value of the NIG in relative terms.</td>
<td>1. Develop an incentive-based international student recruitment strategy and student load plan (also a Risk 4 treatment).</td>
<td>DVC(A)/PVC(E&amp;GE)</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>2. Develop diverse academic program options that are market-facing.</td>
<td>DVC(A)/PVC(E&amp;GE)</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>3. Marketing plan aligned to drive new program sales structure.</td>
<td>PVC(E&amp;GE)</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>4. Identify key strategic business partnerships for large scale co-investment.</td>
<td>DVC(R)/PVC(I)</td>
<td>Quarter 2, 2017</td>
</tr>
<tr>
<td></td>
<td>5. Effective delivery of the Advancement Case for Support (also a Risk 4 treatment).</td>
<td>VC</td>
<td>Quarter 4, 2017</td>
</tr>
<tr>
<td></td>
<td>6. Re-directing the NIG to more strategic purposes.</td>
<td>VC/DVC(R)</td>
<td>Quarter 4, 2017</td>
</tr>
</tbody>
</table>
Strategic objectives impacted:
1. Building on a Culture of Academic Excellence
2. Fulfilling our Responsibility as the National University
3. Creating an Unrivalled Campus Environment

Timeframe:
From 2018

Likelihood rating:
Possible over 5 years

Consequence rating:
Major

Risk rating:
Moderate

Causes:
1. Spread of revenue is heavily reliant on Government income.
2. Revenue is highly vulnerable to changes in Federal Government policy which impact university funding.
3. Commonwealth Grant Scheme (CGS) funding declines.
4. Research infrastructure development is based on 18 month funding (short-term funding).
5. Re-direction of research funding (ARC to NHMRC).
6. NIG is not indexed on cost basis (slowly declining).

Risk ID: 4
Risk Event: Significant decline in Government funding.

Consequences:
1. Large scale diminution of in the research activities of the University and corresponding loss of reputation.
2. Decrease or an inability to expand research streams and broaden research engagement.
3. Current assets and service levels become unsustainable.
4. Inability to meet the demand and support for rapidly changing teaching and technological landscape.
5. Inability to fund capital projects in the pipeline.

Existing Controls
1. International student market diversification plan.
2. Better understanding of cost controls from activity-based costing activity.
3. Focusing investments in future activities with strategic priorities of the University.
4. Public campaign presenting ANU as a National University to government and industry.

Treatment
1. Develop an incentive based international student recruitment strategy and student load plan (also a Risk 3 treatment).
   Treatment Owner: DVC(A)
   Treatment due date: Quarter 4, 2017

2. Improve and innovate service delivery based on principles of value-for-money and user experience.
   Treatment Owner: VC/EDAP
   Treatment due date: Quarter 4, 2017

3. Effective delivery of the Advancement Case for Support (also a Risk 3 treatment).
   Treatment Owner: VC
   Treatment due date: Quarter 4, 2017

4. Refine government engagement strategy using the distinctive national characteristics of the ANU.
   Treatment Owner: VC
   Treatment due date: from 2017
### Strategic objectives impacted:
1. Building on a Culture of Academic Excellence
2. Fulfilling our Responsibility as the National University
3. Building a Culture of Collegiality and Engagement across and Beyond ANU
4. Achieving Equity Within ANU and in Society
5. Creating an Unrivalled Campus Environment

### Timeframe:
Currently occurring

### Appetite rating:

### Risk Owner:
Vice-Chancellor/Deputy Vice-Chancellor (Academic)

### Primary accountability:
Executive

### Likelihood rating:
This item is a material issue – likelihood is Almost Certain

### Consequence rating:
Moderate

### Risk rating:
High

### Causes:
1. There is no explicit strategic planning based on a 10, 20 or 30 year horizon.
2. Significant uncertainty over the medium to long term has reduced the University’s confidence in its ability to conduct long-term planning effectively.
3. Highly uncertain government funding environment constrains the utility for a long-term strategic planning.

### Risk ID: 5
**Risk Event:**
Strategic plan is exclusively short term.

### Consequences:
1. The University is not sufficiently contemplating nor sufficiently prepared for disruption to its market or operating model that might occur over the medium to long term.
2. Sector disruption could cause major loss to revenue, reputation and the business model.
3. Overall diminution of the University’s reputation and impact.
4. The University does not strategically allocate resources in line with long term decision making.

### Existing Controls

#### Treatment
1. Long-term workforce planning across all areas.
   - **Treatment Owner:** EDAP/DVC(A)
   - **Treatment due date:** From 2017
2. Regular strategic foresight discussions with the Executive and Council that produce actions every two to three years.
   - **Treatment Owner:** VC
   - **Treatment due date:** From 2017
3. Ability to activate agile responses to disruption.
   - **Treatment Owner:** VC/Executive
   - **Treatment due date:** From 2017
4. Long-term financial forecasting and planning.
   - **Treatment Owner:** EDAP
   - **Treatment due date:** From 2017
5. Activate contingency planning in response to strategic and emerging risks.
   - **Treatment Owner:** VC/Executive
   - **Treatment due date:** From 2017
ANU Emeritus Faculty

Chair's Report to the 2016 Annual General Meeting

Introduction

The ANU Emeritus Faculty can report that it has had another full and eventful year. As in years past, we have endeavoured to 1) contribute to the intellectual and cultural life of the University, 2) enhance the reputation of the University and its values and, in particular, 3) foster collegiality among our members. A strong emphasis on collegiality is what distinguishes our association and informs our activities. I can report that our membership has continued to increase. We are now a Faculty of over 250 members. Appropriately, we have continued to diversify our activities to meet the interests of our varied membership.

Collegiate Lunches

Adrian Gibbs was responsible for organizing collegiate lunches around a particular topic. He was ably assisted by Craig Reynolds and Fyfe Bygrave. Together they did an excellent job in creating an interesting mix of topics and speakers. A list of the topics of these lunches is as follows:

March 2: Prame Chopra and Larry Saha, "Climate Change: what do we know and why is it so contentious?"

April 6: Ken Taylor, "Preparing a World Heritage nomination for the Spice (Banda) Islands."

May 4: Fergus Thomson, "Queen's English v Vox Populi."

June 1: Craig Reynolds, "A Thai Policeman and his Magical World."

August 3: Professor Ken George, "Indonesian art and artists."

September 7: Dr Mark O'Connor, "Why Shakespeare should be translated and staged in modern English."

November 2: Professor Brian Schmidt, "The State of the Universe."

December 7: Fyfe Bygrave & Adrian Gibbs, "Celebration of the Nobel and Ig Nobel Prizes of 2016."

Monthly Lecture Series

Adrian Gibbs and Craig Reynolds organized our monthly lecture series. The series featured a diverse group of colleagues who were able to present exciting aspects of their research, confirming what we all know that research at the ANU is both remarkable and various.

February 17: Dr Michael Walsh, "Health implications of regaining or retaining Australian Languages."

March 16: Professor Kurt Lambeek, "Deformations of the Earth: from hours to eons: with particular focus on the interactions between ice sheets, oceans and the solid Earth."
April 20: Professor Robert Cribb, "The cultural history of the orang-utan."
May 17: Professor John Warhurst, "Current Australian Federal Politics."
August 17: Dr Robert Ward, "Gravitational Waves: The new astronomy."
September 21: Professor Ryszard Maleska, “Epigenetics and bees.”
October 19: Dr John Hart, "Political Science, Prediction and the U.S. Presidential Election."
November 16: Professor Li Narangoa, "Chinggis Khan and Women."

University House Dinner

Last year we revived a previous tradition of holding a dinner for members of University House and so following this revival, we held another University House ‘Winter’ dinner on the 24th of June. We had an excellent turnout and will continue this tradition next year.

ANUEF Annual Lecture

Our Annual Emeritus Faculty Lecture was given at the Sir Roland Wilson Lecture Theatre on the 28th of July by Professor Geoffrey Crossick. Professor Crossick is Distinguished Professor of the Humanities in the School of Advanced Study of the University of London. He was Chief Executive of the Arts and Humanities Research Board from 2002–05, Warden of Goldsmiths College from 2005–10 and Vice-Chancellor of the University of London from 2010-12. He is Director of the Arts and Humanities Research Council's Cultural Value Project and author, with Patrycja Kaszynska, of the Report: Understanding the Value of Arts & Culture. In his lecture entitled 'Understanding the Value of Arts and Culture’, Professor Crossick addressed the question: 'How should we understand the difference that arts and culture makes to individuals and to society?'

Symposium on Projects and Research of ANUEF Members:

Ian Keen organized our Projects Symposium on the 15th of June. This symposium is a rebranded version of our former “Research in Retirement Seminar” which we have now expanded to include members’ projects, interests and activities as well as research. We had eight speakers on the day:

Eva Papp, "Lake George or Weereewa – An Unsurpassed Natural Archive"
Tony Eggleton, "The Green Cape Cannon Ball"
Julian Cribb, "Surviving the 21st Century"
Jenny Goldie, "Population and Adaptation"
James J. Fox, "On Rice Production and Brown Planthoppers: 30 Years of Policy Research in Indonesia"
Cobie Brinkman, "The First Primatology Text – Jean-Baptiste Audebert’s “Histoire Naturelle des Singes et des Makis” and its Influence"
Colleen Grafton-Green, "Grand Opera at the School of Music"

J. Ferguson Thomson, “When you come to a fork in the road, take it”

**Nights at the Opera**

At the urging of Colleen Grafton-Green, we set out to do something new and different: to show all of the operas performed at the ANU School of Music between 1995 and 2004 that were filmed by the late Michael Grafton-Green and recently remastered to Blu-ray. Colleen made arrangements with the Wesley Music Centre to be able to use their facilities and excellent sound equipment. We called this series: “Nights at the Opera”. Our first showing on the 8th of March was the 1995 production of Mozart’s *Cosi fan tutte* featuring Jae-Woo Kim, Catherine Carby, Richard Anderson, Terry Den Dulk, and Christopher Steele. There was a fine evening turnout and Jae-Woo Kim came from Sydney for the screening.

The second show on the 26th of May was the 1996 ANU School of Music performance of Smetana’s *The Bartered Bride* featuring Terry Den Dulk, Jae-Woo Kim and Vivien Munday, which is particularly memorable because it uses Canberra as its setting. Again we had a reasonable turnout for the performance.

Unfortunately, we have had to put further screenings of these operas at the Wesley Music Centre on hold pending advice on copyright issues from the University Legal Office.

**Special Lectures**

We held one special lecture this year on the 22nd of July. This was a book launch of *Don Luigi Sturzo: The Father of Social Democracy* by Professor John Molony. Fr Frank Brennan who is Professor of Law at the Australian Catholic University and Adjunct Professor at the ANU College of Law and National Centre for Indigenous Studies launched this book, with John Nethercote, Adjunct Professor at the Australian Catholic University as Master of Ceremonies.

**Poets’ Lunch**

In keeping with a tradition begun by Giles Pickford, the Emeritus Faculty once again hosted the Poets’ Lunch on the 2nd of December.

**The Emeritus: The ANUEF e-magazine**

Ian Mathews has continued to publish the *Emeritus* which is sent out to our membership. Eleven issues are published over the year. Vol. 7 No 1 appeared in February and Vol. 7 No 11 appeared in December this year. Copies of past editions of the *Emeritus* are available in the ‘News’ section of our web site at [http://www.anu.edu.au/emerus/news.html](http://www.anu.edu.au/emerus/news.html). This year Ian established a book review section in the *Emeritus*. Members are welcome to write reviews. A number of books are listed as available for review but others can be suggested.

**Oral History Project**

Peter Stewart has been in charge of our oral history project since 2008 and has recorded interviews with 38 members of our Faculty. All of these interviews are available at our website. They have been transferred to the University’s Oral Archive and represent a considerable and invaluable portion of that historical archive. Peter has now decided to step down from these efforts and has given charge of the project to Fyfe Bygrave. Fyfe has been working closely...
with Peter in this transition and has been supported by Nik Fominas who has provided the technical support on this project over many years. This year Fyne has recorded interviews with 1) Prame Chopra and 2) Campbell MacKnight. Both of these interviews will be transferred to the University Archive and be available on our website in the coming weeks.

The John Molony History Prize

Each year the ANU Emeritus Faculty provides a $500 ‘John Molony Prize’ for ‘the best PhD thesis, submitted in the School of History, as determined by a committee and informed by examiners’ reports’. The prize for 2015 was shared between:


In previous years, we have paid for this prize from our current account. This year we transferred the necessary amount from our Education Fund to be able to underwrite this prize in perpetuity through the Endowment Fund.

East Coast Project

The East Coast Project has been a continuing research project connected with the Emeritus Faculty for many years. John Molony, the Chair and Initiator of this Project, has provided the following brief account of the work of the Project:

“The East Coast Project met each month in the Faculty premises. We maintained our principal interest in the pre-Cook period which led our research through to Dutch contact in 1606 and subsequent charting by them of almost all of the continent, including 1600 kilometres from Cape Leeuwin to Ceduna, as well as a southern section of Van Diemen's Land by Abel Tasman in 1642.

Throughout we continued our research on the Dieppe charts and have concluded that, although the east coast was charted, albeit roughly, in the early years of the 16th century we have not substantiated that with other contemporary evidence whether written or in the form of artefacts. We will continue to pursue our research into these matters.”

The publication last month of John Molony’s Captain James Cook Claiming the Great South Land is a small testimony to the large measure of collegiality among those members of the Emeritus Faculty who make up the East Coast Project.

ANU Press Summations Series

The ANU Press established a publication series intended to allow senior academics at the ANU and in particular Emeritus Faculty “to re-address their own work and present the best of this work with retrospective insight”. The Press is eager to receive manuscripts that present collected works of long-standing (including previously published papers) by ANU academics. Anyone interested in preparing a manuscript can contact me (james.fox@anu.edu.au) for information.
The Garden and its Plinth and Molony Bust

This year we changed the plaque on the plinth of the Molony bust to acknowledge Ante Dabro who created the bust and donated it to the Emeritus Faculty. Again, we are thankful to Ante Dabro for his generosity. We have also embarked on the establishment of a new garden around the bust and in front of the Molony Building. Di Riddell and Verna Rosling have taken charge of overseeing this project which will be carried out for us by the University. Here we acknowledge the support of George Abraham of Campus Services, Gardens and Grounds.

Information Technology Services for the Emeritus Faculty

Nik Fominas has served the Emeritus Faculty unstintingly as its IT technical consultant and all-round problem solver for most of the Faculty’s existence. He has now, however, decided to retire but continues to advise us on how we need to proceed into the future. As a result, Fyfe Bygrave has initiated discussions with the University’s IT Services who have agreed to provide the support we will need. Various aspects of the agreement are still being discussed, as well as work on an eventual upgrade to our website. The prognosis is positive but the transition will require considerable work on our part in the coming year.

Emeritus Faculty New Members 2016

As of December 2016, the ANU Emeritus Faculty has 257 members. New members for this year are as follows:

- Gino Moliterno  
  School of Art & Literature
- Peter Jackson  
  Thai Studies, CAP
- Maria Vidovic  
  JCSMR
- Glenn Withers  
  Economics
- Colin Groves  
  School of Archaeology & Anthropology
- John Hart  
  Political Science
- Suiwah Leung  
  Economics, Crawford School
- Jonathon Unger  
  China Studies, CAP
- Anita Chan  
  China Studies, CAP
- Elizabeth Minchin  
  Classics
- Robert Tyson  
  International Relations (Russia and the Middle East)
- Hugh Tyndale-Biscoe  
  Zoology and CSIRO Wildlife
- John Foster  
  Earth Sciences
- Robert Miller  
  International Studies, Bell School
Deaths and Obituaries

The following colleagues have died during the year: Des Ball, Howard Bradbury, Jack Caldwell, Godfrey Linge, John Mulvaney, Igor de Rachewiltz and Soepomo Soerjohoeodojo.

There is a lag in the appearance of obituaries, which are published in the *Emeritus* and then kept as a semi-official University archive. Obituaries for the following colleagues appeared in the *Emeritus* this year: Donald Anthony Low, Jack Caldwell, Douglas Henry Kelly, Soepomo Soerjohoeodojo and Godfrey Linge. Other obituaries are in preparation.

Special Thanks

I want to thank and congratulate all the members of our Committee who have worked hard to make our activities possible and engaging: Jan O’Connor, Larry Saha, Adrian Gibbs, Fyfe Bygrave, Prame Chopra, Di Riddell, Verna Rosling, Craig Reynolds, Peter Scardoni, Brian Lees, and Judith Caton. In particular, I would like to thank Prame Chopra for repairing the plinth and redoing the plaque for the Molony bust; Adrian Gibbs and Craig Reynolds for their concerted efforts in arranging our lectures and luncheon discussions; Jan O’Connor for her able and diligent work as our Secretary; Peter Stewart for his superb contribution in establishing and conducting the Oral History Project, Fyfe Bygrave for taking over the Oral History Project, Nik Fominas for his continuing work in keeping us technologically functioning; Ian Mathews for his work on the *Emeritus*; Di Riddell for keeping our membership records intact and up-to-date; and Michael Cardew-Hall for his understanding and continuing strong support of the Emeritus Faculty.

James J. Fox
ANUEF Chair
11 December 2016
SCHOLARSHIPS AND PRIZES APPROVALS 2016

THE AUSTRALIAN NATIONAL UNIVERSITY

REPORT TO COUNCIL - SCHOLARSHIPS & PRIZES

Approvals 1 January to 31 December 2016

New Research Scholarships:
- JCSMR PhD Scholarship (396/2016)
- Westpac Bicentennial Foundation Future Leaders Scholarship – HDR (401/2016)
- Australian Government Research Training Program (AGRTP) Stipend Scholarship (1207/2016)
- Australian Government Research Training Program (AGRTP) Fee Offset Scholarship (1208/2016)
- Vice-Chancellor's HDR Travel Grants (376/2016)
- RSSS Director's Award for Higher Degree Research (377/2016)
- Peter McGregor HDR Supplementary Scholarship (379/2016)
- ARC Centre of Excellence for Plant Energy Biology Jan Anderson HDR Supplementary Scholarships (389/2016)
- Elizabeth Greene PhD Scholarship (395/2016)
- Research School of Biology International Scholarship (406/2016)
- John Shaw Scholarship (410/2016)
- Centre for Personalised Immunology (CPI) HDR Supplementary Scholarship (411/2016)
- A&A Masters Higher Degree Research Award (416/2016)

New Coursework Scholarships:
- ANU Humanitarian Scholarship (1209/2016)
- Johnstone Family Scholarship (1210/2016)
- Northrop Grumman, ViaSat & Optus Country Scholarship for Burgmann College (414/2016)
- CBE Changing Futures Scholarship (417/2016)
- Robert Foster Gold and Silversmithing Honours Scholarship (420/2016)
- Study Canberra India Scholarship (1203/2016)
- Study Canberra Indonesia Scholarship (1204/2016)
- Dean's International Science Excellence Scholarship (415/2016)
- Scholarship for an Internship with a London Legal Firm (418/2016)
- Equity Scholarship for an Internship with a London Legal Firm (419/2016)
- CBE India Excellence Scholarship (424/2016)
- ANU Sport and Recreation Association ("ANU Sport") Scholarship (1202/2016)
- Love Scholarship in Physics (378/2016)
- Defence Science & Technology Group Honours Scholarship for Female Students (381/2016)
- Garrurru Indigenous Undergraduate Accommodation Scholarship (383/2016)
- CBE Terrell Scholarship (385/2016)
- ARC Centre of Excellence for Plant Energy Biology Warwick Hillier Honours Scholarships (390/2016)
- The Poppy Book Award (397/2016)
- RSFAS Xiamen University Foundation Scholarship (403/2016)
- Claire Clark Scholarship (391/2016)
- John and Kerry Lovering Scholarship (393/2016)
- The ANU College of Law Permanent Court of Arbitration (PCS) Scholarship (394/2016)
- Westpac Bicentennial Future Leaders Scholarship (Coursework) (402/2016)
- RSFAS DUFE Pre Master Training Program Scholarship (404/2016)
- RSFAS WISE Pre Master Training Program Scholarship (405/2016)
Revised Coursework Scholarships:
- Defence Science & Technology Group Undergraduate Scholarships for Female Students in Science & Engineering (382/2016)
- CBE Terrell Scholarship (385a/2016)
- RSA Honours Scholarship (386/2016)
- CBE Honours Scholarship (387/2016)
- RSFAS Honours Scholarship (388/2016)
- Garrarru Postgraduate Indigenous Scholarship (384/2016)
- Scholarship for a Fellowship with the World Bank Group's Integrity Vice-Presidency (316A/2016)
- Australian Research Council (ARC) Centre of Excellence for Climate System Science Scholarship (412/2016)
- Ethel Tory Language Scholarship (413/2016)
- CBE India Excellence Scholarship (424a/2016)
- Westpac Asian Exchange Scholarship (421a/2016)
- Westpac Bicentennial Foundation Future Leaders Scholarship (Postgraduate Coursework) (1206/2016)

Revised Research Scholarships:
- Data61 Research Project Award (1201/2016)
- Westpac Bicentennial Foundation Future Leaders Scholarship – HDR (1205/2016)
- Chris Heyde Scholarship (380/2016)
- Gowrie Scholarship (392/2016)
- Doherty PhD Scholarship (398a/2016)
- Zinkernagel PhD Scholarship (399a/2016)
- Eccles PhD Scholarship (400a/2016)
- Master of Philosophy in Applied Epidemiology (422/2016)
- Deakin PhD Scholarship (423/2016)
- Data61 PhD Scholarship (425/2016)

New Prizes:
- Ferguson Prize (262/2016)
- Meyer Vandenbeng Property Prize (265/2016)
- CIMA Management Accounting and Cost Analysis Prize (280/2016)
- CAANZ Auditing and Assurance Service Prize (281/2016)
- Willis Towers Watson PLC Prize for Third Year Actuarial Studies (279/2016)
- Hiroe Swen Watson Ceramics EASS School of Art Prize (282/2016)
- Oleksandr Zinovyev Prize (287/2016)
- Shaw Vineyard Estate Prize in International Marketing (289/2016)
- Shaw Vineyard Estate Prize in Global Marketing (288/2016)
- ANU CBE Outstanding Intern of the Year Prize (291/2016)
- Anthony McAvoy SC Prize (292/2016)
- Whitworth Roach Classical Music Performance Competition Prizes (294/2016)
- Invest Canberra Prize (293/2016)

Revised Prizes:
- Boronia Prize for Excellence in Ceramics (271/2016)
- Boronia Prize for Excellence in Furniture (272/2016)
- Boronia Prize for Excellence in Glass (273/2016)
- Boronia Prize for Excellence in Gold and Silver (274/2016)
- Boronia Prize for Excellence in Textiles (275/2016)
- Boronia EASS Prize in Ceramics (266/2016)
- Boronia EASS Prize in Furniture (267/2016)
- Boronia EASS Prize in Glass (268/2016)
- Boronia EASS Prize in Gold and Silver (269/2016)
- Boronia EASS Prize in Textiles (270/2016)
- Friends Ensemble Music Prizes (276/2016)
- Sue Stocklmayer Prize (263/2016)
- Antonella Salpietro Prize for Marine Ecology (278/2016)
• Commonwealth Attorney-General’s Department and Australian Government Solicitor Prize (264/2016)
• AMPLA Prize for Resources and Energy Law (277/2016)
• Statistical Society of Australia (Canberra Branch) Prize for the Bachelor of Statistics (284/2016)
• Statistical Society of Australia (Canberra Branch) Prize for the Master of Statistics (285/2016)
• GSL Tucker Memorial Prize (286/2016)
• Desmond Ball Prize for Strategic and Defence Studies Centre Undergraduate Studies (283/2016)
• School of Art Drawing Prize (290/2016)

Annual Summary:

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<td>Total</td>
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Meeting No. 6/2016 of the Academic Board was held on Tuesday 6 December 2016 at 9.30 am in the Mills Rm Room, Chancelry.

Present: Professor Lo (Chair), Professor Close, Professor Harding, Professor Hughes-Warrington, Professor Cardew-Hall, Ms Baly (for Professor Leitch), Professor Baker, Ms Mathey, Ms Angel, Professor Wesley, Professor Whitford, Professor Bottomley, Professor Cowan, Dr Hendricks (for Associate Professor Newitt), Ms Missingham, Professor Clements, Professor Abhayapala, Dr Gustavson, Dr Craig, Dr Kennedy, Dr Schmidt, Dr Blaxland, Professor Goh, Associate Professor Sault, Dr Hijazi, Dr Saunders, Dr Banwell, Dr van Kerkhoff, Dr Rajendran, Dr Robins, Ms Richardson (for Ms Nott), Ms Snowball, Ms Shaw, Mr Connolly, Ms Martin.

Invitation: Professor Martin, Dr Rendle-Short, Ms Easton.

Observers: Mr Evans, Ms Hawkins, Dr Hester.

Apologies: Professor Schmidt, Professor Leitch, Professor Huntington, Professor Kirk, Professor Mitchell, Dr Whiting, Associate Professor Newitt, Dr Lahiri-Dutt, Professor Pitchford, Dr Tricoli, Dr Lu, Associate Professor Gani, Professor Bicknell, Ms Nott, Professor Dodson.

In Attendance: Ms Alex Caughey Hutt.

Unconfirmed Minutes

Part 1 – Procedural Items

*Item 1. Apologies & Announcements

Item 1.1 Apologies
The apologies recorded above were noted.

Item 1.2 Announcements
The Chair, on behalf of the Academic Board made the following announcements:
1. Welcome to the observers in attendance.
2. Welcome to members from the Academic Integrity Scoping Working Party in attendance.
3. Thank you to Mr Ben Gill:
I would like to thank Mr Ben Gill for his contribution and dedication to the Board. Ben has represented undergraduate students since December 2014. He has represented ANUSA and students well, including his membership on the Academic Board Steering Committee and Academic Board Working Party. On behalf of the Board, I wish Ben continued success in his academic and professional pursuits.
4. Welcome to Mr James Connolly:
Mr Connolly has officially taken up his role as the ANUSA president and the Undergraduate Student Representative, effective from 1 December 2016. On behalf of the Board, I welcome James as a new student representative.

*Item 2.  Conduct of Academic Board Members  
No conflicts were declared.  
**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  
**Resolution**  
The Academic Board resolved to approve unstarred items after starting additional items 19 and 22.

*Item 4.  Minutes  
**Resolution**  
The Academic Board accepted the minutes (553/2016) of meeting 5/2016 of the Academic Board held on 4 October 2016 as a true and accurate record.

*Item 5.  Matters Arising from the Minutes & Action Items  
**Hot Topic: Gender Access and Equity (Academic Board 2/2016):**  
The Pro Vice-Chancellor (University Experience) noted that a SAGE working party has been established and will be announced in the near future and that it is necessary to drive culture change as part of the process. The Vice-Chancellor has committed to set up focus groups to gather feedback from women on campus about gender equity issues at ANU and is involved in the Male Champions of Change initiative. The Board requested an update at meeting 3/2016.

**Pathways to the PhD Working Party Report (Academic Board 6/2014):**  
The Deputy Vice-Chancellor (Research) provided an update on the PhD pathway working party, noting that a report will be prepared in early 2017. The working party has provided a number of recommendations but recent changes in the sector will impact on some of the recommendations. The Board requested an update in Q2/2017.

**Lecture attendance and downloads data semester 2015 (Academic Board 1/2016):**  
The Deputy Vice-Chancellor (Academic) provided an update on the lecture attendance and downloads data noting that an attachment had been included in the Academic Board 6/2016 agenda papers, which has also been disseminated via College Executive. There is sector wide discussion to focus on active learning activities and ANU is underperforming in student engagement against the Group of Eight. ANU needs to ask if students and staff are getting the best out of current teaching activities. There is a transition underway in teaching and learning to improve the experience of staff and students. Staff will be asked to provide feedback on teaching and learning. The Deputy Vice-Chancellor (Academic) has offered to speak to schools/colleges about lecture attendance if they would like further information.

**Risk assessment for ANU from Crime and Corruption Commission report on a matter of governance from Murdoch University (Academic Board 5/2016):**  
The Deputy Vice-Chancellor (Academic) noted a response had been included in the Academic Board 6/2016 agenda papers.

**Resolution**  
The Academic Board noted the current action items list (492a/2016) and updates on action items as reported below.
*Item 6. Confidential Items
Consistent with the policy and practice of Council, all matters in the agenda of the Academic Board relating to individual persons, including appointments, enrolment, candidacy for degrees, personal details, performance and conduct are declared to be confidential. If any member wishes to raise a confidential matter in relation to any other item, he or she should do so under this Item. After consideration of the confidential items, observers will be admitted to the meeting.

Part 2 – Information Flow

*Item 7. Report from the Vice-Chancellor
The Strategic Plan has been approved by Council. The plan will be made public in the early 2017 and the Vice-Chancellor will hold a staff opening address (tentatively scheduled for 9 February 2017) and a student welcome address (scheduled for 15 February 2017). There are six supporting plans, which will be led by members of the Executive that underpin the components of the Strategic Plan.

Resolution
The Academic Board noted the Report and comments made in discussion.

*Item 8. Report from the Deputy Vice-Chancellor (Academic)
Congratulations to Professor Michael Platow from the Research School of Psychology, and Professor Paul Francis from the Research School of Astronomy and Astrophysics, who have received Awards for Teaching Excellence in the 2016 Australian Awards for University Teaching.

In lieu of report, The Deputy Vice-Chancellor (Academic) tabled the Academic Plan template.

The Academic Plan covers education and academic performance. The University Education Committee has been asked to provide feedback on the ‘education’ part of the plan but Academic Board is asked to provide feedback on the ‘academic performance’ part of the plan. Members were encourage to look beyond ANU to provide a critical assessment of what is happening in the research and education spaces.

The Board considered options for engaging with other universities to benchmark best practice, for example, comparing citations and grants data, benchmarking results of the National University Experience Survey could serve as some external markers. The University will need to consider the current sources of information and what additional information or data is needed.

It was acknowledged that it will be difficult to identify and address some drivers of education and research performance but that this process will be supported by improved data from Planning and Performance Management.

The Deputy Vice-Chancellor (Academic) requested that all Colleges provide feedback on the template.

Resolution
The Academic Board noted that feedback on the proposed Academic Plan template is due to felicity.gouldthorp@anu.edu.au by Friday 13 January 2017.

*Item 9. Report from the Deputy Vice-Chancellor (Research)
The Deputy Vice-Chancellor (Research) advised that an email will be sent calling for nominations for the 2017 Engagement and Impact Assessment Pilot.

The Deputy Vice-Chancellor (Research) discussed the 2016 National Research Infrastructure Roadmap, noting the report was released on 5 December 2016 and
consultation will close on the 16 January 2017. The report is important and informs the Government funding of research infrastructure.

The Deputy Vice-Chancellor (Research) discussed the changes to research training program stipends, noting:

- Changes will be discussed at the Higher Degree Research Committee and the University Research Committee in early 2017 to design high value PhDs as it is a condition of the funding that the changes must be in place next year.
- Where there is a component of training/experience for a PhD student, a policy and procedure could provide scope to vary the amount of the stipend.
- ANU has identified priority areas to target with merit scholarships for research students.
- The reasons for variations in stipends will need to be very clear.
- The initiative will provide for more flexibility for PhD training programs.
- All funding will be driven by student completion.

New opportunities for research training was proposed as a potential hot topic for 2017.

Resolution
The Academic Board noted the Report.

*Item 10. Report from the Chair
Resolution
The Academic Board noted the report from the Chair.

*Item 11. Approvals by Executive Action
Details of approval of by Executive Action:

Executive Action by the Chair 12/2016:
- Executive action by the Chair: ANU College of Arts and Social Sciences out-of-session approval for undergraduate music.
- Executive action by the Chair: ANU College of Arts and Social Sciences out-of-session approval for New Honours Specialisations.
- Executive action by the Chair: ANU College of Asia and the Pacific out-of-session approval for disestablishment of undergraduate majors.

Executive Action by the Chair 13/2016:
- Executive action by the Chair: ANU College of Arts and Social Sciences out-of-session approval and accreditation of Diploma of Creative Design.

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

*Item 12. General Question Time
The Deputy Vice-Chancellor (Research) discussed the Strategic Plan, noting that the Executive is committed to delivering on the plan and that Council has requested a 6 month reporting schedule to ensure accountability against deliverables. The implementation plans will be developed to operationalise the aspirations of the Strategic Plan.

The Deputy Vice-Chancellor (Academic) discussed the Union Court redevelopment noting:
- 28 May 2017: fences will go up around the development.
- The pop-up village will include a wide range of retailers.
- The Concession building has not been renovated since 1985, and changes will make Union Court accessible to all staff and students.
- There will be new retail offerings and expanded services for staff and students. Student services will be brought into the centre of campus and there will be more
informal learning spaces. Residential halls will sustain the expanded offerings of retail and services.

- Timetable modelling is being undertaken to assist the university with addressing the timetable pressures, by providing a number of parameters (draft expected in January for discussion).
- Examinations will be relocated to the AIS and a paper will be coming to UEC about managing examinations.
- The completion date for the first stage is set for 1 January 2019.
- Plans are designed to conduct noisy construction outside of teaching times, as much as possible.
- Substantial consultation has been undertaken. For example a public website is available, events were held in Union Court and over 1000 people were spoken to in the first stage.
- The Executive is open to ideas about how to communication with students.

Resolution
The Board noted any matters raised.

Part 3 – Strategy and Planning

*Item 13 Hot Topic: Academic Integrity Scoping Working Party scoping paper

The Board discussed the Hot topic, noting:

- Thank you to the members of the Working Party for their work in preparing the key issues and recommendations.
- Academic Integrity is part of a national conversation amongst the Chairs of Academic Boards and Senates.
- The Working Party considered the support that could be provided to staff and students to improve understanding and practice of Academic Integrity.
- The Working Party was able to agree on the key issues for Academic Integrity.
- Two themes emerged from the Working Party:
  - University policies, procedures and definitions did not focus on the philosophy and prevention of academic integrity but rather is punitive and compliance focused. As an educational institution, the focus should be on educating students to minimise Academic Integrity breaches.
  - There is inconsistency across the ANU Colleges about what constitutes good academic practice and there is no consensus on what Academic Integrity is. There is an arbitrariness and inability to clearly articulate academic integrity requirements and practices.
- The Working Party developed eight recommendations on how ANU should move forward with Academic Integrity.
- There is a role for students in developing a culture of Academic Integrity.
- The reasons for students to ensure good academic practice need to be articulated.
- ANU should be a leader in the sector of developing the approach to managing Academic Integrity.
- Key recommendation: an Academic Integrity Implementation Working Party to be established in 2017 to further develop the issues and recommendations in the scoping paper.
- Education is a large part of preventing Academic Integrity.
- Education would be more effective at addressing passive/accidental Academic Integrity issues but there will always be students who cheat, so there is value in increasing the awareness of Academic Integrity penalties.
- Understanding the drivers of Academic Integrity can be used to approach the intentional Academic Integrity breaches. e.g. identify what support can be provided to students to address the underlying motivators of the conscious decision to cheat.
• The College of Business and Economics support the proposal for ANU to provide standard examination materials rather than students bringing personal belongings into examination venues.
• The Implementation Working Party would further develop the research and benchmarking of Academic Integrity issues.
• Given the extent of time and relationship between a research student and the supervisor, supervisors have a role to play in supporting students with Academic Integrity issues. HDR students who have English as a second language require additional support.
• Research integrity is a subset of Academic Integrity and supervisors have an obligation to teach students best practice in research. Intellectual property and attribution of authorship are key issues for HDR.
• New students and international students have additional pressures, as they are being introduced to new Academic Integrity practices and requirements.
• Students are managing substantial time, family and cultural pressures that impact on their academic performance.
• Understanding the difference between group work and collusion is difficult and the University has no clear guidelines.
• The Implementation Working Party could consider additional measures to address the impact of cultural differences on Academic Integrity.
• The University should communicate with students about how changes are being made to maintain Academic Integrity.
• Recent changes to examinations to maintain Academic Integrity included consultation with student representatives on education committees.
• Following on from mapping current practices, there needs to be identification of what is the best practice.
• The ANU Legal Workshop noted that they make a distinction between formative and summative learning to allow for collaboration between students during the formative components of the course.
• Assessment design has a key role to play in prevention of Academic Integrity – should the Working Party look at some courses that experience Academic Integrity issues as a model for Academic Integrity support measures.

Resolution
The Academic Board noted the Academic Integrity Scoping Working Party scoping paper and approved the recommendation to establish an Academic Integrity Implementation Working Party in 2017, to consider the issues and recommendations of the scoping paper.

*Item 14  Academic Board Working Party Report
The Chair thanked the members of the Working Party for their contribution and noted that:
• Academic Board needs to be better informed of their role and responsibilities, utilising internal and external communication and assessment.
• The constitution of the Board should include the appointment of an Indigenous staff member.
• The value of the Board is only as good as the advice and support it provides to the Council and governance.
• The Board continues to work on improving internal and external communication.
• An Academic Board retreat is scheduled for 14 February 2017. A representative from the Tertiary Education Quality Standards Agency (TEQSA) has been invited to present and the Board will discuss the strategic plan and new the Higher Education Standards.
• Academic Board will to continue to investigate tools to facilitate improved Board engagement.
• The purpose on an internal review in 2017 is to allow time to implement any recommendations ahead of the external review required for reaccreditation.

Resolution
The Academic Board noted the report of the Academic Board Working Party

Item 15  Group of Eight Submission to Phillips KPA Mapping of Professional Accreditation in the Context of Higher Education Regulatory and Standards Framework

Resolution
The Academic Board noted the Group of Eight Submission to Phillips KPA Mapping of Professional Accreditation in the Context of Higher Education Regulatory and Standards Framework.

Item 16  Results of global 2016 Student Barometer Survey

Resolution
The Academic Board noted the results of the survey and disseminate to key stakeholders for quality enhancement activities.

Part 4 – Academic Standards and Quality

*Item 17  Resolution

The Deputy Vice-Chancellor (Academic) noted the standards were reviewed following feedback from the sector and that the new standards will take effect from 1 January 2017. The standards are a legal requirement and therefore compliance is compulsory. ANU has undertaken a self-assessment which has identified a few gaps that need to be addressed ahead of the new standards taking effect (as highlighted in the agenda papers).

The Academic Board noted:
1. The self-assessment undertaken on the New Higher Education Standards (Appendix B)
2. The internal actions required by 1 January 2017 in order to meet the New Higher Education Standards (Appendix A).
3. That further feedback from ESQC will be incorporated and the final version circulated to Associate Deans (Education).

Item 18  HE threshold standards: AQF+1 requirement

Resolution
The Academic Board:
1. Endorsed the Qualification Requirements for Teaching Staff policy and procedure (Appendices F and G) for the AQF+1 requirement specified in the Threshold Standards, for approval by the Vice-Chancellor.
2. Noted the qualification equivalency framework developed by the ANU College of Business and Economics (Appendix H)

*Item 19  Examination Dates 2017

The Deputy Vice-Chancellor (Academic) noted that while the changes were in part to support off-site examinations, that there were educational benefits to the rationalisation as it will reduce disruption in the examination room. Transport for staff and students to the AIS is being investigated. Why not exams on Sunday

This item will be considered at UEC 1/2016 and will subsequently be reported to Academic Board 1/2017.
Resolution
The Academic Board:
1. Approved the move to a 14 day final examination period from June 2017; and
2. Endorsed the rationalisation of reading and writing times for non-medical final examinations, noting this will also be considered at UEC 1/2017.

*Item 20 Research-intensive Undergraduate Projects and Human Research Ethics

There are a large number of undergraduate students in the research space, and the purpose of this paper is to ensure they have the appropriate ethics approvals and support to undertake human research, to protect the University and the student. Ethics approval is often needed for publication.

The Ethics Committee is looking to have oversight of medium-high risk research, while acknowledging that an expedited process will be required to provide timely approval for semester-long course.

The Board noted that the University is bound by provisions of the Australian Code of Research Conduct, which requires ethics clearance under particular circumstances.

Ms Shaw opposed the recommendation on the grounds that it places restraints on student research, does not address the identified issues and is not fit for purpose.

The Academic Board approved changes to Programs & Courses following the deadline, to publish a note on the affected courses that ethics approval may be required.

Resolution
The Academic Board approved the following recommendations:
1. Students enrolling in selected courses within which there is a research requirement (see Attachment 1) and where that research:
   a. involves human subjects and
   b. involves more than negligible risk for participants be required to obtain human research ethics clearance before commencing their research.
2. That only research classified as low-risk (E1 or E2) be permitted within these courses (excluding research involving Aboriginal or Torres Strait Islander Peoples). In the event that an undergraduate student project within a course listed in Attachment 1 is deemed to be high-risk, the supervisor for the project must submit an ethics protocol to the HREC for approval with the supervisor listed as the Primary Investigator for the protocol and the student listed as a Co-investigator.
3. All eligible research within these courses be reviewed by one of the Science and Medical delegated ethics research committee (DERC), Humanities and Social Sciences DERC, or the Asia-Pacific DERC, with the exception of research involving Aboriginal or Torres Strait Islander peoples (which must be handled through the full human research ethics committee (HREC)).

Item 21 Academic Standards and Quality

Resolution
The Academic Board noted the matters related to academic standards and quality.

*Item 22 Early intervention central communication

The Board noted that the email communication sent to students identifies the support services available. The Board queried where there is any attempt to drill down and measure the relationship between failing students and courses. It was confirmed that course fail rates are monitored at the University Education Committee. It was noted that certain...
demographics are at greater risk of failure, rather than there being a substantial connection to courses.  
The Registrar, Student Administration, confirmed a paper will come to University committees in 2017 on academic progress, including metrics on the decrease in students being placed on formal academic progress.

Resolution
The Academic Board noted the report on changes to early intervention central communication.

Part 5 – Policy

*Item 23 Distinguished Educators
The Deputy Vice-Chancellor (Academic) noted that the appointment of Distinguished Educators is a new process, with appointments proposed to take place in 2017.

Resolution
The Academic Board:
1. Endorsed the selection criteria and process for Distinguished Educator (Appendix A).
2. Endorsed the Policy and Procedure for Distinguished Educator (Appendix B) for approval by the Vice-Chancellor.

Item 24 University Medal Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the University Medal policy and procedure.

Resolution
The Academic Board:
1. Endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the US financial aid satisfactory academic progress policy.
2. Noted the policy is not consistent with the ANU policy framework as the policy contains a procedure, however this is required by US legislation 34 CFR 668.34(a).

Item 26 Return of title IV funds Procedure Review
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the Return of title IV funds procedure.

Item 27 Coursework Scholarships Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, a revision to the Coursework Scholarship procedure to include *The minimum value of a scholarship will be $5,000 per annum. See Appendix A.

*Item 28 Intellectual Property Policy
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the Intellectual Property Policy and Procedures.

*Item 29 Industry, Business and Entrepreneurial Academic and Professional Appointments

Academic Board 6/2016: Unconfirmed Minutes
The Pro Vice-Chancellor (Innovation) provided a brief update, confirming that the initiatives from the paper are being actively integrated into the operational plans currently under development.

Resolution
The Academic Board noted the update.

Part 6 – Reports from Committees

Item 30  Report from University Education Committee
Resolution
The Academic Board noted the report.

Item 30.1 Approvals by Executive Action
Resolution
The Academic Board noted the report on approvals by Executive Action by the Chair, UEC.

Item 31  Report from University Research Committee
Resolution
The Academic Board noted the report.

Item 31.1 Institutes and Centres
Resolution
The Academic Board noted the establishment of the Australian Studies Institute within the College of Arts and Social Sciences.

* Item 32  Honours Student Experience
The Deputy Vice-Chancellor (Academic) noted that ‘Honours’ is the theme for the Student Experience Committee in 2017, not the University Education Committee.

Resolution
The Academic Board approved that:

a. The Division of Student Administration requests the Division of Information & Technology Services to establish a mailing list of all honours students enrolled in an honours shell course to allow for improved communication (accessible to ANUSA if allowable under the University’s Privacy Act obligations).

b. That the University Student Experience Committee have ‘Honours’ as their strategic theme for 2017 to better understand the following:
   - Reasons for undertaking honours and how this shapes the support required to successfully complete.
   - What does an effective and productive supervisor relationship look like?
   - What are reasonable expectations for an honours supervisor relationship?
   - What role do specific honours student events play in the overall honours experience?
   - What resources or support do honours students feel they are lacking at ANU?

Item 33  Forced Offer Report
Resolution
The Academic Board approved the following recommendations:

1. Note the report on forced offers for coursework applicants
2. That ANU Colleges may submit forced offer requests for domestic undergraduate applicants (for release in January and June UAC rounds) who meet the following guidelines:
   a. Achieve an entrance rank within 3 points of the program cut-off; and
   b. Meet any prerequisite or additional selection criteria requirements; and
c. Perform well in a cognate area (i.e. a minimum ACT scaled mark of 142 or NSW HSC Band 4, or equivalent); and who have
d. Have not been considered under an ANU approved entry scheme (including National Access Scheme – Bonus Points).
e. Indigenous applicants applying for the Bachelor of Laws (Honours) for FDD Law programs may also be considered for a forced offer based on assessment made by the ANU College of Law.

* Item 34 Scholarships working party report

Resolution
The University Education Committee endorsed the governance, admissions, integration of admissions and scholarships and financial management of scholarships principles for the future treatment of undergraduate domestic scholarships.

Item 35 UAC Common Assessment Procedures Subcommittee (CAPS) Report

Resolution
The Academic Board approved the following recommendations:

1. Adopt new schedules:
   a. S9294: Polish Matura Certificate (2015 onward) and revised schedule S9293: Polish Matura Certificate (prior to 2015) (Appendix A); and

2. Adopt revisions to existing approved schedules:
   a. S9001-2: International Baccalaureate (Appendix C);
   b. T6110: Cambridge International Diplomas (Appendix D);
   c. S5564: Ontario Secondary School Diploma (2003 and onwards) (Appendix E); and
   d. S3511: Fiji Seventh Form Certificate (Appendix F).

3. Continue to apply existing approved schedules with a review by CAAC3-2019 for entry in 2020:
   a. S9426: Sri Lankan GCE A Level (Appendix G); and
   c. that the score of 17 on the ANU schedule for Singapore Advanced Level be amended to an entrance rank of 98 (Appendix H).

4. Note the following qualifications are deemed non-assessable
   a. S9681: Peruvian Official Certificate of Secondary Education; and
   b. General Educational Development (GED) tests – as evidence of high school completion for assessing SAT / ACT results.

Item 36 Progress report on the ANU+ Volunteering Award Program

Resolution
The Academic Board noted the report on the progress of the ANU+ Volunteering Award program.

Item 37 Student Research Conference 2016

Resolution
The Academic Board noted the report on the 2016 Student Research Conference.

Item 38 Conditional Electronic Confirmation of Enrolment Report

Resolution
The Academic Board noted the annual conditional electronic confirmation of enrolment report.
Item 39  Affiliates or auxiliary access to library online resources
Resolution  The Academic Board noted the report on options and issues in access to online resources by those who are not current ANU students or staff.

Item 40  Admissions Incident (May 2016)
Resolution  The Academic Board noted:
1. the admissions incident report; and
2. the College responses to Wattle access and the intended integration of the Student Administration System and Wattle through the University Data Integration Project.

Item 41  ERMS Admission Incident (April 2016)
Resolution  The Academic Board noted the loss or partial loss of 31 electronic student files and noted the actions untaken to mitigate the risk of this issue occurring in the future.

Item 42  ANU College of Business and Economics/Research School of Management Final Grade Incident Report – BUSI3020
Resolution  The Academic Board noted the report provided by the ANU College of Business and Economics relating to Final Grade Incidents that occurred in Semester 1, 2016.

Item 43  ANU College of Business and Economics/Research School of Economics Scaling Error Report – EMET3006/4301/8001 – Semester 1, 2016
Resolution  The Academic Board noted the report provided by the ANU College of Business and Economics relating to an error with the scaling formula for EMET3006/4301/8001 Applied Micro-econometrics in Semester 1, 2016.

Item 44  ANU College of Engineering and Computer Science Results Incident Report – ENGN4221 – Semester 1, 2016
Resolution  The Academic Board noted the report provided by ANU College of Engineering and Computer Science relating to a results incident in Semester 1, 2016.

Item 45  ANU College of Engineering and Computer Science Results Incident Report – COMP8715 – Semester 1, 2016
Resolution  The Academic Board noted the report provided by ANU College of Engineering and Computer Science relating to an examination incident in Semester 1, 2016.

Item 46  ANU College Course Scheduling Incident Report – PREP1113 – Semester 2, 2016
Resolution  The Academic Board noted the report provided by ANU College relating to a Course Scheduling Incident that occurred in Semester 2, 2016.

Item 47  2017 Committee Meeting Dates
Resolution  The Academic Board noted the 2017 meeting dates for University Education Committee, Education Standards & Quality Committee, Coursework Admissions & Awards Committee and Student Experience Committee.
Part 7 – Accreditation

Item 48 Admission Requirements for the Bachelor of Health Science
Resolution
The Academic Board approved the admissions requirements for the Bachelor of Health Science.

Item 49 Alternate Pathway to the Doctor of Medicine and Surgery from Bachelor of Health Science
Resolution
The Academic Board approved the proposed MChD alternate admission requirements.

* Item 50 MOOCs for Credit Alliance Update
Resolution
The Academic Board approved:
1. The update on the MOOCs for Credit Alliance;
2. That determination of which courses to accept from partner institutions be based on a number of criteria:
   a. Timing of examination
   b. Number of ANU students who could take the course
   c. College input on whether courses can count towards a degree
3. That students only be permitted to undertake MOOCs where they are taken in a combination that totals the equivalent of 6 units or multiples of 6 units.

Item 51 Review of International IB Predicted Grades
Resolution
The Academic Board endorsed that:
1. Predicted IB results continue to be accepted for full International admission for semester 2 entry only.
2. A 3 point premium continue to be added to the IB entry requirements when admitting on the basis of predicted grades.
3. Communication be issued to College MARA Banting for over-inflating predicted grades and advise that their school will be removed from the scheme if over-inflation of predicted grades continues next year.
4. The DVC (Academic) will write to IBO to seek formal agreement on the release of predicted grades.

* Item 52 Review of Gao Kao for Admission to ANU
Resolution
The Academic Board approved the following recommendations:
1. That the Board note the academic progress of students admitted to ANU on the basis of Gao Kao.
2. That the University approved the acceptance of Gao Kao for direct admission on an on-going basis.
3. That the current Gao Kao schedule (Appendix A) be approved for a further 2 years with a review date of no later than CAAC 4/2018.
4. That the Board approve the change to the Gao Kao schedule (Appendix B) for 2017 to incorporate the change to the grading scale of Shanghai moving from a total out of 600 to a total out of 660.

Item 53 ANU College of Engineering and Computer Science (CECS) articulation agreement with Manipal University (MU) in India.
Resolution
The Academic Board noted the articulation agreement between the ANU College of Engineering and Computer Science and Manipal University (MU) in India.

* Item 54 Undergraduate Awards

Item 54.1 New Undergraduate Awards

Resolution

The Academic Board approved the following new undergraduate awards are accredited as outlined below.

<table>
<thead>
<tr>
<th>College</th>
<th>Award</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>CECS</td>
<td>Bachelor of Applied Data Analytics; BADAN</td>
<td>Australia requires a workforce with skills in data analytics as applied to high-quality, data-informed decision-making. This reflects a wider challenge to Australian business, government and community in terms of the effective use of public and commercial data for decision-making. The rapid expansion of a digitally enabled environment has broadened both the threat and the opportunity in data-driven innovation. We propose a multi-disciplinary bachelor degree comprising of computer science, statistics, and social science courses which can be applied across a host of settings from business, finance, health through to national security. Recommendation to Academic Board: Accredit until 31 December 2021 without conditions.</td>
</tr>
<tr>
<td>CECS</td>
<td>Bachelor of Applied Data Analytics (Honours); HADAN</td>
<td>Australia requires a workforce with skills in data analytics as applied to high-quality, data-informed decision-making. This reflects a wider challenge to Australian business, government and community in terms of the effective use of public and commercial data for decision-making. The rapid expansion of a digitally enabled environment has broadened both the threat and the opportunity in data-driven innovation. We propose an honours year as an addition to the three year Bachelor of Applied Data Analytics to allow students to specialise in one of the three core disciplines of the bachelor degree. Recommendation to Academic Board: Accredit until 31 December 2021 without conditions.</td>
</tr>
<tr>
<td>JCOS</td>
<td>Bachelor of Health Science; BHLTH</td>
<td>The BHSc draws upon ANU strengths in medical education, biomedical science, population health, social science and public policy to provide graduate outcomes required for learning, research and practice in health-related careers. The BHSc provides merit-based pathways into the Doctor of Medicine and Surgery and Master of Public Health. Selection into the BHSc will specifically target rural origin (ASGC* 2-5) and Indigenous students to widen their access to health professions in line with national priorities. CMBE will coordinate the BHSc with teaching contributions from ANUMS, RSPH, JCSMR, RSB and RSC.* <a href="http://www.aihw.gov.au/rural-health-remoteness-classifications/">http://www.aihw.gov.au/rural-health-remoteness-classifications/</a>. Recommendation to Academic Board: Accredit until 31 December 2022 without conditions.</td>
</tr>
<tr>
<td>JCOS</td>
<td>Diploma of Science; ESCIE</td>
<td>The Diploma of Science is an AQF level 5 Higher Education Diploma that comprises 8 courses. The Diploma provides a high-support, academically intensive year of study to allow success for students who would not normally have access to Bachelor level study in the Sciences at ANU. The Diploma specifically aims to increase diversity by targeting domestic equity students and international students from countries that do not traditionally enter the ANU. This program will support students’ engagement in, and development of, academic curiosity and critical and contextual thinking through a focus on</td>
</tr>
</tbody>
</table>
academic literacy, numeracy and communication skills. The program is offered only to students who do not meet the direct entry requirements for ANU Science degrees. Consistent with the Australian Qualifications Framework Qualifications Pathways Policy, paragraph 2.1.10, students who successfully complete all 8 courses in the Diploma with a GPA of at least 5.0 with no more than one fail or incomplete grade will gain 48 units (1 year) of credit in the Bachelor of Science.
Recommendation to Academic Board: Accredit until 31 December 2022 without conditions.

*Item 54.2 Review of Undergraduate Programs
Resolution
The Academic Board approved the:
1. accreditation of the Bachelor of Pacific Studies is extended to 31 December 2017 in order to accommodate actions following the review of the School of Culture, History and Language.
2. reaccreditation of the Diploma of Computing without conditions until 31 December 2021.

*Item 54.3 New Undergraduate Majors, Minors and Specialisations
Resolution
The Academic Board approved the following new undergraduate minor as recommended by the relevant College education committee.
- Burmese Language; BURM-MIN

*Item 54.4 College-approved amendments
Resolution
The Academic Board noted that simple amendments to the following undergraduate Awards, majors, minors and specialisations have been approved by the relevant ANU College.

<table>
<thead>
<tr>
<th>College</th>
<th>Award/Major/Minor/Specialisation</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP</td>
<td>Award</td>
<td>Bachelor of Asian Studies; BASIA</td>
</tr>
<tr>
<td>CAP</td>
<td>Major</td>
<td>Korean Language; KORE-MAJ</td>
</tr>
<tr>
<td>CAP</td>
<td>Major</td>
<td>Pacific Studies; PAST-MAJ</td>
</tr>
<tr>
<td>CPMS</td>
<td>Major</td>
<td>Mathematics; MATH-MAJ</td>
</tr>
<tr>
<td>JCOS</td>
<td>Major</td>
<td>Computer Science; CSCI-MAJ</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Asian History; AHIST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Chinese Language; CHIN-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Hindi Language; HIND-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Indonesian Language; INDN-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Indonesian Studies; INST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Inter-Asia Cultural Studies; IACS-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Japanese Language; JPNS-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Japanese Linguistics; JPLN-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Japanese Studies; JPST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Korean Language; KORE-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Literatures of Asia; ALIT-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Northeast Asian Studies; NAST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Pacific Studies; PAST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Sanskrit Language; SANS-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>South Asian Studies; SAST-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Southeast Asian Studies; SEAS-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Thai Language; THAI-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Urdu Language; URDU-MIN</td>
</tr>
<tr>
<td>CAP</td>
<td>Minor</td>
<td>Vietnamese Language; VIET-MIN</td>
</tr>
</tbody>
</table>
Item 55 Graduate Awards

Item 55.1 Review of Graduate Coursework Programs

Resolution

The College of Arts and Social Sciences requested that reaccreditation of the Master of Digital Arts and Master of Digital Arts (Advanced) be to 31 December 2019, not 2017, with a progress report on the changes recommended by the review to be submitted to in 2017 and 2018, to enable the changes to be rolled out and have an impact on enrolment.

The Academic Board approved the following graduate coursework programs are reaccredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Award</th>
<th>Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>Master of Classical Studies; MCLAS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2017</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Classical Studies (Advanced); VCLAS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2017</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Biological Anthropology; MBIAN</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Biological Anthropology (Advanced); VBIAN</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Digital Arts; MDIGA</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Digital Arts (Advanced); VDIGA</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Arts (Advanced); VARTS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Culture, Health and Medicine; MCHAM</td>
<td>Recommendation to Academic Board: Reaccredit with conditions until 31 December 2021: To be reviewed in 2019.</td>
</tr>
<tr>
<td>CASS</td>
<td>Master of Culture, Health and Medicine (Advanced); VCHAM</td>
<td>Recommendation to Academic Board: Reaccredit with conditions until 31 December 2021: To be reviewed in 2019.</td>
</tr>
<tr>
<td>CBE</td>
<td>Graduate Certificate of Economics; CECON</td>
<td>Recommendation to Academic Board: Reaccredit with conditions until 31 December 2017: Commencing load to reach 5 EFTSL by 1 September 2017.</td>
</tr>
<tr>
<td>CBE</td>
<td>Graduate Diploma of Economics; DECON</td>
<td>Recommendation to Academic Board: Reaccredit with conditions until 31 December 2017: Commencing load to reach 5 EFTSL by 1 September 2017.</td>
</tr>
<tr>
<td>CMBE</td>
<td>Master of Environmental Science; MENVS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CMBE</td>
<td>Master of Environmental Science (Advanced); VENVS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2019</td>
</tr>
<tr>
<td>CMBE</td>
<td>Master of Biological Sciences; MBIOS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2021</td>
</tr>
<tr>
<td>CMBE</td>
<td>Master of Biological Sciences (Advanced); VBIOS</td>
<td>Recommendation to Academic Board: Reaccredit until 31 December 2021</td>
</tr>
</tbody>
</table>
**Item 55.2 Disestablishment of Graduate Coursework Awards**

Resolution

The Academic Board approved the disestablishment of the Master of Arts (Advanced) as detailed by the ANU College of Arts and Social Sciences.

**Item 55.3 New Graduate Coursework Specialisations**

Resolution

The Academic Board approved the following new graduate coursework specialisation as recommended by the relevant College education committee.

- **Burmese Language and Culture; BURM-SPEC**

**Item 56 Higher Degree Awards**

**Item 56.1 Establishment of Higher Degree Programs**

Resolution

The Academic Board approved the establishment of two programs:

(i) Doctor of Philosophy - National Centre for the Public Awareness of Science; 9603

(ii) Master of Philosophy - National Centre for the Public Awareness of Science; 8603

Part 8 – Items of Other Business

**Item 57 Any Other Business**

The Chair noted that the Academic Board Retreat will be held on 14 February 2017.

Resolution

The Academic Board noted the matters raised and the responses.
# ACADEMIC BOARD ACTION ITEMS 2016

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Action Item</th>
<th>Area / Officer Responsible</th>
<th>Reporting Date</th>
<th>Contact Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB 6/2016 Item 19</td>
<td>Examination Dates 2017&lt;br&gt;This item will be considered at UEC 1/2016 and will subsequently be reported to Academic Board 1/2017.</td>
<td>DSA</td>
<td>AB 1/2017</td>
<td>Registrar, Student Administration</td>
</tr>
<tr>
<td>AB 2/2016 Item 17</td>
<td>Hot Topic: gender access and equity&lt;br&gt;The Chair asked the Pro Vice-Chancellor (Student Experience) to report back on these issues at a meeting later in the year and to advise on how consideration of these issues feeds into development of the strategic planning process. Board members were asked to discuss issues within their area and report back with any suggestions or ideas to Professor Baker.&lt;br&gt;&lt;strong&gt;Update:&lt;/strong&gt;&lt;br&gt;PVC-UE provided an update at AB 6/2016.</td>
<td>PVC (UE)</td>
<td>AB 3/2017</td>
<td>PVC (UE)</td>
</tr>
<tr>
<td>AB 6/2014 Item 15</td>
<td>Pathways to the PhD Working Party Report&lt;br&gt;Action The Pro Vice-Chancellor (Research and Research Training) to provide a report back to the final Board meeting in 2016. Noting any modifications that may need to be made based on the experience at that point&lt;br&gt;&lt;strong&gt;Update:&lt;/strong&gt;&lt;br&gt;DVC-R provided an update at AB 6/2016.</td>
<td>Dean, HDR</td>
<td>AB 3/2017</td>
<td>Dean, HDR</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Action Item</th>
<th>Area / Officer Responsible</th>
<th>Reporting Date</th>
<th>Contact Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB 6/2013 Item 12</td>
<td>The Board agreed to adopt the issue of Indigenous Engagement as a biannual ‘Hot Topic’</td>
<td>Chair</td>
<td>AB Retreat 14 February 2017</td>
<td>Chair</td>
</tr>
</tbody>
</table>
The ANU Academic Board was re-established by Council in February 2012. The Board meets six times per year, not including informal sessions and working parties. This report to Council provides an overview of the Board’s activities throughout 2016.

1. Governance Arrangements
In December 2015 Council appointed Professor Jacqueline Lo, Executive Director of the ANU Centre for European Studies and Associate Dean (International) of the ANU College of Arts and Social Sciences as the new Chair of Academic Board. Professor Lo commenced as Chair in April 2016. Professor John Close was appointed Deputy Chair, following a call for nominations from members of the Board and commenced on 16 May 2016.

The Board has a mixture of ex-officio and elected members. In early 2016, elections were held for the elected positions on the Board, with terms commencing in May 2016. The only change to the constitution of the Board in 2016 was the disestablishment of the ex-officio membership of the Pro Vice-Chancellor (Research and Research Training). The current term for elected members expires on 1 May 2018. The Board membership list appears on the Academic Board webpage.

The Board’s agendas incorporate ‘hot topics’ discussions to facilitate the Board’s engagement in strategic planning and academic policy development. The main ‘hot topics’ considered by the Board in 2016 were:

- PhB and Engineering (R&D) Market Research;
- Gender Access and Equity at ANU;
- ANU Vision and Strategic Plan;
- Industry, Business and Entrepreneurial Academic and Professional Appointments;
- Academic Integrity.

The scope of the ‘hot topics’ demonstrate that the Board takes an active and productive approach to effective decision-making.

At each meeting of the Board, a report is tabled from the Vice–Chancellor and the Deputy Vice-Chancellors. Members welcome the chance to raise questions with members of the Executive.

2. Activities of Academic Board
The main activities undertaken by the Board are summarised in the table ‘Nature and Distribution of the Board’s Activities 2016’ (Appendix A). Each of the activities has been mapped against the Board’s functions and powers in the governing statute. The functions and powers of the Board have been summarised below.

(a) Information Flow: Under AB Statute s 7.1(h), the Board’s functions include ‘providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community’. The Board continues to facilitate this information flow and debate in various ways, including through the scheduled ‘hot topic’ discussions and the updates from the University Executive. Following feedback from members of the Board, the ‘Information Flow’ part of the agenda has been refocused on discussion of the reports and further developments, with the reports taken as tabled. In addition, a new initiative commenced at meeting 6/2016, where Board members vote on key topics to put to the Executive, to facilitate genuine dialogue.

(b) Strategic Planning: Under AB Statute s 7.1(g) the Board is empowered to advise ‘on the academic aspects and content of the University’s strategic plan’. Both the Research and Education
Portfolio strategic plans are reported on and discussed by the Board. The Board also contributed to the development of the strategic plan on a number of occasions, including as a Hot Topic presentation from the Vice-Chancellor at meetings 3/2016 and 4/2016.

(c) Review and Monitoring: Under AB Statute s 7.1(c) and (f), the Board’s functions include ‘ensuring the maintenance of the highest standards in teaching, scholarship and research within the University’ and ‘maintaining an effective overview of the academic activities of the University and advising and assisting in their coordination’. The Board considered and discussed a number of items related to oversight of academic activities, as detailed in Appendix A.

(d) Policy Development: Under AB Statute s 7.1(e) the Board’s functions include ‘discussing and developing policy recommendations in relation to the University’s academic matters’ (noting that authority to approve ANU policy resides with Council and the Vice-Chancellor). The Board considered a large body of policy items in 2016, including new and amended policy and procedure documents. Policy items considered by the Board have typically transmitted from the University Research Committee, University Education Committee and its sub-committees, in particular, the Education Standards and Quality Committee.

(e) Accreditation: Under AB Statute s 7.1(b) and (d), Academic Board has the function of ‘accrediting and reaccrediting programs and changes to existing programs’ and ‘approving Degrees and other awards’. It follows that, since its establishment, the Board has been the University body responsible for approving new academic programs, reviews of, and amendments to, existing programs, and the disestablishment of programs. In relation to undergraduate and graduate coursework programs, accreditation recommendations come to the Board from the ANU Colleges via the University Education Committee. For higher degree programs, accreditation recommendations come to the Board via the University Research Committee.

Over the past year, the Board has again managed a large accreditation agenda, in addition to standard program reviews. A summary of accreditation activities undertaken by the University Research Committee, University Education Committee and Academic Board in 2016 attached in the ‘Summary of Accreditation 2016’ (Appendix B).

3. Initiatives of the Board
The Board introduced a number of new initiatives during 2016, aimed at improving the value and purpose of the Board by expanding its remit to ensure engagement across all powers and functions in the Academic Board and Committees Statute 2014. A summary of these is included in ‘New Initiatives of the Board 2016’ (Appendix C).

4. Future Issues
The Chairs of Academic Boards and Senates Conference was held in October 2016. Professor Lo represented ANU at the conference.
A key issue at the conference was the new Higher Education Threshold Standards, including the requirement for an external assessment of Academic Board and improving visibility and understanding of Academic Governance. To ensure Board members understand the implications for the function and accountability of the Board, a representative from the Tertiary Education Quality Standards Agency will present at the Academic Board Retreat in February 2017. In addition, the Board plans to undertake an internal assessment in 2017, in preparation for the external assessment for reaccreditation, scheduled for 2020.

Professor Jacqueline Lo
On behalf of ANU Academic Board
### Functions and powers of Board

<table>
<thead>
<tr>
<th>Category</th>
<th>Topic</th>
<th>Sample of Activities/Issues</th>
<th>Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>Board Role and Functions</td>
<td>Annual Plan</td>
<td>The Academic Board Steering Committee meets prior to each agenda being finalised to consider which items should be prioritised and flagged for discussion.</td>
<td>All meetings</td>
</tr>
<tr>
<td></td>
<td>Steering Committee</td>
<td>All new academic policy items come to the Board from the University Research Committee or the University Education Committee for consideration, prior to approval by the VC.</td>
<td>All meetings</td>
</tr>
<tr>
<td>Academic Board and Committee Structures</td>
<td>Reports from specialist committees: Education, Research.</td>
<td>All meetings</td>
<td></td>
</tr>
<tr>
<td>Induction for Academic Board Members</td>
<td>Handbook for Members of the Academic Board. Mandatory inductions introduced for new members.</td>
<td>Available online As required</td>
<td></td>
</tr>
<tr>
<td>Board Role and Functions</td>
<td>Reports from each Academic Board meeting are submitted to Council. Academic Board Annual Report to Council.</td>
<td>All meetings Q1 annually</td>
<td></td>
</tr>
</tbody>
</table>

---

**Academic Board and Committees Statute 2014**

- s 7.1(a) operating with the assistance of specialist committees

---

**Higher Education Standards Framework (Threshold Standards) 2011**

- s3.7 Require higher education institutions to have ‘academic governance arrangements that provide a clear and discernible separation between corporate and academic governance, including a properly constituted academic board and course advisory committees’
<table>
<thead>
<tr>
<th><strong>Academic Board and Committees Statute 2014 s 7.1 (h)</strong></th>
<th>Providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community;</th>
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</table>

<table>
<thead>
<tr>
<th><strong>Information Flow</strong></th>
<th><strong>Regular ‘hot topics’ discussion items</strong></th>
<th><strong>Hot Topics</strong></th>
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<tbody>
<tr>
<td></td>
<td></td>
<td>• PhD and Engineering (R&amp;D) Market Research;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Gender Access and Equity at ANU;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• ANU Vision and Strategic Plan;</td>
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<tr>
<td></td>
<td></td>
<td>• Industry, Business and Entrepreneurial Academic and Professional Appointments;</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Academic Integrity.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Report from the Vice-Chancellor and Q&amp;A</th>
<th><strong>University Issues:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• ANU Strategic Plan</td>
</tr>
<tr>
<td></td>
<td>• Union Court redevelopment</td>
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<tr>
<td></td>
<td>• Executive Appointments</td>
</tr>
<tr>
<td></td>
<td>• Budget</td>
</tr>
<tr>
<td></td>
<td>• ANU School of Music</td>
</tr>
<tr>
<td></td>
<td>• ANU School of Culture, History and Language</td>
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<tr>
<td></td>
<td><strong>Sector Issues:</strong></td>
</tr>
<tr>
<td></td>
<td>• Advocating for the ANU community</td>
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<tr>
<td></td>
<td>• Male Champions of Change</td>
</tr>
<tr>
<td></td>
<td>• University rankings</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Report from Senior Executive Officers and Q&amp;A</th>
<th><strong>Education/Teaching and Learning</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Echo360 Roll Out</td>
</tr>
<tr>
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<td>• Strategic Directions</td>
</tr>
<tr>
<td></td>
<td>• Education and Teaching Awards</td>
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<tr>
<td></td>
<td>• National Review into Admissions Transparency</td>
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<tr>
<td></td>
<td>• Proactive Demand Scanning</td>
</tr>
<tr>
<td></td>
<td>• Consultation on the Future of Higher Education Reform</td>
</tr>
<tr>
<td></td>
<td>• National Educational Fellowships Scheme</td>
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<td></td>
<td>• UAC New Models for Admission</td>
</tr>
<tr>
<td></td>
<td>• eLearning Risk Settings</td>
</tr>
<tr>
<td></td>
<td>• ANU Admissions Data</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th><strong>Research</strong></th>
</tr>
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<tbody>
<tr>
<td></td>
<td>• Cyber Security Strategy 2016</td>
</tr>
<tr>
<td></td>
<td>• Review of Australia’s Research Training System</td>
</tr>
<tr>
<td></td>
<td>• Research Impact Announcements</td>
</tr>
<tr>
<td></td>
<td>• Current and Anticipated Research Consultations from Government</td>
</tr>
<tr>
<td></td>
<td>• Research Engagement Trial</td>
</tr>
<tr>
<td></td>
<td>• Medical Research Future Fund</td>
</tr>
<tr>
<td></td>
<td>• National Research Infrastructure Roadmap</td>
</tr>
<tr>
<td></td>
<td>• Structural Review of NHMRC’s Grant Program</td>
</tr>
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</table>

<p>|  | <strong>All meetings</strong> |
| 1/2016 |  | 2/2016 |
| 6/2016 |  |  |  |</p>
<table>
<thead>
<tr>
<th>Academic Board and Committees Statute 2014 s 7.1 (c)</th>
<th>Academic Promotions</th>
<th>Education Standards and Quality Committee: ANU Education Policy Review</th>
<th>2017 Engagement and Impact Assessment Pilot</th>
</tr>
</thead>
<tbody>
<tr>
<td>ensuring the maintenance of the highest standards in teaching, scholarship and research within the University;</td>
<td>Changes to Research Block Grant arrangements</td>
<td>New and amended policies, procedures and guidelines including:</td>
<td>2016 Annual Report</td>
</tr>
<tr>
<td>discussing and developing policy recommendations in relation to the University’s academic matters;</td>
<td></td>
<td>• University Medal Policy and Procedure</td>
<td>2/2016, 6/2016</td>
</tr>
<tr>
<td>Higher Education Standards Framework (Threshold Standards) 2011 (Cth) s 3.8</td>
<td></td>
<td>• Recording of Teaching Activities Policy and Procedure</td>
<td>2/2016</td>
</tr>
<tr>
<td>The higher education provider’s corporate and academic governance arrangements demonstrate:</td>
<td></td>
<td>• Student Academic Study Load and Progression Policy and Procedure</td>
<td>2/2016</td>
</tr>
<tr>
<td>• the effective development, implementation and review of policies for all aspects of the</td>
<td></td>
<td>• Course Outline Procedure/Template</td>
<td>3/2016, 4/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Student Assessment (Coursework) Policy and Procedure</td>
<td>4/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Disclosure of Information by Students with Disability or Illness Policy and Procedure</td>
<td>4/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Code of Practice for Teaching and Learning Guideline</td>
<td>4/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• ANU Education Agent Management and Engagement Policy and Procedure</td>
<td>4/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Academic Statements Policy and Procedure</td>
<td>5/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Policy Amendments from 2017 12 Week Semesters</td>
<td>5/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Criminal record screening for students undertaking clinical placements in health facilities policy and procedure</td>
<td>5/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Rescinding and surrendering of awards Policy and Procedure</td>
<td>5/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Student Critical Incident Policy and Procedure</td>
<td>5/2016</td>
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<tr>
<td></td>
<td></td>
<td>• Coursework Scholarships Procedure</td>
<td>6/2016</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Distinguished Educators</td>
<td>6/2016</td>
</tr>
</tbody>
</table>
higher education provider’s academic activities including delivery of the higher education provider’s courses of study by other entities

**Higher Education Standards Framework (Threshold Standards) 2011 (Cth) s 3.8**
The higher education provider’s corporate and academic governance arrangements demonstrate:
- the maintenance of academic standards, with appropriate mechanisms for external input, in accordance with international conventions for good academic practice; and,

<table>
<thead>
<tr>
<th>Reporting</th>
<th>Reports from Colleges and Business Units, including:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Reports from Subcommittees and College Committees</td>
</tr>
<tr>
<td></td>
<td>• Appeals, Discipline and Academic Misconduct</td>
</tr>
<tr>
<td></td>
<td>• University Awards Committee</td>
</tr>
<tr>
<td></td>
<td>• Timetabling Late Change Requests</td>
</tr>
<tr>
<td></td>
<td>• Annual Report on Student Progress</td>
</tr>
<tr>
<td></td>
<td>• ANU Student Experience Plan progress report</td>
</tr>
<tr>
<td></td>
<td>• Results of the 2015 Student Experience Survey</td>
</tr>
<tr>
<td></td>
<td>• 2016 Orientation and transition survey</td>
</tr>
<tr>
<td></td>
<td>• Academic Board Working Party Report</td>
</tr>
<tr>
<td></td>
<td>• Results of global 2016 Student Barometer Surveys</td>
</tr>
<tr>
<td></td>
<td>• Academic Integrity Scoping Working Party</td>
</tr>
<tr>
<td></td>
<td>scoping paper</td>
</tr>
</tbody>
</table>
|           |                                                     | All meetings

<table>
<thead>
<tr>
<th>Review and Monitoring</th>
<th>Coursework Admissions &amp; Awards</th>
</tr>
</thead>
</table>
|                       | • Report on issues in various media reports on ATAR and University Admissions | 1/2016
|                       | • Non-award admissions for Master of Applied Data Analytics | 1/2016
|                       | • Admission Based on Vocational Experience: For Domestic Undergraduate and Postgraduate Admission | 2/2016
|                       | • Review of Admission Requirements for Graduate Coursework Programs | 3/2016, 5/2016
|                       | • Acceptance of Indonesian Academic Secondary School Leaving Certificate (SMA) for Admission | 3/2016
|                       | • Admissions Incident Reports | 3/2016
|                       | • Credit and Status for Massive Open Online Courses (MOOCs) | 3/2016
|                       | • International Baccalaureate (IB) Early Entry Scheme report | 4/2016
|                       | • Double Degree Program Proposal | 4/2016
|                       | • Early Offer Framework | 4/2016
|                       | • Articulation agreements and admission pathways | 5/2016

Academic Board: 2016 Annual Report
### Higher Education Standards Framework (Threshold Standards) 2011 (Cth) s 3.8

The higher education provider's corporate and academic governance arrangements demonstrate:
- effective quality assurance arrangements for all the higher education provider's higher education operations, encompassing systematic monitoring, review and improvement.

### ANU Coursework Courses Grade Distribution

Quality assurance reports from Colleges with the highest and lowest percentage of HD grades and highest percentage of Fail grades awarded.

### Academic Quality & Standards

- Academic Integrity Items
- Examinations/Grade Incident Reports
- Enrolment behaviours report
- Lecture attendance and downloads data 2015
- Credit and Status for Massive Open Online Courses (MOOCs)
- Ghostsitting examinations and assessment
- Graduation Publications
- Online Courses and Programs Framework
- Risk assessment for ANU from Crime and Corruption Commission report on a matter of governance from Murdoch University
- Undergraduate Specialisations Definition
- ESOS Audit and Implementation Plan
- New Higher Education Standards - Self Assessment
- Threshold Standards: AQF+1 Requirement
- Research–intensive Undergraduate Projects and Human Research Ethics
- Early intervention central communication

### Academic Board and Committees Statute 2014 s 7.1(b)

- accrediting and reaccrediting programs and changes to existing programs

### Academic Board and Committees Statute 2014 s 7.1(d)

- approving Degrees and other awards

### Academic Board and Committees Statute 2014 s 7.1(g)

- advising on the academic aspects and content of the University's strategic plan

### Accreditation

Undergraduate and Graduate Coursework; HDR programs

- Deadlines for Programs and Courses updates and Program accreditation responsibilities guidelines

### Strategic Planning

Strategic Plan

- Strategic Plan, effective January 2017, including
  - Discussion in the information flow at meetings 5/2016 & 6/2016
  - Academic Plan at meeting 6/2016

---

**Academic Board: 2016 Annual Report**
Appendix B: Summary of Accreditation 2016

<table>
<thead>
<tr>
<th>Accreditation Type</th>
<th>Coursework</th>
<th></th>
<th>HDR</th>
<th></th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UG</td>
<td>PG</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Active Awards</td>
<td>250</td>
<td>442</td>
<td>67</td>
<td>759</td>
<td></td>
</tr>
<tr>
<td>Current</td>
<td>117</td>
<td>197</td>
<td>53</td>
<td>367</td>
<td></td>
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<tr>
<td>Being taught out</td>
<td>133</td>
<td>245</td>
<td>14</td>
<td>392</td>
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<tr>
<td>New Awards</td>
<td>12</td>
<td>51</td>
<td>3</td>
<td>66</td>
<td></td>
</tr>
<tr>
<td>Accredited with no conditions</td>
<td>10</td>
<td>51</td>
<td>3</td>
<td>64</td>
<td></td>
</tr>
<tr>
<td>Accredited with conditions</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Not accredited</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>By Executive Action</td>
<td>6</td>
<td>4</td>
<td>0</td>
<td>10</td>
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<td>Reviews</td>
<td>21</td>
<td>37</td>
<td>0</td>
<td>58</td>
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<tr>
<td>Reaccredited with conditions</td>
<td>1</td>
<td>14</td>
<td>0</td>
<td>15</td>
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<tr>
<td>Reaccredited with no conditions</td>
<td>20</td>
<td>23</td>
<td>0</td>
<td>43</td>
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<tr>
<td>Not reaccredited</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Reaccredited without review</td>
<td>1</td>
<td>0</td>
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</tr>
<tr>
<td>Awards disestablished</td>
<td>11</td>
<td>10</td>
<td>2</td>
<td>23</td>
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<tr>
<td>Significant Award amendments</td>
<td>31</td>
<td>67</td>
<td>-</td>
<td>98</td>
<td></td>
</tr>
<tr>
<td>After accreditation but before first offered</td>
<td>0</td>
<td>0</td>
<td>-</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Multiple for same Award</td>
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<td>0</td>
<td>-</td>
<td>0</td>
<td></td>
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<tr>
<td>By Executive Action</td>
<td>4</td>
<td>12</td>
<td>-</td>
<td>16</td>
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<td>New subplans</td>
<td>38</td>
<td>13</td>
<td>-</td>
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<td>Subplans disestablished</td>
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<td>22</td>
<td>-</td>
<td>52</td>
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<tr>
<td>Subplans amended</td>
<td>147</td>
<td>18</td>
<td>-</td>
<td>165</td>
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</tr>
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</table>
### Appendix C: New Initiatives of the Board 2016

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Academic Board Working Party</strong>&lt;br&gt;Report presented to meeting 6/2016</td>
<td>The primary purpose of the working party was to consider how the Board could better achieve its functions and powers as well as improve visibility and understanding of Academic Governance. Following the announcement of changes to the Higher Education Threshold Standards, including the requirement for an external assessment of Academic Board, the scope of the working party was expanded to consider how the Academic Board could prepare for the new requirements. The working party developed a number of recommendations, including an Academic Board Strategic Retreat, which will be held in February 2017 and the establishment of an Accreditation Sub-Committee, which will undertake all accreditation functions, creating more time for strategic discussion at Board meetings.</td>
</tr>
<tr>
<td><strong>Academic Integrity Scoping Working Party</strong>&lt;br&gt;Report presented to meeting 6/2016</td>
<td>The primary purpose of the working party was to establish the current state of play for Academic Integrity management at ANU. Following the working party’s hot topic presentation, the Board resolved to establish a long term Academic Integrity Implementation Working Party, which will consider the issues of the scoping paper in more depth and develop recommendations for how ANU can better address Academic Integrity.</td>
</tr>
</tbody>
</table>

The Academic Board Working Party reviewed the Role and Function of the Board. The objective of the working party was to consider the role and function of the Academic Board with respect to the Board’s terms of reference, constitution and stakeholder engagement. To frame the discussions, the working party considered three key topics:

1. Function and constitution
2. Communications
3. Profile and value

There is growing concern about cases of academic misconduct including “ghost-sitting and ghostwriting” and plagiarism in the University. This reflects a sector-wide development which is being addressed by the Australian Network of Chairs of Academic Boards and Senates. There is compelling evidence that a compliance-based punitive regime alone is insufficient. Instead, a more holistic approach to educating students and staff about academic integrity, within an academic integrity framework, could have significant cultural impact.

The Academic Integrity Scoping Working Party was established to document current practice for assuring academic integrity at the ANU, benchmark ANU practice against best practice within Australia and abroad, recommend to Academic Board ways of better supporting academic integrity practice for staff and students and presented the Hot Topic paper at Academic Board 6/2016.
### Academic Board Digest
*Commenced meeting 4/2016*

The Digest provides a tool for wide scale communication with all stakeholders, to advise on recent the work of the Board and new initiatives, as well as upcoming hot topics, inviting all members of the ANU community to provide questions and comments to their representative. In 2017, further development of the Digest will be undertaken to improve the presentation and readability.

Promoting engagement with the ANU community is vital for the Board as it is tasked with ensuring the University maintains the highest standards in teaching, scholarship and research.

The Digest was promoted via a number of means in 2016, including the Vice-Chancellor update. Subscription numbers continue to grow, with additional promotion efforts to continue in 2017: Subscriptions at 1st edition: 34 Subscriptions at most recent edition: 94

### Coffee Sessions with the Chair
*May and October 2016*

The Coffee Sessions with the Chair were held throughout May and October. The sessions were held as small groups of 3-6 members, particularly targeting elected members. The sessions proved to be effective fora for informal engagement and feedback, with members provided a greater opportunity to participate in the small group environment. Members commented that the sessions provided them an opportunity to openly discuss ideas and meet with different members of the Board. Efforts were made to ensure sessions included a diverse representation of University areas. The sessions were held in addition to the Chair’s regular meetings with the University Executive.

The Chair implemented the Coffee Sessions as a way to informally meet with Board members to gain feedback, share ideas and facilitate ongoing engagement outside of formal meetings. The Chair also spoke with members about what they have achieved in their role as an elected member of Academic Board and what support could be provided to improve their engagement with stakeholders.

### Internal Feedback
*Commenced meeting 6/2016*

The Board will receive anonymous feedback on each Board meeting, from at least two members. The secretary nominates two members to complete the new feedback template, on the agenda, it's relevancy to the remit of the Board and preparation of members to adequately facilitate value add discussion.

Only the secretary is aware who has completed the form. All members are also welcome to participate in the self-assessment following the meeting by submitting the completed form. Completed assessments are available on the Academic Board Alliance site.

The feedback will be reviewed by the Academic Board Steering Committee, which will consider the feedback when reviewing the agenda. The internal feedback will also form part of the review of Academic Board by the Tertiary Education Quality Standards Agency.

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*Academic Board: 2016 Annual Report*
| **Information Flow Poll**  
*Commenced meeting 6/2016* | The poll was introduced to allow the Board to raise their own topics for discussion so that the Board can consider a wider scope of education and research matters of importance. |
<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
<td>Board members are invited to participate in a short poll ahead of each Board meeting, where they vote on three issues or questions to put to the Vice-Chancellor and Deputy Vice-chancellors. Members can either vote for proposed topics or add their own, which other members can then vote for. The selected topics form part of the part of the discussion during the Information Flow part of the Agenda.</td>
<td></td>
</tr>
</tbody>
</table>
| **Collaboration with the Sector**  
*Ongoing through 2016* | Collaboration with the network of Chairs of Academic Boards/Senates and colleagues at other universities allows the Academic Board to be informed of timely issues within the Higher Education sector, engage with developments and initiatives at other institutions and enable a big picture approach to academic governance. |
| The Chair was involved in Academic Integrity discussions with the Chair of Academic Board at the University of Canberra, as well as a part of the discussions occurring across the network of Chairs of Academic Boards/Senates. The Chair attended the Chairs of Academic Boards/Senates conference in Perth, in October 2016 and a Chairs of Academic Boards/Senates satellite event at the Universities Australia Higher Education conference. The Manager, Academic Governance and the Assistant Registrar, Academic Standards and Quality Office also attended an Academic Integrity Working Group and an Academic Integrity lecture by Dr Tracey Bretag at the University of Canberra. |  |
| **New Agenda Item Template**  
*Commenced meeting 6/2016* | The template was amended following feedback at the Coffee sessions in October 2016. The action list will provide a concise and transparent reporting mechanism to allow Colleges and Business Units to identify actions required. It will also provide a clear reporting framework for the Board to follow up the implementation of items. |
| A new item template was approved for use from Academic Board meeting 6/2016. Where the paper's recommendations result in action item(s), they should be stipulated in the action list, and be assigned to a responsible officer. The Academic Board will endorse the action list and responsible officers when the recommendations are endorsed. Members may raise any comments or concerns with the action list and the Board may amend actions or responsible officers as part of their resolution. | *Academic Board Agenda Item template* |
## LIST OF TRANSACTIONS BY POWER OF ATTORNEY

### BETWEEN 11 NOVEMBER 2016 AND 18 JANUARY 2017

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1300</td>
<td>11/11/2016</td>
<td>Proxy Form re Vantage Private Equity Growth General Meeting re Return of Capital on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1301</td>
<td>10/11/2016</td>
<td>Investment Management Agreement (in duplicate) between The Australian National University and Plato Investment Management Limited on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1302</td>
<td>16/11/2016</td>
<td>Transfer Form for Non-Market Transactions re transfer of all units in Growthpoint Properties Australia from Australian National University to National Nominees Limited on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1303</td>
<td>07/12/2016</td>
<td>Written Resolution of Beneficiaries Approving Solution Pursuant to Key Person Deed Poll re University's investment in VPlus fund on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1304</td>
<td>17/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in ICG Energy Infrastructure Trust to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1305</td>
<td>17/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units (4,000,000) in Biotech Investment Holdings 2 P/L to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1306</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Private Equity Fund No 2A to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1307</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Private Equity Fund No 2B to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1308</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Property Fund No Development Trust to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1309</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Property Fund No 4 Investment Trust to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1310</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Property Fund N 3 Development Trust to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1311</td>
<td>18/01/2017</td>
<td>Transfer Form for Non-Market Transactions for all units in Gresham Property Fund No 3 Investment Trust to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1312</td>
<td>18/01/2017</td>
<td>Deed of Transfer and Assumption re 4,988,556 units in Stafford Private Equity Pty Ltd to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1313</td>
<td>18/01/2017</td>
<td>Unit Transfer Form for 23,939,487 units in IFM Australian Infrastructure Wholesale Fund A and 241,812 units in IFM Australian Infrastructure Wholesale Fund B to National Nominees on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1314</td>
<td>18/01/2017</td>
<td>Deed of Novation and Amendment (in triplicate) IFM Australian Infrastructure Fund on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1315</td>
<td>18/01/2017</td>
<td>Amended and Restated Subscription Agreement (in triplicate) IFM Australian Infrastructure Fund on behalf of the Long Term Investment Pool</td>
</tr>
</tbody>
</table>
## SIGNIFICANT EVENTS REGISTER 8 NOVEMBER 2016 TO 25 JANUARY 2017

<table>
<thead>
<tr>
<th>November</th>
<th>Venue</th>
<th>Host Area</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>14 November 2016</td>
<td>The Hall, University House</td>
<td>Toad Hall, Division of Student Life</td>
<td><strong>Collegiate Way International Conference</strong>&lt;br&gt;Pro Vice-Chancellor (University Engagement) Professor Richard Baker welcomed VIPs and attendees to the campus and conference. Professor the Hon Dame Marie Bashir, former New South Wales Governor General and former Chancellor of the University of Sydney was the opening speaking. Other speakers at the conference included His Excellency Mr Navdeep Suri, Indian High Commissioner and Lt Gen (rtd) David Morrison AO, Australian of the Year 2016 and former Chief of the Australian Army.</td>
</tr>
<tr>
<td>14 November 2016</td>
<td>China in the World</td>
<td>ANU College of Arts and Social Sciences</td>
<td><strong>Public lecture - The battle for Mosul by Professor Clive Williams.</strong> Attended by 207 people</td>
</tr>
<tr>
<td>15 November 2016</td>
<td>Coombs Theatre</td>
<td>Research School of Astronomy and Astrophysics</td>
<td><strong>Public lecture - Revealing Saturn: Cassini Science Highlights and the Grand Finale.</strong> Attended by 200 people</td>
</tr>
<tr>
<td>15 November 2016</td>
<td>China in the World</td>
<td>ANU College of Asia and the Pacific</td>
<td><strong>Public lecture - Has America ever been this polarised? The meaning of the 2016 presidential election by William Chafe.</strong> Attended by 204 people</td>
</tr>
<tr>
<td>17 November 2016</td>
<td>Vice-Chancellor's Boardroom</td>
<td>Office of the Vice Chancellor</td>
<td><strong>Meeting with Singaporean High Commissioner and Chancellor</strong></td>
</tr>
<tr>
<td>17 November 2016</td>
<td>Hedley Bull</td>
<td>Coral Bell School</td>
<td><strong>Anthony Low Commonwealth Lecture Commonwealth diplomacy and the end of apartheid</strong>&lt;br&gt;The Chancellor delivered the address Commonwealth diplomacy and the end of apartheid. It was attending by:&lt;br&gt;- His Excellency Mr Nasser Al-Khalifa Al-Khalifa, Ambassador Embassy of State of Qatar&lt;br&gt;- His Excellency Mr Tirfu Kidanemariam Gebrehiwet, Ambassador Embassy of Ethiopia&lt;br&gt;- His Excellency Mr Enoch Nkururo and Mrs Nkururo, High Commissioner for Uganda High Commission&lt;br&gt;- His Excellency Mr Kazi Imtiaz Hossain, High Commissioner, Bangladesh High Commission&lt;br&gt;- His Excellency M r Jean-Luc Bodson, Ambassador Royal Belgian Embassy&lt;br&gt;- His Excellency Mr Isaiya Kabira, High Commissioner Kenya&lt;br&gt;- Mr Tamer Canikoglu, First Secretary Embassy of the Republic of Turkey&lt;br&gt;- Mr Jemal Beker Abdula, Minister Counsellor, Ethiopia Embassy&lt;br&gt;- Mr Ahmed Ait Aissa, Charge d'Affaires a.i., Embassy of Morocco, accompanied by two counsellors&lt;br&gt;- Mr Dean Channells, Office of the Ambassador, Royal Norwegian Embassy&lt;br&gt;- Ms Jacqueline Zwambila, Regional Representative, Movement for Democratic Change Zimbabwe (former Ambassador)</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Location</td>
<td>Details</td>
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<td>-----------------</td>
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</tr>
<tr>
<td>21 November 2016</td>
<td>China in the World</td>
<td>Office of the Vice-Chancellor</td>
<td>OAA-ANU Lecture with The Hon Susan Ryan AO. The Vice-Chancellor opened the lecture and a reception followed the event. Attended by 142 people</td>
</tr>
<tr>
<td>21 November 2016</td>
<td>Wild Duck restaurant</td>
<td>Chancellor and Vice-Chancellor</td>
<td>Executive dinner with Shadow Minister for Education the Hon Tanya Pilbersek MP</td>
</tr>
<tr>
<td>22 November 2016</td>
<td>Llewellyn Hall Tree Planting Memorial</td>
<td>Office of the Vice-Chancellor</td>
<td>Des Ball memorial</td>
</tr>
<tr>
<td>22 November 2016</td>
<td>Manning Clark 2</td>
<td>ANU Climate Change Institute</td>
<td>Climate Change lecture</td>
</tr>
<tr>
<td>22 November 2016</td>
<td>Parliament House</td>
<td>China in the World</td>
<td>China Story Yearbook 2016: Pollution launched by Dr Andrew Leigh MP and hosted by Professor Hugh White AO</td>
</tr>
<tr>
<td>22 November 2016</td>
<td>Llewellyn Hall</td>
<td>Meet the author event with Stan Grant on his Quarterly Essay on the Australian Dream. Deputy Vice-Chancellor delivered vote of thanks. Attended by 649 people</td>
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<tr>
<td>Date</td>
<td>Location</td>
<td>Department/Office</td>
<td>Description</td>
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</tr>
<tr>
<td>23 November 2016</td>
<td>University House</td>
<td>Human Resources</td>
<td>ANU Staff Excellence awards</td>
</tr>
<tr>
<td>24 November 2016</td>
<td>Boffins University House</td>
<td>Office of the Vice-Chancellor</td>
<td>Vice-Chancellor hosted lunch for His Excellency the Former of Timor-Leste President Dr Jose Ramos-Horta</td>
</tr>
<tr>
<td>24 November 2016</td>
<td>China in the World</td>
<td>Research School of Astronomy and Astrophysics</td>
<td>Public lecture - David Soderblom on James Webb Space Telescope in collaboration with Northrop Grumman. 161 people attended</td>
</tr>
<tr>
<td>25 November 2016</td>
<td>Canadian High Commission residence</td>
<td>Canadian High Commission</td>
<td>Canadian High Commissioner hosted a lunch for ANU Executive and academics including:</td>
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<tr>
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<td>o Professor Brian P. Schmidt AC, Vice-Chancellor;</td>
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<td></td>
<td>o Professor Margaret Harding, Deputy Vice-Chancellor (Research);</td>
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<td>o Professor Simon Foote, Director, The John Curtin School of Medical Research;</td>
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<td>o Dr Jerry Schwab, Director, Centre for Aboriginal Economic Policy Research;</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>o Professor Mick Dodson, Chair, Australian Institute of Aboriginal and Torres Strait Islander Studies;</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>o Professor Ben Authers, Vice President, Association for Canadian Studies in Australia and New Zealand.</td>
</tr>
<tr>
<td>29 November 2016</td>
<td>MCCT1</td>
<td>ANU Climate Change Institute</td>
<td>2016 Energy Update Pro Vice-Chancellor (Innovation) Professor Michael Cardew-Hall welcomed the Minister for Environment and Energy, The Hon Josh Frydenberg to open the Update.</td>
</tr>
<tr>
<td>29 November 2016</td>
<td>Chifley Library</td>
<td>University Scholarly Services</td>
<td>Peruvian Ambassador presentation The Ambassador presented three volumes written by Inca Garcilaso de la Vega to the library</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>o Volume 1 Translation Italian to Spanish of the Three Dialogues of Love by Leon Hebreo (1590)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>The Florida of the Inca, which narrates the history of Hernando de Soto, Governor and Capitan of the kingdom of Florida, current United States (1605)</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>o Volume 2 Books 1-9 Royal commentaries of the Incas, kings of Peru: (1609)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>o Volume 3 Books 1-8 General history of Peru, discovery and conquest by Spanish forces (1616).</td>
</tr>
<tr>
<td>Date</td>
<td>Location</td>
<td>Event</td>
<td>Details</td>
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</tr>
<tr>
<td>29 November 2016</td>
<td>MCCT1</td>
<td>Australian Centre for Advanced Photovoltaics</td>
<td><strong>2016 Solar Oration</strong> – delivered by former ACT Legislative Minister Simon Corbell</td>
</tr>
<tr>
<td>30 November 2016</td>
<td>MCCT1</td>
<td>Centre for Sustainable Energy Systems</td>
<td><strong>2016 Asia Pacific Solar Research Conference</strong> The Vice-Chancellor delivered a talk on climate change and mitigation.</td>
</tr>
<tr>
<td>December</td>
<td></td>
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</tr>
<tr>
<td>1 December 2016</td>
<td>School of Music Athenaem</td>
<td>NECTAR</td>
<td><strong>NECTAR End of Year event</strong> – the Vice Chancellor spoke at the event</td>
</tr>
<tr>
<td>2 December 2016</td>
<td>Old Canberra House</td>
<td>Office of the Vice-Chancellor</td>
<td><strong>MOU between ANU and Department of Immigration and Border Protection.</strong> The Vice-Chancellor signed and MOU with the Department of Immigration and Border Protection.</td>
</tr>
<tr>
<td>4 December 2016</td>
<td>Bruce Hall</td>
<td>Alumni</td>
<td><strong>Alumni Lunch</strong> - the Deputy Vice-Chancellor (Academic) hosted a Bruce hall alumni lunch</td>
</tr>
<tr>
<td>5 December 2016</td>
<td>Manning Clarke Centre Theatre 1</td>
<td>Mathematical Institute</td>
<td><strong>Australian Mathematical Society annual conference</strong>- The Deputy Vice-Chancellor (Academic) welcomed delegates to this event</td>
</tr>
<tr>
<td>5 December 2016</td>
<td>Coombs Forecourt</td>
<td>ANU College of Asia and the Pacific</td>
<td><strong>Repatriation ceremony</strong>. The Vice-Chancellor participated in this repatriation ceremony to return the remains of Indigenous peoples to Tasmania. He delivered an apology to the Traditional Owners on behalf ANU.</td>
</tr>
<tr>
<td>5 December 2016</td>
<td>MCCT2</td>
<td></td>
<td><strong>Meet the Author event with Paul Livingston discussing his book about The Doug Anthony All Stars.</strong> 195 people attended.</td>
</tr>
<tr>
<td>6 December 2016</td>
<td>China in the World</td>
<td>Research School of Biology</td>
<td><strong>Screening of Macaw Documentary</strong> hosted by Peruvian Embassy and researchers from Fenner School. Reception followed screening. 197 people attended.</td>
</tr>
<tr>
<td>7 December 2016</td>
<td>Llewellyn Hall</td>
<td>Defence College</td>
<td><strong>ANU and Department of Defence graduate graduation program. Governor-General, Pro Chancellor, Deputy Vice-Chancellor (Academic) and senior Defence personnel were in attendance.</strong></td>
</tr>
<tr>
<td>7 December 2016</td>
<td>Theatre 1, Hedley Bull Centre</td>
<td>Office of the Vice-Chancellor</td>
<td><strong>Union Court Revitalisation.</strong> This update forum was presented by Chris Grange and presented the latest news on the Union Court redevelopment project</td>
</tr>
<tr>
<td>7 December 2016</td>
<td>Drawing Room, University House</td>
<td>Office of the Vice-Chancellor</td>
<td><strong>ANU Media and Outreach Awards.</strong> 100 academic and professional staff attended this award ceremony to acknowledge staff who had participated in media and outreach activities throughout the year. The Deputy Vice-Chancellor (academic) hosted the event.</td>
</tr>
<tr>
<td>8 December 2016</td>
<td>Crawford Building</td>
<td>National Security College</td>
<td><strong>Cyber Security Scenario</strong> The Hon Mr Dan Tehan MP, Minister for Advising the Prime Minister on Cyber Security and Ms Gai Brodtmann MP, Shadow Assistant Minister for Cyber Security and Defence Personnel participated in this event</td>
</tr>
</tbody>
</table>

SIGNIFICANT VISITS & EVENTS, GRANTS & CONSULTANCIES
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 December 2016</td>
<td>MCCT1</td>
<td>Office of the Vice-Chancellor Meet the author event with Troy Bramston and Paul Kelly on the biography of Paul Keating. 571 people attended this event</td>
</tr>
<tr>
<td>9 December 2016</td>
<td>Coombs Lecture Theatre and Coombs Extension Seminar Room and foyer</td>
<td>ANU Film Group Screening of <em>Sonita a Human Rights Story</em> hosted by the Norwegian Embassy. The filming was proceeded by a reception</td>
</tr>
<tr>
<td>11, 12, 13 December 2016</td>
<td>JCSMR</td>
<td>Embassy of Netherlands &amp; JCSMR Canadian Australian roundtable on Indigenous Health – Co-hosts: Canadian High Commission CAEPR and JCSMR. Assistant Minister of Health Hon Ken Wyatt officially opened the roundtable</td>
</tr>
<tr>
<td>12 December 2016</td>
<td>Uni House</td>
<td>Centre for Arab and Islamic Studies Professor Amin Saikal AM Book launch The Vice-Chancellor and Chancellor hosted the Minister for Foreign Affairs who launched Professor Saikal’s new book</td>
</tr>
<tr>
<td>13 December 2016</td>
<td>Chancellor's Office</td>
<td>Office of the Chancellor Chancellor met with the Russian Ambassador</td>
</tr>
<tr>
<td>13 December 2016</td>
<td>Hedley Bull</td>
<td>Coral Bell UNAA Academic network workshop – Her Excellency Ms Gillian Bird, Ambassador and Permanent Representative to the United Nations Her Excellency participated in the workshop</td>
</tr>
<tr>
<td>14 December 2016</td>
<td>Mount Stromlo</td>
<td>ANU College of Medicine, Biology &amp; Environment ANU College of Physical &amp; Mathematical Sciences National Science and Engineering Summer School for Indigenous Students Vice-Chancellor spoke to the Indigenous students talking about his academic journey.</td>
</tr>
<tr>
<td>15-16 December 2016</td>
<td>Llewellyn Hall</td>
<td>Graduations Office Honorary Doctorate graduation ceremonies for recipients: Dr Marty Natalegawa Sir Angus Houston Ms Therese Rein The Hon Mr Kevin Rudd The Chancellor also hosted a dinner in honour the recipients and the guest speakers of graduation ceremonies</td>
</tr>
<tr>
<td>19 December 2016</td>
<td>University House</td>
<td>Office of the Vice-Chancellor VC Garden Party – more than 600 staff attended this all staff thank you event hosted by the Vice-Chancellor</td>
</tr>
<tr>
<td><strong>January</strong></td>
<td></td>
<td><strong>Meeting with Danish Ambassador</strong> The Vice-Chancellor and Pro Vice-Chancellor (Education and Global Engagement) met with the Ambassador for Denmark His Excellency Mr Tom Norring.</td>
</tr>
<tr>
<td>10 January 2017</td>
<td>VC Boardroom</td>
<td>Office of the Vice-Chancellor National Youth Science Forum Vice-Chancellor delivered speech to participating students</td>
</tr>
<tr>
<td>12 January 2017</td>
<td>Manning Clark Theatre 3</td>
<td>National Youth Science Forum <strong>Meeting with Danish Ambassador</strong> The Vice-Chancellor and Pro Vice-Chancellor (Education and Global Engagement) met with the Ambassador for Denmark His Excellency Mr Tom Norring.</td>
</tr>
<tr>
<td>Date</td>
<td>Location</td>
<td>Office of the Vice-chancellor</td>
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</tr>
</tbody>
</table>
| 16-21 January 2017 | Davos, Switzerland | Office of the Vice-chancellor | **World Economic Forum, Davos Switzerland**  
The Vice-Chancellor was joined by academics Professor Emily Banks, Professor Carola Vinuesa and Dr Kamalini Lokuge who attended and presented at sessions during the forum.  
The Vice-Chancellor co-hosted *Australia in Davos* reception with Senator The Hon Mathias Cormann, Minister for Finance on Wednesday 18 January. |
Australian National University - Research Services Division

Grants and Consultancies
Awarded between 10 November 2016 and 24 January 2017

College of Arts and Social Science ................................................................................................................................. 2
College of Asia and the Pacific ........................................................................................................................................... 3
College of Business and Economics ................................................................................................................................. 4
College of Engineering and Computer Science ............................................................................................................... 4
College of Law .................................................................................................................................................................. 4
College of Medicine, Biology and Environment .............................................................................................................. 5
College of Physical and Mathematical Sciences ............................................................................................................. 8
Administrative Division .................................................................................................................................................... 9

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>Universities Australia</td>
<td>Dr Robert Ackland</td>
<td>Socialbots as political actors? Autonomous communication technologies as tools and objects for digital sociology.</td>
<td>$16,250</td>
</tr>
<tr>
<td>Monash University</td>
<td>Dr Steven McEachern</td>
<td>Australian National Data Service Trusted Digital Repository project</td>
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### Significant Visits & Events, Grants & Consultancies

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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<tbody>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>A/Prof Gregory Fealy</td>
<td>Partnerships in Islamic Education Scholarships - Phase IV (PIES)</td>
<td>$1,789,269</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr Peter Dean</td>
<td>Australian Member Committee of the Council for Security Cooperation in the Asia-Pacific (AusCSCAP)</td>
<td>$74,090</td>
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<tr>
<td>Commonwealth Department of Defence</td>
<td>Mr George Brenan</td>
<td>Indonesian National Security Visiting Fellow 2016</td>
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<tr>
<td>Cardno Emerging Markets (Australia) Pty Ltd</td>
<td>Dr Nicole Haley</td>
<td>PNG Women in Leadership Support Program</td>
<td>$1,500,409</td>
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<tr>
<td>Commonwealth Department of Social Services</td>
<td>Prof Peter Whiteford</td>
<td>Systematic Review of &quot;what works&quot; in increasing transition to work outcomes</td>
<td>$53,520</td>
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<tr>
<td>Commonwealth Department of Defence</td>
<td>Dr Peter Dean</td>
<td>AusCSCAP Defence 2016-17</td>
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<tr>
<td>One Asia Foundation</td>
<td>Prof Li Narangoa</td>
<td>Asian Community: Reconciliation and the Memory of Conflict in East Asia</td>
<td>$53,367</td>
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<tr>
<td>Chiang Ching-Kuo Foundation for International Scholarly Exchange</td>
<td>Dr Shuge Wei</td>
<td>Chiang Ching-kuo Foundation Publication Grant</td>
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### College of Business and Economics

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<tr>
<td>SAP Institute for Digital Government</td>
<td>Prof Shirley Gregor</td>
<td>Master Services Agreement - Digital Government SAP</td>
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### College of Engineering and Computer Science

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<tbody>
<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr David Nisbet</td>
<td>Using stem cells and bioengineered scaffolds to promote regeneration following necrotic brain injury</td>
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<tr>
<td>Australian Academy of Technological Sciences and Engineering</td>
<td>Dr Changbin (Brad) Yu</td>
<td>Development of Swarm UAS for Mines Exploration</td>
<td>$50,000</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Saman Halgamuge</td>
<td>ARC College of Experts - Saman Halgamuge</td>
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### ANU College of Law

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<td>Royal Commission into Institutional Responses to Child Sexual Abuse</td>
<td>Dr Mark Nolan</td>
<td>Memory and the Law: Australian Guidelines on the Memory of Complainants of Child Sexual Abuse</td>
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<td>Primary Funds Provider</td>
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<tr>
<td>Higher Education Commission of Pakistan</td>
<td>A/Prof Richard Callaghan</td>
<td>Tumour hypoxia and nanoparticles</td>
<td>$4,100</td>
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<tr>
<td>National Institutes of Health (NIH)</td>
<td>Prof Ian Cockburn</td>
<td>Mathematical modelling of immune response to malaria</td>
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<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Daniel Ryan</td>
<td>Structure and function if a cancer-linked co-regulator complex</td>
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<tr>
<td>ACT Cancer Council</td>
<td>Prof Geoffrey Farrell</td>
<td>How exercise prevents obesity-related hepatocellular carcinoma: insights for chemoprevention of liver cancer</td>
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<td>Heart Foundation</td>
<td>Dr Bianca Calabria</td>
<td>Indigenous absolute cardiovascular disease risk</td>
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<td>Multiple Sclerosis Research Australia</td>
<td>Dr Anne Bruestle</td>
<td>Neutrophil extracellular traps as a therapeutic target in Multiple Sclerosis</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Elizabeth Gardiner</td>
<td>Regulation of receptors that control platelet function under shear stress</td>
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<tr>
<td>Australian Rotary Health</td>
<td>Ms Alison Callear (previously Neil)</td>
<td>Silence is Deadly: a cluster-randomised controlled trial of a mental health help-seeking intervention for young men</td>
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<tr>
<td>Alzheimers Australia Dementia Research Foundation</td>
<td>Dr Sarang Kim</td>
<td>Dementia Stigma Reduction (DESerV)E): A randomised controlled trial to reduce dementia related stigma in general public</td>
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<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
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<tr>
<td>National Research Foundation Singapore</td>
<td>Dr Steven Eichten</td>
<td>2017 Global Young Scientists Summit - Steven Eichten</td>
<td>$500</td>
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<tr>
<td>Society for Mental Health Research</td>
<td>Dr Liana Leach</td>
<td>Identifying the psychosocial conditions of 'work at home' caring for an infant - what are the potential links with postnatal depression and anxiety?</td>
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<tr>
<td>Society for Mental Health Research</td>
<td>Ms Louise Farrer</td>
<td>Keep it clever? Keep it healthy! Piloting a new method to treat mental health problems in young people at university</td>
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<tr>
<td>Grains Research and Development Corporation (GRDC)</td>
<td>Prof Michael Djordjevic</td>
<td>Investigating how legumes establish a nutrient exchange with rhizobia during nodule formation</td>
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<td>Bushfire and Natural Hazards CRC Ltd</td>
<td>Dr Marta Yebra</td>
<td>Mapping Bushfire Hazards and Impact</td>
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<td>NSW Office of Environment and Heritage</td>
<td>Dr Philip Gibbons</td>
<td>Sensitivity analysis of the vegetation integrity assessment, gain and credit metrics within the Biodiversity Assessment Method (BAM)</td>
<td>$15,000</td>
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<td>Bayer CropScience GmbH</td>
<td>Dr Anthony Millar</td>
<td>Using mRNA-interactome capture to identify key abiotic response genes in plants</td>
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<td>Primary Funds Provider</td>
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<tr>
<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO)</td>
<td>Prof Albert Van Dijk</td>
<td>TERN V AusCover</td>
<td>$110,000</td>
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<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Robyn Lucas</td>
<td>What predicts the progressive phase of multiple sclerosis</td>
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<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Robyn Lucas</td>
<td>Young Adult Myopia Study (YAMS): genetic and environmental associations</td>
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<tr>
<td>ACT Cancer Council</td>
<td>Prof Thomas Preiss</td>
<td>Mechanisms and targets of protein synthesis dysregulation in cancer</td>
<td>$600,000</td>
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<tr>
<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO)</td>
<td>Tingbao Xu</td>
<td>Sustainable Development Investment Portfolio Phase 2 (SDIP2)</td>
<td>$20,000</td>
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<tr>
<td>Ian Potter Foundation</td>
<td>Prof David Lindenmayer</td>
<td>Transforming farming landscapes to be environmentally sound, economically productive and enhance farmer health and well-being.</td>
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<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
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<td>Total Amount Awarded</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Thomas Huber</td>
<td>Inhibition of an essential bacterial transcription factor for development of novel antibiotics</td>
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<tr>
<td>World Anti-Doping Authority (WADA)</td>
<td>A/Prof Malcolm McLeod</td>
<td>Creating a universal and selective arylsulfatase: new engineered enzymes for sulfate ester hydrolysis to improve doping control</td>
<td>$168,674</td>
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<tr>
<td>Universities Australia</td>
<td>Prof David Hinde</td>
<td>Optimizing the creation of new superheavy elements</td>
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<tr>
<td>Universities Australia</td>
<td>Prof Dragomir Neshev</td>
<td>Nonlinear and tunable dielectric metasurfaces</td>
<td>$19,600</td>
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<tr>
<td>Universities Australia</td>
<td>Dr Andrey Miroshnichenko</td>
<td>Enhanced Non-linear Response of Hybrid Nanostructures</td>
<td>$23,330</td>
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<tr>
<td>Universities Australia</td>
<td>Dr Gregory Lane</td>
<td>Discovery and characterisation of longlived states in exotic, short-lived nuclei</td>
<td>$24,072</td>
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<tr>
<td>Australian Astronomical Observatory</td>
<td>Dr James Gilbert</td>
<td>Research Consulting Service to AAO (AAO Echidna Consultancy)</td>
<td>$26,992</td>
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<tr>
<td>Australian Synchrotron</td>
<td>Dr Patrick Kluth</td>
<td>Morphology and etching kinetics of track-etched nanopores</td>
<td>$1,720</td>
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</table>
### College of Physical and Mathematical Sciences

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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</thead>
<tbody>
<tr>
<td>ANU Connect Ventures Pty Ltd</td>
<td>Dr John Mackey</td>
<td>Commercial Development of ErgoCrane</td>
<td></td>
</tr>
<tr>
<td>Commonwealth Department of Defence, Defence Science and Technology Organisation (DSTO)</td>
<td>Prof John Close</td>
<td>Novel approaches to atom interferometer inertial measurements</td>
<td>$194,733</td>
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<tr>
<td>Australian Synchrotron</td>
<td>Dr Antony Burnham</td>
<td>The effect of Fe oxidation state on the solubility of Zr in silicate melts</td>
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### Administrative Division

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<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
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<tbody>
<tr>
<td>Australian Grape and Wine Authority (Wine Australia)</td>
<td>Dr Vinh Lu</td>
<td>PhD Scholarship - Guy Leedon - Locating terroir: understanding businesses' identification with their local environment, place and community, and how this influences wine purchasing decisions and corporate sustainability</td>
<td>$54,914</td>
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</table>
THE AUSTRALIAN NATIONAL UNIVERSITY

Assessment Rule 2016

I, Professor Brian P. Schmidt, Vice-Chancellor, make the following rule.

Dated 14 December 2016

[Signature]

Professor Brian P. Schmidt AC FAA FRS
Vice-Chancellor
## Contents

### Part 1— Preliminary

1. Name
2. Commencement
3. Authority
4. Definitions
5. Application of instrument

### Part 2— Assessments

6. Eligibility to be assessed
7. Final assessment requirements
8. Notice of final assessments
9. Special assessment arrangements: approval by Registrar
10. Special assessment arrangements: approval by Delegated Authority
11. Examiners etc.
12. Review of decisions
13. Deferred examinations
14. Special consideration etc.
15. Eligibility for supplementary assessments
16. Offers of supplementary assessments
17. Supplementary assessments
18. Prerequisite coursework
19. Assessment of clinical or professional practice

### Part 3— Miscellaneous

20. Approved forms
21. Service of notices etc.
22. Delegation by Registrar
23. Repeal etc.
Part 1—Preliminary

1 Name

This is the Assessment Rule 2016.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

**assessment**, for coursework, includes any task required to be performed by a student for a judgement to be made of the student’s level of performance in the coursework.

**Associate Dean**, for an ANU College, means an Associate Dean appointed under the ANU College Governance Rules by the College Dean for the college.

**course** means a subject of scholarly study, whether it is taught:

(a) in a connected series of classes or demonstrations; or

(b) by means of practical work, including, for example, the production by students of essays, theses or case studies or the attendance and participation by students in seminars or workshops; or

(c) by clinical or professional practice; or

(d) in another way or in a combination of ways.

**coursework** means:

(a) for a program for a coursework award—the courses, and other written or oral work (if any), undertaken by a student for the program, but does not include any thesis component of the program of at least 24 units duration; and

(b) for a program for a research award—the courses, and other written or oral work (if any), undertaken by a student for the coursework component (if any) of the program.

**coursework award**: see the Coursework Awards Rule 2016 (No. 2), section 7 (Coursework awards).

**Delegated Authority** means:

(a) for a program for a coursework award—the Delegated Authority for the program under the Coursework Awards Rule 2016 (No. 2); and

(b) for a program for a research award—the Delegated Authority for the program under the Research Awards Rule 2016.
examination, for coursework, includes any task required to be performed by a student for the assessment of the student’s performance in the coursework.

exercise a function includes perform the function.

final assessment, for coursework, means the final task required to be performed by a student for the satisfactory completion of the coursework.

function includes duty and power.

hurdle assessment, for coursework, means an assessment that tests competency, skills or knowledge considered to be fundamental to passing the coursework or is required by a discipline-specific or other accreditation authority.

research award: see the Research Awards Rule 2016, section 6 (Research awards).

semester includes session.

special assessment arrangements, for a student for an assessment, include, for example, additional reading or writing time, the provision of special equipment, separate accommodation or the services of an amanuensis.

student means a person who is enrolled in a program for a coursework award or research award.

supplementary assessment, for coursework, includes, for example, assessment by a formal assessment, a practical assessment, a take-home assessment and an essay.

working day means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.

[Note: The Interpretation Statute defines the following terms that are relevant to this instrument:

- ANU College
- College Dean.]

5 Application of instrument

This instrument applies to the assessment of coursework undertaken by a student during a program for a coursework award or research award if the coursework is required to be assessed under this instrument.

[Note: For the coursework required to be assessed under this instrument, see the Coursework Awards Rule 2016 (No. 2), section 41 (Application of Assessment Rule) and the Research Awards Rule 2016, section 64 (Application of Assessment Rule).]
Part 2—Assessments

6 Eligibility to be assessed

A student is eligible to be assessed for coursework undertaken during a program for a coursework award or research award if the student complies with the requirements of the rules and orders applicable to undertaking the coursework.

7 Final assessment requirements

The final assessment for coursework must be in the form of a compulsory examination where a student is required to sit the whole of the examination on a particular day starting at a particular time, or another form of assessment (including, but not limited to a practical examination, take-home examination, or essay).

8 Notice of final assessments

(1) This section applies to a final assessment to be conducted, during a University assessment session at the end of a semester or trimester, for coursework undertaken during a program for a coursework award or research award.

(2) If the assessment is to be administered by the Registrar, the Registrar must publish notice of the manner, time and place of the assessment on the University’s timetable website at least 15 working days before the commencement of the assessment session.

(3) If the assessment is to be administered by the ANU College offering the program, the Delegated Authority must ensure that notice of the manner, time and place of the assessment is given in accordance with subsections (4) and (5) at least 15 working days before the commencement of the assessment session.

(4) Notice under subsection (3) must be given in at least 1 of the following ways:
   (a) display on a notice board used for the purpose by the ANU College;
   (b) being given in class;
   (c) email;
   (d) publication on the website for the program.

(5) However, notice under subsection (3) must, if possible, be published on the website for the program, even if it is also given in another way (or other ways).

(6) Failure to comply with this section in relation to a final assessment does not affect the validity of the assessment or anything done in relation to the assessment.

(7) In this section:

   notice board means a notice board commonly used for displaying notices to students, including an electronic notice board or an appropriate part of the University’s website.

9 Special assessment arrangements: approval by Registrar

(1) This section applies to a student with a temporary or chronic disability if the student has dealt with the University’s Disability Services Centre in relation to the disability.
(2) The student may ask the Centre to determine special assessment arrangements for the student for an assessment.

(3) Special assessment arrangements determined for the student under subsection (2) must be approved, in writing, by the Registrar.

(4) If the Registrar approves the special assessment arrangements, the Registrar must tell the Delegated Authority about the special assessment arrangements approved for the student.

(5) The Delegated Authority may ask the Registrar to make changes to the approved special assessment arrangements.

(6) The Registrar must tell the relevant Chair of Examiners about the special assessment arrangements approved for the student.

(7) The assessment must be conducted in accordance with the special assessment arrangements approved for the student (including any changes made to them by the Registrar).

10 Special assessment arrangements: approval by Delegated Authority

(1) This section applies to a student with a temporary or chronic disability or other condition if section 9 (Special assessment arrangements: approval by Registrar) does not apply to the student.

(2) The student may ask the Delegated Authority to approve special assessment arrangements for the student for an assessment.

(3) The Delegated Authority may, in writing, approve the special assessment arrangements.

(4) If the Delegated Authority approves the special assessment arrangements, the Delegated Authority must tell the relevant Chair of Examiners about the special assessment arrangements approved for the student.

(5) The assessment must be conducted in accordance with the special assessment arrangements approved for the student.

11 Examiners etc.

(1) The Delegated Authority must, at the commencement of the semester or trimester in which coursework is offered and in writing, appoint a Chair of Examiners and at least 1 other examiner, for the coursework.

(2) The Delegated Authority may, in writing, at any time appoint an additional examiner or additional examiners of the coursework.

(3) The Chair of Examiners for coursework must:
   (a) ensure that the academic performance of each student attempting the coursework is adequately and fairly assessed; and
   (b) ensure that no student is failed in the coursework unless the student’s performance in assessments in the coursework has been reviewed by at least 2 of the examiners appointed for the coursework; and
   (c) submit to the examiners’ meeting for the coursework a written report setting out, for each student examined, the marks and the grade of result that the Chair recommends be awarded to that student.
(4) Before submitting recommendations under subsection (3)(c), the Chair of Examiners may require a student to take a further assessment to ensure that the academic performance of the student in the coursework is adequately and fairly assessed. The further assessment may be oral, written or practical.

(5) The Delegated Authority must ensure an examiners’ meeting is held to consider reports on marks, grades of results and further assessments required by the Chair of Examiners, and to moderate results.

(6) Before submitting recommendations to the examiners’ meeting for coursework, the Chair of Examiners must:
   (a) permit full-time members of the staff who participated in the teaching of the coursework to examine and comment on the recommendations; and
   (b) take into account any matters that they put to the Chair.

(7) The Chair of Examiners must make final marks and a grade of result recommended for award to each student for the coursework available to the Delegated Authority for the Delegated Authority’s approval.

(8) The Delegated Authority may approve, for a student for the coursework:
   (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.

(9) After the Delegated Authority has approved the results for the coursework for release, the Delegated Authority must send the results to the Registrar.

(10) The Registrar must publish the results in the coursework.

(11) In this section:

   publish: to remove any doubt, publish includes publish electronically in an appropriate part of the University’s website, including a part of the website accessible only to a student whose results are published.

12 Review of decisions

(1) If, after the final result of a student for coursework has been published, the student considers that the result is inappropriate or incorrect because the established criteria of assessment or some aspect of this instrument or relevant policy or procedure has not been followed, the student may, within 20 working days after the day the result is published (or any further time that the Associate Dean may allow), discuss the result with the Course Convenor for the coursework.

(2) If the student discusses the result with the Course Convenor, the Course Convenor must, taking the discussion with the student into account, review the result and decide whether or not to amend the result.

(3) The Course Convenor must tell the student the decision made on the review.

(4) If, after discussing the final result with the Course Convenor and being told the Course Convenor’s decision on the review, the student considers that the result (as amended, if at all, by the Course Convenor) is inappropriate or incorrect because the established
criteria of assessment or some aspect of this instrument or relevant policy or procedure has not been followed, the student may appeal to the Associate Dean against that result.

(5) The appeal must:
(a) be in writing; and
(b) be given to the College Student Office within 20 working days after the day the student is told the Course Convenor's decision (or any further time that the Associate Dean may, in writing, allow); and
(c) state clearly the reason why the student considers that the result is inappropriate or incorrect; and
(d) include any relevant supporting evidence available to the student.

(6) The Associate Dean must consider the appeal, and may conduct the inquiries, and have regard to anything, that the Associate Dean considers appropriate on any matter relating to the appeal, including, for example, recommended outcomes sought from other parties.

(7) The Associate Dean may:
(a) confirm the result appealed against; or
(b) approve marks and the grade of a final result for the student (which may be different from the marks and the grade of result recommended by the Chair of Examiners).

(8) The Associate Dean must send the student written notice of the decision on the appeal, and a statement of reasons for the decision, within 20 working days after the day the appeal is given to the College Student Office.

(9) The Associate Dean must also send the results to the Registrar.

(10) Subject to subsection (11), the Associate Dean’s decision is final.

(11) The student may appeal to the College Dean against the Associate Dean’s decision:
(a) within 20 working days after the day the student is given written notice of the Associate Dean’s decision and a statement of reasons for the decision; and
(b) on procedural grounds only.

(12) The College Dean’s decision on the appeal is final and must be given in writing to the applicant and the Registrar within 20 working days after the day the appeal is made to the College Dean.

(13) Except with the Delegated Authority’s approval, if a student is waiting for the outcome of a review of, or an appeal against a decision relating to, marks and grade of result in coursework (the assessed coursework), the student may not enrol in other coursework for which the assessed coursework is a prerequisite until the student is awarded a passing result in the assessed coursework.

(14) However, if the student is already enrolled, the student is entitled to remain enrolled pending the outcome of any review or appeal under this section.

(15) An Associate Dean may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the Associate Dean’s functions under this section.

(16) A function exercised by the nominee under the appointment is taken to have been exercised by the Associate Dean.
(17) Subsections (15) and (16) do not prevent the Associate Dean from exercising a function in relation which the nominee has been appointed.

13 Deferred examinations

(1) This section applies if a student was eligible to take an examination for coursework but was unable to attend the examination.

(2) The student may apply to take a deferred examination.

(3) The application must be:
   (a) in writing; and
   (b) given to the Registrar within 3 working days after the student failed to attend the examination (or any further time that the Delegated Authority or Registrar may, in writing, allow); and
   (c) accompanied by a written statement setting out the circumstances that prevented the student from attending the examination and by any relevant supporting evidence available to the student.

(4) The Delegated Authority or Registrar may permit the student to take the deferred examination that the Delegated Authority or Registrar decides.

14 Special consideration etc.

Statement by student

(1) If a student considers that the student’s academic performance in relation to coursework has been adversely affected by illness or other cause during the period of studies to which an assessment relates, the student may, before the assessment is held, give the Delegated Authority a written statement of the circumstances, together with any medical or other evidence.

Invigilated examinations

(2) This subsection applies if an examination is conducted under the supervision of invigilators and, during the examination:
   (a) a student tells an invigilator that the student considers that the student’s performance in the examination has been adversely affected by illness or other cause during the examination; or
   (b) someone else at the examination tells an invigilator that it appears that a student’s performance in the examination has been adversely affected by illness or other cause during the examination; or
   (c) it otherwise appears to an invigilator that a student’s performance in the examination has been adversely affected by illness or other cause during the examination.

(3) As soon as possible after completion of the examination, the invigilator must tell the Delegated Authority in writing.

Other assessments

(4) If a student considers that the student’s performance in an assessment (other than an examination conducted under the supervision of invigilators) has been adversely affected...
by illness or other cause during the assessment, the student may, before the conclusion of
the assessment, tell the Delegated Authority.

Notification of examiners etc.

(5) If the Delegated Authority is told about a matter under subsection (1), (3) or (4), the
Delegated Authority must report to the examiners about the matter.

(6) The examiners must take the report into account in making their assessment of the
student’s performance in the relevant coursework.

Permission to undertake further assessment

(7) The Delegated Authority may permit the student to undertake further assessment for the
coursework.

15 Eligibility for supplementary assessments

(1) A student must be offered supplementary assessment for coursework if the student
achieves a final result for the coursework of N45%—N49%.

[Note 1: This includes ungraded (CRS) coursework.]

[Note 2: For subsection (1), the student must have achieved a result of N45%N49%, not NCN.]

(2) A student must be offered a supplementary assessment for coursework if the student fails the
coursework because of a requirement that a pass in a hurdle assessment is necessary
to achieve a pass in the coursework and the student achieves a final result for the
coursework of not less than N45%.

[Note: For subsection (2), the student must have achieved a result of N45% or above, not NCN.]

16 Offers of supplementary assessments

(1) If a student is eligible for a supplementary assessment for coursework, the student’s
Notification of Results must show an interim result of PX for the coursework.

(2) If a student is notified of an interim result of PX for coursework, the notification
constitutes an offer by the Delegated Authority of a supplementary assessment for the
coursework.

(3) However, subsection (2) does not prevent the Delegated Authority from offering a
supplementary assessment in writing or in any other way.

(4) To remove any doubt, if a student is offered a supplementary assessment for coursework,
it is not necessary for the student to formally accept or reject the offer.

(5) If a student fails coursework following supplementary assessment, the student may be
eligible to be offered supplementary assessment in another attempt at the same
coursework.

17 Supplementary assessments

(1) The Delegated Authority must, in writing, determine the form a supplementary
assessment of a student for coursework is to take.
(2) The Delegated Authority must give the student adequate notice of the form, time and place of the supplementary assessment.

(3) To remove any doubt, a supplementary assessment of a student for coursework offered by the ANU Medical School may be set for any time not earlier than 3 working days after the day the student is notified of the student’s interim result for the coursework.

(4) If a student passes a supplementary assessment for coursework, the student is regarded as having passed the coursework with a result of 50PS.

(5) Unless the Delegated Authority otherwise approves, a supplementary assessment must be held before the end of the first week of the semester or trimester after the semester or trimester to which the assessment relates.

(6) If a student fails a supplementary assessment for coursework, the student is regarded as having failed the coursework with a result of:
   (a) for a supplementary assessment offered under section 15(1) (Eligibility for supplementary assessments)—N plus the original mark; and
   (b) for a supplementary assessment offered under section 15(2)—NCN.

(7) The Registrar must publish the result of a student in coursework for which a supplementary assessment is undertaken or otherwise tell the student the result.

(8) There is no limit to the supplementary assessments that a student may be offered.

(9) In this section:
   publish: to remove any doubt, publish includes publish electronically in an appropriate part of the University’s website, including a part of the website accessible only to a student whose results are published.

18 Prerequisite coursework

Except with the Delegated Authority’s approval, if a student is waiting for the result of a supplementary assessment for coursework (the assessed coursework), the student may not enrol in other coursework for which the assessed coursework is a prerequisite until the student is awarded a result of 50PS in the assessed coursework.

19 Assessment of clinical or professional practice

(1) Clinical or professional practice undertaken by a student must be assessed in the way determined, in writing, by the Delegated Authority.

(2) Without limiting subsection (1), the Delegated Authority may determine that clinical or professional practice be assessed by:
   (a) written or oral examination after completion of the practice; or
   (b) assessment of reports by the student’s supervisors during or following internships or other forms of professional practice.
Part 3—Miscellaneous

20 Approved forms

(1) The Registrar may, in writing, approve forms for this instrument.

(2) If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3) The Registrar must ensure that approved forms are available on the University’s website or any other way that the Registrar considers appropriate.

21 Service of notices etc.

(1) This section applies to a notice or other document that is required or permitted to be served on an individual under this instrument (whether the word ‘give’, ‘notify’, ‘send’, ‘tell’ or another word is used).

(2) The document may be served on an individual:
   (a) by giving it to the individual; or
   (b) by sending it by prepaid post, addressed to the individual, to an address shown in the University’s records as the individual’s semester address, work address or permanent home address; or
   (c) by emailing it to:
      (i) if the individual has an email address provided by the University—that email address; or
      (ii) in any case—an email address otherwise recorded by the University as the individual’s email address.

(3) A document served by post on an individual under subsection (2)(b) is taken to have been served on the day it would have been delivered in the ordinary course of post.

(4) A document served by email on an individual under subsection (2)(c) is taken to have been served on the day it would been received in the ordinary course of email transmission.

22 Delegation by Registrar

The Registrar may, in writing, delegate all or any of the Registrar’s functions under this instrument to a member of the staff of the University.

23 Repeal etc.

(1) The Assessment Rule 2015 is repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Assessment Rules (whether with or without the year of its making or the year and number of the year of its making) includes a reference to this instrument.
I, Professor Brian P. Schmidt, Vice-Chancellor, make the following rule.

Dated 14 December 2016

Professor Brian P. Schmidt AC FAA FRS
Vice-Chancellor
# Contents

**Part 1 — Preliminary** ........................................................................................................... 1

**Division 1.1 — General** ....................................................................................................... 1

1. Name ................................................................................................................................. 1
2. Commencement .................................................................................................................. 1
3. Authority ........................................................................................................................... 1
4. Definitions .......................................................................................................................... 1
5. Application of instrument to programs ............................................................................. 2
6. Joint, double or dual programs with other institutions etc ........................................... 2

**Division 1.2 — Important concepts** ..................................................................................... 3

7. Coursework awards ........................................................................................................... 3
8. Programs for coursework awards generally ..................................................................... 3
9. What is credit? ...................................................................................................................... 3

**Part 2 — Program admissions, enrolments and transfers** .......................................................... 5

**Division 2.1 — Admission requirements and limitations: coursework awards** ....................... 5

10. Minimum qualification requirements for admission ....................................................... 5
11. English language requirements ...................................................................................... 5
12. Limits on places in programs .......................................................................................... 5

**Division 2.2 — Admission process: coursework awards** ....................................................... 5

13. Application for admission ................................................................................................ 5
14. Decision on application for admission ........................................................................... 5
15. Making of admission decision ....................................................................................... 6
16. False or misleading statements in applications for admission etc ..................................... 7

**Division 2.3 — Enrolment: coursework awards** ...................................................................... 7

17. Program commences on enrolment ................................................................................ 7
18. Enrolment .......................................................................................................................... 7
19. Deferral of enrolment: programs other than 1-year honours programs ........................... 8
20. Deferral of enrolment: 1-year honours programs ............................................................ 8

**Division 2.4 — Program transfers: coursework awards** ......................................................... 9

21. Transfer between programs generally ............................................................................ 9

**Division 2.5 — Non-award studies** ....................................................................................... 10

22. Non-award programs ....................................................................................................... 10

**Part 3 — Program requirements** ........................................................................................ 11

**Division 3.1 — Credit** ......................................................................................................... 11

23. Granting credit ................................................................................................................ 11
24. Limits on granting credit ................................................................................................. 11

**Division 3.2 — Program content** ......................................................................................... 12

25. Program content ............................................................................................................. 12
26. Completion of program .................................................................................................... 12

**Division 3.3 — Undertaking the program** ........................................................................... 13

27. Enrolment in courses at the University etc ..................................................................... 13
28. Program leave of absence .............................................................................................. 14
## Division 3.4—Other program requirements

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>29</td>
<td>Language of instruction</td>
</tr>
<tr>
<td>30</td>
<td>Other studies</td>
</tr>
</tbody>
</table>

## Division 3.5—Ending of program

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>31</td>
<td>Withdrawal from program</td>
</tr>
<tr>
<td>32</td>
<td>Maximum period for completion of program</td>
</tr>
<tr>
<td>33</td>
<td>Honours year: cancellation etc.</td>
</tr>
</tbody>
</table>

## Part 4—Supervision

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>34</td>
<td>Purpose of Part 4</td>
</tr>
<tr>
<td>35</td>
<td>Supervisors</td>
</tr>
<tr>
<td>36</td>
<td>Appointment of supervisors</td>
</tr>
<tr>
<td>37</td>
<td>Responsibilities of supervisors</td>
</tr>
<tr>
<td>38</td>
<td>Temporary supervisory arrangements</td>
</tr>
</tbody>
</table>

## Part 5—Assessment

### Division 5.1—Assessment methods

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>39</td>
<td>Purpose of Division 5.1</td>
</tr>
<tr>
<td>40</td>
<td>Assessment of thesis</td>
</tr>
<tr>
<td>41</td>
<td>Application of Assessment Rule</td>
</tr>
<tr>
<td>42</td>
<td>Assessments must be in English</td>
</tr>
</tbody>
</table>

### Division 5.2—Thesis

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>43</td>
<td>Purpose of Division 5.2</td>
</tr>
<tr>
<td>44</td>
<td>Requirements for examination of thesis</td>
</tr>
<tr>
<td>45</td>
<td>General thesis requirements</td>
</tr>
<tr>
<td>46</td>
<td>Submission of thesis</td>
</tr>
<tr>
<td>47</td>
<td>Appointment of thesis examiners</td>
</tr>
<tr>
<td>48</td>
<td>Re-examination by resubmission of thesis</td>
</tr>
<tr>
<td>49</td>
<td>Student must provide thesis for deposit in University Library</td>
</tr>
</tbody>
</table>

## Part 6—Grades, eligibility for awards and classifications

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>50</td>
<td>Course grades</td>
</tr>
<tr>
<td>51</td>
<td>Eligibility for awards</td>
</tr>
<tr>
<td>52</td>
<td>Classification of awards</td>
</tr>
</tbody>
</table>

## Part 7—Review of decisions

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>53</td>
<td>What decisions are reviewable decisions?</td>
</tr>
<tr>
<td>54</td>
<td>Who is a person affected by a reviewable decision?</td>
</tr>
<tr>
<td>55</td>
<td>Person affected by reviewable decision to be told about review etc.</td>
</tr>
<tr>
<td>56</td>
<td>Application for review of reviewable decision</td>
</tr>
<tr>
<td>57</td>
<td>Review by Associate Dean</td>
</tr>
<tr>
<td>58</td>
<td>Application for procedural review of review decision</td>
</tr>
<tr>
<td>59</td>
<td>Procedural review of review decision</td>
</tr>
</tbody>
</table>

## Part 8—Miscellaneous

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>60</td>
<td>Approved forms</td>
</tr>
<tr>
<td>61</td>
<td>Service of notices etc.</td>
</tr>
<tr>
<td>62</td>
<td>Appointment of Delegated Authorities</td>
</tr>
<tr>
<td>63</td>
<td>Delegated Authorities: double degree programs</td>
</tr>
<tr>
<td>64</td>
<td>College Dean exercising Associate Dean’s functions</td>
</tr>
<tr>
<td>65</td>
<td>Delegation by Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>66</td>
<td>Delegation by College Dean</td>
</tr>
<tr>
<td>Page</td>
<td>Section/Paragraph</td>
</tr>
<tr>
<td>------</td>
<td>------------------</td>
</tr>
<tr>
<td>67</td>
<td>Delegation by Associate Dean</td>
</tr>
<tr>
<td>68</td>
<td>Power to make orders</td>
</tr>
<tr>
<td></td>
<td><strong>Part 9—Repeal and transitional</strong></td>
</tr>
<tr>
<td>69</td>
<td>Repeal</td>
</tr>
<tr>
<td>70</td>
<td>Transitional modifications on student application</td>
</tr>
</tbody>
</table>
Part 1—Preliminary

Division 1.1—General

1 Name

This is the Coursework Awards Rule 2016 (No. 2).

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

*admission decision*: see section 53(2) (What decisions are reviewable decisions?).

*approved form* means a form approved under section 60 (Approved forms).

*AQF* means the Australian Qualifications Framework as in force at the commencement of this instrument.

[Note: At the commencement of this instrument, the framework was accessible at www.aqf.edu.au.]

*Associate Dean*, for an ANU College, means an Associate Dean appointed under the ANU College Governance Rules by the College Dean for the college.

*Bachelor Honours* degree means a degree of Bachelor Honours, whether the coursework program for the degree is taken as:

(a) an honours program from its commencement; or

(b) a 1-year honours program.

[Note: The degrees of Bachelor Honours offered by the University are set out in the Coursework Handbook published by the University.]

*course* means a subject of scholarly study, whether it is taught:

(a) in a connected series of classes or demonstrations; or

(b) by means of practical work, including, for example, the production by students of essays, theses or case studies or the attendance and participation by students in seminars or workshops; or

(c) by clinical or professional practice; or

(d) in another way or in a combination of ways.
**coursework** means the courses, and other written or oral work (if any), undertaken by a student for a program for a coursework award, but does not include any thesis component of the program of at least 24 units duration.

**coursework award:** see section 7.

**credit:** see section 9.

**Delegated Authority,** in relation to a program offered by an ANU College for a coursework award, means a person who is appointed under section 62 (Appointment of Delegated Authorities) as a Delegated Authority for the program.

[Note: For double degree programs, see s 63 (Delegated Authorities: double degree programs).]

**domestic student** means a student who is not an overseas student.

**double degree:** a program is a program for a double degree if a student undertaking the program may qualify for 2 coursework awards.

**exercise** a function includes perform the function.

**function** includes duty and power.

**order** means an order made under or for the purposes of this instrument.

**overseas student** has the same meaning as in clause 1 of Schedule 1 to the Higher Education Support Act 2003.

**person affected** by a reviewable decision: see section 54.

**reviewable decision:** see section 53(1).

**reviewable non-admission decision:** see section 53(3) (What decisions are reviewable decisions?).

**this instrument** includes the orders.

**working day** means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.

[Note: The Interpretation Statute defines the following terms that are relevant to this instrument:
- ANU College
- College Dean.]

## 5 Application of instrument to programs

This instrument applies to programs for coursework awards and other programs:
- that were commenced, but had not ended, before the commencement of this instrument; or
- that are commenced after the commencement of this instrument.

## 6 Joint, double or dual programs with other institutions etc.

(1) A provision of this instrument has no effect to the extent to which it is inconsistent with an agreement between the University and another university or institution that makes provision for or in relation to joint, double or dual programs offered by them, or the joint,
double or dual conferral of degrees or other awards by them, for students or a particular student.

(2) For subsection (1), a provision of this instrument is not inconsistent with a provision of an agreement mentioned in that subsection to the extent to which both provisions can operate concurrently.

Division 1.2—Important concepts

7 Coursework awards

(1) A coursework award is a coursework degree, Diploma, Graduate Diploma or Graduate Certificate that may be conferred by the University.

[Note: The relevant coursework degrees, diplomas and certificates that may be conferred by the University are set out in the Coursework Handbook published by the University.]

(2) In this section:

coursework degree means the following degrees:
(a) Associate;
(b) Bachelor;
(c) Bachelor Honours;
(d) Master (other than Master of Philosophy);
(e) Juris Doctor;
(f) Medicinae ac Chirurgiae Doctoranda;
(g) professional doctorate (other than Doctor of Juridical Science or Doctor of Psychology (Clinical)).

[Note: The Research Awards Rule applies to programs for the degrees of Doctor of Philosophy, Doctor of Juridical Science, Doctor of Psychology (Clinical) and Master of Philosophy.]

8 Programs for coursework awards generally

(1) A student must undertake a program for a coursework award in accordance with this instrument, and any order applying to the student for the program, to qualify for a coursework award.

(2) The program may:
(a) consist of coursework or coursework and thesis components; and
(b) be undertaken by full-time or part-time study.

(3) To remove any doubt, a reference to a program for a coursework award includes a reference to a program for a double degree.

9 What is credit

For a person who applies to be admitted to, is admitted to, or is enrolled in, a program for a coursework award, credit is the recognition, towards completion of the program, of:
(a) a course, or other relevant graduate or undergraduate studies, undertaken at the University or another university or tertiary education institution otherwise than as part of the program; or
(b) clinical or professional experience;
and includes advanced standing and recognition of prior learning.
Part 2—Program admissions, enrolments and transfers

Division 2.1—Admission requirements and limitations: coursework awards

10 Minimum qualification requirements for admission

The minimum qualification requirements for admission to a program for a coursework award are prescribed by orders applying to the program.

[Note: The minimum qualification requirements are set out in the Coursework Handbook published by the University.]

11 English language requirements

The Deputy Vice-Chancellor may, in writing, determine English language requirements for admission to a program for a coursework award.

12 Limits on places in programs

The College Dean for an ANU College may, in writing, determine the maximum number of students that may be admitted in any period to a program offered by the college for a coursework award.

Division 2.2—Admission process: coursework awards

13 Application for admission

A person may apply to the Registrar to be admitted to a program for a coursework award.

[Note 1: If a form is approved under s 60 (Approved forms) for this provision, the form must be used.]

[Note 2: Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Criminal Code.]

14 Decision on application for admission

(1) This section applies if a person makes an application under section 13 for admission to a program for a coursework award.

(2) The Delegated Authority must decide the application.

(3) However, the Delegated Authority may, by written notice given to the applicant, require the applicant to provide any information or document that the Delegated Authority reasonably needs to decide the application.

(4) If the Delegated Authority requires the applicant to provide information or a document, the Delegated Authority need not consider the application until the applicant complies with the requirement.

(5) After the Delegated Authority decides the application, the Registrar must, by written notice given to the applicant, tell the applicant about the decision and about any conditions imposed by the Delegated Authority on the applicant’s enrolment or admission.

(6) If the applicant is offered admission to the program, the offer of admission:

(a) must state the session in relation to which the offer of admission is effective; and
(b) must include, or be accompanied by, instructions on how to:
   (i) accept the offer; or
   (ii) accept the offer, but apply to defer enrolment to a later session; or
   (iii) decline the offer; and

(c) may include any additional information the Registrar considers appropriate.

(7) However, if the Delegated Authority imposed conditions on the applicant’s admission, an offer of admission may not be made to the applicant until the conditions have been met.

(8) To remove any doubt, the applicant does not become a student of the University, or in the program, only because the applicant is offered admission to the program.

15 Making of admission decision

(1) The Delegated Authority may admit the applicant to the program for the coursework award if satisfied that the applicant meets the following requirements (the admission requirements):
   (a) the minimum qualification requirements for admission to the program;
   (b) the English language requirements (if any) determined for admission to the program under section 11 (English language requirements).

(2) However, if the application is for admission to a program for a degree of Bachelor Honours and the applicant meets the admission requirements, the Delegated Authority may refuse to admit the applicant to the program if the Delegated Authority is not satisfied that suitable supervision will be available for the program.

(3) Despite subsection (1), the Delegated Authority must refuse to admit the applicant to the program if the admission of the applicant to the program would result in the number of students being admitted to the program in any period exceeding the maximum number of students determined under section 12 (Limits on places in programs) for the program for the period.

(4) Also, despite subsection (1), the Delegated Authority may admit the applicant to the program even though the Delegated Authority is not satisfied that the applicant meets the minimum qualification requirements for admission to the program if the Deputy Vice-Chancellor and the Pro Vice-Chancellor (Education and Global Engagement) approve the applicant’s admission to the program.

(5) In addition, despite subsection (1), the Delegated Authority may admit the applicant to the program even though the Delegated Authority is not satisfied that the applicant meets the English language requirements determined for admission to the program under section 11, if the Deputy Vice-Chancellor approves the applicant’s admission to the program.

(6) The Delegated Authority may also impose conditions on the applicant’s admission if the applicant’s application states that the applicant intends to continue to undertake other studies at the University or another educational institution if the applicant is admitted to the program.

(7) This section is subject to section 16 (False or misleading statements in applications for admission etc.).
16 False or misleading statements in applications for admission etc.

(1) This section applies if the Delegated Authority suspects, on reasonable grounds, that an applicant for admission to a program for a coursework award has in, or in connection with, the applicant’s application:
   (a) made a statement, or provided information, (whether orally, in a document or in any other way) that was false or misleading in a material particular; or
   (b) provided a document that was false or misleading in a material particular.

(2) The Delegated Authority must:
   (a) immediately report the Delegated Authority’s suspicion (the reported matter), and the reasons for it, under the Discipline Rule; and
   (b) if the applicant has not been enrolled in the program—take action under subsection (3), (4) or (6), as appropriate.

(3) If the Delegated Authority has not finally decided the application, the Delegated Authority must refuse to consider, or further consider, the application until the reported matter has been finally dealt with under the Discipline Rule.

(4) If the Delegated Authority has refused to admit the applicant to the program, the applicant has applied for review the Delegated Authority’s decision and the Associate Dean has not finally dealt with the application for review, the Delegated Authority must immediately tell the Associate Dean of the Delegated Authority’s suspicion and the reasons for it.

(5) The Associate Dean must refuse to deal, or further deal, with the application for review until the reported matter has been finally dealt with under the Discipline Rule.

(6) If a decision has been made to admit the applicant to the program but the applicant has not been enrolled in the program, the Delegated Authority must immediately tell the Registrar about the Delegated Authority’s suspicion and the reasons for it.

(7) The Registrar must not enrol the applicant in the program until the reported matter has been finally dealt with under the Discipline Rule.

(8) This section is additional to, and does not limit:
   (a) any power of the Delegated Authority, Associate Dean or Registrar otherwise than under this section; or
   (b) the Discipline Rule.

[Note: The Discipline Rule includes provisions for dealing with misconduct, including knowingly making false or misleading statements to the University or to an officer or employee of the University.]

Division 2.3—Enrolment: coursework awards

17 Program commences on enrolment

If a person is admitted to a program for a coursework award, the program commences on the day the person is enrolled in the program.

18 Enrolment

(1) If a person is admitted to a program for a coursework award and accepts the offer of admission given to the person for the program, the person may enrol in the program for the
session for which the offer of admission is effective or, if the enrolment is deferred to a later session under section 19 (Deferral of enrolment: programs other than 1-year honours programs) or section 20 (Deferral of enrolment: 1-year honours program), that later session.

[Note 1: If a form is approved under s 60 (Approved forms) for this provision, the form must be used.]
[Note 2: Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Criminal Code.]

(2) However, if conditions were imposed by the Delegated Authority on the person’s enrolment, the person must not be enrolled unless the conditions have been met.

(3) If a person is admitted to a 1-year honours program for a degree of Bachelor Honours, the person must enrol in the program within 2 years after the day the person completes the requirements for the award of the pass degree relevant to the program or, if the Delegated Authority, in writing, determines a longer period, that longer period.

(4) However, if the person is admitted to a second 1-year honours program for a degree of Bachelor Honours, the person must enrol in the program not later than the next semester starting after the day the person completes the requirements for the award of the first degree of Bachelor Honours or, if the Delegated Authority, in writing, determines a longer period, that longer period.

(5) This section is subject to section 16 (False or misleading statements in applications for admission etc.).

19 Deferral of enrolment: programs other than 1-year honours programs

(1) This section applies to a person if:
   (a) the person is admitted to a program for an undergraduate coursework award (other than a 1-year honours program); and
   (b) on enrolment, the person will be a domestic student.

(2) The person may apply, in writing, to the Delegated Authority to defer enrolment in the program to a specified session that is later, but commences not more than 1 year later, than the session stated in the person’s offer of admission.

(3) The application must be made in accordance with the instructions included in, or accompanying, the offer of admission.

(4) If the person applies to the Delegated Authority in accordance with this section to defer enrolment in the program to a later specified session, the Delegated Authority must:
   (a) defer enrolment to that session; and
   (b) by written notice given to the person, tell the person that enrolment in the program has been deferred to that session.

20 Deferral of enrolment: 1-year honours programs

If a person is admitted to a 1-year honours program, the person may defer enrolment in the program only if the Delegated Authority approves the deferral, on the written application of the person, in the special circumstances of the case.
Division 2.4—Program transfers: coursework awards

21 Transfer between programs generally

(1) This section applies if:
   (a) a person is enrolled in a program for a coursework award (the existing program); and
   (b) the person wishes to transfer from that program to a program for another coursework award (the new program); and
   (c) any of the following applies:
      (i) the existing and new programs are both undergraduate coursework programs or graduate coursework programs;
      (ii) the existing program is a program for a professional doctorate (other than by research) and the new program is a program for a Master degree by coursework in the same discipline area;
      (iii) the existing program is for a Master degree by coursework and the new program is a professional doctorate (other than by research) in the same discipline area.

(2) The person may apply to the Registrar for approval to transfer from the existing program to the new program.

[Note: If a form is approved under s 60 (Approved forms) for this provision, the form must be used.]

(3) The Delegated Authority for the new program must:
   (a) decide the application; and
   (b) by written notice given to the person, tell the person:
      (i) whether the transfer has been approved; and
      (ii) if the transfer is approved—about any conditions imposed by the Delegated Authority on the transfer.

(4) The Delegated Authority may approve the transfer only if satisfied that the person meets the minimum qualification requirements for admission to the new program or the transfer is being made under the Academic Progress Rule.

(5) If the Delegated Authority approves the transfer and the person accepts the transfer as approved:
   (a) the person is taken to have withdrawn from the existing program; and
   (b) the person is taken to have been admitted to the new program; and
   (c) the new program is taken, for section 32 (Maximum period for completion of program), to have commenced on the day the existing program commenced (or is taken to have commenced under the previous application of this paragraph to the existing program or an earlier program); and
   (d) any conditions imposed on the transfer are taken to be conditions imposed on the person's admission to the new program.

[Note: Division 3.1 deals with the granting of credit. The Division applies to the granting of credit for work completed by the person for the existing program.]
Division 2.5—Non-award studies

22 Non-award programs

(1) A person may apply, in writing, to the relevant Delegated Authority for admission to a program (a *non-award program*) that is not a program for a coursework award.

(2) The Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the person, tell the person:
      (i) whether the person has been admitted to the non-award program; and
      (ii) if the person is admitted to the non-award program—about the period of the program approved by the Delegated Authority and any conditions imposed by the Delegated Authority on the applicant’s admission to the program.

(3) If the person is admitted to the non-award program and enrols in the program, the person must:
   (a) undertake the program under the direction of the Delegated Authority for the period approved by the Delegated Authority; and
   (b) comply with the conditions (if any) imposed on the person’s admission to the program.

(4) This section does not prevent the person from subsequently applying for admission to a program for a coursework award.

[Note: Division 3.1 deals with the granting of credit. The Division applies to the granting of credit for work completed by the person for a non-award program.]
Part 3—Program requirements

Division 3.1—Credit

23 Granting credit

(1) A person who applies to be admitted to, is admitted to, or is enrolled in, a program for a coursework award may apply, in writing, to the Delegated Authority to be granted credit towards completion of the program.

(2) The Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the person whether the credit sought has been granted.

(3) In granting credit under subsection (1), the Delegated Authority must comply with section 24 (Limits on granting credit).

(4) Without limiting subsection (1), the Delegated Authority may, under that subsection, grant credit to a person, towards completion of a program for the degree of Master of Clinical Psychology, for supervised clinical experience undertaken in a public clinical service, if satisfied that the standard of the experience is equivalent to the experience that would be gained by undertaking a fieldwork placement course as part of the program.

24 Limits on granting credit

(1) The Associate Dean for an ANU College may, in writing, determine limits within which credit may be granted under section 23(1) (Granting credit) towards completion of a program offered by the college for a coursework award.

(2) Without limiting subsection (1), credit must not be granted to a person for a course or other studies, or for clinical or professional experience, completed more than the relevant period before the day the student first applied under section 23(1) for credit for the studies or experience.

(3) In subsection (2):

   relevant period means:
   (a) for an undergraduate program—10 years or, if the Associate Dean determines, in writing, a different period for the program, that period; or
   (b) for a graduate coursework program—7 years or, if the Associate Dean determines, in writing, a different period for the program, that period.

(4) Without limiting subsection (1), credit must not be granted to a person towards completion of a program for a coursework award if granting the credit would result in the person qualifying for the award without completing:

   (a) for a double degree program—at least the equivalent of 18 months full-time enrolment at the University, including later year courses that the Delegated Authority is satisfied are sufficient; and
(b) for an undergraduate pass program other than a double degree program—at least the equivalent of 1 year full-time enrolment at the University, including later year courses that the Delegated Authority is satisfied are sufficient; and

c) for a 1-year honours program if the corresponding Bachelor degree was undertaken at the University—at least the equivalent of 6 months full-time enrolment at the University; and

d) for a 1-year honours program if the corresponding Bachelor degree was undertaken at another university—at least the equivalent of 1 year full-time enrolment at the University; and

e) for another honours program—at least the equivalent of 18 months full-time enrolment at the University, including later year courses that the Delegated Authority is satisfied are sufficient; and

(f) for a graduate coursework program—at least the equivalent of half of the program’s requirements at the University.

(5) Without limiting subsection (1), a person must not be granted credit, towards completion of a program for a degree of Master (other than by research) of more than:

(a) a quarter of the program’s requirements for undergraduate studies (other than any honours year undergraduate studies); or

(b) a half of the program’s requirements for all undergraduate studies (including any honours year undergraduate studies).

(6) Without limiting subsection (1), credit for particular studies must not be granted more than once towards completion of a program for a double degree.

Division 3.2—Program content

25 Program content

(1) A student admitted to a program for a coursework award must enrol in the courses, sequences of courses, or combinations of courses, that may be included in the program under the orders applying to the program for the year in which the student is admitted to the program.

(2) However, subject to the orders, the Delegated Authority may, in writing, determine the following:

(a) that a course may not be counted towards the program if taken with another course, sequence of courses or combination of courses;

(b) that a student may only take a stated maximum number of courses for the program in any year;

(c) that a student may receive only a stated maximum number of units for taking particular courses, sequences of courses or combinations of courses;

(d) that the taking of a particular course, sequence of courses, or combination of courses, is subject to a stated condition.

26 Completion of program

(1) To complete a program for a coursework award, a student must:

(a) pass the courses, sequences of course, or combinations of courses, required for the program under the orders applying to the student for the program; and
(b) pass the courses required for, or that may be included in, the program to the total unit value required for the program under the orders applying to the student for the program; and

(c) complete the other requirements (if any) for the program under the orders applying to the student for the program.

(2) However, subsection (1) is subject to any determination or approval of the Delegated Authority under section 25 (Program content) that applies to the student.

(3) Also, the Delegated Authority may, on the written application of the student and in special circumstances, modify the orders applying to the student for the program by:

(a) varying the requirements applying to the student under the orders for the year in which the student was admitted to the program; or

(b) permitting the student to complete the requirements that would have applied to the student if the student had been admitted to the program in another year; or

(c) if the program is a 1-year honours program—permitting the student to undertake 12 units of 2000- or 3000-level courses (or courses at both levels) instead of a 4000-level course.

(4) If a student applies for a modification under subsection (3), the Delegated Authority must:

(a) decide the application; and

(b) by written notice given to the student, tell the student the decision made on the application.

(5) Despite subsection (3), the coursework component of a program for a coursework award (other than a degree of Bachelor Honours) must be more than a third of the total requirements of the program.

(6) Also, despite subsection (3), not more than 25% of the total unit value of the courses for a program for a degree of Master, or a Graduate Diploma or Graduate Certificate, may be undergraduate courses.

(7) Without limiting subsection (3), if a program for a coursework award is a program for a double degree, the student may apply for the modification of the orders applying to only one of the degrees, and the Delegated Authority may modify only those orders by:

(a) varying the requirements applying to the student in relation to that degree under the orders for the year in which the student was admitted to the program; or

(b) permitting the student to complete the requirements that would have applied to the student in relation to that degree if the student had been admitted to the program in another year.

Division 3.3—Undertaking the program

27 Enrolment in courses at the University etc.

(1) A student enrolled in a program for a coursework award must, for the program, enrol in:

(a) courses offered at the University; or

(b) courses offered by another educational institution that are approved, in writing, by the Delegated Authority on the written application of the student.

[Note: An order may prescribe the maximum period for which courses may be undertaken at another educational institution or the number or unit value of courses that may be undertaken at another educational institution.]
(2) If the student applies under subsection (1) for approval to enrol in a course offered by another educational institution, the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether the course is approved.

[Note: Division 3.1 deals with the granting of credit. The Division applies to the granting of credit for a course offered by another educational institution.]

(3) The Delegated Authority must not approve enrolment in a course offered by another educational institution unless satisfied:
   (a) that the course is substantially comparable in quality to the equivalent course offered by the University for the program (or comparable programs); and
   (b) that the institution has satisfactory facilities available to the student for completion of the course.

28 Program leave of absence

(1) A domestic student enrolled in a program for a coursework award may take leave of absence from the program under this subsection for a period of up to 2 years (or for consecutive periods of up to 2 years in total) by not enrolling in any courses.

(2) However, if the student is enrolled in a program for a medical degree, the student may take leave of absence under subsection (1) only with the written permission of the Dean of Medicine and Health Science granted on the written application of the student.

(3) Permission under subsection (2) may be granted for an initial period of up to 1 year.

(4) Permission under subsection (2) may also be granted on application under that subsection for an additional period, or for additional periods, that, together with the initial period, do not exceed 2 years in total.

(5) The Delegated Authority may, on the written application of a domestic student enrolled in a program for a coursework award, grant the student leave of absence from the program under this subsection for a period of more than 2 years.

(6) The Delegated Authority may, on the written application of an international student enrolled in a program for a coursework award, grant the student leave of absence from the program under this subsection for any period.

(7) However, a period of leave of absence under this section must not be for less than a half year, comprising first half year (Semester 1, Summer Session and Autumn Session) or second half year (Semester 2, Winter Session and Spring Session).

(8) Subsection (7) does not apply to a program if the program is taught in trimesters.

(9) In this section:

   medical degree means either of the following degrees:
   (a) Bachelor of Medicine, Bachelor of Surgery;
   (b) Medicinae ac Chirurgiae Doctoranda (Doctor of Medicine and Surgery).
Division 3.4—Other program requirements

29 Language of instruction

A program for a coursework award must be taken in English unless, and to the extent that, the Academic Board determines otherwise.

30 Other studies

(1) A student enrolled in a program for a coursework award must not undertake, or continue to undertake, any other studies at the University or another educational institution while the student is enrolled in the program, unless the Delegated Authority, on the written application of the student, approves the student undertaking the studies while the student is enrolled in the program.

(2) However, subsection (1) does not apply to other studies that the student continues to undertake at the University or another educational institution after enrolling in the program if:

(a) the student’s application for admission to the program stated that the student intended to continue to undertake the other studies at the University or other education institution if the applicant were admitted to the program; and

(b) the student complies with the conditions (if any) imposed under section 15(6) (Making of admission decision) on the student’s admission.

(3) If a student applies for an approval under subsection (1), the Delegated Authority must:

(a) decide the application; and

(b) by written notice given to the student, tell the student the decision made on the application.

(4) To remove any doubt, subsection (1) applies to a student enrolled in a program for a coursework award in relation to a period whether or not the student is enrolled during the period in courses at the University or another institution for the student’s coursework program.

Division 3.5—Ending of program

31 Withdrawal from program

(1) A student enrolled in a program for a coursework award may withdraw from the program by written notice given to the Delegated Authority.

(2) The student ceases to be enrolled in the program on the day the notice is given to the Delegated Authority or, if the notice states a later date of effect, on that date.

(3) To remove any doubt, if a person withdraws from a program for a coursework award in relation to a period whether or not the student is enrolled during the period in courses at the University or another institution for the student’s coursework program.

32 Maximum period for completion of program

(1) The maximum period for completion of a program (other than a 1-year honours program) by a student is the following period beginning on the day the program commences:
(a) if the total unit value of courses required for the program is 24 units or less—3 years;
(b) if the total unit value of courses required for the program is at least 25 units but not more than 48 units—5 years;
(c) if the total unit value of courses required for the program is at least 49 units but not more than 72 units—6 years;
(d) if the total unit value of courses required for the program is at least 73 units but not more than 120 units—7 years;
(e) if the total unit value of courses required for the program is at least 121 units but not more than 220 units—10 years;
(f) if the total unit value of courses required for the program is more than 220 units—11 years.

[Note: For the commencement of a program into which a student transfers from another program, see section 21(5)(c) (Transfer between programs generally).]

(2) The maximum period for completion of a 1-year honours program by a student is the following period beginning on the day the program commences:
   (a) for a program undertaken by full-time study—1 year;
   (b) for a program undertaken by part-time study—2 years;
   (c) for a program undertaken partly by full-time study and partly by part-time study—18 months.

(3) However, the Delegated Authority may, on the written application of a student enrolled in a program for a coursework award, extend the maximum period for completion of the program under subsection (1) or (2).

(4) If a student applies under subsection (3) for an extension of the maximum period of completion of the student’s program, the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether an extension has been granted and, if so, the period of the extension.

(5) Also, if the Delegated Authority grants credit to a student towards completion of the student’s program, the Delegated Authority may, by written notice given to the student, reduce the maximum period for completion of the student’s program to take account of the credit granted.

(6) To remove any doubt, the grant of leave of absence to a student under section 28 (Program leave of absence) does not, of itself, extend the maximum period for completion of the program by the student.

(7) A student’s program for a coursework award ends by force of this subsection at the end of the maximum period for completion of the program by the student, and the student automatically ceases to be enrolled in the program, if, before the end of that period, the student has not:
   (a) completed the requirements of the program (other than any thesis requirement of the program); and
   (b) if the student is required to submit a thesis for the program—submitted the thesis for examination.
(8) If a student’s coursework awards program ends under subsection (7), the Delegated Authority must tell the student, in writing, as soon as practicable.

33 Honours year: cancellation etc.

(1) If the Delegated Authority is satisfied that a student enrolled in an honours program is not making satisfactory progress in the program, the Delegated Authority may, by written notice given to the student, cancel the student’s enrolment in the honours program.

(2) If the Delegated Authority cancels the student’s enrolment in the honours program, the student may be awarded an appropriate pass degree if the student has not already been awarded that degree and is otherwise eligible to be awarded the degree.

(3) A student may attempt an honours year only once unless the Delegated Authority, on the written application of the student, permits the student to attempt the year again.

(4) If the student applies under subsection (3) for permission to attempt the honours year again, the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether the permission is granted.
Part 4—Supervision

34 Purpose of Part 4

This Part sets out the supervisory arrangements applying to a student enrolled in a program for a coursework award that has a thesis component.

35 Supervisors

(1) The student must have at least 1 supervisor for the thesis.

(2) A supervisor is appointed, in writing, by the Delegated Authority.

36 Appointment of supervisors

(1) The Delegated Authority must appoint the student’s supervisor or supervisors before the commencement of the semester in which the thesis is to be undertaken.

(2) The supervisor (or, if the student has 2 or more supervisors, at least 1 of the supervisors) must:
   (a) be a full-time member of the academic staff of the University; or
   (b) be a part-time member of the academic staff of the University employed by the University on at least a 50% basis; or
   (c) if the Delegated Authority approves in writing in the particular circumstances of the case—hold an academic status, or honorary academic status, in the University.

(3) In appointing supervisors, the Delegated Authority must, as far as practicable, ensure continuity in the supervision of the student’s thesis.

37 Responsibilities of supervisors

(1) A supervisor:
   (a) is responsible, with the other supervisors (if any), for supervising:
      (i) all aspects of the student’s thesis; and
      (ii) the student’s compliance with this instrument and the orders in relation to the thesis; and
   (b) must advise the student on matters relevant to the thesis or assist the student to obtain appropriate advice on matters relevant to the thesis.

(2) In supervising the student, a supervisor must comply with the statutes, rules, orders and policies of the University.

(3) A supervisor must tell the Delegated Authority if the supervisor considers that the student:
   (a) is not pursuing the thesis satisfactorily: or
   (b) has contravened this instrument or an order in relation to the thesis.

38 Temporary supervisory arrangements

If the student has a single supervisor and the supervisor is (or is expected to be) absent from the University, or unable to supervise the student, for longer than 4 consecutive weeks, the Delegated Authority must, in writing, appoint an appropriately qualified
person to supervise the student while the supervisor is absent or unable to supervise the student.

[Note: For the qualifications for the appointment of supervisors, see s 36(2) (Appointment of supervisors).]
Part 5—Assessment

Division 5.1—Assessment methods

39 Purpose of Division 5.1

This Division sets out how a student undertaking a program for a coursework award must be assessed for the program.

40 Assessment of thesis

Any thesis required for the program must be assessed in accordance with this instrument.

41 Application of Assessment Rule

(1) Coursework undertaken by the student during the program must be assessed in accordance with the Assessment Rule unless otherwise determined, in writing, by the Delegated Authority.

(2) Without limiting the Delegated Authority’s power under subsection (1), if the program is declared by the Associate Dean, in writing, to be a program to which this subsection applies, the Delegated Authority may determine that coursework for the program be assessed by an assessment of:
   (a) an exhibition; or
   (b) a performance; or
   (c) a folio of work.

42 Assessments must be in English

Any assessment must be conducted in English, except so far as the Deputy Vice-Chancellor, on the Delegated Authority’s written recommendation, determines otherwise in writing.

Division 5.2—Thesis

43 Purpose of Division 5.2

This Division sets out provisions applying to the thesis of a student enrolled in a program for a coursework award if the program requires the submission of a thesis.

44 Requirements for examination of thesis

The Associate Dean may, in writing, determine requirements for the examination of the thesis.

45 General thesis requirements

(1) The thesis must be an original written work of at least 24 units duration that:
   (a) is the product of a research project that investigates a research question through the application of an advanced knowledge of the research principles and methods, and theoretical concepts, of 1 or more disciplines or specialisations; and
(b) incorporates an account summarising the research undertaken by the student during the program and the results of the research; and
(c) if the research is on more than 1 topic—demonstrates the relationship between the topics; and
(d) is required to be provided by the student for the program; and
(e) if the research is undertaken jointly with someone else—clearly indicates the nature and extent of the student’s contribution to the research.

(2) In subsection (1):

*written work* includes video recordings, film or other works of visual or sonic arts, computer software, digital material or other non-written material.

(3) The student must clearly mark in the thesis material that has been previously submitted by the student for the purpose of obtaining a degree or other award from any university or other tertiary educational institution.

(4) However, if the material has previously been submitted for the same award at the University, the Delegated Authority may, in writing, approve the inclusion of a specified statement instead of the marking required by subsection (3).

(5) The thesis must not be accepted for examination unless, in the Delegated Authority’s opinion, it consists largely of material that has not previously been submitted by the student for the purpose of obtaining a degree or other award from any university or other tertiary educational institution.

(6) The thesis must be written in English, except so far as the Deputy Vice-Chancellor, on the Delegated Authority’s written recommendation, determines otherwise in writing.

46 Submission of thesis

(1) The student must submit the student’s thesis for examination in the form approved, in writing, by the Delegated Authority.

(2) Without limiting subsection (1), if the thesis has been published, the thesis may be submitted in the published form with Delegated Authority approval.

47 Appointment of thesis examiners

(1) The Delegated Authority must, in writing, appoint 1 or more examiners of the student’s thesis.

(2) The Delegated Authority may, in writing, at any time appoint an additional examiner or additional examiners of the thesis.

(3) A person must not be appointed as an examiner if the person has been a supervisor for the thesis or has provided advice on its drafting or production.

48 Re-examination by resubmission of thesis

(1) If the student fails the examination of the thesis, the Delegated Authority may, by written notice given to the student, require the student to be re-examined by resubmission of the thesis.
(2) If the student is re-examined by resubmission of the thesis, the grade that may be awarded is pass at supplementary examination or fail.

49 Student must provide thesis for deposit in University Library

(1) If the student is granted approval for an award, the student must, before the award is conferred, provide 1 digital copy of the thesis, as finally corrected, revised and reviewed, to the Registrar for deposit in the University Library.

(2) The provision of the copy of the thesis by the student authorises the University:
   (a) to make the thesis available in the University Library in any format; and
   (b) with the student’s permission, to make the thesis otherwise available in any format.

(3) However, subsection (2)(a) is subject to any written direction of the Deputy Vice-Chancellor, made on the student’s written request, that prohibits the University Library from disclosing the thesis, or a specified part of it, to anyone for a specified period.
Part 6—Grades, eligibility for awards and classifications

50 Course grades

The performance of a student in a course in a program for a coursework award must be graded as high distinction, distinction, credit, higher level pass, pass, pass at supplementary examination, course requirements satisfied, or fail.

51 Eligibility for awards

(1) A student may be granted a coursework award if the student completes the requirements of the program for the award under this instrument and the orders.

(2) A student enrolled in a program for a double degree may be granted one of the coursework awards for which the student may qualify if the student would have satisfied all of the requirements for the grant of that award if the program had been a program for only that award.

(3) If a student enrolled in a program for a double degree is granted one of the coursework awards under subsection (2), the student may continue studying towards the other award.

(4) An order may provide that a degree of Bachelor Honours may be granted to a student only if the student achieves the standard required for a First Class Honours classification.

(5) If a student enrolled in a program for a degree of Bachelor Honours does not satisfy all the requirements to be granted the degree, the student may be granted another relevant degree of Bachelor Honours or relevant pass degree as decided, in writing, by the Delegated Authority.

(6) Despite subsection (1), a former student may be granted a coursework award posthumously by the Vice-Chancellor on the recommendation of the Delegated Authority, even though the former student may not have completed all of the requirements of the program for the award.

52 Classification of awards

(1) Subject to this section, if a student is granted a coursework award, the award may be graded with a classification.

[Note: The orders may make provision in relation to the classification of coursework awards.]

(2) A degree of Associate or Bachelor, and a Graduate Certificate, must be granted as an ungraded Pass.

(3) A Diploma must be classified Awarded with Merit or Awarded.

(4) A degree of Bachelor Honours must be classified First Class Honours, Second Class Honours, Division A, Second Class Honours, Division B, or Third Class Honours.

(5) However, a degree of Bachelor of Medicine, Bachelor of Surgery Honours may only be granted without classification.

(6) A Graduate Diploma must be classified Awarded with Commendation or Awarded.
(7) A degree of Medicinae ac Chirurgiae Doctoranda must be classified *Awarded with Commendation* or *Awarded*.

(8) A degree of Master by coursework (AQF level 9) must be classified *Awarded with Commendation* or *Awarded*.

(9) A degree of Master extended (AQF level 9) must be classified *Awarded with Commendation* or *Awarded*.

(10) The Delegated Authority may classify the performance of a student *with Commendation* only if the student has achieved a weighted average mark of 80% or higher.

(11) In working out a student’s weighted average mark for subsection (10), the Delegated Authority must:

   (a) subject to paragraph (b), take into account all courses undertaken by the student at the University that are counted towards the coursework award to be granted to the student (the *current award*), whether the courses were undertaken:
      (i) as part of the program for the coursework award; or
      (ii) as part of the program for another coursework award and the student granted credit for them towards completion of the current award; and
   (b) if the current award is a graduate award—not take into account courses undertaken by the student at the University as part of a program for an undergraduate award, even though the student may have been granted credit for them towards completion of the program for the current award; and
   (c) not take into account courses undertaken by the student at another university or tertiary education institution, even though the student may have been granted credit for them towards completion of the program for the current award.

(12) Subsections (10) and (11) are subject to any modifications approved, in writing, by the Academic Board for a program for a coursework award.
Part 7—Review of decisions

53 What decisions are reviewable decisions?

(1) A decision under this instrument is a reviewable decision if it is an admission decision or a reviewable non-admission decision.

[Note: An appeal against a decision under the Academic Progress Rule or Assessment Rule is heard and decided under the relevant rule. This Part does not apply to a decision under either of those rules.]

(2) An admission decision is a decision not to admit a person to a program for a coursework award.

(3) A reviewable non-admission decision is a decision affecting a student made by an Associate Dean or Delegated Authority, other than any of the following decisions:
   (a) an admission decision;
   (b) a decision made by an Associate Dean under section 24 (Limits on granting credit) determining limits within which credit may be granted;
   (c) a decision under section 41(2) (Application of Assessment Rule) declaring a program to be a program to which the subsection applies;
   (d) a decision under section 48(2) (Re-examination by resubmission of thesis) awarding a particular grade to a student;
   (e) a decision under section 50 (Course grades) grading the performance of a student in a course;
   (f) a decision under section 52 (Classification of awards) grading a coursework award with a classification;
   (g) a decision made by an Associate Dean under section 57 (Review by Associate Dean);
   (h) a decision to make an order under section 68 (Power to make orders).

54 Who is a person affected by a reviewable decision?

The person affected by a reviewable decision is:
(a) for an admission decision—the applicant for admission; and
(b) for any other decision—the student affected by the decision.

55 Person affected by reviewable decision to be told about review etc.

(1) This section applies if an Associate Dean or Delegated Authority (the decision-maker) makes a reviewable decision.

(2) Within 7 working days after the day the decision-maker makes the decision, the decision-maker must, by written notice given to the person affected by the decision, tell the person:
   (a) about the decision; and
   (b) that the person may apply for review of the decision under this Part.

(3) The notice must include, or be accompanied by, a statement of reasons for the decision.

(4) This section does not apply to the decision if, within the 7-day period mentioned in subsection (2):
(a) the person is told in writing:
   (i) about the decision under another provision of this instrument; and
   (ii) that the person may apply for review of the decision under this Part; and
(b) the person is given a statement of reasons for the decision.

56 Application for review of reviewable decision

(1) The person affected by a reviewable decision may apply for review of the decision.

(2) The application must:
   (a) be in writing; and
   (b) set out the person's reasons for making the application; and
   (c) include, or be accompanied by, any evidence in support of the reasons; and
   (d) be given to the relevant person within:
      (i) 20 working days after the day the person is given written notice of, and a
          statement of reasons for, the decision; or
      (ii) if the relevant person extends the period in the special circumstances of the
           case—the extended period.

(3) If:
   (a) the person applies for review of the decision; and
   (b) immediately before the decision was made, the person was enrolled in a program
       for a coursework award; and
   (c) the reviewable decision affected the person’s right to remain enrolled in the
       program;

       the person is entitled to be enrolled in the program until the review is finally decided.

(4) In this section:

   relevant person means:
   (a) for an admission decision—the Registrar; or
   (b) for a reviewable non-admission decision—the Associate Dean.

57 Review by Associate Dean

(1) This section applies if the person affected by a reviewable decision applies under section
    56 (Application for review of reviewable decision) for review of the decision.

(2) The Associate Dean may conduct the review solely on the basis of the application and any
    material accompanying it, but may make the inquiries, and have regard to anything else,
    that the Associate Dean considers appropriate.

(3) The Associate Dean must:
   (a) confirm the reviewable decision; or
   (b) if the decision was a decision of the Delegated Authority—set aside the reviewable
       decision and refer the matter to the Delegated Authority:
       (i) to further consider the reviewable decision, taking into account the directions
           or recommendations (if any) of the Associate Dean; and
       (ii) to make a new decision; or
   (c) set aside the reviewable decision and substitute another decision that the original
       decision-maker could have made.
(4) After the Associate Dean makes a decision on the review, the Associate Dean must:
   (a) by written notice given to the applicant for review, tell the applicant about the
decision made on the review; and
   (b) give the applicant a statement of reasons for the decision.

(5) The Associate Dean must endeavour to review the decision and comply with subsection (4)
within 20 working days after the day the application for review of the decision is made.

(6) If the Associate Dean is unable to review the decision and comply with subsection (4)
within the 20-day period mentioned in subsection (5), the Associate Dean must tell the
applicant for review and give the applicant for review a date by which the decision will be
reviewed and subsection (4) complied with.

(7) Subject to the outcome of any application for review made under section 58 (Application
for procedural review of review decision), the decision of the Associate Dean is final.

(8) This section is subject to section 16 (False or misleading statements in applications for
admission etc.).

58 Application for procedural review of review decision

(1) This section applies if an applicant for review of a reviewable decision is dissatisfied with
the decision made by the Associate Dean on the review because procedures that were
required to be observed by this instrument in connection with the review were not
observed.

(2) The person may apply for review of the Associate Dean’s decision made on the review, but
only on the ground that procedures that were required to be observed by this instrument in
connection with the review were not observed.

(3) The application must:
   (a) be in writing; and
   (b) state clearly the procedures required by this instrument that were not observed in
connection with the review; and
   (c) include, or be accompanied by, any evidence in support of the application; and
   (d) be given to the Registrar within:
       (i) 20 working days after the day the person is given written notice of, and a
statement of reasons for, the decision; or
       (ii) if the Registrar extends the period in the special circumstances of the case—
the extended period.

59 Procedural review of review decision

(1) This section applies if a person applies under section 58 (Application for procedural review
of review decision) for review of the decision of the Associate Dean made on the review.

(2) The review must be conducted by the following person (the reviewing officer):
   (a) if the reviewable decision reviewed by the Associate Dean (the original decision)
was an admission decision—the College Dean for the ANU College;
   (b) if the original decision was a reviewable non-admission decision—the Deputy
Vice-Chancellor.
(3) The reviewing officer may conduct the review solely on the basis of the application and any material accompanying it, but may make the inquiries, and have regard to anything else, that the reviewing officer considers appropriate.

(4) The reviewing officer must:
   (a) confirm the Associate Dean’s decision on the review (the review decision); or
   (b) set aside the review decision, and either confirm the original decision or refer the matter to the person who made that decision:
      (i) to further consider the decision, taking into account the directions or recommendations (if any) of the reviewing officer; and
      (ii) to make a new decision; or
   (c) set aside the review decision and substitute another decision that the original decision-maker could have made.

(5) The reviewing officer must endeavour to make a decision on the review within 20 working days after the day the application for review is made.

(6) If the reviewing officer is unable make a decision on the review within the 20-day period mentioned in subsection (5), the reviewing officer must tell the applicant for review and give the applicant for review a date by which the decision will be reviewed.

(7) Within 7 working days after the day the reviewing officer makes a decision on the review, the reviewing officer must:
   (a) by written notice given to the applicant for review, tell the applicant about the decision made under this section; and
   (b) give the applicant a statement of reasons for the decision.

(8) The reviewing officer’s decision is final.
Part 8—Miscellaneous

60 Approved forms

(1) The Registrar may, in writing, approve forms for this instrument.

(2) If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3) The Registrar must ensure that approved forms are available on the University’s website or any other way that the Registrar considers appropriate.

61 Service of notices etc.

(1) This section applies to a notice or other document that is required or permitted to be served on an individual under this instrument (whether the word ‘give’, ‘notify’, ‘send’, ‘tell’ or another word is used).

(2) The document may be served on an individual:
   (a) by giving it to the individual; or
   (b) by sending it by prepaid post, addressed to the individual, to an address shown in the University’s records as the individual’s semester address, work address or permanent home address; or
   (c) by emailing it to:
      (i) if the individual has an email address provided by the University—that email address; or
      (ii) in any case—an email address otherwise recorded by the University as the individual’s email address.

(3) A document served by post on an individual under subsection (2)(b) is taken to have been served on the day it would have been delivered in the ordinary course of post.

(4) A document served by email on an individual under subsection (2)(c) is taken to have been served on the day it would have been received in the ordinary course of email transmission.

62 Appointment of Delegated Authorities

The Associate Dean for an ANU College may, in writing, appoint a member of the staff of the college, or another member of the staff of the University, to be a Delegated Authority for a program offered by the college for a coursework award.

63 Delegated Authorities: double degree programs

(1) This section applies to a double degree program if a student undertaking the program may qualify for a coursework award in 2 ANU Colleges.

(2) The Associate Dean for each of college may, in writing, appoint a member of the staff of the college, or another member of the staff of the University, to be a Delegated Authority for the part of the program offered by the college.

(3) If the Associate Deans of the colleges make appointments under subsection (2), then, for this instrument and the Assessment Rule:
(a) the part of the program offered by each college is taken to be a separate program offered by the college; and
(b) the person appointed under that subsection by the Associate Dean of a college is taken to have been appointed under section 62 (Appointment of Delegated Authorities) as a Delegated Authority for the separate program taken to be offered by that college.

64 College Dean exercising Associate Dean’s functions

(1) The College Dean for an ANU College may exercise all or any of the functions of an Associate Dean for the college under this instrument.

(2) This instrument applies in relation to the College Dean for an ANU College as if a reference to an Associate Dean for the college included a reference to the College Dean.

65 Delegation by Deputy Vice-Chancellor

A Deputy Vice-Chancellor may, in writing, delegate all or any of the Deputy Vice-Chancellor’s functions under this instrument (except the power to make orders) to a member of the academic staff of the University.

66 Delegation by College Dean

The College Dean for an ANU College may, in writing, delegate all or any of the College Dean’s functions under Part 7 (Review of decisions) in relation to a decision made under that Part by the College Dean to a member of the staff of the University.

67 Delegation by Associate Dean

An Associate Dean may, in writing, delegate all or any of the Associate Dean’s functions under Part 7 (Review of decisions) in relation to a reviewable decision made by the Associate Dean to a member of the staff of the University.

68 Power to make orders

(1) The Associate Dean for an ANU College may make orders:

(a) prescribing details of, or requirements for or in relation to, courses offered, or to be offered, by the college; or
(b) adding courses to, or omitting courses from, sequences of courses, or combinations of courses, prescribed under subsection (3)(b) in relation to a program for a coursework award offered, or to be offered, by the college; or
(c) making provision in relation to the maximum period (single or aggregate) for which courses may be undertaken at another educational institution, or the number or unit value of courses that may be undertaken at another educational institution, for a program for a coursework award offered, or to be offered, by the college.

(2) Without limiting subsection (1), if an order under subsection (1)(a) specifies a course offered, or to be offered by, the ANU College, the order must specify the following in relation to the course:

(a) the course’s name;
(b) the course’s identifying code;
(c) the course’s unit value;
(d) the prerequisites and co-requisites (if any) for the course;
(e) if there are other courses with which the course is regarded as incompatible—the names of the other courses;
(f) the method of assessment for the course;
(g) any other conditions to which taking the course is subject.

[Note: The details mentioned in subsection (2) are required by the Coursework Handbook Rules to be published in the Coursework Handbook.]

(3) The Deputy Vice-Chancellor may make orders:
(a) prescribing details of, or requirements for or in relation to, programs for coursework awards; or
(b) prescribing the sequences of courses, or combinations of courses, required for, or that may be included in, a program for a coursework award, including the courses required for, or that may be included in, the sequences or combinations; or
(c) making provision for or in relation to the granting of coursework awards.

(4) Without limiting subsection (3), an order made under that subsection by the Deputy Vice-Chancellor may make provision in relation to the following:
(a) the total unit value of courses required for a program for a coursework award;
(b) the other requirements (if any) for a program for a coursework award, including, for a degree of Bachelor Honours, achievement of a particular standard;
(c) the form of a thesis required for a program for a coursework award;
(d) the classification and grading of coursework awards;
(e) the minimum qualification requirements for admission to programs for coursework awards;
(f) requirements for participation in, or completion of, programs for coursework awards;
(g) the procedures to be followed in applying for admission to programs for coursework awards;
(h) enrolment in courses and changes to enrolment;
(i) any other matters mentioned in this instrument.

(5) A provision of an order made under subsection (1) by the Associate Dean for an ANU College has no effect to the extent to which it is inconsistent with a provision of an order made under subsection (3) by the Deputy Vice-Chancellor.

(6) To remove any doubt, a provision of an order made under subsection (1) is not inconsistent with a provision of an order made under subsection (3) to the extent to which:
(a) it makes provision of the kind mentioned in subsection (1)(b); or
(b) both provisions can operate concurrently.
Part 9—Repeal and transitional

69 Repeal

The Coursework Awards Rule 2016 is repealed:

70 Transitional modifications on student application

(1) In this section:

earlier repealed instrument means any of the following:
(a) Associate Degrees Rules 2012;
(b) Graduate Coursework Awards Rules 2014;
(c) Undergraduate Awards Rules (No. 2) 2013.

previous instrument means the Coursework Awards Rule 2015.

(2) This section applies to a student enrolled in a program for a coursework award if:
(a) the program commenced, but had not ended, before the commencement of the previous instrument; and
(b) a requirement of the previous instrument applying to the student (the current requirement) is different from the corresponding requirement that applied to the student under an earlier repealed instrument or there was no corresponding requirement applying to the student under an earlier repealed instrument; and
(c) the student considers that the application of the current requirement to the student is unfair or unreasonable.

(3) The student may, by written notice given to the Delegated Authority before 1 January 2019, apply for a modification of this instrument in relation to the application of the current requirement to the student.

(4) The Delegated Authority must:
(a) decide the application; and
(b) by written notice given to the student, tell the student the decision made on the application.

(5) The Delegated Authority may grant the modification sought if satisfied that the application of the current requirement to the student is unfair or unreasonable.

(6) If the Delegated Authority refuses to grant the modification sought, the notice must include, or be accompanied by, a statement of reasons for the decision.

(7) To remove any doubt, a decision to refuse to give a modification sought by the student is a reviewable non-admission decision.

(8) This instrument applies to the student subject to any modification in force under this section in relation to the student.
THE AUSTRALIAN NATIONAL UNIVERSITY

Fees Rule 2016

I, Professor Brian P. Schmidt, Vice-Chancellor, make the following rule.

Dated 14 December 2016

Professor Brian P. Schmidt AC FAA FRS
Vice-Chancellor
Contents

Part 1 — Preliminary .................................................................................................................. 1
  1  Name ........................................................................................................................................ 1
  2  Commencement ....................................................................................................................... 1
  3  Authority ................................................................................................................................... 1
  4  Definitions .................................................................................................................................. 1
  5  Words and expressions used in HES Act .................................................................................. 3
  6  Arrangements with other tertiary education institutions etc ................................................ 3

Part 2 — Payment of student contribution amounts and fees .................................................. 4
  Division 2.1 — Domestic student tuition fees ........................................................................... 4
  7  Domestic students: fees for award programs ........................................................................... 4
  8  Domestic students: fees for non-award programs etc ............................................................. 4
  Division 2.2 — Overseas student fees ......................................................................................... 5
  9  Overseas students: fees ............................................................................................................. 5
 10  Overseas students becoming permanent visa holders .......................................................... 5
  Division 2.3 — Commonwealth supported student contributions ........................................ 6
 11  General note for Division 2.3 ................................................................................................... 6
 12  Student contribution amounts .................................................................................................. 6
 13  Appropriate officer ................................................................................................................... 6
 14  Particular duties of Registrar in relation to HES Act .............................................................. 7
  Division 2.4 — Student services and amenities fees ................................................................. 7
 15  Student services and amenities fees ........................................................................................ 7
  Division 2.5 — Non-award studies fees ....................................................................................... 7
 16  Fees for non-award studies ...................................................................................................... 7
  Division 2.6 — Incidental goods and services fees .................................................................... 7
 17  Fees for incidental services etc ................................................................................................ 7
  Division 2.7 — Residential accommodation fees .................................................................... 8
 18  Fees for residential accommodation services ......................................................................... 8

Part 3 — Collection of fees ......................................................................................................... 9
 19  Appointment of nominees etc ................................................................................................... 9
 20  Responsibility for collection of fees etc .................................................................................. 9
 21  Registrar’s general powers ....................................................................................................... 9
 22  Extensions and exemptions ..................................................................................................... 10
 23  Cancellation of enrolment for non-payment of fees etc ....................................................... 10
 24  Revival of cancelled enrolments etc ....................................................................................... 10
 25  Liability of persons financially supported by third party ...................................................... 11
 26  Other sanctions for non-payment of fees etc ......................................................................... 11

Part 4 — Miscellaneous ............................................................................................................. 12
 27  Approved forms ..................................................................................................................... 12
 28  Service of notices etc ............................................................................................................. 12
 29  Delegation by Vice-Chancellor etc .......................................................................................... 12
 30  Agents of nominee ................................................................................................................ 12
Part 5—Repeal and transitional

31  Repeal etc. ................................................................. 13
32  Transitional ............................................................... 13
Part 1—Preliminary

1 Name

This is the Fees Rule 2016.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 3 of the Fees Statute 2006.

[Note: Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Fees Statute.]

4 Definitions

In this instrument:

Commonwealth supported place means a place in a course in which a Commonwealth supported student may enrol.

Commonwealth supported student: see the HES Act, section 36-5 (Meaning of Commonwealth supported student).

contributing student means a Commonwealth supported student who receives HECS-HELP or FEE-HELP assistance.

coursework program means a program consisting:

(a) entirely of coursework; or

(b) of a combination of coursework and research if the research component is less than two-thirds of the total program requirements.

contribution amounts and fees schedule, in relation to a period, means:

(a) the schedule of student contribution amounts, and tuition fees, determined by the University in relation to the period, and published on its website; or

(b) if that schedule is withdrawn by the University and a replacement schedule incorporating variations is published by the University on its website in relation to the period—the replacement schedule (or latest replacement schedule) published by the University on its website.

[Note: The HES Act, section 19-85 (Basic requirement) requires the University to charge, in accordance with the requirements of that Act, student contribution amounts and tuition fees for each unit of study in which it enrols students. The contribution amounts and fees are determined and published by the University in accordance with that Act and guidelines made under that Act.]

course means a unit of study within the meaning of the HES Act.

[Note: Unit of study is defined in the HES Act, Schedule 1 (Dictionary).]
cross-institutional student means:
(a) a person who is enrolled in a program offered by the University and is, for the purposes of that program, enrolled at another tertiary education institution in a course or other work requirement that forms part of a program offered by that institution; or
(b) a person who is enrolled in a program offered by another tertiary education institution and is, for the purposes of that program, enrolled at the University in a course or other work requirement that forms part of a program offered by the University.

domestic student: see the HES Act, Schedule 1 (Dictionary).

[Note: A domestic student is defined as a student who is not an overseas student.]

enrolled, in relation to a student in a program, means a student who has registered an enrolment in a course of the program.

FEE-HELP is a loan scheme that assists eligible undergraduate or graduate students to pay their tuition fees.

graduate program means a program the completion of which leads to the award of a graduate degree, graduate diploma or graduate certificate.

HECS-HELP means Higher Education Contribution Scheme - Higher Education Loan Program.


late fee includes a fine or penalty levied as a disincentive for late payment of fees under this instrument or late enrolment in, or withdrawal from, a course.

nominee means a person who is appointed as a nominee under section 19 (Appointment of nominees etc.).

non-award program means a program that does not lead to the award of a degree, diploma or certificate, but consists of a course or work requirement that forms part of an undergraduate or graduate program.

[Note: A non-award program does not include studies undertaken on a ‘non-award basis’ within the meaning of the HES Act. (The term ‘non-award basis’ is defined in Schedule 1 of that Act).]

overseas student: see the HES Act, Schedule 1 (Dictionary).

program means a course of study within the meaning of the HES Act, and includes a program of study offered by the University or any course or work requirement forming part of such a program.

[Note: Course of study is defined in Schedule 1 to that Act.]

relevant authority, in relation to a matter in relation to student who is or was enrolled in a program offered by the University, means the Associate Dean, Registrar or other authority of the University with responsibility for the matter in relation to the student.

research program means a program for which the research component is not less than two-thirds of the total program requirements.

semester means first semester or second semester.
session includes:
(a) in relation to a coursework program—summer session, autumn session, winter session and spring session; and
(b) in relation to a research program—research quarter 1, research quarter 2, research quarter 3 and research quarter 4.

student:
(c) in relation to a Commonwealth supported student—has the meaning given by the HES Act; and
(d) in any other case—a person who is, or is to be, enrolled in a program.

[Note: Student is defined in Schedule 1 to the HES Act.]

student contribution means a contribution payable under Division 2.3 (Commonwealth supported student contributions).

working day means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.

5 Words and expressions used in HES Act

Unless the contrary intention appears, a word or expression used in this instrument and the HES Act has the same meaning in this instrument as it has in the HES Act.

[Note: For example, census date is defined in Schedule 1 to the HES Act. The definition applies in relation to references to ‘census date’ in this instrument.]

6 Arrangements with other tertiary education institutions etc.

(1) If the Vice-Chancellor or a Deputy Vice-Chancellor arranges for a program to be offered in conjunction with another tertiary education institution or educational provider, a provision of this instrument has no effect in relation to a person undertaking the program to the extent to which it is inconsistent with the arrangement.

(2) If the Vice-Chancellor or a Deputy Vice-Chancellor enters into a contract with a private or government organisation for a program to be offered, a provision of this instrument has no effect in relation to a person undertaking the program to the extent to which it is inconsistent with the contract.

(3) For this section, a provision of this instrument is not inconsistent with a provision of an arrangement or contract mentioned in this section to the extent to which both provisions can operate concurrently.
Part 2—Payment of student contribution amounts and fees

Division 2.1—Domestic student tuition fees

7 Domestic students: fees for award programs

(1) This section applies to a domestic student if the student is enrolled in a program for an award for any semester, session or trimester.

(2) The student must pay the University the tuition fees payable, under the contribution amounts and fees schedule, for the courses to be undertaken in the program for the semester, session or trimester.

(3) However, the student is not required to pay tuition fees if:
   (a) the student:
      (i) is eligible for FEE-HELP or HECS-HELP assistance from the Commonwealth and has taken out a FEE-HELP or HECS-HELP loan before the relevant census date; or
      (ii) is a Commonwealth-funded Higher Degree by Research student; or
      (iii) holds an Australian Postgraduate Award or an Australian Postgraduate (Industry) Award and is eligible for, but has not been awarded, a Commonwealth-funded Research Training Scheme place; or
      (iv) holds a full tuition fee scholarship funded by the University; or
      (v) holds a place fully funded by an employer; and
   (b) the student’s obligation to pay the fees is met under the award, scheme or arrangement mentioned in paragraph (a).

(4) To remove any doubt, a student mentioned in subsection (3)(a) remains personally liable to pay tuition fees if the student’s obligation to pay the fees is not met under the award, scheme or arrangement.

(5) Also, if the Vice-Chancellor, Deputy Vice-Chancellor or relevant Associate Dean sponsors all or part of the student’s tuition fees in accordance with the HES Act, the student is not required to pay the sponsored fees.

8 Domestic students: fees for non-award programs etc.

(1) If a student is enrolled in a non-award program for any semester, session or trimester, the student must pay the University the tuition fees payable, under the contribution amounts and fees schedule, for the courses to be undertaken in the program for the semester, session or trimester.

(2) The student must pay the tuition fees whether or not the student’s performance is to be examined.

(3) If a contributing student is enrolled in a course for any semester, session or trimester and the course does not have a Commonwealth supported place for that semester, session or trimester, the student must pay the University the tuition fees payable, under the contribution amounts and fees schedule, for that course.
(4) If a cross-institutional student of another tertiary institution is enrolled in a course or other work requirement for any semester, session or trimester and the course or other work requirement forms part of a coursework program offered by the University, the student must pay the University the tuition fees payable, under the contribution amounts and fees schedule, for that course or other work requirement.

(5) However, the cross-institutional student is not required to pay the tuition fees if:
   (a) the student discharges the student's liability by taking out a FEE-HELP loan before the relevant census date; or
   (b) the student is awarded a Commonwealth supported place by the University and either pays the student contribution amount or defers the student contribution using HECS-HELP.

(6) If a cross-institutional student of another tertiary education institution holds a scholarship or other award that exempts the student from a requirement to pay tuition fees, the student is taken to be enrolled at the other institution on a fee-paying basis.

Division 2.2—Overseas student fees

9 Overseas students: fees

(1) This section applies to an overseas student if the student is (or is to be) enrolled in a program for any semester, session or trimester.

(2) The student must pay the University the fees payable, under the contribution amounts and fees schedule, for the courses to be undertaken in the program for the semester, session or trimester.

(3) However, the student is not required to pay fees if the student: holds a scholarship, approved by the University, that meets the student's obligation to pay the fees and the student's obligation to pay the fees is met under the scholarship.

(4) To remove any doubt, the student mentioned in subsection (3) remains personally liable to pay fees if the student's obligation to pay the fees is not met under the scholarship.

(5) Also, if the Vice-Chancellor, Deputy Vice-Chancellor or relevant Associate Dean sponsors all or part of the student's tuition fees in accordance with the HES Act, the student is not required to pay the sponsored fees.

10 Overseas students becoming permanent visa holders

(1) If an overseas student becomes a permanent visa holder after arriving in Australia, the person ceases to be an overseas student, and is to be treated as a domestic student, if the HES Act, or a legislative instrument under the HES Act, so requires.

(2) However, the person must, before the census date of the first course in the semester, session or trimester in which the person is enrolled, provide proof that the person has become a permanent visa holder to the University to be eligible to be treated as a domestic student for that semester, session or trimester.

(3) Also, if the continued entitlement of an overseas student to stay in Australia, or to enter and stay in Australia, is subject to any limitation as to time imposed by law on the census date for a semester, session or trimester, the person remains an overseas student for that semester, session or trimester.
Division 2.3—Commonwealth supported student contributions

11 General note for Division 2.3

[Commonwealth supported students are eligible domestic students who are offered a Commonwealth supported place by the University. Commonwealth supported students pay a contribution to the cost of their program and the Commonwealth pays the remainder of their tuition.]

12 Student contribution amounts

(1) If a contributing student is, in any semester, session or trimester, undertaking a program at the University on the relevant census date, the contributing student must pay the University for that semester, session or trimester the student contribution amount payable, under the contributions amount and fees schedule, towards the cost of the provision of that program.

(2) A contributing student must discharge the student’s liability to make any HECS-HELP contribution on or before the relevant census date by:
   (a) paying the University the student’s student contribution amount in full; or
   (b) if the student meets the citizenship or residency requirements under the HES Act, section 90-5—either:
      (i) making a partial payment and deferring payment of the unpaid amount; or
      (ii) deferring payment of the entire amount.

(3) If a contributing student intends to defer payment of the student contribution amount payable for a semester, session or trimester in whole or part, the student must give the Registrar the student’s Tax File Number, or a Certificate of Application for a Tax File Number from the Australian Taxation Office, before the relevant census date.

(4) If the contributing student gives the Registrar a Certificate of Application for a Tax File Number from the Australian Taxation Office under subsection (3), the student must give the Registrar the student’s Tax File Number not later than 15 working days after the day the student receives it from the Australian Taxation Office.

(5) A contributing student may, in a semester, session or trimester, make 1 or more payments of at least $500 per payment under subsection (2)(b) until the date determined, in writing, by the Registrar for making such payments in that semester, session or trimester. The University will not accept any voluntary payments of any amount from the student in that semester, session or trimester after that date.

(6) A date determined under subsection (5) must be published on the University’s website and on appropriate notice boards.

13 Appropriate officer

The Vice-Chancellor must, in writing, appoint a person as the appropriate officer of the University for the HES Act.

[Note 1: The appropriate officer is appointed under the HES Act, s 187-2 (Who is an appropriate officer?)]

[Note 2: The Registrar was the appropriate officer at the commencement of this instrument.]
14 Particular duties of Registrar in relation to HES Act

The Registrar must ensure that the University complies with the following provisions of the HES Act:
(a) section 19-70 (Provider to provide statement of general information);
(b) section 169-5 (Notices);
(c) section 169-10 (Correction of notices);
(d) section 154-55 (Higher education providers etc. to provide information to Commissioner).

Division 2.4—Student services and amenities fees

15 Student services and amenities fees

(1) This section applies to a student if the student is enrolled at the University for any semester, session or trimester.

(2) The student must pay the University the student services and amenities fee payable, under the contribution amounts and fees schedule, for the semester, session or trimester.

[Note: Student services and amenities fee is defined in the HES Act, s 19-37(5) (Requiring membership of certain organisations or payment of certain amounts). The fee is to support the provision of amenities and services not of an academic nature, regardless of whether a student choses to use any of those amenities and services]

(3) However, the student is not required to pay the student services and amenities fee if the person is exempt from the fee under the contribution amounts and fees schedule.

Division 2.5—Non-award studies fees

16 Fees for non-award studies

(1) This section applies to a person if the person undertakes studies offered by the University (other than a program of instruction to enable the person to undertake a program) that are not required or permitted to be undertaken for the purpose of obtaining a degree, diploma, certificate or other award of the University.

(2) The person must pay the University the fees payable, under the contribution amounts and fees schedule, for the studies.

Division 2.6—Incidental goods and services fees

17 Fees for incidental services etc.

(1) This section applies to a person if the person uses any good or service offered by the University and a fee that is incidental to studies that may be undertaken with the University has been determined by the University as the charge for the good or service.

(2) The person must pay the University the fee determined for the good or service.

[Note: Under the HES Act, a fee does not include a fee determined, in accordance with the Higher Education Provider Guidelines made under that Act, to be a fee that is incidental to studies that may be undertaken with a higher education provider (see s 19-102(3)(f) (Meaning of fee)). For the criteria to decide whether a fee is of a kind that is incidental to studies that may be...]

Fees Rule 2016
Division 2.7—Residential accommodation fees

18 Fees for residential accommodation services

(1) This section applies to a person if the person uses residential accommodation services offered by the University.

(2) The student must pay the University the fee determined by the University as the charge for the services.

(3) However, the University may alternatively enter into a commercial arrangement with the person for the use of the residential accommodation services that requires the person to pay fees under the arrangement.

(4) A fee payable by the person under an arrangement mentioned in subsection (3) is taken to be a fee payable by the person under this instrument.
Part 3—Collection of fees

19 Appointment of nominees etc.

(1) The Vice-Chancellor may, in writing, appoint a person as a nominee to collect fees payable under this instrument.

(2) A nominee has, for this instrument, the functions that the Vice-Chancellor determines in writing.

20 Responsibility for collection of fees etc.

(1) The Registrar must collect:
   (a) the fees and student contribution amounts payable under the following provisions:
      (i) Division 2.1 (Domestic student tuition fees);
      (ii) Division 2.2 (Overseas student fees);
      (iii) Division 2.3 (Commonwealth supported student contributions); and
   (b) the types of fees payable under the following provisions that the Vice-Chancellor directs in writing:
      (i) Division 2.4 (Student services and amenities fees);
      (ii) Division 2.6 (Incidental goods and services fees).

(2) A nominee must collect:
   (a) the fees payable under the following provisions:
      (i) Division 2.5 (Non-award studies fees);
      (ii) Division 2.7 (Residential accommodation fees); and
   (b) the types of fees payable under the following provisions that the Vice-Chancellor directs in writing:
      (i) Division 2.4 (Student services and amenities fees);
      (ii) Division 2.6 (Incidental goods and services fees).

21 Registrar’s general powers

(1) The Registrar may, by written notice, determine the following:
   (a) the date or dates for the payment of fees and student contribution amounts to the University;
   (b) how fees and student contribution amounts are to be paid;
   (c) the circumstances in which late fees may be imposed;
   (d) the circumstances (if any) in which fees and student contribution amounts may be paid by instalments and the conditions applying to payment by instalments;
   (e) the circumstances in which a person may be entitled to:
      (i) a refund of all or part of an amount paid under this instrument; or
      (ii) remission of a debt under this instrument;
   (f) the notice that a person is required to give the University of a change in the person’s address, including, for example, a semester, work, permanent home or email address.

[Note: A notice may be varied or revoked (see Acts Interpretation Act 1901, s 33 (3) (Power to make instrument includes power to vary or revoke etc. instrument).]
(2) A notice under this section may relate to all relevant students or to students of a particular class (including students to whom circumstances set out in the notice apply).

(3) The Registrar must publish a notice under this section on the University’s website.

22 Extensions and exemptions

(1) The Registrar may:
   (a) extend the time for the payment of fees or student contribution amounts payable this instrument; or
   (b) exempt a person from:
      (i) a late fee; or
      (ii) an additional fee for the revival of a cancelled enrolment or withdrawn rights and entitlements.

(2) However, the Registrar may not extend the payment date for a Commonwealth supported student beyond the relevant census date.

23 Cancellation of enrolment for nonpayment of fees etc.

(1) The Registrar may cancel the enrolment of a person as a student, or withdraw rights and privileges to which a person would otherwise have been entitled, (or both) if a fee or student contribution amount payable by a person under this instrument is not paid:
   (a) before the relevant census date or the other date by which payment is required to be made; or
   (b) if the Registrar has extended the time for payment under section 22 (Extensions and exemptions)—within the extended time allowed by the Registrar.

(2) The cancellation of a person’s enrolment as a student, or the withdrawal of rights or privileges to which a person would otherwise have been entitled, does not extinguish any undischarged liability of the person to pay a fee or student contribution amount.

(3) In making a decision under subsection (1), the Registrar must act in accordance with the HES Act and the Education Services for Overseas Students Act 2000.

24 Revival of cancelled enrolments etc.

(1) This section applies if a person’s enrolment as a student has been cancelled, or rights or privileges to which a person would otherwise have been entitled have been withdrawn, under section 23 (Cancellation of enrolment for nonpayment of fees etc.).

(2) The Registrar may, on the person’s application, revive the person’s enrolment or the person’s entitlement to the rights or privileges.

(3) However, the Registrar may revive the enrolment or entitlement only if:
   (a) the relevant authority recommends that the enrolment or entitlement be revived, subject to any conditions that the relevant authority may impose; and
   (b) the person pays, in addition to all other fees (including late fees) and student contribution amounts that the person owes to the University, any additional fee that the applicant is required to pay under this instrument.
25 Liability of persons financially supported by third party

(1) The Vice-Chancellor may accept an undertaking by a third party (including a party within the University), or a representative of the third party, to pay, on behalf of a person, fees and student contribution amounts payable to the University by the person under this instrument.

(2) However, the person remains personally liable for the payment of any fees or student contribution amounts payable to the University by the person that are not paid by the third party.

26 Other sanctions for nonpayment of fees etc.

(1) If a person fails to pay a fee or student contribution amount that the person is required to pay under this instrument, the Registrar may, in writing, direct that, while the fee or amount remains unpaid:
   (a) the person may not enrol or re-enrol in a program or course at the University; or
   (b) the person may not be given a transcript of the person’s academic record; or
   (c) the person may not be given the results of any assessment in a course or program; or
   (d) the person may not receive a degree, diploma, certificate or other award of the University.

(2) This section is additional to section 23 (Cancellation of enrolment for nonpayment of fees etc.).

(3) In this section:

*fee*, in relation to a person, means any fee or other amount payable by the person to the University under this instrument, and includes any of the following:
   (a) a late fee or additional fee;
   (b) an accommodation debt;
   (c) a fee payable in relation to a financial assistance program or field trip;
   (d) any other financial liability for a service rendered, or goods supplied, by the University in relation to the person.
Part 4—Miscellaneous

27 Approved forms

(1) The Registrar may, in writing, approve forms for this instrument.

(2) If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3) The Registrar must ensure that approved forms are available on the University’s website or any other way that the Registrar considers appropriate.

28 Service of notices etc.

(1) This section applies to a notice or other document that is required or permitted to be served on an individual under this instrument (whether the word ‘give’, ‘notify’, ‘send’, ‘tell’ or another word is used).

(2) The document may be served on an individual:

   (a) by giving it to the individual; or
   (b) by sending it by prepaid post, addressed to the individual, to an address shown in the University’s records as the individual’s semester address, work address or permanent home address; or
   (c) by emailing it to:
       (i) if the individual has an email address provided by the University—that email address; or
       (ii) in any case—an email address otherwise recorded by the University as the individual’s email address.

(3) A document served by post on an individual under subsection (2)(b) is taken to have been served on the day it would have been delivered in the ordinary course of post.

(4) A document served by email on an individual under subsection (2)(c) is taken to have been served on the day it would been received in the ordinary course of email transmission.

29 Delegation by Vice-Chancellor etc.

(1) The Vice-Chancellor may, in writing, delegate the Vice-Chancellor’s functions under this instrument to a member of the staff of the University or to a nominee.

(2) A delegation under subsection (1) may authorise the delegate to subdelegate, in accordance with the delegation, all or part of a delegated function to a member of the staff of the University or to a nominee or agent of a nominee.

30 Agents of nominee

A nominee may, in writing, appoint a person as the nominee’s agent for the exercise of the nominee’s functions under this instrument.
Part 5—Repeal and transitional

31 Repeal etc.

(1) The following instruments are repealed:
   (a) the Fees Rule 2015;
   (b) the Fees (General) Order 2016.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Fees Rules (whether with or without the year of its making or the year and number of the year of its making) includes a reference to this instrument.

32 Transitional

(1) To remove any doubt, any amount payable and unpaid under the Fees Rule 2015, and anything done under the rule and in effect immediately before the repeal of the rule, continues to be payable, or to have effect, as if the amount were payable, or the thing had been done, under this instrument.

(2) This section is additional to, and does not limit, the following provisions:
   (a) the Acts Interpretation Act 1901, section 7 (Effect of repeal or amendment of Act), as applied by the Legislation Act 2003, section 13(1)(a) (Construction of legislative instruments);
   (b) the Interpretation Statute (No. 2) 2013, section 7 (Amendment of statutes).
THE AUSTRALIAN NATIONAL UNIVERSITY

Research Awards Rule 2016

I, Professor Brian P. Schmidt, Vice-Chancellor, make the following rule.

Dated 14 December 2016

[Signature]

Professor Brian P. Schmidt AC FAA FRS
Vice-Chancellor
Contents

Part 1— Preliminary .................................................................................................................. 1

Division 1.1— General ............................................................................................................. 1
  1 Name ................................................................................................................................. 1
  2 Commencement .................................................................................................................. 1
  3 Authority ............................................................................................................................ 1
  4 Definitions .......................................................................................................................... 3
  5 Application of instrument to programs .............................................................................. 2

Division 1.2— Important concepts ............................................................................................ 2
  6 Research awards .................................................................................................................. 2
  7 Programs for research awards generally ............................................................................ 2
  8 What is credit ....................................................................................................................... 2
  9 What is a unit ....................................................................................................................... 3

Part 2— Research degrees ........................................................................................................ 4
  10 Research degrees conferred by University ......................................................................... 4
  11 Joint or dual programs with other institutions etc ............................................................. 4

Part 3— Program admissions, enrolments and transfers .......................................................... 5

Division 3.1— Admission requirements and limitations: research awards .............................. 5
  12 Minimum qualification requirement: doctoral programs .................................................. 5
  13 Minimum qualification requirement: Master of Philosophy ............................................ 5
  14 English language and other program requirements .......................................................... 5
  15 Limits on places in programs ............................................................................................ 5

Division 3.2— Admission process: research awards .................................................................. 5
  16 Application for admission ................................................................................................. 5
  17 Decision on application for admission .............................................................................. 6
  18 Admission having regard to minimum admission requirements ...................................... 6
  19 Admission for certain staff members of University ......................................................... 7
  20 False or misleading statements in applications for admission etc ..................................... 7

Division 3.3— Pre-enrolment process: research awards ............................................................. 8
  21 Pre-enrolment action by Delegated Authority .................................................................. 8

Division 3.4— Program commencement: research awards ....................................................... 9
  22 Program commences on enrolment .................................................................................... 9

Division 3.5— Program transfers: research awards ................................................................. 9
  23 Transfer between programs ............................................................................................. 9

Part 4— Program requirements ................................................................................................ 10

Division 4.1— Credit .................................................................................................................. 10
  24 Granting credit .................................................................................................................. 10
  25 Limits on granting credit ................................................................................................... 10

Division 4.2— Program content ................................................................................................ 10
  26 Program components ......................................................................................................... 10
  27 Research component ......................................................................................................... 10
  28 Coursework component .................................................................................................... 11
<table>
<thead>
<tr>
<th>Division</th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Division 4.3</td>
<td>Undertaking the program</td>
<td>11</td>
</tr>
<tr>
<td>30</td>
<td>Program progress</td>
<td>11</td>
</tr>
<tr>
<td>31</td>
<td>Standard program enrolment</td>
<td>11</td>
</tr>
<tr>
<td>32</td>
<td>Standard program duration: doctoral programs</td>
<td>11</td>
</tr>
<tr>
<td>33</td>
<td>Standard program duration: Master of Philosophy</td>
<td>12</td>
</tr>
<tr>
<td>34</td>
<td>Place where program must be undertaken</td>
<td>12</td>
</tr>
<tr>
<td>35</td>
<td>Revocation of approval to undertake program outside University</td>
<td>13</td>
</tr>
<tr>
<td>36</td>
<td>Total minimum period of attendance at University campus during program</td>
<td>13</td>
</tr>
<tr>
<td>37</td>
<td>Minimum period of attendance at University campus during a year</td>
<td>14</td>
</tr>
<tr>
<td>38</td>
<td>Program leave of absence</td>
<td>15</td>
</tr>
<tr>
<td>39</td>
<td>Program extension</td>
<td>15</td>
</tr>
</tbody>
</table>

| Division 4.4 | Other program requirements | 16 |
| 40 | Language of instruction | 16 |
| 41 | Other studies | 16 |
| 42 | Employment | 17 |

| Division 4.5 | Ending of program | 17 |
| 43 | Withdrawal from program | 17 |
| 44 | Maximum period for completion: basic maximum period | 17 |
| 45 | Maximum period for completion of program: reduction of maximum period | 18 |
| 46 | Maximum period for completion of program: extension of maximum period | 18 |
| 47 | Ending of program at end of maximum period for completion | 19 |
| 48 | Termination of program | 19 |

| Part 5 | Supervision | 21 |
| 49 | Purpose of Part 5 | 21 |
| 50 | Supervisory panel and supervisors | 21 |
| 51 | Appointment of supervisors | 21 |
| 52 | Particular responsibilities of primary supervisor and chair | 22 |
| 53 | General responsibilities of members of supervisory panel etc. | 22 |
| 54 | Temporary supervisory arrangements | 23 |

| Part 6 | Assessment | 24 |
| 55 | Reviews of progress | 24 |
| 56 | Action after review | 24 |

| Division 6.1 | Reviews | 24 |
| 57 | Purpose of Division 6.2 | 24 |
| 58 | General thesis requirements | 24 |
| 59 | Form of thesis for examination | 25 |
| 60 | Submission of thesis | 25 |
| 61 | Request for non-disclosure of thesis | 25 |

| Division 6.2 | Thesis | 24 |
| 62 | Purpose of Division 6.3 | 24 |
| 63 | Examination of research | 24 |
| 64 | Application of Assessment Rule | 26 |
| 65 | Assessment of clinical or professional practice | 26 |
| 66 | Examination of program with research and coursework components | 26 |
| 67 | Examinations must be in English | 27 |

<p>| Division 6.3 | Examination methods | 26 |
| 68 | Purpose of Division 6.4 | 27 |
| 69 | Thesis examiners | 27 |</p>
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>68</td>
<td>Purpose of Division 6.4</td>
<td>27</td>
</tr>
<tr>
<td>69</td>
<td>Appointment of thesis examiners</td>
<td>27</td>
</tr>
<tr>
<td>70</td>
<td>Qualifications for appointment as thesis examiner</td>
<td>27</td>
</tr>
<tr>
<td>71</td>
<td>Conflicts of interests by examiners</td>
<td>27</td>
</tr>
<tr>
<td>72</td>
<td>Non-disclosure of identity of examiners</td>
<td>29</td>
</tr>
<tr>
<td>73</td>
<td>Prohibited communications during thesis examination</td>
<td>29</td>
</tr>
<tr>
<td>74</td>
<td>Nomination of person to provide further information to examiner</td>
<td>29</td>
</tr>
<tr>
<td><strong>Division 6.5— Examinaion reports</strong></td>
<td></td>
<td>29</td>
</tr>
<tr>
<td>75</td>
<td>Examiners’ reports on thesis examination</td>
<td>29</td>
</tr>
<tr>
<td><strong>Division 6.6— Further examination of thesis</strong></td>
<td></td>
<td>30</td>
</tr>
<tr>
<td>76</td>
<td>Application of Division 6.6</td>
<td>30</td>
</tr>
<tr>
<td>77</td>
<td>Student to be given opportunity of further examination</td>
<td>30</td>
</tr>
<tr>
<td>78</td>
<td>Oral examination</td>
<td>30</td>
</tr>
<tr>
<td>79</td>
<td>Assessor for oral examination</td>
<td>31</td>
</tr>
<tr>
<td>80</td>
<td>Written examination</td>
<td>31</td>
</tr>
<tr>
<td><strong>Division 6.7— Outcome of thesis examination</strong></td>
<td></td>
<td>32</td>
</tr>
<tr>
<td>81</td>
<td>Application of Division 6.7</td>
<td>32</td>
</tr>
<tr>
<td>82</td>
<td>Recommendation by Delegated Authority following thesis examination</td>
<td>32</td>
</tr>
<tr>
<td>83</td>
<td>Decision of Associate Dean following thesis examination</td>
<td>33</td>
</tr>
<tr>
<td>84</td>
<td>Corrections or revisions to thesis</td>
<td>33</td>
</tr>
<tr>
<td>85</td>
<td>Re-examination by resubmission of thesis</td>
<td>34</td>
</tr>
<tr>
<td>86</td>
<td>Re-examination of coursework</td>
<td>35</td>
</tr>
<tr>
<td>87</td>
<td>Recommendation by Delegated Authority following re-examination</td>
<td>35</td>
</tr>
<tr>
<td>88</td>
<td>Decision of Associate Dean following re-examination</td>
<td>35</td>
</tr>
<tr>
<td>89</td>
<td>Examination of Doctor of Philosophy thesis for Master of Philosophy</td>
<td>36</td>
</tr>
<tr>
<td><strong>Division 6.8— Retention and availability of thesis</strong></td>
<td></td>
<td>37</td>
</tr>
<tr>
<td>90</td>
<td>Student must provide thesis for deposit in University Library</td>
<td>37</td>
</tr>
<tr>
<td>91</td>
<td>Thesis of student not granted research award</td>
<td>37</td>
</tr>
<tr>
<td><strong>Part 7— Reviews and appeals</strong></td>
<td></td>
<td>39</td>
</tr>
<tr>
<td><strong>Division 7.1— Reviews of reviewable decisions</strong></td>
<td></td>
<td>39</td>
</tr>
<tr>
<td>92</td>
<td>What is a reviewable decision?</td>
<td>39</td>
</tr>
<tr>
<td>93</td>
<td>Who is the person affected by a reviewable decision?</td>
<td>39</td>
</tr>
<tr>
<td>94</td>
<td>Application for review of reviewable decision</td>
<td>39</td>
</tr>
<tr>
<td>95</td>
<td>Review by Associate Dean</td>
<td>40</td>
</tr>
<tr>
<td>96</td>
<td>Application for procedural review by Deputy Vice- Chancellor</td>
<td>41</td>
</tr>
<tr>
<td>97</td>
<td>Procedural review by Deputy Vice-Chancellor</td>
<td>41</td>
</tr>
<tr>
<td><strong>Division 7.2— Appeals against appealable decisions</strong></td>
<td></td>
<td>42</td>
</tr>
<tr>
<td>98</td>
<td>What is an appealable decision?</td>
<td>42</td>
</tr>
<tr>
<td>99</td>
<td>Who is the person affected by an appealable decision?</td>
<td>42</td>
</tr>
<tr>
<td>100</td>
<td>Appeal against appealable decision</td>
<td>42</td>
</tr>
<tr>
<td>101</td>
<td>Appeal: hearing and decision</td>
<td>42</td>
</tr>
<tr>
<td>102</td>
<td>Application for procedural appeal to Deputy Vice-Chancellor</td>
<td>44</td>
</tr>
<tr>
<td>103</td>
<td>Procedural appeal to Deputy Vice-Chancellor</td>
<td>44</td>
</tr>
<tr>
<td><strong>Part 8— Miscellaneous</strong></td>
<td></td>
<td>46</td>
</tr>
<tr>
<td>104</td>
<td>Approved forms</td>
<td>46</td>
</tr>
<tr>
<td>105</td>
<td>Service of notices etc.</td>
<td>46</td>
</tr>
<tr>
<td>106</td>
<td>Appointment etc. of Delegated Authorities</td>
<td>46</td>
</tr>
<tr>
<td>107</td>
<td>College Dean exercising Associate Dean’s functions</td>
<td>46</td>
</tr>
<tr>
<td>Page</td>
<td>Section</td>
<td>Page</td>
</tr>
<tr>
<td>------</td>
<td>----------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>108</td>
<td>Delegation by Deputy Vice-Chancellor</td>
<td>47</td>
</tr>
<tr>
<td>109</td>
<td>Power to make orders</td>
<td>47</td>
</tr>
</tbody>
</table>

**Part 9 — Repeal and transitional**

<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>110</td>
<td>Repeal etc</td>
<td>48</td>
</tr>
<tr>
<td>111</td>
<td>Commencement of existing programs</td>
<td>48</td>
</tr>
<tr>
<td>112</td>
<td>Maximum period for completion: transitional</td>
<td>48</td>
</tr>
<tr>
<td>113</td>
<td>Transitional modifications on student application</td>
<td>48</td>
</tr>
<tr>
<td>114</td>
<td>Advisers</td>
<td>49</td>
</tr>
</tbody>
</table>
Part 1—Preliminary

Division 1.1—General

1 Name

This is the Research Awards Rule 2016.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

appealable decision: see section 98.

approved form means a form approved under section 104 (Approved forms).

Associate Dean, for an ANU College, means an Associate Dean appointed under the ANU College Governance Rules by the College Dean for the college.

course means a subject of scholarly study taught:

(a) in a connected series of classes or demonstrations; or

(b) by means of practical work, including, for example, the production by students of essays, theses or case studies or the attendance and participation by students in seminars or workshops; or

(c) by clinical or professional practice.

coursework means the courses, and other written or oral work (if any), undertaken by a student for the coursework component (if any) of a program for a research award.

[Note: The content of the coursework component of a program for a research award is approved by the Delegated Authority under s 28 (Coursework component).]

credit: see section 8.

Delegated Authority, in relation to a program offered by an ANU College for a research award, means a person who is appointed under section 106 (Appointent etc. of Delegated Authorities) as a Delegated Authority for the program.

exercise a function includes perform the function.

function includes duty and power.
in alternative format: a thesis is in alternative format if it includes video recordings, film or other works of visual or sonic arts, computer software, digital material or other non-written material.

order means an order made under or for the purposes of this instrument.

person affected:
(a) by an appealable decision: see section 99; or
(b) by a reviewable decision: see section 93.

professional doctorate means a Doctor of Juridical Science or a Doctor of Psychology (Clinical).

research award: see section 6.

reviewable decision: see section 92.

this instrument includes the orders.

unit: see section 9.

working day means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.

[Note: The Interpretation Statute defines the following terms that are relevant to this instrument:
• ANU College
• College Dean.]

5 Application of instrument to programs

This instrument applies to programs for research awards and other programs:
(a) that were commenced, but had not ended, before the commencement of this instrument; or
(b) that are commenced after the commencement of this instrument.

Division 1.2—Important concepts

6 Research awards

A research award is a degree that, under section 10 (Research degrees conferred by University), may be conferred by the University.

7 Programs for research awards generally

(1) A student must undertake a program for a research award in accordance with this instrument, and any order applying to the program, to qualify for a research award.

(2) The program may:
(a) consist of research or research and coursework; and
(b) be undertaken by full-time or part-time study.

8 What is credit

For a person admitted to be enrolled, or enrolled, in a program for a research award, credit is the recognition, towards completion of the program, of:
(a) a course, or other relevant graduate or undergraduate studies, undertaken at the University or another university or tertiary education institution otherwise than as part of the program; or
(b) clinical or professional experience;
and includes advanced standing and recognition of prior learning.

9 What is a unit

(1) A unit is a measure of the work undertaken, or required to be undertaken, by a student for a program for a research award.

(2) One unit is equivalent to:
   (a) 1 week, if the program is being undertaken full-time; and
   (b) 2 weeks, if the program is being undertaken part-time.
Part 2—Research degrees

10 Research degrees conferred by University

(1) This section specifies under section 3 of the Programs and Awards Statute 2013 the research degrees that the University may confer.

(2) The University may confer the following research degrees:
   (a) Doctor of Philosophy (PhD);
   (b) Doctor of Philosophy (Clinical Psychology) (PhD);
   (c) Doctor of Juridical Science (SJD);
   (d) Doctor of Psychology (Clinical) (DPsych(Clinical));
   (e) Master of Philosophy (MPhil).

(3) The University may confer a research degree jointly with another university or institution with which it has an agreement for the joint conferral of research degrees.

(4) In this section:
   research degree means:
   (a) the degree of Doctor of Philosophy or a professional doctorate by research; or
   (b) the degree of Master of Philosophy.

11 Joint or dual programs with other institutions etc.

(1) A provision of this instrument or an order has no effect to the extent to which it is inconsistent with an agreement between the University and another university or institution that makes provision for or in relation to joint or dual programs offered by them (including cotutelle), or the joint or dual conferral of degrees or other awards by them, for students or a particular student.

(2) For subsection (1), a provision of this instrument is not inconsistent with a provision of an agreement mentioned in that subsection to the extent to which both provisions can operate concurrently.
Part 3—Program admissions, enrolments and transfers

Division 3.1—Admission requirements and limitations: research awards

12 Minimum qualification requirement: doctoral programs

The minimum qualification requirement for admission to a program for a Doctor of Philosophy or professional doctorate is:

(a) a degree of bachelor with first class honours, or upper second class honours, from an Australian university; or

(b) another qualification that the Delegated Authority is satisfied is equivalent or superior to a degree mentioned in paragraph (a); or

(c) a combination of qualifications and professional experience that the Delegated Authority is satisfied is equivalent or superior to a degree mentioned in paragraph (a).

13 Minimum qualification requirement: Master of Philosophy

The minimum qualification requirement for admission to a program for a Master of Philosophy is:

(a) a degree of bachelor, with an overall grade of distinction or higher, from an Australian university; or

(b) another qualification that the Delegated Authority is satisfied is equivalent or superior to a degree mentioned in paragraph (a); or

(c) a combination of qualifications and professional experience that the Delegated Authority is satisfied is equivalent or superior to a degree mentioned in paragraph (a).

14 English language and other program requirements

The Deputy Vice-Chancellor may, in writing, determine English language and other requirements (including higher qualification requirements) for admission to a program for a research award.

15 Limits on places in programs

The College Dean for an ANU College may, in writing, determine the maximum number of students that may be admitted in any period to a program offered by the college for a research award.

Division 3.2—Admission process: research awards

16 Application for admission

(1) A person may apply to the Registrar to be admitted to a program for a research award.

(2) The application must:

(a) be in writing; and

(b) state the program for which admission is sought; and

(c) include complete details of the person’s qualifications and, if relevant, professional experience.