COUNCIL

The 431st meeting of the Council will be held at 11am on Thursday 18 February 2016 in the Board Room, ANU House, Melbourne. Any additional papers and briefing materials will be provided at the meeting.

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
* 5. Minutes.......................................................................................................4

Part 2 – Key Business Items
*C 6-11 Confidential to Council Members


Part 4 – Other Matters for Decision
C 13. Confidential to Council Members
* 15. Work, Health and Safety Self Insurance Project – Overview and Update.....14
  16. Internal Audit Charter..............................................................................18
  17. Appointment to Board of Governors of the ANU Endowment for Excellence...19

Part 5 – Other Matters for Noting
*C 18-21 Confidential to Council Members
  22. ANU Emeritus Faculty Annual Report 2015..............................................21
  23. Scholarships and Prizes Approvals 2015...................................................22
*C 24-25 Confidential to Council Members
  26. Academic Board .....................................................................................24
  27. Academic Board Annual Report 2015......................................................25
  28. Power of Attorney...................................................................................26
  29. University Seal Report..............................................................................27
  30. Report of Significant Visits and Events, Grants and Consultancies............28
  31. Legislation ...............................................................................................29
  32. ‘ANU by 2020’ – Performance Review Report ...........................................32
* 33. ATAR - University Admissions Report .................................................33
Part 6 – Other Business

* 34. Question Time .......................................................... 34
* 35. Other Business .......................................................... 35
  36. Next Meeting ............................................................. 36

ATTACHMENTS ........................................................................... 37
IMPORTANT INFORMATION FOR MEMBERS

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

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

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

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

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

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

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

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

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

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

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

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

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

* 1 ANNOUNCEMENTS AND APOLOGIES

There are no apologies for this meeting.

The Chair may speak.

* 2 LEAVE OF ABSENCE

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

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

* 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST

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

* 4 ARRANGEMENT OF AGENDA

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

* 5 MINUTES

RECOMMENDATION

It is recommended that the Council confirm the minutes of the meeting held on 4 December 2015 (889/2015).

PART 1 – PROCEDURAL ITEMS
THE AUSTRALIAN NATIONAL UNIVERSITY

COUNCIL MINUTES

Confidential until confirmed by Council
PART 2 – KEY BUSINESS ITEMS

*C 6 – 11 Confidential to Council Members
12. WORK, HEALTH AND SAFETY PERFORMANCE REPORT

PURPOSE
To consider the preliminary report on 2015 work health and safety performance.

PREPARED BY
Associate Director, Work Environment

REVIEVED BY
Director, Human Resources

APPROVED BY
Executive Director, Administration & Planning

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council consider the overview and update on work health and safety performance for 2015 (133/2016).

ACTION REQUIRED
☑ For discussion    ☐ For decision    ☐ For information

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

This report will be tabled at the first WHS Policy Committee of the year, scheduled for 22 February 2016.

BACKGROUND
This is the annual report to Council on the University’s work health and safety performance for the 2015 calendar year.

The report includes data on incidents, workers’ compensation claims and key WHS Management System components, as well as comparison with external targets.

Performance against targets, as per the previous ANU OHS Strategic Plan 2011-2014, have not been reported this year. This Plan will be updated once the WHS Management System is redesigned and implemented this year as part of the Workers Compensation Self Insurance Project.

For the first time this report is made in January rather than May and it is noted that some data for the 2015 period is not yet available.

It is also the first time that student incident data has been included in this report.

SUMMARY OF ISSUES
Overall in 2015, there was an increase in incidents reported, a decrease in Comcare claims and no significant change in lost time injuries. The number of incidents reported increased from 435 (2014) to 510 (2015). The number of accepted Comcare claims significantly decreased from 34 (2014) to 22 (2015). Whereas the lost time injury frequency rate (LTIFR) essentially remained the same at 1.0 in 2014 and reduced to 0.99 in 2015.

With respect to staff incidents and claims, in 2015 there was a deliberate and systematic focus on pre-liability or claim case management, and funding to assist with early intervention treatment and rehabilitation. The University has collaborated productively with Comcare to provide detailed and enhanced information to assist in the consideration liability decisions. For the period 1 January – 31 December, there were 26 ANU claim applications received by Comcare from the University. Of this total, 20 claims were accepted, 4 claims were denied, and 2 claims are yet to be determined. The total number of projected accepted claims for 2015 is 22 claims, representing a 35% reduction in claim numbers for 2015.
While the University experienced an upward trend in premium cost amount up until 2014, in 2015 we had a decrease in the premium cost amount to just under $10 million. The decrease in 2015 is primarily due a reduction from 34 to 22 accepted claims.

The Workers’ Compensation Self-Insurance Project by HR Division will further guide improvements to the WHS Management System with a view to obtaining a self-insurance license. A separate report to Council has been made on the progress of this project.

The number of occupational overuse injuries (OOS) caused by repetitive movement (e.g. computer keyboard use) have reduced significantly and consistently over recent years from 173 in 2013, to 94 in 2015.

Of the seven colleges, both the ANU College of Arts and Social Sciences and College of Physical and Mathematical Sciences had the highest number of accepted Comcare claims in 2015. Facilities and Services had the highest number of accepted claims (2 claims) for Service Divisions in 2015.

Work health and safety knowledge across the University was strengthen through 46 types of training courses being conducted during 2015. A total of 1071 participants attended training courses, with 437 participants attending more than 1 course.

As of the 1 January 2016, the University has 137 open Comcare workers compensation claims, which are currently accepted claims. Significant efforts were contributed in 2015 to reducing or closing these long term or “tail claims”. The 137 open claims has been reduced from 161 open claims as at 1 April 2015.

A focus on pre-emptive management of incidents is also evidence with an increase in staff accessing early intervention funding. During 2015 there were 51 employees with early intervention funding approved at a total value of $41,374. Of all 51 employees approved for early intervention support, only 3 employees progressed to a workers compensation claim following the approval of early intervention support.

During the period October 2015, the University promoted and conducted a health and wellness month, with the provision of health checks across campus. Positive Health results included 56% of participants recorded “Ideal” blood pressure readings of 120/80 mmHg or under, and 96% of participants reported they were non-smokers. Concerning Health results included 27% of participants reported they did not meet the minimum daily expectation for physical exercise; 44% of participants recorded blood glucose levels between 8 and 11 mmol/L (4 - 8 mmol/L is the ideal range); and 29% of participants recorded “At Risk” total cholesterol.

In 2015 there were 337 workstation assessment (WSA) conducted which was a slight increase from 324 conducted in 2014. This data does not include WSA conducted by local Occupational Strains Liaison Officers (OSLO’s) which is not currently systematically recorded.

While there have been improvements in lag indicators such as incident and cost, there is much to be done to improve the management of WHS at the University. Improvements in reporting continue to be required despite embedding incident and claims reporting via the University data warehouse ANU Insight. There continues to be a lack of consistency in approach to the management of safety risk management and the culture of safety must be significantly strengthened.

ATTACHMENT


COMMUNICATION

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

PART 2 – KEY BUSINESS ITEMS
PART 3 – STRATEGIC ISSUES – SEPARATE AGENDA TO BE ISSUED FOR PLANNING DAY ON 18-19 FEBRUARY 2016
PART 4 – OTHER MATTERS FOR DECISION

C13. Confidential to Council Members
**14. MASTER PLANS AND PRECINCT CODE**

**PURPOSE**
For Council to consider the *Mt Stromlo Master Plan 2030*, the *Siding Spring Observatory Master Plan 2030* and the draft *ANU Precinct Code*.

**PREPARED BY**
Director, Facilities and Services

**REVIEWED BY**
Campus Planning Committee

**APPROVED BY**
Campus Planning Committee

**SPONSOR**
Chancellor (as Chair, Campus Planning Committee)

**RECOMMENDATION**
That Council:

- approve the *Mt Stromlo Master Plan 2030* (865/2015) and the *Siding Spring Observatory Master Plan 2030* (866/2015);
- endorse the draft *ANU Precinct Code* (867/2015), as an addendum to the draft National Capital Plan; and
- note the review, commencing in 2016, of the *Acton Campus Master Plan 2030* (864/2015).

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

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

The approved Rules and Orders have been developed through consultation with a range of relevant internal stakeholders, including:

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

The Campus Planning Committee met on Friday 9 October 2015 and considered the *Mt Stromlo Master Plan 2030* (865/2015) and the *Siding Spring Observatory Master Plan 2030* (866/2015); the draft *ANU Precinct Code* (867/2015) (which is an addendum to the draft National Capital Plan); and the plans of ANU management to undertake a review, commencing in 2016, of the *Acton Campus Master Plan 2030* (864/2015). The Committee has recommended to Council approval of the *Mt Stromlo Master Plan 2030* (865/2015) and the *Siding Spring Observatory Master Plan 2030* (866/2015) and endorsement of the draft *ANU Precinct Code* (867/2015).

**BACKGROUND**
Historically the Council has not had an active role in the governance oversight of the campuses of the University. However, following the establishment of the Campus Planning Committee by the Council, a clear governance oversight role has been articulated, which includes a focus on Campus Master Plans and Precinct Codes.

At its October 2015 meeting, the Committee noted the importance of the Committee having oversight of all campus master plans, with a view to recommending their adoption to the Council (noting that the current Acton Campus Master Plan 2030 had not received formal approval from Council when promulgated in 2011).
The Mt Stromlo Master Plan 2030 and the Siding Spring Observatory Master Plan 2030 were finalised before the establishment of the Campus Planning Committee, and so were not formally considered for approval by Council prior to their adoption. In the interests of good governance however, the Council is asked to retrospectively approve the two master plans for adoption.

SUMMARY OF ISSUES

1. Mt Stromlo Master Plan

The Mt Stromlo Master Plan was completed in May 2015. This plan has been developed through the consideration of the ten key planning themes that are consistent with the Acton and Siding Spring Master Plans and as listed above under the descriptors for the Acton Campus Master Plan.

The Mt Stromlo Master Plan developed a vision of “A state of the art astronomy and astrophysics campus in a diverse cultural landscape” towards 2030 and proposes to provide:

1. Focussed opportunities in astronomy research
2. Redevelopment of previously developed areas
3. Protecting heritage values
4. Provisions for bushfire planning
5. Planning for increased visitation

2. Siding Spring Observatory Master Plan

The Siding Spring Master Plan was completed in March 2015. This plan has been developed through the consideration the ten key planning themes that are consistent with the Acton and Mt Stromlo Master Plans and as listed above under the descriptors for the Acton Campus Master Plan.

The SSO Master Plan proposes two major precincts to facilitate and provide improved management for the camps towards 2030 being:

1. Research and education precinct
2. Community and tourism precinct

3. Draft ANU Precinct Code

In 2014/15 the ANU and the National Capital Authority (NCA) worked collaboratively to develop an ANU Precinct Code which provides guiding principles for the development of the Acton Campus. The Precinct Code addresses the themes of the Master Plan and provides guidelines to specific development opportunities.

The development of the Precinct Code included addressing densification and urbanisation of the campus and as such provides for significant increase in building heights in specific areas of the campus. These heights also recognise and respect heritage buildings and precincts.

The ANU Precinct Code was completed in June 2015 and provided to the NCA to be released for comment with the draft revision of the National Capital Plan (NCP). It was programmed and anticipated that the NCP and ANU Precinct Code would be signed off by the responsible Minister by the end of 2015 however this has not yet been achieved due to a number of factors one being a change in the responsible Minister.

4. Acton Campus Master Plan

The ANU commenced the development of the Acton Campus Master Plan in 2010 which was designed to provide a long-range and comprehensive plan to guide the physical growth and development of the campus to the year 2030.

Campus Master Plan 2030 seeks to maintain and improve the function and character of the University and to improve connection and circulation on the campus.
The Campus Master Plan 2030 is built around a number of key themes. Rather than focus on specific projects, these themes set out interrelating areas, process and rules which will guide future development. The key themes are:

1. Academic intent
2. Functional elements
3. Campus structure
4. Built form
5. Heritage
6. Landscape
7. Transport and movement
8. Infrastructure
9. A living campus
10. Sustainability and the environment

The Master Plan was due for a review in 2015 however this process has been delayed due to the development of the ANU Precinct Code (addressed above). This review will now be scheduled for 2016 to be updated reflecting the ANU Precinct Code, the Capital Works program and ANU by 2025.

ATTACHMENTS

Attachment 14.1 - Mount Stromlo Campus Master Plan 2030 (865/2015)**
Attachment 14.2 - Siding Spring Observatory Master Plan 2030 (866/2015)**

**NOTE: Due to size restraints these attachments are available on request by contacting the Corporate Governance and Risk Office

COMMUNICATION

☐ For public release   ☐ For internal release   ☑ Not for release
15. WORK, HEALTH AND SAFETY SELF-INSURANCE PROJECT – OVERVIEW AND UPDATE

PURPOSE
To provide overview and current status of the Workers’ Compensation Project Overview

PREPARED BY
Project Manager, Service Improvement Group

REVIEWED BY
Director, Human Resources

APPROVED BY
Executive Director, Administration and Planning

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council consider the overview and update on the Workers’ Compensation Self-Insurance Project.

ACTION REQUIRED
☑ For discussion ☐ For decision ☑ For information

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

BACKGROUND AND OVERVIEW

Introduction
The Workers’ Compensation Self-Insurance Project has been established to improve WHS across the University and to meet self-insurance requirements.

Applying for self-insurance requires an extensive amount of planning and a systematic approach to improving work health and safety (WHS) in the workplace.

These improvements will include a large scale design to create better Safety Management Systems.

The project was commissioned in 2013 based on the then mounting evidence of escalating Comcare costs as shown below:

![ANU Comcare Premium $](image.png)

The self insurance project aims to address both the high costs of the Comcare scheme and the University’s own underlying performance deficit.

PART 4 – OTHER MATTERS FOR DECISION
Key Benefits

This project will deliver these key benefits:

- advanced safety culture where all staff are diligent about keeping ANU a safe place to work;
- improved safety performance resulting in direct financial benefits by way of premium reductions;
- closer and more productive relationships with injured workers;
- better understanding of the end to end claims process allowing for more efficient processes to be put in place to help injured workers;
- reduced indirect costs associated with injuries and time away from work.

Scope and Deliverables

The application process can be broken down into six components. (see Figure 1.0) Each component has a set of deliverables.

1. Work, Health and Safety Management System (WHSMS)
   a. Gap Analysis report on WHS documentation
   b. Documented Safety Management System
2. Rehabilitation Management System (RMS)
   a. Updated Rehabilitation and Injury Management Systems
3. Claims Management System (CMS)
   a. Claims Model with resource and system plan
   b. Technical claims system
4. Financial Feasibility
   a. Two self-insurance financial feasibility assessments
   b. Two liability reports
5. Consultation
   a. Communication and consultation strategy for all workers covered by workers’ compensation self-insurance
   b. Communication and consultation strategy for the Minister of Education
6. Application Preparation
   a. Completed self-insurance application

Figure 1.0
Six components of the self-insurance application.
Current Status of Each Component

Each of the six parts are broken down into milestones. (Attachment 1)

1. Work, Health and Safety Management System (WHSMS)

A gap analysis of WHS documentation occurred in March 2015. Immediately following the analysis, a discovery phase took place in which to engage stakeholders and provide an opportunity to verify WHS activities occurring across campus.

Currently in progress is the governance and framework structure review and followed by a training program assessment. A training needs analysis is currently underway and expected to be completed in March 2016. Also, a technical writer is currently working on updating procedures to reflect the self-insurance requirements. Future pieces of work include:

- analytics and data capture update;
- risk management program;
- audit and inspection program.

2. Rehabilitation Management System (RMS)

The Injury Management Manager is working on preparing the University for the next Comcare external audit of this system scheduled for April 2016. That includes creating an action list for each of the previous system non-conformances.

Once resources are allocated to complete actions, fortnightly reviews will occur to ensure the University is prepared for the audit.

3. Claims Management System (CMS)

Late last year, options were investigated for a claims management system. There are three providers that have existing solutions for meeting self-insurance reporting requirements to Comcare. All three vendors were interviewed and information collected about their systems. Requirements gathering sessions occurred with potential users for the new system. This included WHS advisors, the injury management team, the injury prevention team, WHS officers and a representative from the Division of Information Technology Services (ITS), Finance systems, HR systems and Planning and Performance Measurement teams.

Next steps are to produce a request for proposal (RFP) document and chose a vendor for a system. A system is expected to be implemented late 2016.

4. Financial Feasibility

An RFP was completed for actuarial services last year and they produced two reports. A financial feasibility assessment and a liability report were created and presented to the project steering committee late 2015.

A management response paper has been prepared and is going through the review process now. That will be presented to Senior Management Group and Council in 2016.

A second set of reports may need to be completed by the actuaries in order to provide updated numbers with the self-insurance application.

5. Consultation

The office of Strategic Communications & Public Affairs (SCAPA) is involved in this piece of the project. The University must consult with its portfolio minister in order to obtain endorsement to become a self-insurance license holder. This process is still being determined and further meetings with SCAPA are scheduled.
An extensive consultation and communication plan must also be created and implemented to ensure consultation with those who would be covered under the self-insurance license.

7. Application Preparation

Contact has been made with the account manager on the self-insurance side of Comcare. The application forms have also been obtained. Discussion on exit fees has been requested. That meeting is expected to occur in 2016.

Once the application is assembled, it must be submitted to the Safety Rehabilitation Commission (SRCC) twelve (12) weeks prior to their meeting.

Timeline with Key Milestones

The project began in 2015 with the commencement of a Gap Analysis. The analysis took three (3) months and was completed in March. From April to September of 2015 a discovery phase took place in which an external consultant continued the work on the gap analysis by performing an operational analysis of WHS activities across the University.

The next two milestones were the Financial Feasibility Assessment and the Liability Report completed by outside actuarial services in September. Lastly, in December, an initial resource analysis was completed.

The projected timeline for 2016 and 2017 (Attachments 2 and 3) have been estimated with and contain the following key milestones:

- March 2016 - Complete training needs analysis;
- April 2016 - Rehabilitation Management System external Comcare audit;
- June 2016 - Implement WHS governance framework and training plan initiated;
- July 2016 – Initiation of updated risk management and audit and inspection programs;
- September 2016 – Claims systems ‘go live’;
- October 2016 – Second Financial Feasibility Assessment and Liability Report completed by outside actuaries services;
- December 2016 – Self-insurance application submission (12 weeks before SRCC meeting);
- March 2017 – Application reviewed at SRCC meeting;
- June 2017 – Self-insurance begins.

ATTACHMENTS

15.1 WHS Self-Insurance Components (134/2016)
15.2 WHS Self-Insurance Project Timeline Year 2016 (135/2016)
15.3 WHS Self-Insurance Project Timeline Year 2017 (136/2016)

COMMUNICATION

For public release ☐ For internal release ☐ Not for release ☑
16. INTERNAL AUDIT CHARTER

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

PREPARED BY  Auditor, Corporate Governance & Risk

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

APPROVED BY  Director, Corporate Governance & Risk

SPONSOR  Chair, Audit & Risk Management Committee

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

ACTION REQUIRED

For discussion ☐  For decision ☑  For information ☐

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

SUMMARY

Section 5.5.5 Para 7 of the ARMC Charter refers to the Committee’s responsibility in respect of the requirement to undertake an annual 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 proposed 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></td>
<td>Replace ‘ANU’ with ‘University’</td>
</tr>
<tr>
<td></td>
<td>Replace ‘ARMC’ with ‘Committee’.</td>
</tr>
<tr>
<td></td>
<td>Replace ‘DCGRO’ with ‘Director’.</td>
</tr>
<tr>
<td>Risk management</td>
<td>Insert ‘and encouraging a culture that promotes appropriate management of risk across the University.’</td>
</tr>
<tr>
<td>Internal Audit</td>
<td>Replace ‘Strategic Internal Audit Work Plan’ with ‘Internal Audit Work Plan’.</td>
</tr>
<tr>
<td>Work plans</td>
<td>Follow up process Replace ‘cleared’ with ‘adequately addressed’.</td>
</tr>
</tbody>
</table>

ATTACHMENT

16.1 Internal Audit Charter 2016 (with changes tracked)
16.2 Internal Audit Charter 2016 Final (137/2016).

COMMUNICATION

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

PART 4 – OTHER MATTERS FOR DECISION
17. APPOINTMENT TO BOARD OF GOVERNORS OF THE ANU ENDOWMENT FOR EXCELLENCE

PURPOSE
To approve the appointment of the Hon Warwick Smith AM as a Governor of the Board of Governors of the ANU Endowment for Excellence.

PREPARED BY
Director, Alumni Relations & Philanthropy

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council approve the appointment of the Hon Warwick Smith AM to the Board of Governors of the ANU Endowment for Excellence for a period of four years (from 19 February 2016 until 19 February 2020).

ACTION REQUIRED
☐ For discussion ☑ For decision ☐ For information

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

BACKGROUND
In 2015, the Governors of the ANU Endowment for Excellence embarked on a structured program of renewal of their membership. A nominations subcommittee of the Governors was formed and has reported regularly to the full Board of Governors with recommendations for appointment.

The potential appointment of the Hon Warwick Smith AM to the Board of Governors of the ANU Endowment for Excellence was discussed by the Governors at their meeting of 15 December 2015. The Governors recommended the appointment unanimously, noting that the appointment of the Hon Warwick Smith AM would bring experience in government, business, and philanthropy to the Governors, along with considerable networks.

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 this appointment.

ATTACHMENT
17.1 Biography provided by the Hon Warwick Smith AM (138/2016).

COMMUNICATION
☐ For public release ☐ For internal release ☑ Not for release
PART 5 – OTHER MATTERS FOR NOTING

*C18 - 21  Confidential to Council Members
22. ANU EMERITUS FACULTY REPORT

PURPOSE
To note the Annual Report of the ANU Emeritus Faculty for the year ended 31 December 2015.

PREPARED BY
Chair, ANU Emeritus Faculty

REVIEWED BY
Chair, ANU Emeritus Faculty

APPROVED BY
Chair, ANU Emeritus Faculty

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the 2015 Annual Report of the ANU Emeritus Faculty.

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

ATTACHMENT
22.1 ANU Emeritus Faculty Annual Report 2015 (139/2016).
23. SCHOLARSHIPS AND PRIZES APPROVALS 2015

PURPOSE To note Scholarships and Prizes approvals for 2015.

PREPARED BY Director, Corporate Governance and Risk Office

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 2015 (140/2016).

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

ATTACHMENT
23.1 Scholarships and Prizes approvals report 2015 (140/2016)
*C24 – 25  Confidential to Council Members
26. ACADEMIC BOARD REPORT

PURPOSE  To note the report from the Academic Board meeting held on 8 December 2015.

AUTHOR  Chair, Academic Board

SPONSOR  Vice-Chancellor

RECOMMENDATION  That Council note the report from the Academic Board meeting held on 8 December 2015 (404/2015).

ACTION REQUIRED  For discussion ☑  For decision ☑  For information ☑

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

ATTACHMENT  26.1 Academic Board reports (404/2015)

COMMUNICATION  For public release ☐  For internal release ☐  Not for release ☑
27. ACADEMIC BOARD ANNUAL REPORT 2015

PURPOSE To note the 2015 Annual Report from the Academic Board.

AUTHOR Chair, Academic Board

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the 2015 Annual Report from the Academic Board (482/2016).

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

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

ATTACHMENT
27.1 Academic Board Annual Report 2015 (482/2016)

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

PURPOSE  To note a list of documents signed under Power of Attorney by the Investment Manager, and Acting Investment Manager, between 19 November 2015 and 8 January 2016.

AUTHOR  Investment Manager

REVIEWED BY  Chief Financial Officer

APPROVED BY  Chief Financial Officer

SPONSOR  Vice-Chancellor

RECOMMENDATION  That Council note the list of transactions over which the Investment Manager, and Acting Investment Manager, exercised Power of Attorney between 19 November 2015 and 8 January 2016.

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 28.1 provides the list of transactions signed under Power of Attorney by the Investment Manager, between 19 November 2015 and 8 January 2016.

ATTACHMENT


COMMUNICATION

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

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

AUTHOR
Manager, Vice-Chancellor's Office

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note that there have been no documents to which the University Seal has been affixed since the meeting of Council held on 4 December 2015.

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

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

BACKGROUND AND SUMMARY OF ISSUES

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

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

There have been no documents to which the University Seal has been affixed since the last meeting of Council held on 4 December 2015.

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
30. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

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

AUTHOR
Communications Officer (Special Events)
Office of Research Excellence

REVIEWED BY
Vice-Chancellor

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

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

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

ATTACHMENT
30.1 Report of significant visits and events, grants and consultancies (142/2016).
31. LEGISLATION

PURPOSE  For Council to note legislation made by the Vice-Chancellor.

PREPARED BY  Manager, Corporate Governance and Policy

REVIEWED BY  Director, Corporate Governance and Risk Office

APPROVED BY  Vice-Chancellor

SPONSOR  Vice-Chancellor

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

- Coursework Awards Rule 2015
- Research Awards Rule 2015
- Appeals Rule 2015
- Assessment Rule 2015
- Academic Misconduct Rule 2015
- Discipline Rule 2015
- Academic Progress Rule 2015
- Academic Progress (ANU Medical School) Order 2015
- Fees Rule 2015
- Fees (General) Order 2015
- Information Infrastructure and Services Rule 2015
- Information Infrastructure and Services Order 2015
- Academic Board (Election of Members) Order 2015

ACTION REQUIRED

For discussion ☐  For decision ☐  For information ☑

CONSULTATION

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

The approved Rules and Orders have been developed through consultation with a range of relevant internal stakeholders, including:

- Academic Board
- Deputy Vice-Chancellor (Research)
- Deputy Vice-Chancellor (Academic)
- Pro Vice-Chancellor (Research and Research Training)
- Director, Information Technology Services
- University Librarian
- Division of Student Administration

BACKGROUND

Under section 50(3) of the Australian National University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute 2013 authorises the Vice-Chancellor to make rules and orders for a number of statutes. If the Vice-Chancellor exercises this power, he must report it to the Council at the next meeting of the Council after the Rule or Order concerned was made.
SUMMARY OF ISSUES

Coursework Awards Rule 2015

The Coursework Awards Rule 2015 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 Rule repeals the Undergraduate Awards Rules (No. 2) 2013, Graduate Coursework Awards Rules 2014, Associate Degrees Rules 2012.

Research Awards Rule 2015

The Research Awards Rule 2015 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. The Rule repeals the Research Awards Rules (No. 2) 2013.

Appeals Rule 2015

The Appeals Rule 2015 is made under section 3 of the Appeals Statute 2014. The Rule defines reviewable decisions and establish criteria and procedures for the hearing of applications for a review of a reviewable decision. The Rule repeals the Appeals Rules 2014.

Assessment Rule 2015

The Assessment Rule 2015 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 in relation to undergraduate and graduate coursework programs, and for review and appeal processes in relation to decisions made under the Rule. The Rule repeals the Assessment Rules 2014 (No. 3).

Academic Misconduct Rule 2015

The Academic Misconduct Rule 2015 is made under section 3 of the Academic Misconduct Statute 2014. The Rule defines academic misconduct by students of the University and set out the consequences of, and University procedures for dealing with, such misconduct. The Rule repeals the Academic Misconduct Rules 2014.

Discipline Rule 2015

The Discipline Rule 2015 is made under section 3 of the Discipline Statute 2005. The Rule defines misconduct by students of the University and set out the consequences of, and University procedures for dealing with, misconduct. The Rule repeals the Discipline Rules 2014.

Academic Progress Rule 2015

The Academic Progress Rule 2015 is made under section 8 of the Programs and Awards Statute 2013. The Rule describes the circumstances under which students enrolled in coursework award programs might be refused re-enrolment in a course or courses, or might be excluded from further coursework study. The Rule also establish procedures under which students may appeal against such decisions. The Rule repeals the Academic Progress Rules 2014.

Academic Progress (ANU Medical School) Order 2015

The Academic Progress (ANU Medical School) Order 2015 is made under section 6 of the Programs and Awards Statute 2013 and section 22 of the Academic Progress Rule 2015. The Order is made under Academic Progress Rule 2015, section 17, which states enables an Order to be made to make provision about the academic performance of medical students, including the effect of unsatisfactory performance. The Order repeals the ANU Medical School Academic Progress Order 2014.

Fees Rule 2015

The Fees Rule 2015 is made under section 3 of the Fees Statute 2006. The Rule authorises 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

PART 5 – OTHER MATTERS FOR NOTING
arrangements for the payment and collection of those fees. The Rule repeals the _Fees Rules 2014_.

**Fees (General) Order 2015**

The _Fees (General) Order 2015_ is made under section 4 of the _Fees Statute 2006_. The Order publishes certain fees and sets out a framework under which fees can be calculated. The Order repeals the _Tuition Fees Order 2015_.

**Information Infrastructure and Services Rule 2015**

The _Information Infrastructure and Services Rule 2015_ is made under section 5 of the _Information Infrastructure and Services Statute 2012_. The Rule sets out conditions of access to the University’s information infrastructure and services, defines conditions of use, and describes the procedures for dealing with contraventions and penalties for contraventions. The Rule repeals the _Information Infrastructure and Services Rules 2012_.

**Information Infrastructure and Services Order 2015**

The _Information Infrastructure and Services Order 2015_ is made under section 5.1 of the _Information Infrastructure and Services Statute 2012_. The Order sets out required periods for return of borrowed Library items and the penalty amounts for contravention of the Information Infrastructure and Services Rule.

**Academic Board (Election of Members) Order 2015**

The _Academic Board (Election of Members) Order 2015_ is made under paragraph 6.1(i) of the _Academic Board and Committees Statute 2014_. The Order specifies the holders of certain offices that are to be regarded as members of ANU College Executive Committees for the purposes of paragraph 6.1(i) of the _Academic Board and Committees Statute 2014_. The Order repeals the _Academic Board (Election of Members) Order 2014 (No. 3)_.

**ATTACHMENTS**

31.1 - Coursework Awards Rule 2015 (143/2016)
31.2 - Research Awards Rule 2015 (144/2016)
31.3 - Appeals Rule 2015 (145/2016)
31.4 - Assessment Rule 2015 (146/2016)
31.5 - Academic Misconduct Rule 2015 (147/2016)
31.6 - Discipline Rule 2015 (148/2016)
31.7 - Academic Progress Rule 2015 (149/2016)
31.8 - Academic Progress (ANU Medical School) Order 2015 (150/2016)
31.9 - Fees Rule 2015 (151/2016)
31.10 - Fees (General) Order 2015 (152/2016)
31.11 - Information Infrastructure and Services Rule 2015 (153/2016)
31.12 - Information Infrastructure and Services Order 2015 (154/2016)
31.13 - Academic Board (Election of Members) Order 2015 (155/2016)

**COMMUNICATION**

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

The new Rules and Orders have been published on the ANU legislation webpage and the ComLaw website. An announcement of the changes has also been made on the ANU Services website.
*32. ‘ANU by 2020’ - PERFORMANCE REVIEW REPORT

PURPOSE
To provide Council with strategic oversight of the University's performance during 2015.

PREPARED BY
Corporate Planning Manager, Planning and Performance Measurement

REVIEWED BY
Deputy Director of Planning and Performance

APPROVED BY
Executive Director of Planning and Administration

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council endorse the performance review report.

ACTION REQUIRED
☑ For discussion  ☐ For decision  ☑ For information

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

The 2015 Performance Review Report has been considered by the University’s Executive and endorsed for Council’s noting.

BACKGROUND
ANU by 2020 set out the vision and goals for the University. Every year, Planning and Performance Measurement report on how we are doing towards achieving our goals. This forms part of our performance management framework.


SUMMARY OF ISSUES
Council members are asked to note that some of the original measures for our goal ‘Excellence in the role of ANU as a National Policy Resource’ and ‘National Outreach’ were unquantifiable and therefore not measured.

The building block – high quality infrastructure contained a number of output measures that were achieved by the end of 2012, including the publication of a university-wide Capital Management Plan. Therefore, have been excluded from this report.

In moving forward for 2016, consideration will need to be given to the development of university-wide Key Performance Indicators that map directly to the new strategic plan.

ATTACHMENT

COMMUNICATION
☐ For public release  ☑ For internal release  ☐ Not for release
**33. REPORT ON ISSUES IN VARIOUS MEDIA REPORTS ON ATAR AND UNIVERSITY ADMISSIONS**

**PURPOSE**
To provide Council with a report on issues in various media reports on ATAR and University Admissions.

**PREPARED BY**
Deputy Vice-Chancellor (Academic)

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

**APPROVED BY**
Deputy Vice-Chancellor (Academic)

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council note the report on issues in various media reports on ATAR and University Admissions.

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

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

This paper has been distributed through the ANU academic committees, including CAAC, ESQC, UEC and Academic Board

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

**BACKGROUND**
In the past several weeks there has been national attention on ATAR and university admissions. Attachment 33.1 outlines the key issues related to this debate and how ANU is responding.

**SUMMARY OF ISSUES**
ANU has a strong stance on these issues and sound governance processes to address them.

**ATTACHMENT**
33.1 ATAR and university admissions report on frequently asked questions (170/2016)

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

---

**PART 5 – OTHER MATTERS FOR NOTING**
PART 6 – OTHER BUSINESS

*34. QUESTION TIME

PURPOSE  For Members of Council to ask questions.
SPONSOR  Chancellor

RECOMMENDATION  That Council note any matters raised in question time.

ACTION REQUIRED
For discussion  ☑  For decision  ☐  For information  ☐
*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 1 April 2016.

**ACTION REQUIRED**
- For discussion
- For decision
- For information ✓
WHS Performance at ANU
2015 Calendar Year

Paper prepared for the ANU Council
January 2016

Associate Director
Work Environment Group, HR Division

The Australian National University
Acton ACT 2601 Australia
T: +61 2 6125 1471
F: +61 2 6125 5582
E: WHS.manager@anu.edu.au
W: http://hr.anu.edu.au/staff-health-and-wellbeing
## Contents

1 EXECUTIVE SUMMARY .................................................................................................................. 3

2 Introduction ..................................................................................................................................... 4

3 Incidents .......................................................................................................................................... 4
   3.1 Incident notifications 2015 – Staff ......................................................................................... 4
   3.2 Incident Notifications 2015 - Students ............................................................................... 6
   3.3 Incidents by activity, people and outcomes .......................................................................... 7
   3.4 WHS Incident investigations ................................................................................................. 8

4 Workers’ compensation claims .................................................................................................... 10
   4.1 Claim Numbers for 2015 ........................................................................................................ 10
   4.2 Current Rehabilitation Status Compensable Cases ............................................................ 12
   4.3 Current Rehabilitation Status: Non-Compensable ............................................................... 13
   4.4 Claims with time off work ................................................................................................... 13

5 WHS Audits and Inspections ....................................................................................................... 14

6 Safety training ................................................................................................................................ 14

7 GENERAL Safety and Well-being ............................................................................................... 16
   7.1 WHS Committee Performance ............................................................................................ 16
   7.2 Safety and Well-being Performance .................................................................................... 16
   7.3 ANU Health and Wellness Month October 2015 ................................................................. 16
       7.3.1 ANU Health Check Main Findings ............................................................................... 17

8 Injury Prevention AND Management .......................................................................................... 17
   8.1 Early Intervention Funding 2015 .......................................................................................... 17
   8.2 Injury Prevention Advice 2015 ............................................................................................ 17
   8.3 Psychological Health ............................................................................................................. 20
       8.3.1 Counselling Services .................................................................................................. 20

9 WHS Performance Comparison – Go8 ...................................................................................... 20

10 Government Agencies Comparison ............................................................................................ 20
Tables
TABLE 1: SAFETY INCIDENT NOTIFICATIONS JAN 1 – 31 DECEMBER 2015 ................................................................. 4
TABLE 2: INCIDENTS COUNT BY COLLEGE / SERVICE DIVISION .............................................................................. 5
TABLE 3: 2015 SUMMARY OF INCIDENTS REPORTED BY STUDENTS ........................................................................ 6
TABLE 4: INCIDENT FREQUENCY, REPORTABLE INCIDENTS AND INCIDENT OUTCOME .................................................. 7
TABLE 5: ANU CLAIMS RECEIVED BY COMCARE 1 JANUARY – 31 DECEMBER 2015 .................................................. 11
TABLE 6: CLAIMS BY TIME OFF WORK ...................................................................................................................... 13
TABLE 7: WHS INVESTIGATIONS AND INSPECTION PROGRAMS .................................................................................. 14
TABLE 8: SAFETY TRAINING 2015 .......................................................................................................................... 14
TABLE 9: STAFF TRAINING NUMBER – FACE-TO-FACE COURSES AND FOR ONLINE WHS PULSE MODULES .............. 15
TABLE 10: STUDENT TRAINING NUMBER FOR ONLINE WHS PULSE MODULES ........................................................... 15
TABLE 11: ONLINE NON-MANDATORY VOCAM: SAFETY TV WHS STAFF AND STUDENT E-LEARNING NUMBERS ....... 16
TABLE 12: USE OF HEALTH CHECK AND SEATED MASSAGES BY COLLEGE AND DIVISIONS ........................................ 16
TABLE 13: NUMBER OF ERGONOMIC WORKSTATION AND CHAIR ASSESSMENTS ....................................................... 18

Figures
FIGURE 1: INCIDENT NUMBERS BY MECHANISM OF INJURY ...................................................................................... 6
FIGURE 2: INCIDENT INVESTIGATION .......................................................................................................................... 10
FIGURE 3: COMCARE PREMIUM IN $ AND % PAYROLL DETAILS .................................................................................. 10
FIGURE 4: WORKERS COMPENSATION CLAIMS 2010 TO 2015 ..................................................................................... 11
FIGURE 5: 2015 COMPENSABLE RETURN TO WORK (RTW) HIERARCHY ........................................................................ 13
FIGURE 6: 2015 NON-COMPENSABLE RETURN TO WORK (RTW) HIERARCHY ................................................................. 13
FIGURE 7: INJURY ADVICE REQUESTS .......................................................................................................................... 18
FIGURE 8: INJURY PREVENTION ADVICE BY COLLEGE OR DIVISION ............................................................................. 19
1 EXECUTIVE SUMMARY

This is an annual report to Council, and the Work Health and Safety (WHS) Policy Committee, on WHS performance for the calendar year 2015. The report includes data on incidents, workers’ compensation claims and key WHS Management System components, as well as comparison with external targets. Performance against targets, as per the previous *ANU OHS Strategic Plan 2011-2014*, have not been reported this year. This Plan will be updated once the WHS Management System is redesigned and implemented this year as part of the Workers Compensation Self Insurance Project.

For the first time this report is made in January rather than May and it is noted that some data for the 2015 period is not yet available. It is also the first time that student incident data has been included in this report.

Overall in 2015, there was an increase in incidents reported, a decrease in Comcare claims and no significant change in lost time injuries. The number of incidents reported increased from 435 (2014) to 510 (2015). The number of accepted Comcare claims significantly decreased from 34 (2014) to 22 (2015). The lost time injury frequency rate (LTIFR) essentially remained the same, 1.0 in 2014 reduced to 0.99 in 2015.

With respect to staff incidents and claims, in 2015 there was a deliberate and systematic focus on pre-liability or claim case management, and funding to assist with early intervention treatment and rehabilitation. The University has collaborated productively with Comcare to provide detailed and enhanced information to assist in the consideration liability decisions. Four claims were rejected in 2015 and the projected claims estimate for 2015 is currently 22, with 2 claims lodged in 2015 yet to be determined.

The Workers’ Compensation Self-Insurance Project by HR Division will further guide improvements to the WHS Management System with a view to obtaining a self-insurance license. A separate report to Council has been made on the progress of this project.

The number of occupational overuse injuries (OOS) caused by repetitive movement (e.g. computer keyboard use) have reduced significantly and consistently over recent years from 173 in 2013, to 109 in 2014 and 94 in 2015. The most commonly reported body sites injured were (1) fingers, (2) knees and (3) lower back.

Of the seven colleges, both the ANU College of Arts and Social Sciences and College of Physical and Mathematical Sciences had the highest number of accepted Comcare claims in 2015, recording 3 accepted claims each. The College of Asia and Pacific and College of Engineering and Computer Science had the next highest with two claims each. With two claims also, Facilities and Services had the highest number of accepted claims for Service Division in 2015.

Work health and safety knowledge across the University was strengthen through 46 types of training courses conducted during 2015. A total of 1071 participants attended training courses, with 437 participants attending more than 1 course.

As at 1 January 2016, there are at total of 137 open compensation claims and currently 61 employees with non-compensable injuries or illness are being cased managed. During 2015 there were 51 employees with early intervention funding approved at a total value of $41,374.

In 2015 there were 337 workstation assessments (WSA) conducted which was a slight increase from 324 conducted in 2014. This data does not include WSA conducted by local Occupational Strains Liaison Officers (OSLO’s) which is not currently systematically recorded.

While there have been improvements in lag indicators such as incident and cost, there is much to be done to improve the management of WHS at the University. Improvements in reporting continue to be required despite embedding incident and claims reporting via the University data warehouse ANU Insight. There continues to be a lack of consistency in approach to the management of safety risk management and the culture of safety must be significantly strengthened. Duty holders under the WHS legislation should clearly understand their roles and actively seek opportunities to improve the health, safety and well-being of staff, students and others.
The Workers’ Compensation Self-Insurance Project is providing the resources, planning and coordination required to achieve the goal of a highly regarded and embedded safety culture across the University.

2 Introduction

The University is committed to supporting work, health and safety (WHS) including injury prevention so that the University:

a. is a safe and healthy place for all staff, students, contractors, volunteers and public visitors;

b. is without risk to the environment; and

c. complies with the Work Health and Safety Act 2011, WHS Regulations 2011, codes of practice and other relevant legislative obligations.

In mid-2014, an early intervention initiative were launched with a renewed focus on early screening and assistance for injured or ill staff, funding for treatment and rehabilitation and disability case management resources. This initiative as continued and expanded in 2015, and while centrally funded it has been implemented in with collaboration with local areas across the University. This initiative has contributed to the reduced number of claims again in 2015 (22) from 2014 (34).

The Workers’ Compensation Self-Insurance Project commenced in 2015 to improve the safety culture and performance of the university. This project is addressing key WHS management system issues which are highlighted throughout this report.

This report provides details of the University’s WHS performance for the calendar year 2015 including:

a. Summary of the University’s overall WHS performance for 2011-15;

b. Incident data and claims data for staff and students;

c. WHS audits, inspections, training and general safety and wellbeing; and

d. Injury prevention and injury management activity.

3 Incidents

3.1 Incident notifications 2015 – Staff

For the period 1 January – 31 December 2015, there were 510 safety incident notifications. A summary of incident types is provided in Table 1 below, with a comparison of numbers per quarter.

Table 1: Safety Incident Notifications Jan 1 – 31 December 2015

<table>
<thead>
<tr>
<th>Type of Incident</th>
<th>Number of Incidents Jan – March 2015</th>
<th>Number of Incidents Apr – Jun 2015</th>
<th>Number of Incidents July – Sept 2015</th>
<th>Number of Incidents Oct – Dec 2015</th>
<th>Total Incidents 2015</th>
<th>Total Incidents 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dangerous incident</td>
<td>12</td>
<td>8</td>
<td>10</td>
<td>7</td>
<td>37</td>
<td>32</td>
</tr>
<tr>
<td>Electrical incident</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>5</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>Environment</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>4</td>
<td>9</td>
</tr>
<tr>
<td>Exposure</td>
<td>8</td>
<td>8</td>
<td>21</td>
<td>9</td>
<td>46</td>
<td>39</td>
</tr>
<tr>
<td>Exposure to mental stress</td>
<td>5</td>
<td>4</td>
<td>0</td>
<td>3</td>
<td>12</td>
<td>0</td>
</tr>
<tr>
<td>Hazard</td>
<td>21</td>
<td>19</td>
<td>21</td>
<td>18</td>
<td>79</td>
<td>23</td>
</tr>
<tr>
<td>Illness</td>
<td>7</td>
<td>8</td>
<td>10</td>
<td>11</td>
<td>36</td>
<td>34</td>
</tr>
<tr>
<td>Injury</td>
<td>78</td>
<td>67</td>
<td>74</td>
<td>65</td>
<td>284</td>
<td>289</td>
</tr>
<tr>
<td>Radiation incident</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>TOTAL</td>
<td>133</td>
<td>118</td>
<td>139</td>
<td>120</td>
<td>510</td>
<td>431</td>
</tr>
</tbody>
</table>

The number of safety incident notifications for 2015 (510) has increased compared to previous years, with the total number of safety incident notifications for 2014 being 431. An increase in safety reporting is seen as a positive safety improvement measure, so that better identification of risk can be determined across the University. A full summary of incidents per College / Division location is provided in Table 2 below.
Table 2: Incidents Count by College / Service Division

<table>
<thead>
<tr>
<th>College / Service Division</th>
<th>Incident Notifications</th>
<th>Number of FTE staff</th>
<th>% Staff Incidents</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Colleges</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Arts and Social Sciences</td>
<td>42</td>
<td>374</td>
<td>11%</td>
</tr>
<tr>
<td>College of Asia &amp; the Pacific</td>
<td>33</td>
<td>474</td>
<td>7%</td>
</tr>
<tr>
<td>College of Business and Economics</td>
<td>22</td>
<td>183</td>
<td>12%</td>
</tr>
<tr>
<td>College of Engineering and Computer Science</td>
<td>41</td>
<td>172</td>
<td>24%</td>
</tr>
<tr>
<td>College of Law</td>
<td>28</td>
<td>144</td>
<td>19%</td>
</tr>
<tr>
<td>College of Medicine, Biology and Environment</td>
<td>95</td>
<td>705</td>
<td>14%</td>
</tr>
<tr>
<td>College of Physical and Mathematical Sciences</td>
<td>67</td>
<td>637</td>
<td>11%</td>
</tr>
<tr>
<td>Joint Colleges</td>
<td>4</td>
<td>37</td>
<td>11%</td>
</tr>
<tr>
<td><strong>TOTAL COLLEGES</strong></td>
<td>332</td>
<td>2726</td>
<td>12%</td>
</tr>
<tr>
<td><strong>Service Divisions</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alumni Relations &amp; Philanthropy</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building Works Maintenance</td>
<td>11</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Division of Information</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Division of Student Administration</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Division of Student Life</td>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Division of Registrar &amp; Student Services</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities and Services</td>
<td>53</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Global Programs and Engagement</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Resources Division</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Information Technology Service</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Marketing Office</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Computational Infrastructure</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning and Performance Measurement Division</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Office</td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scholarly Information Services</td>
<td>23</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scholarships</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Senior Executive</td>
<td>7</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic Communication and Public Affairs</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Recruitment and Admissions</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tjabal Centre</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Accommodation</td>
<td>22</td>
<td></td>
<td></td>
</tr>
<tr>
<td>University House</td>
<td>18</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL SERVICE DIVISIONS</strong></td>
<td>178</td>
<td>920</td>
<td>19%</td>
</tr>
</tbody>
</table>

The majority of safety notifications are categorised as 'Injury' (284). The most commonly reported mechanisms of injury are (1) body stressing and (2) falls, trips and slips. Most commonly reported body sites injured are (1) fingers (2) knee and (3) lower back. A breakdown of the incidents by mechanism of injury is outlines in Figure 1 below.
3.2 Incident Notifications 2015 - Students

The information provided in Table represents consolidated data from the Dean of Students office, the Counselling Centre, ANU Security and Critical Incidence notification. Commonly, more than one support service is involved. The most notable exception is in the category of “allegation of unwanted sexual attention” where approximately 40% of notifications are to the Counselling Centre alone.

All the data provided in able 4 for categories “Harassment”, “Stalking” and “Campus Security” involved at least some of the alleged activity occurring on campus. On campus and off campus figures for “Unwanted Sexual Attention” are not available.

Table 3: 2015 Summary of incidents reported by students

<table>
<thead>
<tr>
<th>Category</th>
<th>No. incidents reported</th>
</tr>
</thead>
<tbody>
<tr>
<td>Allegation of unwanted sexual attention¹</td>
<td>21</td>
</tr>
<tr>
<td>Harassment²</td>
<td>12</td>
</tr>
<tr>
<td>Stalking³</td>
<td>6</td>
</tr>
<tr>
<td>Security on campus⁴</td>
<td>4</td>
</tr>
</tbody>
</table>

A full description of each category is provided below.

1. “Unwanted sexual attention” – ranges from social media comment and invitation for sexual activity; brief physical contact (brushing against breasts or buttocks, kissing); to more extensive physical contact and sexual intercourse. The context can be between students who have previously had a consensual relationship, to students having contact with a person not known to them. An example of the latter includes two students (separate incidents) who were approached by a man asking for directions in the City West area. In each case when the student stopped to respond the man then grabbed the student for a brief moment (buttocks and breasts respectively). Other examples include students, whether in couples or in a group of students, go out for a social activity and subsequently sexual activity takes place without a student giving consent. Different cultural understandings can sometimes lead to misinterpretation about whether consent has been provided for verbal or physical sexual interaction. The spectrum of unwanted sexual attention that leads to significant distress in individual students is extremely wide.
2. “Harassment” – concerns persistent unwanted contact by one student toward another. Often this is in the context of a student seeking to develop a relationship when the other student is not interested. This can be face to face &/or via social media.

3. “Stalking” – refers to students who allege another student is following them around campus, perhaps to their home. This can be in combination with persistent and invasive social media activity.

4. “Campus Security” – refers to students who are concerned for their safety when moving around campus (usually at night) or experience threatening behaviour by another student or staff member on campus or on the fringes of the campus.

3.3 Incidents by activity, people and outcomes

Table 4 below highlights the majority of reported incidents (319) in 2015 occurred when working at usual workstation and this was a consistent trend across all five reporting years since 2011. Of the 510 incidents reported, 284 resulted in injury, with 271 requiring case management activity and seven resulting in lost time. In 2015, the majority of incidents were reported by staff (304), then students (28) and others (43). In 2015, of the total incidents reported (510) more than 55.6% (284) were reported as injuries, a decrease from 67% in 2014. There are currently 73 ANU employees, with open compensation claims, undergoing active rehabilitation.

Table 4: Incident frequency, reportable incidents and incident outcome

<table>
<thead>
<tr>
<th>Incidents Summary</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Incidents</td>
<td>424</td>
<td>410</td>
<td>548</td>
<td>435</td>
<td>510</td>
</tr>
<tr>
<td>WHS Investigation Required</td>
<td>7</td>
<td>6</td>
<td>9</td>
<td>6</td>
<td>*</td>
</tr>
<tr>
<td>WHS Investigation Required (%)</td>
<td>1.7%</td>
<td>1.5%</td>
<td>1.6%</td>
<td>1.4%</td>
<td>*</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Incidents by Category</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dangerous Incident</td>
<td>34</td>
<td>25</td>
<td>36</td>
<td>32</td>
<td>37</td>
</tr>
<tr>
<td>Death</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Electrical</td>
<td>3</td>
<td>6</td>
<td>4</td>
<td>5</td>
<td>9</td>
</tr>
<tr>
<td>Environment</td>
<td>3</td>
<td>7</td>
<td>15</td>
<td>9</td>
<td>4</td>
</tr>
<tr>
<td>Exposure</td>
<td>31</td>
<td>23</td>
<td>22</td>
<td>39</td>
<td>46</td>
</tr>
<tr>
<td>Gene Technology</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Hazard</td>
<td>20</td>
<td>12</td>
<td>42</td>
<td>23</td>
<td>79</td>
</tr>
<tr>
<td>Illness</td>
<td>24</td>
<td>19</td>
<td>45</td>
<td>35</td>
<td>36</td>
</tr>
<tr>
<td>Injury</td>
<td>309</td>
<td>316</td>
<td>383</td>
<td>292</td>
<td>284</td>
</tr>
<tr>
<td>Radiation</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Incidents by Activity</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity Other Than Listed</td>
<td>95</td>
<td>68</td>
<td>121</td>
<td>82</td>
<td>60</td>
</tr>
<tr>
<td>Approved Course of Study</td>
<td>27</td>
<td>26</td>
<td>41</td>
<td>34</td>
<td>18</td>
</tr>
<tr>
<td>Attending Approved Sporting Event</td>
<td>1</td>
<td>2</td>
<td>6</td>
<td>2</td>
<td>8</td>
</tr>
<tr>
<td>Having a Break</td>
<td>15</td>
<td>20</td>
<td>24</td>
<td>14</td>
<td>13</td>
</tr>
<tr>
<td>Home Based Work</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>4</td>
</tr>
<tr>
<td>Traffic Accident While Working</td>
<td>8</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>Travelling To/From Work</td>
<td>29</td>
<td>27</td>
<td>31</td>
<td>23</td>
<td>13</td>
</tr>
</tbody>
</table>

1 Includes staff, students and others (visitors and contractors).
2 As reported on incident notification by staff, students or others. This does not correlate with dangerous incidents reported to Comcare by ANU.
## 3.4 WHS Incident investigations

### People Involved in Incidents

<table>
<thead>
<tr>
<th>Category</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>316</td>
<td>292</td>
<td>371</td>
<td>276</td>
<td>304</td>
</tr>
<tr>
<td>Students</td>
<td>50</td>
<td>40</td>
<td>55</td>
<td>41</td>
<td>28</td>
</tr>
<tr>
<td>Other (visitors and contractors)</td>
<td>31</td>
<td>26</td>
<td>39</td>
<td>35</td>
<td>43</td>
</tr>
<tr>
<td>Total</td>
<td>359</td>
<td>358</td>
<td>465</td>
<td>352</td>
<td>375</td>
</tr>
</tbody>
</table>

### Outcomes from Incidents

<table>
<thead>
<tr>
<th>Category</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Case Management Activity Required</td>
<td>214</td>
<td>267</td>
<td>309</td>
<td>268</td>
<td>271</td>
</tr>
<tr>
<td>Accepted Workers’ Compensation Claims[^3]</td>
<td>41</td>
<td>48</td>
<td>53</td>
<td>34</td>
<td>22</td>
</tr>
<tr>
<td>Lost Time Injuries[^4]</td>
<td>34</td>
<td>30</td>
<td>30</td>
<td>7</td>
<td>7</td>
</tr>
</tbody>
</table>

[^3]: Accepted claims with Comcare as at 21 January 2016.
[^4]: Accepted claims with lost time equal to or greater than 1 day. Data source: ANU Insight.

* no data available or analysis of data still needs to be undertaken.

[^2]: 2015 data is based on figures in Insight as at 27 January 2016.
Figure 2 below indicates that for all incidents reported (staff, students and others) the majority of the WHS incidents reported in the last five (5) years, required either a *local area investigation* or *standard follow-up*. In 2015 of the incidents that were escalated, 12 were *WHS investigations*, which was an increase from 2014 (6).
4 Workers’ compensation claims

The University has been insured under the Commonwealth workers’ compensation scheme (Safety, Rehabilitation and Compensation Act 1988) since July 1989 and pays an annual premium to Comcare. The annual premium percentage is determined based on the last four years performance and is composed of:

- A premium pool component or the performance of all agencies covered by Comcare. It is determined based on administrative expenses, uncertainty margin, risk premium (average claim costs and claim frequency) and an allowance for inflation and discounting.
- The University’s Risk Premium or the performance of the university assessed by claims frequency (claims per FTE) and average claim costs.
- An additional margin introduced in 2012/13 for a period of 10 years to restore Comcare to a fully funded position. This margin is expressed as a percentage of the risk premium and administrative expenses.

Figure 3 below shows the upward trend in premium amount up until 2014, with a decrease in the premium in 2015 to just under $10 million. The increase in the premium from 2010 to 2014 was not just due to The University’s claims performance. While The University’s claim performance does contribute, the additional margin and the overall performance of agencies (premium pool component) within the premium paying pool is a contributing factor. The decrease in 2015 is primarily due a reduction from 34 to 22 accepted claims.

4.1 Claim Numbers for 2015

For the period 2010 – 2015, ANU Workers Compensation Claims numbers are represented in Figure 4 below.
For the period 1 January – 31 December, there were 26 ANU claim applications received by Comcare from the University. Of this total, 20 claims were accepted, 4 claims were denied, and 2 claims are yet to be determined. The total number of projected accepted claims for 2015 is 22 claims, representing a 35% reduction in claim numbers for 2015.

As of the 1 January 2016, the University has 137 open Comcare workers compensation claims, which are currently accepted claims. Significant efforts are being contributed to reducing or closing these long term or “tail claims”. The 137 open claims has been reduced from 142 open claims as at 1 October 2015, 150 open claims as at 1 July 2015, and 161 open claims as at 1 April 2015.

A summary of these claims and their compensation status is provided in Table 5 below.

Table 5: ANU Claims Received by Comcare 1 January – 31 December 2015

<table>
<thead>
<tr>
<th>CLAIM STATUS</th>
<th>WORK LOCATION</th>
<th>NATURE OF INJURY</th>
<th>CAUSE OF INJURY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarter 1 2015</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Arts and Social Sciences</td>
<td>Psychological system</td>
<td>Workplace stress</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Physical and Mathematical Sciences</td>
<td>Musculo-skeletal</td>
<td>Carrying boxes downstairs</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Asia and Pacific</td>
<td>Lower back injury</td>
<td>Twisted lower back while opening a dishwasher</td>
</tr>
<tr>
<td>Accepted</td>
<td>Human Resources</td>
<td>Cervical spine injury</td>
<td>Onset of symptoms during treatment for shoulder injury</td>
</tr>
<tr>
<td>Rejected</td>
<td>Scholarly Information Services</td>
<td>Psychological system</td>
<td>Workplace bullying</td>
</tr>
<tr>
<td>Rejected</td>
<td>College of Arts and Social Sciences</td>
<td>Psychological system</td>
<td>Workplace stress</td>
</tr>
<tr>
<td>Rejected</td>
<td>College of Arts and Social Sciences</td>
<td>Psychological system</td>
<td>Workplace stress</td>
</tr>
<tr>
<td>Rejected</td>
<td>College of Arts and Social Sciences</td>
<td>Psychological System</td>
<td>Reaction to stressors</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Arts and Social Sciences</td>
<td>Chest – other and multiple</td>
<td>Falls on the same level</td>
</tr>
<tr>
<td>Quarter 2 2015</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accepted</td>
<td>Registrar &amp; Student Services</td>
<td>Psychological system</td>
<td>Work related harassment</td>
</tr>
<tr>
<td>CLAIM STATUS</td>
<td>WORK LOCATION</td>
<td>NATURE OF INJURY</td>
<td>CAUSE OF INJURY</td>
</tr>
<tr>
<td>--------------</td>
<td>---------------</td>
<td>-----------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Physical and Mathematical Sciences</td>
<td>Knee injury</td>
<td>Employer sponsored sporting activity</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Asia Pacific</td>
<td>Forearm fracture</td>
<td>Falls on the same level – overseas location</td>
</tr>
<tr>
<td>Accepted</td>
<td>Facilities and Services</td>
<td>Knee injury</td>
<td>Contact knee hitting object</td>
</tr>
<tr>
<td>Quarter 3 2015</td>
<td>Research School of Biological Sciences</td>
<td>Cervical spine injury</td>
<td>Falls on uneven ground</td>
</tr>
<tr>
<td>Accepted</td>
<td>Information Technology</td>
<td>Psychological</td>
<td>Work pressure</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Arts and Social Sciences</td>
<td>Fingers</td>
<td>Hit by falling shelf</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Medicine, Biology and Environment</td>
<td>Cervical Spine</td>
<td>Repetitive movements</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Physical and Mathematical Sciences</td>
<td>Fingers</td>
<td>Laceration</td>
</tr>
<tr>
<td>Accepted</td>
<td>Facilities and Services</td>
<td>Shoulder</td>
<td>Falls on the same level</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Engineering and Computer Science</td>
<td>Knee</td>
<td>Purple Shin soccer game</td>
</tr>
<tr>
<td>Accepted</td>
<td>University House</td>
<td>Fingers</td>
<td>Hit by falling object</td>
</tr>
<tr>
<td>Accepted</td>
<td>College of Asia and Pacific</td>
<td>Lower back</td>
<td>Secondary claim – medical negligence</td>
</tr>
</tbody>
</table>

| Quarter 4 2015 | Research Services Division | Psychological | Work related harassment / bullying |
| Accepted     | College of Engineering and Computer Science | Knee | Being hit by a person accidently |
| Undetermined | Division of Student Life | Brain | Unspecified mechanism of injury |
| Undetermined | College of Medicine, Biology and the Environment | Hand, fingers and thumb | Repetitive movement, low muscle loading |

TOTAL CLAIMS ACCEPTED 2015 (1 January – 31 December) = 20
Two claims are yet to be determined.

4.2 Current Rehabilitation Status Compensable Cases

There are currently 73 ANU employees, with open compensation claims who are undergoing active rehabilitation. In addition, there are also administration only claims requiring some involvement from the University. The current return to work status for employees undergoing active case management is detailed below in Figure 4 below.
4.3 Current Rehabilitation Status: Non-Compensable

There are currently 61 employees with a non-compensable injury or illness being actively case managed by the University. The return to work status for employees undergoing active case management is detailed Figure 6 below.

Figure 6: 2015 Non-Compensable Return to Work (RTW) Hierarchy

4.4 Claims with time off work

In 2015 the number of claims with lost time injuries (>1 day off work) was seven (7), which was the same as 2014. The number of lost time claims with >4 weeks time off of work increased from 1 in 2014 to 3 in 2015.

Table 6: Claims by time off work

<table>
<thead>
<tr>
<th>Time off work</th>
<th>No of claims 2014</th>
<th>No. of Claims 2015 (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 days</td>
<td>27</td>
<td>15</td>
</tr>
<tr>
<td>1-5 days</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>1-4 weeks</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>&gt;4 weeks</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>34</strong></td>
<td><strong>22</strong></td>
</tr>
</tbody>
</table>

5 2015 data was based on LFTI by lost time days Insight as at 28 January 2016 compared to total estimated claims in 2015 of 22.
5 WHS Audits and Inspections

Table 7 below shows audits and inspections conducted internally and by regulators over the past five (5) years. Regulator inspections and reports for 2015 are yet to be finalised and analysed. Baseline inspections were undertaken for John Curtin School of Medical Research and the Australian Phonemics Facility. The number of baseline inspection were low and no internal audits were conducted in 2015, due to reviews being undertaken as part of the Workers’ Compensation Self-Insurance Project.

Table 7. WHS investigations and inspection programs

<table>
<thead>
<tr>
<th>Program</th>
<th>Activity Measure</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regulator Investigation</td>
<td>ARPANSA, Comcare, ASNO and IAEA audit and investigation</td>
<td>7</td>
<td>3</td>
<td>4</td>
<td>17</td>
<td>*</td>
</tr>
<tr>
<td>Internal Baseline Assessment</td>
<td>Number</td>
<td>8</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Internal Audit</td>
<td>Number</td>
<td>4</td>
<td>5</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

* data unavailable at time of reporting.

6 Safety training

The University provided training for staff and students to meet legislative and policy requirements and to address specific hazards, via a range of modalities (face to face and online). During the period 1 January – 31 December 2015, the following safety training activities were conducted.

Table 8: Safety Training 2015 details participant numbers for each of the training courses provided. WHS knowledge within the University was strengthened through 46 types of training courses conducted. A total of 1071 participants attended training courses, with 437 participants attending more than 1 course. Mental Health First Aid training (9 courses run during the year), has been well attended and received by staff.

Table 8: Safety Training 2015

<table>
<thead>
<tr>
<th>Course Name</th>
<th>Participant Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advanced Resuscitation</td>
<td>7</td>
</tr>
<tr>
<td>Applied Suicide Intervention Skills Training</td>
<td>23</td>
</tr>
<tr>
<td>Biological Safety</td>
<td>153</td>
</tr>
<tr>
<td>Chemical Safety</td>
<td>168</td>
</tr>
<tr>
<td>Chemical Safety for Stores</td>
<td>11</td>
</tr>
<tr>
<td>Compressed Gas &amp; Cryogenic</td>
<td>26</td>
</tr>
<tr>
<td>Confined Spaces</td>
<td>5</td>
</tr>
<tr>
<td>Confined Spaces Refresher</td>
<td>10</td>
</tr>
<tr>
<td>Corrosives</td>
<td>17</td>
</tr>
<tr>
<td>CPR Training</td>
<td>6</td>
</tr>
<tr>
<td>Cranes and Lifting Tackle</td>
<td>3</td>
</tr>
<tr>
<td>Elect Appliance Testing Ref</td>
<td>21</td>
</tr>
<tr>
<td>Electrical - Design Standards</td>
<td>8</td>
</tr>
<tr>
<td>Electrical Appliance Testing</td>
<td>14</td>
</tr>
<tr>
<td>Electrical Safety &amp; Low Voltage</td>
<td>23</td>
</tr>
<tr>
<td>First Aid - Advanced First Aid</td>
<td>26</td>
</tr>
<tr>
<td>First Aid - Advanced Refresher</td>
<td>26</td>
</tr>
<tr>
<td>Flammable Liquids</td>
<td>22</td>
</tr>
<tr>
<td>Gene Technology Practices</td>
<td>154</td>
</tr>
<tr>
<td>Hazardous Waste Safety Officer</td>
<td>7</td>
</tr>
<tr>
<td>Height Safety</td>
<td>25</td>
</tr>
<tr>
<td>Height Safety Refresher</td>
<td>35</td>
</tr>
</tbody>
</table>
### Course Name

<table>
<thead>
<tr>
<th>Course Name</th>
<th>Participant Numbers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ionizing Radiation Machines</td>
<td>38</td>
</tr>
<tr>
<td>Ionizing Radiation Safety</td>
<td>99</td>
</tr>
<tr>
<td>Laser Safety</td>
<td>46</td>
</tr>
<tr>
<td>Manual Handling Skills</td>
<td>101</td>
</tr>
<tr>
<td>Mental Health First Aid</td>
<td>171</td>
</tr>
<tr>
<td>Office Injury Prevention Train</td>
<td>39</td>
</tr>
<tr>
<td>OHS Training for Supervisors</td>
<td>26</td>
</tr>
<tr>
<td>OSLO Network Forum</td>
<td>38</td>
</tr>
<tr>
<td>OSLO Training</td>
<td>30</td>
</tr>
<tr>
<td>Privacy and Injury Management</td>
<td>45</td>
</tr>
<tr>
<td>Psychological Injury Management</td>
<td>12</td>
</tr>
<tr>
<td>Remote Area First Aid</td>
<td>43</td>
</tr>
<tr>
<td>Self Cont. Breathing Apparatus</td>
<td>9</td>
</tr>
<tr>
<td>Senior First Aid</td>
<td>107</td>
</tr>
<tr>
<td>Senior First Aid Refresher</td>
<td>42</td>
</tr>
<tr>
<td>Smoke Free Campus - HR Community of Practice</td>
<td>20</td>
</tr>
<tr>
<td>Supervisors Workplace Mental Health</td>
<td>50</td>
</tr>
<tr>
<td>WHS for Committee Members</td>
<td>39</td>
</tr>
<tr>
<td>WHS for Supervisors &amp; Fieldwork</td>
<td>50</td>
</tr>
<tr>
<td>WHS Incident Notification Training</td>
<td>44</td>
</tr>
<tr>
<td>WHS Induction</td>
<td>1</td>
</tr>
<tr>
<td>WHS Informal Risk Assessment</td>
<td>46</td>
</tr>
<tr>
<td>WHS Legislative Obligations</td>
<td>16</td>
</tr>
<tr>
<td>Workshop and Trade Safety</td>
<td>20</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>1922</strong></td>
</tr>
</tbody>
</table>

In addition to the training summarised in Table 8 above, the tables below summarise the staff and student training completing pulse online modules, as well as e-learning modules available via the VOCAM safety TV system.

### Table 9: Staff training number - face-to-face courses and for online WHS pulse modules

<table>
<thead>
<tr>
<th>Face-to-Face Courses and Pulse Training Module</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>WHS Ready for work</td>
<td>#</td>
<td>#</td>
<td>#</td>
<td>27</td>
<td>68</td>
</tr>
<tr>
<td>Comcare WHS Harmonisation for Managers (Mandatory)</td>
<td>*</td>
<td>8</td>
<td>38</td>
<td>18</td>
<td>36</td>
</tr>
<tr>
<td>Comcare WHS Harmonisation (Mandatory)</td>
<td>*</td>
<td>1,011</td>
<td>762</td>
<td>455</td>
<td>520</td>
</tr>
<tr>
<td>Harassment, Bullying and Discrimination (Mandatory)</td>
<td>*</td>
<td>1,112</td>
<td>732</td>
<td>502</td>
<td>618</td>
</tr>
</tbody>
</table>

* Data not available.

# - Course introduced in 2014.

### Table 10: Student training number for online WHS pulse modules

<table>
<thead>
<tr>
<th>Pulse Training Module</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comcare WHS Harmonisation</td>
<td>23</td>
<td>55</td>
<td>144</td>
<td>151</td>
</tr>
<tr>
<td>Comcare WHS Harmonisation for Managers</td>
<td>0</td>
<td>2</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>WHS Ready for work</td>
<td>#</td>
<td>#</td>
<td>2</td>
<td>13</td>
</tr>
<tr>
<td>Harassment, Bullying and Discrimination</td>
<td>28</td>
<td>140</td>
<td>145</td>
<td>187</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>51</td>
<td>197</td>
<td>297</td>
<td>352</td>
</tr>
</tbody>
</table>

# - Course introduced in 2014.
Table 11: Online non-mandatory VOCAM: Safety TV WHS Staff and Student e-learning numbers

<table>
<thead>
<tr>
<th>Vocam Training Modules</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ergonomic Essentials for the Office</td>
<td>-</td>
<td>21</td>
<td>2</td>
<td>144</td>
<td>79</td>
<td>19</td>
</tr>
<tr>
<td>Safe Driving for Work</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>13</td>
</tr>
<tr>
<td>Lockout Tagout</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>4</td>
</tr>
<tr>
<td>Risk Management Safety</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td>Confined Space Safety</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td>Crane Safety</td>
<td>-</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Fire Safety</td>
<td>-</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>-</td>
<td>23</td>
<td>2</td>
<td>144</td>
<td>81</td>
<td>38</td>
</tr>
</tbody>
</table>

NOTE: System became operational in 2011. Data Source: VOCAM’s online portal – Safety TV

7 GENERAL Safety and Well-being

Currently, general safety overall and well-being is assessed via responses to the annual survey of the Chairs of WHS Committees.

7.1 WHS Committee Performance

At this stage data is not yet available, as the annual survey of WHS Committee Chairs on the activities of the committees in 2015 is undertaken in February, with the final report available by the end of March 2016.

7.2 Safety and Well-being Performance

At this stage data is not yet available, as the annual survey of WHS Committee Chairs on the activities of the committees in 2015 is undertaken in February, with the final report available by the end of March 2016.

7.3 ANU Health and Wellness Month October 2015

During the period October 2015, the University promoted and conducted a health and wellness month, with the provision of health checks and seated massage for all Colleges and Divisions on campus. Services were also provided to off campus locations at Mount Stromlo and The Canberra Hospital. Total participant numbers for these activities is detailed in Table 12 below.

Table 12: Use of health check and seated massages by College and Divisions

<table>
<thead>
<tr>
<th>College / Division</th>
<th>Participant Numbers Health Checks</th>
<th>Participant Numbers Seated Massage</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU Divisional Units</td>
<td>50</td>
<td>75</td>
</tr>
<tr>
<td>College of Arts and Social Sciences</td>
<td>42</td>
<td>39</td>
</tr>
<tr>
<td>College of Asia and the Pacific</td>
<td>48</td>
<td>39</td>
</tr>
<tr>
<td>College of Business and Economics</td>
<td>30</td>
<td>0</td>
</tr>
<tr>
<td>College of Engineering and Computer Science</td>
<td>20</td>
<td>24</td>
</tr>
<tr>
<td>College of Law</td>
<td>30</td>
<td>23</td>
</tr>
<tr>
<td>College of Medicine, Biology and Environment</td>
<td>79</td>
<td>56</td>
</tr>
<tr>
<td>College of Physical and Mathematical Sciences</td>
<td>85</td>
<td>54</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>384</td>
<td>310</td>
</tr>
</tbody>
</table>

In addition to these individual assessments, additional activities were also run within Colleges and Divisions at some locations to support Pink Ribbon Day.
7.3.1 ANU Health Check Main Findings

Overall findings from the health checks conducted with staff, are summarized below:

Positive Health results
- 56% of participants recorded "Ideal" blood pressure readings of 120/80 mmHg or under.
- 98% of participants reported they were non-smokers.

Concerning Health results:
- 27% of participants reported they did not meet the minimum daily expectation for physical exercise
- 44% of participants recorded blood glucose levels between 8 and 11 mmol/L (4 - 8 mmol/L is the Ideal range)
- 29% of participants recorded "At Risk" total cholesterol.

A detailed summary report of the health assessment findings has been reviewed to assist with the strategic planning of health and wellness program activities during 2016.

8 Injury Prevention AND Management

Injury management and prevention data was reported for the first time in the annual WHS performance report in 2014. The University employs staff to provide advice and support on job redesign, safe work practices, ergonomic assessment and return to work.

8.1 Early Intervention Funding 2015

Funding under the Minor Injury Guidelines (MIG) is provided to University staff who have a work-related injury in certain circumstances. The University provides this funding to:
- Support the injured worker;
- Effectively maintain or return people back to work; and
- Remove any delay in accessing treatment.

Early intervention funding is an internal University process and is separate to the Comcare workers compensation claim scheme. Staff accessing this scheme may continue to lodge a Comcare claim, however early access and intervention generally lead to better rehabilitation and return to work outcomes. A claim does not need to be completed in order to access early intervention funding.

There were 51 employees with early intervention funding approved during the period 1 January – 31 December 2015, to a total value of $41,374. Of all 51 employees approved for early intervention support, only 3 employees progressed to a workers compensation claim following the approval of early intervention support.

8.2 Injury Prevention Advice 2015

During the period 1 January – 31 December 2015, 337 ergonomic workstation and chair assessments were conducted. The number of assessments per quarter is detailed below. In addition to these formal recorded assessments, local areas also provided ergonomic assistance, advice and assessments via Occupational Strain Liaison Officers (OSLOs), located in the Colleges and Divisions.
Table 13: Number of Ergonomic Workstation and Chair Assessments

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Number Conducted in 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarter 1</td>
<td>83</td>
</tr>
<tr>
<td>Quarter 2</td>
<td>118</td>
</tr>
<tr>
<td>Quarter 3</td>
<td>100</td>
</tr>
<tr>
<td>Quarter 4</td>
<td>36</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>337</strong></td>
</tr>
</tbody>
</table>

A range of injury prevention advice was also provided during this period, as per categories Figure 7: Injury advice requests below.

Figure 7: Injury advice requests

A breakdown of Colleges and Divisions requesting advice is summarised in Figure 8 below.
Figure 8: Injury Prevention advice by College or Division

[Diagram showing the number of requests for injury prevention advice by different colleges and divisions.]

ANU College of Arts & Social Science
ANU College of Asia & the Pacific
ANU College of Business & Economics
ANU College of Engineering & Computer Science
ANU College of Law
ANU College of Medical, Biology and Environment
ANU College of Physical and Maths Sciences
ANU Crawford School of Public Policy
ANU College of Engineering & Computer Science
ANU College of Business & Economics
ANU College of Asia & the Pacific
ANU College of Arts & Social Science
8.3 Psychological Health

8.3.1 Counselling Services
During 2015 the Advisor to Staff, worked with 185 individual staff members, undertaking 720 session (a total of 628.75 hours). In addition to the services provided by the Staff Advisor the University also has two Employee Assistance Providers (EAP) - Relationships Australian and Assure.

Annual reports from the two external agencies for the 2015 period is not yet available.

9 WHS Performance Comparison – Go8
At the time of reporting the annual comparison data for the Group of Eight (Go8) is not yet available. The collection of data is undertaken annually in late February, with consolidated data being provided to members of the group of eight around in March/April each year.

10 Government Agencies Comparison
A comparison of government’s agencies in the Comcare Scheme is provided at the end of Quarter 1 each year. Comcare is, however, reviewing its workers compensation premium setting model and methodology.

Feedback from scheme participants on the following recommendations put forward to Comcare by an Actuarial consultants is underway. The key recommendations are outlined below:

- Recommendation 1: Use reported incurred cost rather than estimated total lifetime cost as the basis for measuring an employer’s past claim performance.
- Recommendation 2: Adopt a simplified and more transparent premium model.
- Recommendation 3: Update the Premium Quick Reference Sheet to be consistent with the new model and give more attention to explaining the reasons for changes in premiums.
- Recommendation 4: Retain the current approach to capping the costs of individual claims, but increase the transparency of the process by publishing details of the dollar amounts used to cap claims.
- Recommendation 5: Consider limits on year on year premium movements.
- Recommendation 6: Investigate whether the administrative expenses included in the premium pool can reasonably be divided into:
  - Those relating to claims management and which are reasonably allocated to employers in proportion to expected future claims costs
  - Those relating to other functions which are reasonably allocated to employers in proportion to wages.
- Recommendation 7: Retain the current bonus/penalty system with some modifications to increase transparency and the incentive effect.
- Recommendation 8: Maintain the current approach for dealing with Machinery of Government (MoG) changes.
Workers’ Compensation Self-Insurance Project
Project Components
Author: M. Deaner, Project Manager
Last updated: 27 January 2016
Version: 2.0

Each of the six project components are broken down into milestones. Those highlighted in grey are completed. Those highlighted in blue are in progress. Those highlighted in black are future.
Workers' Compensation Self-Insurance Project
Project Components
Author: M. Deaner, Project Manager
Last updated: 27 January 2016
Version: 2.0

Financial Feasibility
Gather requirements
Conduct RFP
Vendor chosen
Actuarial services performed
Financial feasibility assessment
Liability report
Present to steering committee

Create Management Response Paper
Present paper to Senior Management Group and Council
Second financial feasibility assessment
Second liability report

Consultation
Gather requirements for Ministerial consultation
Create consultation and communication plan in conjunction with SCAPA
Implementation of the plan
Consultation with portfolio Minister
Consultation with those to be covered under the self-insurance license

Application
Gather requirements
Meet Comcare self-insurance account manager
Obtain application forms
Discuss exit fees
Assemble application
Submit application (12 weeks prior to commission meeting)
Comcare reviews application
Audits occur on safety systems
Application decision
Workers’ Compensation Self-Insurance Project
Timeline with Key Milestones – Year 2016

Author: M. Deaner, Project Manager
Last updated: 27 January 2016
Version: 2.0

Timeline Key
- Completed timeline (blue)
- Completed milestone (grey)
- On track milestone (green)
- At risk milestone (yellow)
- Delayed milestone (red)

Updated risk management program initiated
Updated audit and inspection program initiated

Implement WHS governance framework
Training plan initiated

Rehabilitation Management System
external Comcare audit

Complete training needs analysis

Second Financial Feasibility Assessment and Liability Report completed by actuaries

Claims system ‘go live’

Application submission

Jan-16 Feb-16 Mar-16 Apr-16 May-16 Jun-16 Jul-16 Aug-16 Sep-16 Oct-16 Nov-16 Dec-16
Workers’ Compensation Self-Insurance Project
Timeline with Key Milestones – Year 2017
Author: M. Deaner, Project Manager
Last updated: 27 January 2016
Version: 2.0

Self-insurance begins
Application reviewed at SRCC* Meeting

*SRCC - Safety, Rehabilitation and Compensation Commission
Governing body under the Safety, Rehabilitation and Compensation Act 1988 (SRC Act) that can grant, extend and vary self-insurance licences.
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 guides 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 Charter of the Australian National University (ANU) is endorsed by the Audit & Risk Management Committee (ARMC) for Council approval and should be read in conjunction with the ARMC Charter. The Internal Audit Charter guides and controls the activities of Internal Audit.

The Internal Audit function refers to the three operational components of the internal audit management framework managed under the direction of the Director of the Corporate Governance & Risk Office (DCGRO—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 Head of Internal Audit, and is responsible for the management of the internal audit function as a whole and is the person occupying the position of the DCGRO. The DCGRO—Director is the Chief Audit Executive.

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 ANU 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 organization’s stated-strategic goals and objectives. Internal audit reviews may cover any of the programs and activities of the ANU University, together with associated entities as provided for in relevant business agreements, memoranda of understanding or contracts.
Professionalism

Internal Audit shall adhere to, (where applicable, and otherwise be guided/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;

Internal Audit shall conform with 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 shall adhere to all applicable ANU University policies and procedures, statutes, rules, and orders, and policies, procedures and standards. Any conflict between these and the Charter will be brought to the attention of the DCGRO and/or Chair of the ARMCC 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 ANU University with full, free and unrestricted access to all functions, property, ANU University personnel (including the Vice-Chancellor, Chair ARMCC 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 ARMCC 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 ANU 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 shall report administratively to the Executive Director (Administration & Planning) on behalf of the Vice-Chancellor, and functionally to the ARMC Committee, on behalf of the University Council.
- **Reporting** – The Internal Audit function has the discretion to present audit findings directly to the Vice-Chancellor, Chair of the ARMC Committee and/or 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' judgment, an external provider will be engaged to undertake internal audit work.

**Roles and Responsibility**

In the conduct of its activities, Internal Audit will play 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 governance, risk management and control issues and is required to report inadequately addressed risks and non-effective control processes to management and/or the ARMC 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 ANU 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 ARMCCCommittee 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 ANJUUniversity’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 mManagement

- 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.
- Assisting management to identify risks and develop risk mitigation and monitoring strategies as part of the risk management framework.
- Coordinating the development of the ANU Entity-wide Risk Management Plan.
- 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 ARMCCCommittee.

### Advisory sServices

- Performing consulting and advisory services related to governance, risk management and control, subject to the approval of the DCGRODirector, and reporting these non-audit engagements to the ARMCCCommittee.
- 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 mManagement and sSupport aActivities

- Assisting the ARMCCCommittee 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 DCGRODirector 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 DCGRODirector will propose assurance and consultancy engagements for the forthcoming year (Strategic Internal Audit PlanInternal Audit Work Plan) for endorsement by the ARMCCCommittee and approval by Council. The Internal Audit Work PlanStrategic Internal Audit Plan will consist of a work program as well as budget and resource requirements for the next fiscal year. The DCGRODirector will communicate the impact of resource limitations and any changes to the Internal Audit Work PlanStrategic Internal Audit Plan to the ARMCCCommittee for consideration and approval.

In addition to the Internal Audit Work PlanInternal Audit work program will include, strategic components will be developed to 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 shall use 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 PlanStrategic Internal Audit Plan (excluding management initiated reviews) a copy of the report on the engagement shall be issued to the audit representative and shall be tabled at the next meeting of the ARMCCCommittee. The audit report shall present 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 may include 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 should 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 ARMCCCommittee meeting, the DCGRODirector shall submit a written report summarising all engagement activities undertaken since the last meeting. This report shall indicate:

• Assignments completed or in progress;
• Outcomes of each assignment undertaken; and
• Progress of management action taken.

Annually, the DCGRODirector shall submit a report on the internal audit activity’s performance against the agreed key performance indicators.

Quality Assurance Program and Periodic Assessment

The DCGRODirector shall develop and maintain 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 4 above) and the Internal Audit Charter.

As part of a comprehensive quality assurance program, the DCGRODirector 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 ARMCCommittee.

Follow Up Process

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

A follow-up status report is provided by the audit sponsor to the DCGRODirector 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 at least annually with any substantive changes to be formally endorsed by the ARMCCommittee for and approved by the Council approval.
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 directs 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 Head of Internal Audit, and is responsible for the management of the internal audit function as a whole. The Director is the Chief Audit Executive.

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 organization’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;

Internal Audit conforms with 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 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 governance, 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.
- Assisting management to identify 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 audit representative 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.
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.
BIOGRAPHY

The Honourable Warwick L. Smith AM FAICD LLB

Current:

Corporate
- Chairman, New South Wales & Australian Capital Territory and Senior Managing Director, Australia and New Zealand Banking Group Limited (‘ANZ’)
- Chairman of the Advisory Board of Australian Capital Equity Group of Companies (‘ACE’) holders of interests in the Seven Holdings Group, Western Australian News Ltd, Coates Hire Ltd, WesTrac Pty Ltd, Caterpillar Industrial services and equipment in Western Australia, New South Wales and North East China
- Chairman of Flagship Property Group Pty Ltd (Australia)
- Chairman, Jumbo Bus Advertising Group (Guangzhou & Urumqi)
- Chairman, Advisory Board and Strategic Advisor to Global legal firm, Norton Rose Fulbright Australia
- Director, Seven Group Holdings Limited
- Director, Australian Chinese Capital Investments Ltd (Hong Kong)
- Director, Metro Mobile TV (Shanghai)
- Director, Board of Australia and New Zealand Banking Group Limited, China

Non Corporate
- Chairman, Australia China Council
- Chairman, Asia Society Australia and Global Trustee, Asia Society
- Chairman, NSW Export Investment Advisory Panel
- Chairman, Australian Centre on China in the World Advisory Board at the Australian National University
- Chairman, Advisory Panel - Tsinghua-Sydney Joint Energy Networks Research Alliance
- Chairman, Financial Services Knowledge Hub
- Chairman, The Mustard Seed Institute
- Director, Foundation for Australian Studies in China
- Council of Governors Member, American Chamber of Commerce in Australia
- Executive Council Member, Australia Korea Business Council
- Advisory Council Member, Australian British Chamber of Commerce
- Advisory Council Member, Australia China Business Council
- Advisory Council Member, Australia-Myanmar Chamber of Commerce
- Member of the Australian Institute Company of Directors
- Life Fellow of the Committee for Sydney
- Honorary Life Member, Committee for Economic Development of Australia
- Patron of Inspire Foundation
- Patron of SportsConnect
- Corporate Council Member, European Australian Business Council
- Member, Australia-China Youth Dialogue
- Honorary Member and Advisory Council Member, The Global Foundation
- Board Member, Committee for Sydney
- Committee Member, Boao Forum for Asia Expert Committee on Financial Cooperation
- President-Australia, Yangtze River International Chamber of Commerce
- Sir General John Monash Foundation Member
Previous:
- Executive Director with Macquarie Bank Group of Companies, chairing the Telecommunications, Media, Entertainment and Technology Group within Investment Banking and Head of Global Communications (1998 – 2006)
- Chairman, E*TRADE Limited (2007–2011)
- Australia’s First Telecommunications Ombudsman - Established the Ombudsman office which is the first in Australia. Is an acknowledged leader in Telco and Media public policy and legislative issues (1993–1996)
- Chairman, Australian Sports Commission – This Commission is the Australian peak funding body for Olympic and participating and community sports bodies (2010–2012)
- Chairman, Swimming Australia Review Panel – (2013)
- Director, Coates Hire Limited (2012–2014)
- Committee Member, Sydney Aviation Capacity Taskforce (2010–2012)
- Board Member, Committee for Economic Development of Australia (2010–2012)
- Chairman, Football Inquiry (2011)
- Past National President of the Australia China Business Council
- Board Member, Mission Australia (2000–2001)
- Board Member, Pan TV (2007–2009)
- Chair of Communications Alliance Ltd (formerly Australian Communications Industry Forum)
- Inaugural Australian Business Member for BOAO Forum for Asia. Since 2001, has attended annually the Forum in Boao
- Former Chairman of The Global Foundation - The Global Foundation is a citizens’ organisation that promotes high-level thinking within Australia and cooperation between Australia and the world. It works with government and institutions, the private sector, academia and the community, to help shape longer term solutions to great challenges
- US Education Leadership Foundation - a founding and continuing member and former Board Member of the Australian American Leadership Dialogue
- Trustee, Art Gallery of New South Wales (2013)
- Chairman and Panel Member, Sydney University China Studies Centre (2013–2015)
- Director, China Matters Ltd (2014–2015)
- Member, Steering Group for New Colombo Plan (2014–2015)

Education
- Graduate in Law, University of Tasmania & Australian National University
- Member of the Political Exchange Group Inaugural visit to China in 1986
- Duke of Edinburgh Study Conference 1986
- Rotary Group Study Exchange Business Delegate to Japan
- American Field Service Scholar to the United States

Awards
- The Order of Australia for contribution to the Parliament of Australia, philanthropy, international trade, tourism and the telecommunications industry (2008)
- Centenary Medal for contribution to philanthropic and community programmes for service to the community as Board member of Mission Australia (2002)
- Charles Todd Memorial Medal for Communicator of the Year as First Telecommunications Ombudsman (1994)

Reports
- Chair, NSW International Engagement Review (2013)
- Chair, Independent Review of Swimming (2013)
• Joint Study (Commonwealth and NSW) on Aviation Capacity in the Sydney Region (2012)
• Chair, Building Australia's Football Community (2011)
• Chair, Towards a New Convention & Exhibition Centre Project for NSW (2010)
• Chair, 2020 Productivity Report (2008)
• Chair, Tourism - Investing for our Future, China (2006)
• Chair, Tourism - Investing Today for Tomorrow, China & India (2005)
• Chair, Independent Review of the Australian Greenhouse Office (2002)

- A Federal Government Minister in a Parliamentary career spanning 15 years, serving as:
  - Minister Assisting the Prime Minister for the Sydney 2000 Games (1996-1997)

- Various shadow minister roles including Communications, Privatisation, Aboriginal Affairs and Science and Energy and Leader of the House of Representatives

- Key part of several delegations that visited China, Singapore, Malaysia, Papua New Guinea, Taiwan, Thailand, Canada, USA, Israel, Switzerland, United Kingdom, France, Ireland and New Zealand

- Various party positions including Branch President, State Delegate and Constitutional Committee member

- Committee service (1985-1992) * inquiries/ reviews
  - House of Representatives – Standing Committee
    - Aboriginal Affairs, Expenditure, Library, Legal and Constitutional Affairs, Privileges
  - House of Representatives – Select Committee
    - Print Media
  - Joint Select Committee
    - Corporations Legislation

List of Inquiries/ Reports/ Reviews *

- Aboriginal Affairs
  - “Our Future Our Selves” Aboriginal and Torres Strait Islander Community Control, Management and Resources (1990)

- Expenditure
  - “Patronage, Power and the Muse” Inquiry into Commonwealth Assistance to the Arts (1986)
  - “Call Us Again” Review of the Auditor-General’s Efficiency Audit Report on the Control over Manpower and Property by the Overseas Telecommunications Commission (Australia) (1986)
  - “Poles Apart” Telecom’s Zonal and Charging Policies in Rural and Remote Areas (1986)

- Legal and Constitutional Affairs
  - “Mergers, Takeovers and Monopolies” Profiting from Competition? (1989)
  - “Fair Shares for All” Insider Trading in Australia (1989)

- Privileges
  - Disruption caused to the work of the electorate office of the Honourable Member of Wentworth made in response to false advertisements in the Sydney Morning Herald of 20 September 1986 (1986)
  - Matter of printed references to the proceedings and prospective recommendations of the Joint Select Committee on Telecommunications Interception in The Sun News-Pictorial and The Courier Mail on 17 November 1986 and similar references in other newspapers (1987)

- Print Media

- Corporations Legislation
ANU Emeritus Faculty

Chair’s Report to the 2015 Annual General Meeting

Introduction

ANU Emeritus Faculty has had a 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. An emphasis on collegiality is indeed what distinguishes our association. I can report that our membership has continued to increase and that we have tried to diversify our activities to meet the interests of our varied membership.

Collegiate Lunches

Adrian Gibbs was responsible for organizing collegiate lunches. He was assisted in his work by Fyfe Bygrave. We followed the practice that we established two years ago to organize discussion at these lunches around a particular topic. Adrian and Fyfe did an excellent job in creating an interesting mix of topics and speakers. A list of these lunch discussions is as follows:

Mar 4: Bryan Furnass, Ken Baldwin, Wojciech Lipinski: "Ammonia as a fuel"

April 1: Paul Collins: "The Politics of Francis’ Vatican"

May 6: Don Anderson: "Just turn the tap: the invention of a new beehive"

Aug 5: Amin Saikal: "The Middle East: a zone of conflicts within conflicts"

Sept 2: Caroline Ifeka: "From Freedom to Fear: Some experiences of doing 'bushy' field research in Nigeria and Cameroon - 1960s compared to 2000s"

Nov 4: Prame Chopra: "Are Humanity's carbon emissions really saving us from an Ice Age?"

Dec 2: Erich Weigold, Fyfe Bygrave, Adrian Gibbs: "Nobels and IgNobels"

Monthly Lecture Series

Adrian Gibbs and Fyfe Bygrave were also in charge of organizing our monthly lecture series. The series featured a diverse group of colleagues who were all able to present exciting aspects of their research. These lectures were exceptionally valuable and engaging.

Feb 24: Peter Collignon: "One Health and Superbugs: the ever growing threat from foods and water"

March 18: Bill Gammage: "The Biggest Estate on Earth"

April 15: David Ollis: "Evolving Proteins"

May 20: Adrian Horridge: "The disgraceful affair of the bees and the flowers"

June 17: Patrick de Deckker: "Tracking airborne dust in Australia and its impact on environmental health"

July 15: Chennupati Jagadish: "Semiconductor Nanowires for Optoelectronics and Energy Applications"

Aug 19: Susanne von Caemmerer: "Photosynthesis innovations for food security"

Sept 16: David Horner: "Telling the Secrets; writing the history of ASIO"

Oct 21: Stephen Bygrave: "Zero Carbon Australia"
Nov 18: Nerilie Abram: "Antarctica’s place in a warming world"

University House Dinner

On the 3rd of June, we revived a previous tradition and held a dinner for members at University House. Peter Kanowski, the Master of University House, allocated us 40 places for a Wednesday night dinner and all of these places were quickly taken up by our members. From the feedback I received after the dinner, I believe that we can consider the evening to have been a considerable success, so we plan to continue this tradition next year.

ANUEF Annual Lecture

On the 30th of June, we held our annual Emeritus Faculty Sponsored Lecture. Professor John Mattick, Director of the Garvan Institute of Medical Research, gave a lecture entitled "Challenging the dogma". Professor Mattick’s lecture was a tour-de-force of current genetic and epi-genetic research and its implications for present and future medical treatment. Regrettably, perhaps because the lecture was in the middle of the winter, we did not have the expected turn-out for this lecture that we had hoped for. In the future, we will give more attention to the timing of major lectures.

Symposium on Projects and Research of ANUEF Members:

On the 1st of July, the Emeritus Faculty held a Symposium directed to presentations on projects and research of individual members. This symposium was a rebranded version of our former "Research in Retirement Seminar" which we intentionally expanded to include members’ projects, interests and activities as well as research. We had seven speakers on the day:

Fergus Thomson: "The Apparent Success of One-on-One Tutorials: Concentrating the mind wonderfully, or just the ‘Hawthorne Effect’?"

Bob Douglas: "Community Organising: What does this Obama style activity have to offer a deeply disenchanted Australian electorate? Will it fly in the ACT?"

Catherine Gross: "Fairness and justice in environmental decision-making"

Caroline Ifeka: "Field research in African conflict zones: some anthropological issues of theory and method"

Philip Rose: "Murder and Fraud: Evaluating Forensic Speech Science Evidence"

Karis Muller: "Renewable energies in the EU's Pacific Overseas Territories"

Shirley Pipitone: "Open Gardens Canberra: Establishing a new community association"

Special Lectures

Fr Professor Louis Caruana S.J., the Dean of the Faculty of Science at the Pontifical Gregorian University was a special visitor to the ANU. His visit was arranged by Barry Ninham and facilitated by Stjepan Marcelja. He gave three lectures at the Emeritus Faculty over a period of several weeks:

Fri 14 Aug: "Galileo and the Jesuits"
Fri 21 Aug: "Science, religion and common sense"
Fri 04 Sept: "Science, humanism and religion"
The Inauguration of the John Molony Bust

On the 7th of October we held a celebration to inaugurate the John Molony bust, which was created by Ante Dabro and donated to the Emeritus Faculty. The bust is set upon a plinth designed by Derek Wrigley. Dr Nicholas Brown from the History Department – someone who has known John for many years – gave the tribute to John. John replied emphasizing the importance of collegiality among members of the Emeritus Faculty. This lunch time gathering was well attended.

Meeting with the New Vice-Chancellor

The Vice-Chancellor designate, Brian Schmidt, met with members of the Emeritus Faculty on the 28th of October for what was an open and wide-ranging discussion. The Molony Room was packed to overflowing and it would be difficult to summarize our varied discussion. The new VC expressed his hope that he would be able to call upon the Emeritus Faculty to offer a role in mentoring students. He spoke of his vision for the University and in particular, his goal of making the ANU a truly ‘national’ university. He made it clear that he is determined to foster excellence within the University. Everyone thought it was an excellent meeting and wished the new VC well.

Poets’ Lunch

In keeping with a tradition started and supported by Giles Pickford, the Emeritus Faculty once again hosted the Poets’ Lunch on the 3rd of December.

Oral History Project

Peter Stewart has been in charge of this ongoing oral history project since 2008. The technical support for these interviews is provided by Nik Fominas. To 2014, Peter has recorded interviews with 35 members of our Faculty. In 2015, he has added three more interviews to his collection: 1) Cedric Mims, 2) James J. Fox and 3) Anthony Low as provided by his wife Belle and daughters Angela and Penny. Anthony Low’s ‘interview’ also includes the eulogy read by his son Adam at his funeral in February. These interviews are available at http://www.anu.edu.au/emeritus/oral_history.html

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: John Molony

The East Coast Project team met regularly throughout the year. Our main objective was to complete the book on Cook’s first voyage on the Endeavour-1768-71-which was brought to fruition. It is provisionally entitled Captain James Cook Claiming the Great South Land. The title recognizes the fact that Cook’s major purpose was to go in search of the fabled great southern continent which had captured the imagination of many Europeans since the days of Ptolemy of Alexandria in the 2nd century A.D.

Although Cook, sceptical from the outset, diligently searched for the continent as he was ordered by the Admiralty to do, he failed to come across it. Instead he charted the east coast of what he called ‘the largest island in the world.’ Principally rejected as the longed-for continent by the Dutch who regarded it as totally worthless, Cook thought otherwise and claimed it for his Sovereign. In so doing he was claiming the true Great South Land which was later named Australia.

A stone object that, given its exact measurements, appeared to be a cannon ball found on the coast north of Eden turned out to be of local origin. This settled the matter. Likewise a huge object resembling an anchor and dredged up from the seabed, again near Eden, might again be of natural origin rather than fashioned by human intervention. These objects simply add to the numerous ‘finds’ on our coasts which, on scientific examination, prove to have no connection whatever to earlier visits to Australia. Nonetheless the team proposes to continue its study of pre-Cook maps, principally the so-called Dieppe maps, which, whatever else, are authentic although as yet not necessarily regarded as depicting the Australian continent.
We are grateful to the Emeritus Faculty which has permitted us to make use of its premises and from time to time has provided us with the means to procure several books pertaining to our research. We are happy to meet together, to maintain contact with each other and to pursue 'the heart of matter' as it is proclaimed in the motto of our University.

John Molony

The Emeritus: The ANUEF e-magazine

Ian Mathews, with the assistance of Giles Pickford and Connie Stamos, has continued to publish The Emeritus which is sent out to our membership. Eleven issues are published over the year. Vol. 6 No 1 appeared in February and Vol 6 No 11 appeared on the 6th of December this year. Copies of past editions of Emeritus are available for viewing (and saving) in the News section of the web site at http://www.anu.edu.au/emeritus/news.html.

The John Molony History Prize

Each year the ANU Emeritus Faculty provides funding for the 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 History Department has yet to announce the winner of the prize for 2015.

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 series is also intended to publish substantial work that has been produced over a long academic career. Next year the Summations Series is planning to publish the work of the East Coast Project: Captain James Cook Claiming the Great South Land. I also hope to publish a volume, Master Poets, Ritual Masters, a study of some fifty years dating back to 1965, that looks at the way the oral poets on the island of Rote in eastern Indonesia compose their recitations.

The Press is eager to receive manuscripts that present collected works of long-standing (including previous published papers) by ANU academics. Anyone interested in preparing a manuscript can contact me (james.fox@anu.edu.au) for information.

University Parking

At a meeting on the 11th of September with Michael Cardew-Hall and the Director of HR, Nadine White, I was informed that Senior Management had decided to discontinue the privilege of free parking that had been accorded to the Emeritus Faculty for the past several years. These new arrangements are scheduled to apply for 2016. At our meeting with the incoming Vice-Chancellor in October, we made representations about parking but it is far too early to know whether these representations have had any effect.

Emeritus Faculty New Members 2015

As of December 2015, the ANU Emeritus Faculty has 275 members.

<table>
<thead>
<tr>
<th>Name</th>
<th>Affiliation</th>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>Peter Bridgewater</td>
<td>CASS</td>
<td>Environment, conservation, heritage, UNESCO</td>
</tr>
<tr>
<td>Patrick De Deckker</td>
<td>RSES</td>
<td>Oceans, lakes, dust, climate change, environment</td>
</tr>
<tr>
<td>Leslie Fifield</td>
<td>RSPE</td>
<td>Accelerator Mass Spectrometry</td>
</tr>
<tr>
<td>Derek Robinson</td>
<td>MSI</td>
<td>Mathematics</td>
</tr>
<tr>
<td>Germain Kampowski</td>
<td>Library</td>
<td>Library &amp; Information Science – German</td>
</tr>
<tr>
<td>Susan Briggs</td>
<td>Crawford</td>
<td>Ecological environments</td>
</tr>
<tr>
<td>Karen Fominas</td>
<td>ANU Edge</td>
<td>Art &amp; Literature</td>
</tr>
<tr>
<td>Gavin Young</td>
<td>Geology</td>
<td>Vertebrate paleontology &amp; evolution</td>
</tr>
<tr>
<td>Philip Bierwirth</td>
<td>Dep.Defence</td>
<td>Geoscience &amp; Remote sensing</td>
</tr>
<tr>
<td>Mandy Scott</td>
<td>RSPAS</td>
<td>Language Policy</td>
</tr>
<tr>
<td>Julian Cribb</td>
<td>Journalist</td>
<td>Science communication</td>
</tr>
<tr>
<td>Alan McIntosh</td>
<td>Mathematics</td>
<td>Mathematics, harmonic analysis &amp; PDEs</td>
</tr>
<tr>
<td>Philippa Butcher</td>
<td>Psychology</td>
<td>Developmental psychology, neuropsychology</td>
</tr>
<tr>
<td>Wendy Mukherjee</td>
<td>RSPAS</td>
<td>Islam in Indonesia</td>
</tr>
</tbody>
</table>
Deaths and Obituaries
Anthony Low, Laurie Nichol, Colin Plowman, Nicholas Tapp, David West.

Obituaries appeared in *The Emeritus* for John Eddy, Margaret Evans, Tony McMichael, Laurie Nichol, Colin Plowman and Mike Raupach. 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: Jan O’Connor, Larry Saha, Adrian Gibb, Prame Chopra, Fyfe Bygrave, Diana Riddell, Verna Rosling, Craig Reynolds, Peter Scardoni, Brian Lees, and Caroline Ifeka (who left the Committee to return to Europe in September.) In particular, I would like to thank Adrian Gibbs for his tireless efforts in arranging our lectures and luncheon discussions; Jan O’Connor for her diligent work as our Secretary; Nik Fominas for his exceptional work in keeping us technologically functioning; Derek Wrigley for all his continuing help; Ante Dabro for the gift of the Molony bust; Ian Mathews, Giles Pickford and Connie Stamos for their work on *The Emeritus*; and Michael Cardew-Hall for his understanding and continuing strong support of the Emeritus Faculty.

James J. Fox
ANU EF Chair
11 December 2015

Addendum to Annual Report

Following his presentation of the Annual Report to the Annual General Meeting on 16 December, Professor Fox was thanked for the enormous amount of work he has done for the ANU Emeritus Faculty. Not only has he been an efficient Chair of the monthly Committee meetings and a congenial host of the fortnightly collegiate lunches and lectures, but he has also worked tirelessly behind the scenes to represent the interests of members and to promote the Faculty within the University community.

Jan O’Connor
Secretary
THE AUSTRALIAN NATIONAL UNIVERSITY

REPORT TO COUNCIL

SCHOLARSHIPS & PRIZES

Approvals 1 January to 31 December 2015

NEW RESEARCH SCHOLARSHIPS

- ANU External Postgraduate Research Scholarship (291/2015)
- HDR Fee Merit Scholarship (320/2015)
- NICTA LTD PhD Research Project Award (325/2015)
- Dean’s Merit Supplementary Scholarship in Science

NEW COURSEWORK SCHOLARSHIPS

- Ruth Dobson Scholarship (298/2015)
- Grace Groom Scholarship (297/2015)
- RSFAS Master of Financial Economics Scholarship (319/2015)
- RSAA Masters Advanced Scholarship (319/2015)
- Sharpe and Abel Scholarship (287/2015)
- RSFAS Honours Award (290/2015)
- Snowy River Shire Scholarship (300/2015)
- Bernard Wheelahan Latin American Travel Grant (301/2015)
- Research School of Finance, Actuarial Studies and Applied Statistics National University of Singapore Travel Scholarship (303/2015)
- Love Scholarships (304/2015)
- Coral Bell Scholarship (309/2015)
- The Poppy Undergraduate Scholarship (312/2015)
- RSFAS Bachelor of Finance, Economics and Statistics (Honours) Scholarship (318/2015)
- Bachelor Undergraduate Science Scholarship (322/2015)
- CASS Travel Scholarships (306/2015)
- RSES Masters Scholarship (316/2015)

REVISED COURSEWORK SCHOLARSHIPS

- Geoff Mercer Endowment (289/2015)
- Scholarship in Space Plasma Astronomy and Astrophysics (295/2015)
- RSE Neil Vousden Memorial Scholarship (323/2015)
- Wanda Henry Scholarship in Photonics (293/2015)
- ANU Science Relocation Grant (286/2015)
- RJ O’Neill Scholarship (288/2015)
- TB Millar Scholarship (292/2015)
- Ethel Tory Language Scholarship (326/2015)
- Ben Williams Student Support Grant (326/2015)
- Tall Foundation Scholarship in Archaeology (305/2015)
- Christel Larko Music Scholarship (307/2015)
- ANU-Study Canberra India Scholarship (308/2015)
- Tall Foundation Scholarship in Classics (311/2015)
- Scholarship in Regolith Science (317/2015)
REvised Research Scholarships

- ANU Indigenous Australian Reconciliation PhD Scholarship (313/2015)
- ANU Re-Entry PhD Scholarship (315/2015)
- Indigenous Australian Graduate Scholarship (314/2015)
- Gowrie Scholarship (310/2015)
- NICTA LTD PhD Scholarship (324/2015)
- EASS Patrons Graduate Award (327/2015)
- International Postgraduate Research Scholarship (321/2015)

New Prizes

- Joan Stanford Prize in Sociology (241/2015)
- Patsy and Kevin Payne Printmedia and Drawing School of Art Prize (248/2015)
- Cox Architecture School of Art Emerging Artist Support Scheme Prize (249/2015)
- Animals and the Law Prize (250/2015)
- Denis Carr Prize (251/2015)
- ANU Chinese Language Prize – Modern Chinese 6 (252/2015)
- ANU Chinese Language Prize – Modern Chinese 4 (253/2015)
- ANU Chinese Language Prize – Modern Chinese 2 (254/2015)
- Radhabai Kishinchand Prize (247/2015)

Revised Prizes

- Khalifa Bakhit Al-Falasi Prize for the Master in Middle Eastern and Central Asian Studies Advance (246/2015)
Meeting No. 6/2015 of the Academic Board was held on Tuesday 8 December 2015 at 9.30 am in the RC Mills Room, Chancelry.

Present: Professor Glasgow (Chair), Professor Young, Professor Harding, Professor Cardew-Hall, Professor Leitch, Professor Corbett, Professor Baker, Ms Mathey, Mr Erickson, Dr Royston Gustavson (for Professor Pickering), Professor Taylor, Associate Professor Whitford, Professor Bottomley, Professor Dovers (for Professor Kirk), Professor van Leeuwen (for Professor Roberts), Mr Morgan (for Associate Professor Newitt), Ms Missingham, Dr Jackson (for Professor Carver), Professor Abhayapala, Dr Whiting, Associate Professor Ferris, Dr Schmidt, Professor Cribb, Professor Powers, Professor Fargher, Dr Lu, Professor Pitchford, Professor Renz, Associate Professor Tamsitt, Associate Professor Gani, Dr Fahrer, Professor Lindesay, Associate Professor Kramer, Dr Orthia, Professor Ireland, Professor Kewley, Ms Apps, Mr Wilson, Mr Gill, Professor Dodson, Dr McKinnon, Associate Professor Sadeghi, Ms Stewart.

Observers: Professor Lo, Ms Gouldthorp, Mr Francie, Professor Haslett, Ms Sanft, Mr Ammad, Ms Wilson, Ms Jenks, Professor Keating.

Apologies: Professor Hughes-Warrington, Professor Pickering, Professor Huntington, Professor Raymer, Professor Kirk, Professor Carver, Associate Professor Strazdins, Professor Elliott, Ms Martin, Ms Willis.

In Attendance: Ms Easton.

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements

Item 1.1 Apologies
The apologies recorded above were noted.

Item 1.2 Announcements
The Chair, on behalf of the Vice-Chancellor Professor Ian Young. Thank you for the support you have provided to the Academic Board, for all your contribution to the discussions, your openness and willingness to share information.

The Vice-Chancellor has approved the re-appointment of Ben Gill for a further year. This appointment is under the category ‘one undergraduate student appointed by the Vice-Chancellor in consultation with the President of the Australian National University Students’ Association Inc’. Congratulations Ben, we look forward to having you on the Board for another year.

On behalf of the Board I would like to thank Associate Professor Pierre van der Eng for his contributions to the Board. Pierre has taken extended leave and has resigned from the Academic Board. As a replacement, I am pleased to welcome Dr Vinh Lu to the Board. Dr
Lu will complete the remainder of Associate Professor Pierre van der Eng’s original term on the Board, to 1 May 2016.
- Professor Shirley Leitch joins us from this meeting in the role of Proc Vice-Chancellor (International and Outreach).
- Welcome to Associate Professor Keturah Whitford who joins the Board as the alternate for the Dean, ANU College Business and Economics.

**Item 2 Conduct of Academic Board Members**

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

**Item 3 Starred Items**
The starred items are: 1-11, 13 – 18, 21, 23, 32, 36, 40, 42, 58 – 63.

**Resolution**
The Academic Board resolved to approve unstarred items.

**Item 4 Minutes**

**Resolution**
The Academic Board accepted the minutes (392/2015) of meeting 5/2015 of the Academic Board held on 29 September 2015 as a true and accurate record.

**Item 5 Matters Arising from the Minutes & Action Items**
The Chair reported that the action items from meeting 5/2015 included that the Chair send a message to the University Community in relation the women in STEM Report. This was included in the all staff notice circulated prior to this meeting.

The Pro Vice-Chancellor (Student Experience) noted that that there had been much interest in the report both across campus and externally and we may see some media coverage in the near future.

**Resolution**
The Academic Board noted the current action items list (803a/2014) and updates on action items as reported below.

**Item 6 2016 Academic Board elections**
The Chair noted that the current term end for the majority of elected members ends on 1 May 2016. Colleges will be provided assistance from Corporate Governance & Risk Office next year to run election processes but should be ready for call for names.

The Board discussed election processes and agreed it would be beneficial to potential new members if discussion forums were run to highlight the role of the Board and its elected members.

**Action:**
The Chair will write to College early in 2016 with an offer to run an information forum for staff. The forum will include the Chair and members of the Steering Committee (as available).

**Resolution**
The Academic Board noted the 2016 election processes and the request that Colleges Deans provide advice on any necessary updates to the Academic Board (Election of Members) Order 2014 (No. 3) to Megan.Easton@anu.edu.au by 11 December 2015.

**Item 7 Confidential items**
There were no confidential items on the Agenda.

**Part 2 – Information Flow**

**Item 8 Report from the Vice-Chancellor**
The Vice-Chancellor reported that this had been a remarkable week with significant announcements for the ANU. Highlights have included:

- A review of research policy and funding arrangements was released today. The key purpose of the report is to provide advice to the Government on how Australia can ensure that our world-class research can be better translated into commercial outcomes for greater economic returns. The report was prepared by Dr Ian Watt, along with a small working group made up of experts in the higher education and research sector.
- Excellence in Research for Australia (ERA) results have been released. The results show ANU leads the nation in research excellence and has improved its reputation for world-class research across the University since the previous survey in 2012. This is a tremendous result which confirms the position of ANU as a world-class university with a focus on the highest-quality research.
- The government made a significant announcement yesterday with the release of the Innovation Statement.

The Vice-Chancellor advised the Board that Professor Glasgow’s term as Chair of the Board ends in March 2015. The Chair is appointed by Council on recommendation of the Vice-Chancellor. Over the last month the Vice-Chancellor has been talking to candidates and is pleased to announce that the Council has approved the appointment of Professor Jacqueline Lo as the next Chair of the Academic Board. Professor Lo is Executive Director of the ANU Centre for European Studies, and Associate Dean (International) in the College of Arts and Social Sciences. Professor Young congratulated Professor Lo on her appointment.

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

Item 9 Report from the Deputy Vice-Chancellor (Academic)
The Deputy Vice-Chancellor (Academic) sent apologies to the meeting. The Chair noted that a written report had been included in the Agenda papers and that any queries can be sent through to the Deputy Vice-Chancellor (Academic) for response on her return.

Resolution
The Academic Board noted the Report.

Item 10 Report from the Deputy Vice-Chancellor (Research)
The Deputy Vice-Chancellor (Research) provided a written report in the Agenda papers and noted the following:

- Congratulations on ERA results. The ERA results found 95 per cent of broad-field research and 91 per cent of specific discipline research at ANU rated above or well above world standard. In total, ANU received the highest possible rating in 38 specific research disciplines, and in a further 11 broad fields of research across the full range of University research. The process of unpacking the data will now commence as we look at areas that didn’t perform as well as expected. Analysis of the results across the Group of Eight will be presented at University Research Committee in 2016.
- Acknowledgement and thanks should be given to Professor Andrew Cockburn and Professor Keith Dowding who made an enormous contribution to this exercise. Thanks too, to the researchers and professional staff who made our submission possible.
- A high level summary of the Watt review of research policy and funding arrangements has been made available to College Executive members and is now available for Board members on the Alliance site. Broadly this report is positive but there will be some consequence if it is accepted.
- A summary of the Innovation Statement is available to Board members on the Alliance site. The summary highlights specific measures affecting the ANU such as: Continuation of NCRIS funding post 2017 confirmed. Research Block Grants will change. An additional $127m will be provided over forward estimates. The current range of six block grants will be streamlined into two programmes.
- As incentives and drivers increase for Universities to work more collaboratively with end users like industry and business the University may need to review appointment and promotion activities and consider how alternate means of progression can be considered.
Action:
Post meeting the Deputy Vice-Chancellor (Research) made available on the Academic Board Alliance site: Watt Review Summary, Innovation Statement ANU Summary and All Factsheets National Innovation & Science Agenda.

The Board discussed the report and noted:

- Will separate academic promotions paths be required to consider business or industry experience? High quality research is the usual benchmark. We need to look at the data and see whether people with atypical background get appointed and promoted at ANU.
- As the focus in the coming weeks shifts to the government’s innovation agenda it is important to take stock of what ERA has delivered and what should be the directions into the future. Professor Aidan Byrne has commented that abandonment of an emphasis on quality would be a mistake.
- Is there a future for HERDC data publication, currently nothing significant depends on it.
- Is there any indication on how that the change in research training funding, with removal of publications from the formula and added to the income component, will impact on ANU CAP and ANU CASS? The drivers will be 50% student completions and 50% category 1-4 research income, with equal weighing to be given to Category 1 income and category 2-4. We will have to work through the models. There is a safety net so that no university receives less than 95% of its funding for prior years, but a 5% budget different can still have a major impact.
- Has there been discussion about models for stipends? This is a critical issue for ANU and it will be investigated and discussed with Colleges. Strategic conversations such as this will be a focus for University Research Committee next year.

The Chair on behalf of the Board congratulated Professor Harding for her leadership across this portfolio and noted the results we have discussed are a credit to researchers and research office support activities across the whole campus.

Resolution
The Academic Board noted the Report.

Item 11 Report from the Chair
The Chair provided a written report in the Agenda papers and noted his congratulations to Professor Lo on her appointment as the next Chair of the Board.

Resolution
The Academic Board noted the Report.

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

Item 13 General Question Time
There were no questions raised at the meeting.

Part 3 – Strategy & Planning

Item 14 Hot Topic: Academic Board self-assessment.

The Academic Board has determined that a review of its performance will be undertaken once every two years. The Chair presented some preliminary results from the current self-assessment survey. The paper tabled at the meeting is available on the Board Alliance site.

The Board discussed its performance and noted the following strengths, weaknesses and issues for further consideration:
The diversity of people who are engaged in Board activities, who come to meeting and discuss issues is a strength. Diversity from across the University community is important for the Board to function effectively.

The Board presents a useful forum for discussion of academic matters – increasing emphasis on industry and engagement would be useful.

The Board plays an important part in bringing the research and education arms of the university together.

A major weakness of the Board recently has been Hot Topics that are luke-warm. Engagement in Hot Topics is important.

Hot Topics should be selected further in advance and draft papers circulated for prior discussion. There needs to be greater ownership from across the Board in the determination of Hot Topics. Hot Topic papers need a clearer structure and to provide defined outcomes.

The Board need to juggle two roles, one that allows discussion/airing of ideas and the second is a decision making role. Many Board members are on UEC and URC and have already seen and endorsed papers prior to them coming to the Board.

Are all Hot Topic equal? Are there some issues that the Board could consider in a quick and animated way and others where we should drill into in depth, harvest data, and consider at greater length? The Board might accommodate more hot topics if treated some as requiring a short sharp debate and other that need more debate.

The amount of material to be considered at each meeting can be overwhelming. Could the agenda be more focused and contain less items? How could be make it more manageable in the time that we have.

There is a tension in maintaining effective governance oversight and considering papers from both University Education Committee and University Research Committee but then not being swamped in paperwork. The paperwork provides the University with a transparent audit trail and the authority to make, record and implement decisions.

There is overlap in membership from UEC, URC and the Board. Are Colleges having to rely on the same people for committee work? Can co-curricular leadership development be captured and reported on in promotions, if there is a greater awareness of the contributions Committee members make to the University would these position become more desirable?

There is tension in the role of the elected members from the Colleges. Who do you represent? The College line or your colleagues? This needs to be clarified and communication lines simplified to assist you to be the best representative that you can be for the Board.

Does the size of the Board allow equal engagement and agreement across the Board? Does the volume of people in the room allow member to be quiet or prevent them from contributing.

The ability to ask questions of the University Executive is a strength of the Board. It is useful to get clear information, members appreciate being able to hear directly from the VC and DVC’s intention of Uni policies.

The Vice-Chancellor noted that a new strategic plan will be developed early next year by the new Vice-Chancellor and Academic Board would clearly need to be a part of that discussion process.

The Chair thanked Board members for their contribution and noted there is a need to address the format and selection of Hot Topics and to ensure there are specific outcomes documented and reported back to the Board.

**Action**

The Chair will present to Academic Board 1/2016 a summary of these discussions and issues highlight via the online self-assessment survey with suggestions for discussion on how issues raised could be addressed.

**Resolution**

The Academic Board discussed the role and functions of the Board.
Item 15  Library Collection purchasing
The University Librarian noted that issues relating to the library collection purchasing had been raised at the last Board meeting and a report was provided in this Agenda on the actions taken by the University to address the currency impact on purchases for the Library Collection.

The board discussed the report noting;
- The monograph freeze for this year continues but in next year’s budget this amount has been increased.
- Open access to materials is increasingly important. Currently three big publishers take up about 40% of our library budget.

Resolution
The Academic Board noted the actions taken by the University to address the currency impact on purchases for the Library Collection.

Item 16  Space and facilities survey 2015
That Academic Board noted the report on the Space and Facilities Survey 2015.

The Deputy Chair of University Education Committee ask Board members to note:
- The details and consider the report in terms of current practice.
- This was one of two reports on use of space under discussion by UEC the other was beonics and that report has generated a lot of discussion. There is an appetite from University Education Committee to look at more data as it become available.

Resolution
The Academic Board noted the report on the Space and Facilities Survey 2015.

Item 17  Revised Mental Health Strategy
The Pro Vice-Chancellor (Student Experience) provided an overview of the revised Mental Health Strategy 2015 and thanked ANUSA for their role in pushing this agenda item. The board noted that Support Staff and Students experiencing Mental Health Difficulties and Mental Illness outlined in the paper will be further refined and separated into two groups.

ANUSA reported Friday 18th March 2016 is the date for the Mental Health Roundtable. Planning is underway, at this stage there is not much information available but there is a desire to make it a one day conference rather than a three hour roundtable so the date and format could change substantially.

[Note: Post meeting ANUSA President provided the notes from the 2015 Mental Health roundtable which have been posted on Alliance for Board members information. Ben Gill is happy to address any questions via sa.president@anu.edu.au.

The Board discussed the report and noted;
- The Division of Student Life usually approach services on a case by case basis, providing support either through the Dean of Students or the counselling centre.
- Further work needs to be undertaken to understand the correlation between mental health and academic integrity issues such as requests for deferred exams.
- Education access plans discussed at lengths feeling some areas academic reluctance to take them seriously. Looking to visit college ed committees next year purpose and procedures around education access plans.
- It would be useful to develop a comprehensive set of instructions for external suppliers.
- More work will be undertaken in relation to education access plans and the Pro Vice-Chancellor (Student Experience) intends to visit Colleges to discuss the plans.

The Chair thanked the Committee for their discussion, noting this was an important report for the University and it is great to see the progress being made.

Resolution
The Academic Board noted the revised Mental Health Strategy.
Part 4 – Academic Standards & Quality

Item 18  Academic Integrity Report
The Registrar (Student Administration) advised that this item was a progress report stemming from the implementation of the new Academic misconduct Rules that came into effect at the beginning of this year. There has been a high level of engagement from Colleges over implementation of these rules. There is still some variability in statistics and some issues relating to compliance reporting and resourcing in some areas. There will be further reporting on this issue via University Education Committee in 2016.

Resolution
The Academic Board noted:
1. The responses from Colleges with a low number of Academic Integrity cases in Semester 1, 2015; and
2. The examples of exceptional practice on the implementation of academic integrity that have been provided from the ANU College of Arts and Social Sciences, the ANU College of Engineering and Computer Science, and the ANU College of Asia and the Pacific.

Item 19  Turnitin review
Resolution
The Academic Board noted the updates to Turnitin communication and action plan at Appendix 19A.

Item 20  Very Minor Breaches of Student Academic Integrity
Resolution
The Academic Board approved the proposed principles for management of very minor incidences of poor academic practice.

Item 21  Academic Calendar
The Registrar (Student Administration) advised that this item was to determine the position of the two-week teaching break in Semester 1, 2018. The item was referred back from the Board to University Education Committee for further discussion stemming from concerns from Science over the non teaching break. University Education Committee has discussed and this plan is now back for endorsement of the Board.

The Board noted the background provided in the Agenda papers and with one dissent endorsed the resolution for approval.

Resolution
The Academic Board approved that the 6-2-6 model be employed for Semester 1, 2018.

Item 22  CECS Master Computing (Advanced) Admission Requirements
Resolution
The Academic Board approved the following recommendations:
1. To extend the endorsement of entry into CECS Master Computing (Advanced) by transfer only for 2016.
2. That a review take place by CAAC 3/2016 for admission from 2017 onwards.

Item 23  Audit of Qualifications to Accompany Admissions Applications
The Registrar (Student Administration) briefing the Board on a proposed change to the Risk Management Strategy related to the auditing of qualifications to accompany admission applications. The University has moved to an audit model as means of quality assurance for admission to the institution. The Board noted that the Universities Admission Centre is also moving to a similar system.

Resolution
The Academic Board approved the following changes to the Risk Management Strategy relating to the auditing of qualifications:
1. Conduct back to source auditing on a minimum 10% of all commencing students on any qualifications used in assessing eligibility for admission.
2. Where a response is not received from the awarding institution, students will have 30 calendar days (from the first day of semester) to supply original transcripts.

3. If students do not supply documents in the specified timeframes their student record will be marked with a negative service indicator preventing access to final grades.

**Item 24**  
**UAC Strategy for 2016**

**Resolution**

The Academic Board approved the 2016 UAC offer round strategy for domestic undergraduate admission.

**Item 25**  
**Forced Offer Report**

**Resolution**

The Academic Board approved the following recommendations:

1. The report on forced offers for undergraduate coursework applicants
2. The expansion of the DVC/PVC approved forced offer process to internal transfer applicants in double degrees
3. To note that postgraduate coursework applicants will be reported as part of the next review, due by CAAC5-2016.

**Item 26**  
**ANU COL Tertiary Rank Sub-quota**

**Resolution**

The Academic Board approved a cut-off of 92 for B Laws (Honours) and FD Law applicants being assessed on incomplete tertiary study of 1.0 FTE or more.

**Item 27**  
**ANU Extension – Early entry scheme review**

**Resolution**

The Academic Board approved the following recommendations:

1. To note the continuation of early full offer release through UAC (January Round 1) for ANU Extension applicants.
2. That to be eligible applicants must meet the following criteria;
   a. Have completed an ANU Extension course, with a pass grade or higher, in the year prior to applying for admission
   b. Achieve an ATAR (exclusive of any bonus points):
      - of 70 for ANU programs with a cut-off <82 or;
      - within 5 points of the applicable cut-offs for ANU programs with a cut-off between 83-98 (e.g. B Psychology (Hons) cut-off = 95 so applicants would require an ATAR of 90) or;
      - within 2 points of the applicable cut-off for ANU R&D programs (97), having completed a CECS ANU Extension course
   c. Meet any applicable program prerequisite and/or additional selection criteria
3. That DSRA develop a communication and retention plan with ANU Extension for implementation in 2016.
4. That the next review for ANU Extension Early Entry Scheme be conducted by 2018.

**Item 28**  
**Inherent Requirements**

**Resolution**

The Academic Board noted the role of inherent requirements and that study sequences that are identified as needing inherent requirements action are initiated through the draft proposed process.

**Item 29**  
**Psychology students on probation**

**Resolution**

The Academic Board noted the report on psychology students on probation and request a progress report from the Research School of Psychology at UEC6/2016.

**Item 30**  
**Review of Maths Prerequisites for Admission to CECS Programs**

**Resolution**

The Academic Board approved the following recommendations:

1. The existing R&D maths prerequisites are retained but that the college is able to seek permission from the DVCA/PVCIO through the forced offer process to waive the requirement of a Specialist Maths major/minor or equivalent for students who exceed a base ATAR of 99 but who meet the...
Maths Methods or equivalent requirement of the standard Bachelor of Engineering degree. The existing maths requirements for the Bachelor of Engineering, Bachelor of Software Engineering, and the Bachelor of Advanced Computing be retained and maths waivers for these programs only be requested in exceptional circumstances (but we continue the current practice of waivers for CIT/TAFE students).

2. CECS will inform MSI of all requested maths waivers.

3. That consideration is given, through the Computer Science curriculum review process and in consultation with the CECS/Science Joint Board of Studies, to removing the maths prerequisites for the Bachelor of Information Technology (or equivalent new degree) and replacing it with assumed knowledge, but only if a (bridging) maths option can be provided that would prepare students without the required maths background for core maths and computing courses.

Item 31  Review of General Certificate of Education Advanced (GCE A) Levels Entry Requirements
Resolution
The Academic Board approved that ANU continues to accept the current schedule (Appendix 31A) for GCE Advanced Level (A2) completed from 2010 onwards with the schedule to be reviewed no later than CAAC 5/2017.

Item 32  Minimum English Language Requirements for International VCE Students
The Registrar (Student Administration) advised that this item proposes a change to the English Language Admission Requirements Policy to recommend minimum entry requirements for International students completing the Victorian Certificate of Education (VCE).
Resolution
The Academic Board approved that ANU introduce a change to the English Language Admission Requirements Policy where International students completing the VCE will be required to achieve a minimum raw unscaled entry score in English as an Additional Language (EAL) or English as a Second Language (ESL) of 30; or 25 in units 3 and 4 in any other VCE English subject.

Item 33  Acceptance of Vietnam Upper Secondary School Graduation Diploma for Base-Level Bachelor Degree Programs.
Resolution
The Academic Board approved the following recommendations:
1) that ANU recognise the Vietnam Upper Secondary School Graduation Diploma at a grade average of 8.5 or higher where applicants have attended a gifted school listed in Appendix 33B for entry into ANU base-level bachelor degree programs (Programs with an ATAR equivalent of 82 or less). Completion of the Vietnam Upper Secondary School Graduation Diploma will not meet ANU English language requirements.

Item 34  Extension of the Joint ANU-UNISA Bachelor of Medical Science degree
Resolution
The Academic Board approved:
1. the extension of the University of South Australia/ANU Bachelor of Medical Science Memorandum of Understanding (MoU) until 31 December 2017 to ensure students who commenced the degree in 2014 have completed their program requirements.
2. that there will be no 2016 or 2017 intake of commencing students for this program.

Item 35  PhB (Hons)/MChD pathway
Resolution
The Academic Board approved the disestablished, accelerated pathway and for endorsement of the continuation of the non-accelerated pathway for the PhB/MChD.
Item 36  Program Accreditation and Delivery Framework
The Registrar (Student Administration) advised that the Tertiary Education Quality and Standards Agency (TEQSA) have released a guidance note on program approval, design, and delivery methods.

The Board discussed the Summary of Actions and Colleges requested to be involved in jointly developing wording relating to item 6 and 11.

Resolution
That Academic Board approve:
1. The comparison of accreditation principles between the TEQSA guidance note and ANU practice; and
2. The proposed actions where there might be discrepancies between the two.

Item 37  CPMS/CMBE Final Grade Incident Report
Resolution
The Academic Board noted the report provided by the ANU College of Physical and Mathematical Sciences and ANU College of Medicine, Biology and Environment relating to Final Grade Incidents that occurred in Semester 1, 2015.

Item 38  CECS Final Grade Incident Report
Resolution
The Academic Board noted the report provided by the ANU College of Engineering and Computer Science relating to a Final Grade Incident that occurred in Semester 1, 2015.

Item 39  CECS Unresolved Grade Incident for Graduated Student
Resolution
The Academic Board noted the report provided by the ANU College of Engineering and Computer Science relating to an unresolved grade for a student who graduated in Semester 1, 2014.

Item 40  Contemporary misconduct issues in coursework examinations
Resolution
The Academic Board approved the following recommendations:
1. That:
   a. all watches, other personal timing devices, and Google Glass be banned from ANU coursework examinations;
   b. that pre-examination announcements to candidates incorporate specific instructions relating to watches, timing devices, Google Glass and digital pens; and
   c. a communication strategy to implement the change be devised and deployed.
2. A collaborative group be formed to investigate the feasibility of a purchasing a cache of calculators, dictionaries, pens and pencils for examination purposes; and
3. The University Education Committee in consultation with the Colleges and Schools undertake a review of:
   a. The academic integrity profile associated with different types of assessment when constructing coursework examination papers to strengthen the veracity of the examination process; and
   b. Personal technologies in examinations with a view to providing advice for emerging trends in technology disruptions to assessment practices including the use of invigilated examinations.

Item 41  Update on Diplomas
Resolution
The Academic Board noted the update on progress of the new Diplomas.
Part 5 – Policy

Item 42 HDR Policy Revisions and Developments 2015
The Pro Vice-Chancellor (Research and Research Training) advised this report is on HDR policy revisions and other developments and summarise the key changes. Information sessions can be arranged for Colleges by the office of the PVRRT (contact peter.francis@anu.edu.au).

Resolution
The Academic Board noted the report.

Item 43 Higher Degree Research Procedures and Guidelines
Resolution
The Academic Board endorsed the following HDR procedure and guideline documents effective from 1 January 2016:
1. **Higher Degree by Research: Candidature Progression Procedure**;
2. **Higher Degree by Research: University, Supervisor, and Candidate Responsibilities Guideline**;
3. **Use of Confidential and Restricted Information in Higher Degrees by Research Theses Procedure**; and
4. **Student Sanctions Procedure**.

Item 44 Transfer between Registered Providers (Release Letter) Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Transfer between Registered Providers (Release Letter) policy; and
2. The revised Transfer between Registered Providers (Release Letter) procedure.

Item 45 Student Reservist Support Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Student Reservist Support policy; and
2. The revised Student Reservist Support procedure.

Item 46 Establishment of Inter-Institutional Links Policy
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor that the Establishment of Inter-Institutional Links policy be repealed.

Item 47 Academic Programs and Courses Accreditation Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revised:
1. Academic Programs and Courses Accreditation Policy; and
2. Academic Programs and Courses Accreditation Procedure.

Item 48 Timetabling Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revised Room Allocation section in the Timetabling Procedure.

Item 49 Student Academic Study Load and Progression Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Student Academic Study Load and Progression policy; and
2. The revised Student Academic Study Load and Progression procedure.
Item 50  Student Refunds Policy
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revised Student Refunds policy.

Item 51  Glossary: Student Policies and Procedures
Resolution
The Academic Board endorsed for transmission to Academic Board to the Vice-Chancellor for approval, the proposed revisions to the Glossary: Student Policies and Procedures.

Item 52  Admissions Policy
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revised Admissions policy.

Item 53  Course Outline Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Course Outline policy; and
2. The revised Course Outline procedure.

Item 54  Official Sponsorships Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the revised Official Sponsorships procedure.

Item 55  Student Survey and Evaluations Policy and Procedure
Resolution
The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
1. The revised Student Survey and Evaluations policy; and
2. The revised Student Survey and Evaluations procedure.

Supplementary Agenda item

Item S.1.  External Project Funding and Agreements Policy and Procedure
Resolution
1. The Academic Board endorsed for transmission to the Vice-Chancellor for approval:
   a. External Project Funding and Agreements Policy; and
   b. External Project Funding and Agreements Procedure; and
2. That Academic Board endorse repeal of the following:
   a. Externally-funded Grants, Consultancies and Contracts Policy; and
   b. Externally-funded Grants, Consultancies and Contracts Procedure

Part 6 – Reports from Committees

Item 56  Report from University Education Committee
Resolution
The Academic Board noted the report.

Item 57  Report from University Research Committee
Resolution
The Academic Board noted the report.
Part 7 – Accreditation

Item 58 Articulation agreements and admission pathways
Professor Cribb assumed the Chair for all items listed under 58.

Item 58.1 Amendment to articulation agreement with Universitas Indonesia (UI)
Resolution
The Academic Board noted the amendment to the articulation agreement between ANU and Universitas Indonesia (UI) and endorse for transmission to Academic Board.

Item 58.2 CBE Articulation with Beijing Institute of Technology (BIT)
Resolution
The Academic Board noted the articulation agreement between CBE and Beijing Institute of Technology (BIT) and endorse for transmission to Academic Board.

Item 58.3 ANUMS UBD Admissions Pathway Agreement
Resolution
The Academic Board endorsed the following recommendations:
1. The Admissions Pathway notification
2. That the final agreement between ANU Medical School and Universiti Brunei Darassalam come back to CAAC for noting.

Item 58.4 CECS undergraduate articulation agreement with Beijing Institute of Technology
Resolution
The Academic Board noted the articulation agreement between the ANU College of Computing and Engineering and Beijing Institute of Technology and endorse for transmission to Academic Board.

Item 58.5 CPMS undergraduate articulation agreement with Wuhan University
Resolution
The Academic Board noted the articulation agreement proposal between the ANU College of Physical & Mathematical Sciences (CPMS) and Wuhan University.

Following this item Professor Glasgow resumed the Chair.

Item 59 Coursework Review Schedule
Resolution
The Academic Board noted the Coursework Review Schedule.

Item 60 Undergraduate Awards

Item 60.1 Review of Undergraduate Programs
Resolution
The Academic Board approved the following undergraduate program be reaccredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMBE</td>
<td>3614</td>
<td>Bachelor of Genetics</td>
</tr>
<tr>
<td></td>
<td>BGEN</td>
<td>Bachelor of Genetics</td>
</tr>
<tr>
<td></td>
<td>HGNE</td>
<td>(Honours)</td>
</tr>
</tbody>
</table>
Item 60.2 Extension of Accreditation of Undergraduate Programs

Resolution

The Academic Board approved the accreditation of the following undergraduate programs is extended as detailed below:

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CECS</td>
<td>AENGI</td>
<td>Bachelor of Engineering (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>AENRD</td>
<td>Bachelor of Engineering (Research and Development) (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>ASENG</td>
<td>Bachelor of Software Engineering (Honours)</td>
</tr>
<tr>
<td>CASS</td>
<td>BEURO</td>
<td>Bachelor of European Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>BLAMS</td>
<td>Bachelor of Latin American Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>BMECA</td>
<td>Bachelor of Middle Eastern and Central Asian Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>HEURO</td>
<td>Bachelor of European Studies (Honours)</td>
</tr>
<tr>
<td>CASS</td>
<td>HLAMS</td>
<td>Bachelor of Latin American Studies (Honours)</td>
</tr>
<tr>
<td>CASS</td>
<td>HMECA</td>
<td>Bachelor of Middle Eastern and Central Asian Studies (Honours)</td>
</tr>
</tbody>
</table>

Item 60.3 College-approved changes for noting

Resolution

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

<table>
<thead>
<tr>
<th>Type</th>
<th>College</th>
<th>Code</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ANTH-MAJ</td>
<td>Anthropology</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ARCH-MAJ</td>
<td>Archaeology</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ARTH-MAJ</td>
<td>Art History</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ARTT-MAJ</td>
<td>Art Theory</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>CDAR-MAJ</td>
<td>Ceramics Design Arts</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>CERM-MAJ</td>
<td>Ceramics</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>CRIM-MAJ</td>
<td>Criminology</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>DEST-MAJ</td>
<td>Development Studies</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>DIHU-MAJ</td>
<td>Digital Humanities</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>EHIS-MAJ</td>
<td>European History</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ENGL-MAJ</td>
<td>English</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>FREN-MAJ</td>
<td>French Language and Culture</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>GEND-MAJ</td>
<td>Gender Sexuality and Culture</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>GERM-MAJ</td>
<td>German Language and Culture</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>HIST-MAJ</td>
<td>History</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>HMAB-MAJ</td>
<td>Health, Medicine and the Body</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>IREL-MAJ</td>
<td>International Relations</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>ITAL-MAJ</td>
<td>Italian Language and Culture</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>LING-MAJ</td>
<td>Linguistics</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>POLS-MAJ</td>
<td>Political Science</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>SOCY-MAJ</td>
<td>Sociology</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>SPAH-MAJ</td>
<td>Spanish</td>
</tr>
<tr>
<td>Major</td>
<td>CBE</td>
<td>STAT-MAJ</td>
<td>Statistics</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>AFRE-MIN</td>
<td>Advanced French Studies</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>AGER-MIN</td>
<td>Advanced German Studies</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>AITA-MIN</td>
<td>Advanced Italian Studies</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>AMER-MIN</td>
<td>American Studies</td>
</tr>
</tbody>
</table>
**Item 60.4  B. Mathematical Sciences market research**

**Resolution**
The Academic Board noted that the accreditation condition for the Bachelor of Mathematical Sciences has been met.

**Item 60.5  Amendments to Undergraduate Awards**
The Board noted that the BMus amendment was approved subject to the approval of the proposed new courses in the Composition, Arranging and Sound Design Major. Those courses have now been approved, published on programs and courses, and scheduled for 2016; see:

- Composition, Arranging, and Sound Design 1
- Composition, Arranging, and Sound Design 2
- Composition, Arranging, and Sound Design 3
- Composition, Arranging, and Sound Design 4
- Composition, Arranging, and Sound Design 5
- Composition, Arranging, and Sound Design 6

As such, the condition on approval has been satisfied and so the BMUSI changes may be considered for unconditional approval by Academic Board.
### Resolution

The Academic Board approved the amendments to undergraduate Awards be accredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CECS</td>
<td>AACOM</td>
<td>Bachelor of Advanced Computing (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>AÄCRD</td>
<td>Bachelor of Advanced Computing (Research and Development) (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>AENGI</td>
<td>Bachelor of Engineering (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>AENRD</td>
<td>Bachelor of Engineering (Research and Development) (Honours)</td>
</tr>
<tr>
<td>CECS</td>
<td>ASENG</td>
<td>Bachelor of Software Engineering (Honours)</td>
</tr>
<tr>
<td>CASS</td>
<td>BARTS</td>
<td>Bachelor of Arts</td>
</tr>
<tr>
<td>CAP</td>
<td>BASIA</td>
<td>Bachelor of Asian Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>BMUSI</td>
<td>Bachelor of Music</td>
</tr>
<tr>
<td>CAP</td>
<td>BASIA</td>
<td>Bachelor of Asian Studies*</td>
</tr>
<tr>
<td>CECS</td>
<td>HIT</td>
<td>Bachelor of Information Technology (Honours)*</td>
</tr>
<tr>
<td>CBE</td>
<td>HINBS</td>
<td>Bachelor of International Business (Honours)**</td>
</tr>
</tbody>
</table>

### Item 60.6 Disestablishment of Undergraduate Awards

Resolution

The Academic Board approved the disestablishment of undergraduate Awards as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAP</td>
<td>HASEC</td>
<td>Bachelor of Asia-Pacific Security (Honours)</td>
</tr>
<tr>
<td>CAP</td>
<td>HAPST</td>
<td>Bachelor of Asia-Pacific Studies (Honours)</td>
</tr>
</tbody>
</table>

### Item 60.7 New Undergraduate Majors, Minor and Specialisations

Resolution

The Academic Board approved the following majors, minors and specialisations are accredited as recommended by the relevant College Education Committees and University Education Committee.

<table>
<thead>
<tr>
<th>Type</th>
<th>College</th>
<th>Code</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major</td>
<td>CASS</td>
<td>CASD-MAJ</td>
<td>Composition, Arranging and Sound Design</td>
</tr>
<tr>
<td>Major</td>
<td>CASS</td>
<td>MTEC-MAJ</td>
<td>Music Technology</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>CASD-MIN</td>
<td>Composition, Arranging and Sound Design</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>POMU-MIN</td>
<td>Popular Music</td>
</tr>
<tr>
<td>Spec</td>
<td>CECS</td>
<td>COMP-HSPC</td>
<td>Computer Science Honours specialisation*</td>
</tr>
</tbody>
</table>

### Item 60.8 Disestablishment of Undergraduate Majors, Minors and Specialisations

Resolution

The Academic Board approved the following majors, minors and specialisations are disestablished as detailed below.

<table>
<thead>
<tr>
<th>Specialisation Type</th>
<th>College</th>
<th>Code</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major</td>
<td>CASS</td>
<td>CRMU-MAJ</td>
<td>Creative Musicianship</td>
</tr>
<tr>
<td>Minor</td>
<td>CASS</td>
<td>CRMU-MIN</td>
<td>Creative Musicianship</td>
</tr>
</tbody>
</table>

### Item 61 Graduate Coursework Awards

### Item 61.1 New Graduate Awards

The Board requested that document number 1201/2015 relating to the following programs:

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBE</td>
<td>CMGOL</td>
<td>Graduate Certificate of Management - Online</td>
</tr>
<tr>
<td>CBE</td>
<td>MBSOL</td>
<td>Master of Business Information Systems – Online</td>
</tr>
<tr>
<td>CBE</td>
<td>MIMOL</td>
<td>Master of International Management – Online</td>
</tr>
<tr>
<td>CBE</td>
<td>MPROL</td>
<td>Master of Project Management – Online</td>
</tr>
<tr>
<td>CBE</td>
<td>MGMT</td>
<td>Master of Management</td>
</tr>
<tr>
<td>CBE</td>
<td>MMGOL</td>
<td>Master of Management - Online</td>
</tr>
<tr>
<td>CBE</td>
<td>MBAOL</td>
<td>Master of Business Administration - Online</td>
</tr>
<tr>
<td>CBE</td>
<td>VBAOL</td>
<td>Master of Business Administration (Advanced) – Online</td>
</tr>
</tbody>
</table>
Resolution

The Board approved the following graduate coursework Awards be accredited as recommended by the relevant College Education Committee and University Education Committee.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CECS</td>
<td>6714</td>
<td>Graduate Certificate of Applied Data Analytics</td>
</tr>
<tr>
<td>CECS</td>
<td>6715</td>
<td>Graduate Diploma of Applied Data Analytics</td>
</tr>
<tr>
<td>CECS</td>
<td>7716</td>
<td>Master of Applied Data Analytics</td>
</tr>
</tbody>
</table>

Item 61.2 Amendments to Graduate Coursework Awards

Resolution

The Academic Board approved the amendments to undergraduate coursework Awards be accredited as detailed below.

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBE</td>
<td>7417XMBIS</td>
<td>Master of Business Information Systems</td>
</tr>
<tr>
<td>CBE</td>
<td>MIMGT</td>
<td>Master of International Management</td>
</tr>
<tr>
<td>CBE</td>
<td>MPROM</td>
<td>Master of Project Management</td>
</tr>
<tr>
<td>ANUCoL</td>
<td>GDLP</td>
<td>Graduate Diploma of Legal Practice*</td>
</tr>
<tr>
<td>ANUCoL</td>
<td>MLEGP</td>
<td>Master of Legal Practice*</td>
</tr>
<tr>
<td>CAP</td>
<td>MMDSA</td>
<td>Master of Military and Defence Studies (Advanced)*</td>
</tr>
</tbody>
</table>

Item 61.3 Review of Graduate Coursework Programs

Resolution

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

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>CECS</td>
<td>6706XGDCP</td>
<td>Graduate Diploma of Computing</td>
</tr>
<tr>
<td>CASS</td>
<td>7169</td>
<td>Master of Globalisation</td>
</tr>
<tr>
<td></td>
<td>MGLOB</td>
<td>Master of Globalisation (Advanced)</td>
</tr>
<tr>
<td></td>
<td>VGLOB</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>7170</td>
<td>Master of History</td>
</tr>
<tr>
<td></td>
<td>MHIST</td>
<td>Master of History (Advanced)</td>
</tr>
<tr>
<td></td>
<td>VHIST</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>7175</td>
<td>Master of Social Research</td>
</tr>
<tr>
<td></td>
<td>MSRES</td>
<td>Master of Social Research (Advanced)</td>
</tr>
<tr>
<td></td>
<td>VSRES</td>
<td></td>
</tr>
<tr>
<td>CASS</td>
<td>7904</td>
<td>Master of Studies</td>
</tr>
<tr>
<td></td>
<td>MSTUD</td>
<td>Master of Studies (Advanced)</td>
</tr>
<tr>
<td></td>
<td>VSTUD</td>
<td></td>
</tr>
</tbody>
</table>
**Item 61.4 Extension of Accreditation of Graduate Coursework Programs**

**Resolution**

The Academic Board approved the accreditation of the following graduate coursework programs is extended as detailed below:

<table>
<thead>
<tr>
<th>Code</th>
<th>Award</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>VLIBA</td>
<td>Master of Liberal Arts (Advanced)</td>
<td>Extend accreditation to 31 December 2016. Master of Liberal Arts cohort to be monitored. To be disestablished once no further students meet transfer requirements.</td>
</tr>
</tbody>
</table>

**Item 61.5 College-approved changes for noting**

**Resolution**

The Academic Board noted that amendments to the following graduate coursework Awards and specialisations have been approved by the relevant ANU College:

<table>
<thead>
<tr>
<th>College</th>
<th>Code</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>CPMS</td>
<td>MENCH</td>
<td>Master of Energy Change</td>
</tr>
<tr>
<td>CPMS</td>
<td>VENCH</td>
<td>Master of Energy Change (Advanced)</td>
</tr>
<tr>
<td>CASS</td>
<td>AHCS-SPEC</td>
<td>Art History and Curatorial Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>ANTH-SPEC</td>
<td>Anthropology</td>
</tr>
<tr>
<td>CASS</td>
<td>ARTV-SPEC</td>
<td>Visual Arts</td>
</tr>
<tr>
<td>CASS</td>
<td>CEHE-SPEC</td>
<td>Cultural and Environmental Heritage</td>
</tr>
<tr>
<td>CASS</td>
<td>CHIN-SPEC</td>
<td>Chinese Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>CHME-SPEC</td>
<td>Culture, Health and Medicine</td>
</tr>
<tr>
<td>CASS</td>
<td>CLAS-SPEC</td>
<td>Classical Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>DART-SPEC</td>
<td>Digital Arts</td>
</tr>
<tr>
<td>CASS</td>
<td>DEMO-SPEC</td>
<td>Demography</td>
</tr>
<tr>
<td>CASS</td>
<td>DIHU-SPEC</td>
<td>Digital Humanities</td>
</tr>
<tr>
<td>CASS</td>
<td>ENGL-SPEC</td>
<td>English Language</td>
</tr>
<tr>
<td>CASS</td>
<td>GALI-SPEC</td>
<td>General and Applied Linguistics</td>
</tr>
<tr>
<td>CASS</td>
<td>GERM-SPEC</td>
<td>German Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>HEGE-SPEC</td>
<td>Health and Gender</td>
</tr>
<tr>
<td>CASS</td>
<td>HEPE-SPEC</td>
<td>Health Policy and Ethics</td>
</tr>
<tr>
<td>CASS</td>
<td>HIST-SPEC</td>
<td>History</td>
</tr>
<tr>
<td>CASS</td>
<td>INDN-SPEC</td>
<td>Indonesian Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>INPO-SPEC</td>
<td>Indigenous Policy</td>
</tr>
<tr>
<td>CASS</td>
<td>ITAL-SPEC</td>
<td>Italian Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>JPN-SPEC</td>
<td>Japanese Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>KORE-SPEC</td>
<td>Korean Language and Culture</td>
</tr>
<tr>
<td>CASS</td>
<td>LATN-SPEC</td>
<td>Latin</td>
</tr>
<tr>
<td>CASS</td>
<td>MEC-SPEC</td>
<td>Middle Eastern and Central Asian Studies</td>
</tr>
<tr>
<td>CASS</td>
<td>MEHI</td>
<td>Museum Education and Heritage Interpretation</td>
</tr>
<tr>
<td>CASS</td>
<td>MEM1</td>
<td>Musicology, Ethnomusicology and Music Curatorship I</td>
</tr>
<tr>
<td>CASS</td>
<td>MEM2</td>
<td>Musicology, Ethnomusicology and Music Curatorship II</td>
</tr>
<tr>
<td>CASS</td>
<td>MUCC</td>
<td>Museums and Collections</td>
</tr>
</tbody>
</table>
Item 62 Higher Degree programs

Item 62.1 Proposed HDR Programs in Regulation and Governance

Resolution
The Academic Board approved the Master of Philosophy in Regulation and Governance and the Doctor of Philosophy in Regulation and Governance.

Part 8 – Items of other business

Item 63 Any other business

The Chair thanked the Board for all their hard work in 2015. The first meeting in 2016 will be Tuesday 8 March.

MTE
15/12/15
THE AUSTRALIAN NATIONAL UNIVERSITY  
ACADEMIC BOARD  

Annual Report to Council 2015

The ANU Academic Board was re-established by Council in February 2012 and has been meeting regularly since that time. This report to Council provides an overview of the Board’s activities throughout 2015.

1. Governance Arrangements
Professor Nicholas Glasgow, was appointed by Council as the second Chair to the Academic Board and has presided since May 2014. Professor Robert Cribb was appointed Deputy Chair in June 2014.

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. Professor Lo will commence as Chair in April 2016.

The Academic Board membership has been stable since College election processes were completed in mid-2014. The current membership list appears on the Board web site http://www.anu.edu.au/about/governance/committees/academic-board. In 2015 two new ex-officio appointments were made as part of the review of the Academic Board Statue and Rules. This saw the University Librarian and Dean of Students join as members of the Board. The Board has a mixture of ex-officio and elected members. The current term for the majority of elected members expires on 1 May 2016. In early 2016 re-election processes will commence.

The Board’s agendas have incorporated regular ‘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 2015 were:

- Indicators for Academic Promotion
- Indigenous Engagement
- Biobank networks, medical research and the challenge of global data sharing
- University Medals
- National Institutes Grant

These examples are included under ‘Governance Arrangements’ in this Report and demonstrate that the Board takes an active and productive approach to contribute to effective decision-making.

Each meeting of the Board includes a report from the Vice–Chancellor and the Deputy Vice-Chancellors. Members welcome the chance to raise any questions with members of the executive present. In December 2015 the Board undertook a self-assessment survey. Highlighted amongst the strengths of the Board was the ability to raise any questions of the university executive.

2. Activities of Board
The main activities undertaken by the Board are summarised in the Table ‘Nature and Distribution of the Board’s Activities 2015’ (Appendix A) The Table maps those activities against the Board’s functions and powers in its governing statute, and illustrates specific activities under each section. Some additional brief comments follow.

(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.
(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.

(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’. Activities under these broad headings include scrutiny of: Student Evaluation of Learning Support (SELS) data in light of *ANU by 2020* KPIs and the other activities listed in the summary Table (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). There has been a large amount of activity by the Board under this heading throughout 2015. These recommendations have come to the Academic Board via University Research, University Education Committee and its sub-committees, notably 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 Colleges via UEC. For HDR programs, the pathway to the Board is via URC.

Over the past year, the Board has again managed a large accreditation agenda in addition to its normal cycle of program renewal. A summary of accreditation activities undertaken by UEC, URC and Academic Board in 2015 is given in Appendix B: Summary of Accreditation 2015.

3. Future Issues
Late in 2015, the Academic Board undertook a self-assessment process. This involved a biennial survey completed by Board members and a live discussion at the December Board meeting on the performance of the Board. Preliminary results from the review have highlighted the tensions between providing a forum to facilitate information flow and debate within the University and the large volume of paperwork that is associated with maintaining the program accreditation role and oversight of academic standards and quality, and associated policy development. The Chair will develop a discussion paper on issues for consideration at the first meeting in 2016.

Professor Nicholas Glasgow
On behalf of ANU Academic Board
# Appendix A

## THE AUSTRALIAN NATIONAL UNIVERSITY

### ACADEMIC BOARD

#### Nature and Distribution of the Board’s Activities 2015

**Summary**

<table>
<thead>
<tr>
<th>Functions and powers of Board (AB Statute s7); and Higher Education Standards Framework (Threshold Standards)</th>
<th>Category</th>
<th>Topic</th>
<th>Sample of Issues</th>
<th>Meeting</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB Statute (a) operating with the assistance of specialist committees</td>
<td>Governance</td>
<td>ANU Academic Board Structure</td>
<td>Public Governance, Performance and Accountability Act 2013 (Cth) (PGPA Act) from 1 July 2014. ANU Academic Board Statute 2014 and ANU Academic Board &amp; Committees Rules 2014. Specialist Committees: University Education Committee and University Research Committee</td>
<td>All meetings</td>
</tr>
<tr>
<td>Higher Education Standards Framework (Threshold Standards)</td>
<td>Academic Board Role and Functions</td>
<td>Steering Committee meets prior to each Agenda being finalised. All new academic policy items go via UEC or URC to the Board (prior to approval by the VC).</td>
<td>All meetings</td>
<td></td>
</tr>
<tr>
<td>AB Statute (i) reporting to the University Council at intervals, and in the manner specified by the University Council, on the performance of its functions.</td>
<td>Information Flows</td>
<td>Regular ‘hot topics’ discussion items</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(h) providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community;</td>
<td>Report from the Vice-Chancellor and Q&amp;A</td>
<td>University Issues: ANU Strategic Plan National Institute Grant International student issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building projects</td>
<td>Student accommodation</td>
<td>Sector Issues: Fee Deregulation</td>
<td>Higher Education and Research Reform Amendment Bill</td>
<td>Higher education policy</td>
</tr>
<tr>
<td>-------------------</td>
<td>-----------------------</td>
<td>---------------------------------</td>
<td>---------------------------------------------------</td>
<td>------------------------</td>
</tr>
<tr>
<td><strong>Report from Senior Executive Officers and Q&amp;A</strong></td>
<td>Education Teaching and Learning</td>
<td>Orientation week</td>
<td>Redevelopment of Union court</td>
<td>Academic Calendar</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Echo360 roll out and Beonics data</td>
<td>Articulation agreements</td>
<td>Commonwealth Indigenous Advancement Strategy tendering processes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>University medals</td>
<td>Academic Calendar</td>
<td>edX</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Office for Learning and Teaching budget</td>
<td>ANU Educational Fellowships</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Research</strong></td>
<td>ERA</td>
<td>Future Fellows</td>
<td>ARC Funding</td>
</tr>
<tr>
<td></td>
<td></td>
<td>HDR Administrative Support project</td>
<td>Defence Trade Controls</td>
<td>National Collaborative Research Infrastructure Strategy</td>
</tr>
<tr>
<td></td>
<td></td>
<td>HERDC</td>
<td>ARC laureate and Linkage grants</td>
<td>Medical Research Futures Fund</td>
</tr>
<tr>
<td></td>
<td></td>
<td>support for early career researchers</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Academic Promotions</strong></td>
<td>Reports on 2014 rounds and data on promotions</td>
<td>University Promotions Committee</td>
<td>1/2015</td>
<td></td>
</tr>
<tr>
<td><strong>AB Statute</strong></td>
<td><strong>Policy Development</strong></td>
<td><strong>Education Standards and Quality Committee: ANU Education Policy Review</strong></td>
<td>New and amended policies, procedures and guidelines encompassing:</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(c) ensuring the maintenance of the highest standards in teaching, scholarship and research within the University;</td>
<td></td>
<td></td>
<td>Student Complaint Resolution Policy and Procedure</td>
<td></td>
</tr>
<tr>
<td>(e) discussing and developing policy recommendations in relation to the University’s academic matters;</td>
<td></td>
<td></td>
<td>Academic Programs and Courses Accreditation Policy</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Financial Assistance for Students Policy and Procedure</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Admission and Welfare of under 18 International Students Policy and Procedure</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Academic Titles Conferral policy and procedure</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>English Language Policy Changes</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Nomenclature and post-nominal policy</td>
<td></td>
</tr>
<tr>
<td>Higher Education Standards Framework (Threshold Standards) (cl 3.8)</td>
<td>Research Policy Review</td>
<td>Centres and Institutes Policy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The higher education provider’s corporate and academic governance arrangements demonstrate:</td>
<td></td>
<td>Joint and Dual Award PhDs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the effective development, implementation and review of policies for all aspects of the higher education provider’s academic activities including delivery of the higher education provider’s courses of study by other entities</td>
<td></td>
<td>HDR Submission and Examination Policy Framework</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• the maintenance of academic standards, with appropriate mechanisms for external input, in accordance with international conventions for good academic practice; and,</td>
<td></td>
<td>Supervision and Candidature Policy Framework</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>HDR Policy Revision and development</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Higher Degree Research Procedures and Guidelines</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AB Statute (f) maintaining an effective overview of the academic activities of the University and advising and assisting in their coordination;</td>
<td>Review and Monitoring</td>
<td>PhB Working Party Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Annual Report: Student Progress, Grievances and Discipline</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Course [Program] Experience Questionnaire (CEQ), 2010-2014</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>International double degrees</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Vice-Chancellors Course – Group Project Report: Women in STEM</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Library Collection purchasing</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Revised Mental Health Strategy</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>1/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>6/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>5/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>6/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>3/2015</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Higher Education Standards Framework (Threshold Standards) (cl 3.8): The higher education provider’s corporate and academic governance arrangements demonstrate:</td>
<td>Key Performance Indicator (KPI) B5: Student Experience of Learning &amp; Teaching – overall satisfaction rate of &lt;50% for 2 or 3 subsequent semesters</td>
<td>Biannual reports Overall KPI of 80% satisfaction Update on Student Experience of Learning &amp; Support (SELS) courses in 2014 with an agreement rate &lt;50% over the last two consecutive semesters (when the course was offered) Postgraduate Research Experience Survey (PRES) Report</td>
<td>3/2015 4/2015 5/2015</td>
<td></td>
</tr>
<tr>
<td>ANU Coursework Courses Grade Distribution</td>
<td>Quality assurance reports from Colleges with the highest and lowest percentage of HD grades and highest percentage of Fail grades awarded.</td>
<td></td>
<td>3/2015</td>
<td></td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>------------</td>
<td>---------------</td>
<td>----------------------------------------------------</td>
<td>----------------------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>(b)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(d)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>AB Statute</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
<tr>
<td>(g)</td>
<td>Accreditation</td>
<td>Undergraduate and Graduate Coursework; HDR programs</td>
<td>New, amended, disestablished, reviewed</td>
<td>All Meetings</td>
</tr>
</tbody>
</table>
## Appendix B: Summary of Accreditation 2015

<table>
<thead>
<tr>
<th>Category</th>
<th>Undergraduate Coursework</th>
<th>Graduate Coursework</th>
<th>HDR</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active Awards</td>
<td>471</td>
<td>522</td>
<td>80</td>
<td>995</td>
</tr>
<tr>
<td>Current Awards</td>
<td>115</td>
<td>175</td>
<td>60</td>
<td>292</td>
</tr>
<tr>
<td>Awards being taught out</td>
<td>356</td>
<td>347</td>
<td>22</td>
<td>705</td>
</tr>
<tr>
<td>New Awards</td>
<td>6</td>
<td>14</td>
<td>2</td>
<td>22</td>
</tr>
<tr>
<td>New Awards- Accredited with no conditions</td>
<td>3</td>
<td>13</td>
<td>2</td>
<td>18</td>
</tr>
<tr>
<td>New Awards- Accredited with conditions</td>
<td>3</td>
<td>1</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>New Awards - Not accredited</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Awards Reviewed</td>
<td>11</td>
<td>14</td>
<td></td>
<td>25</td>
</tr>
<tr>
<td>Awards Reviewed - Reaccredited with conditions</td>
<td>11</td>
<td>14</td>
<td></td>
<td>25</td>
</tr>
<tr>
<td>Awards Reviewed - Reaccredited with no conditions</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Awards Reviewed - Not reaccredited</td>
<td>0</td>
<td>0</td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>Awards Disestablished</td>
<td>2</td>
<td>3</td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>Major Award Amendments</td>
<td>50</td>
<td>56</td>
<td></td>
<td>106</td>
</tr>
<tr>
<td>Major Award Amendments - After accreditation but before first offered</td>
<td>4</td>
<td>2</td>
<td></td>
<td>6</td>
</tr>
<tr>
<td>Major Award Amendments - Multiple for same Award</td>
<td>4</td>
<td>1</td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>New Subplans - Major/Minor/Specialisation</td>
<td>56</td>
<td>4</td>
<td></td>
<td>60</td>
</tr>
<tr>
<td>Disestablished Subplans - Major/Minor/Specialisation</td>
<td>10</td>
<td>0</td>
<td></td>
<td>10</td>
</tr>
</tbody>
</table>

---

ATTACHMENT 27.1

ACADEMIC BOARD ANNUAL REPORT 112

Page 8 of 8
<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1257</td>
<td>19/11/2015</td>
<td>Application for Amending Money Market Deposit Account re Bankwest on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1258</td>
<td></td>
<td>Proxy Form re PFM Cornerstone Limited 2015 Annual General Meeting on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1259</td>
<td>04/12/2015</td>
<td>Depositary Interests (DI) Issuance (Australian Register to United Kingdom DI Register) in relation to 23,486 fully paid ordinary shares in Seeing Machines Limited transferring to Pershing Securities Limited for further credit to PMD002684 Australian National University on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1260</td>
<td>04/12/2015</td>
<td>Depositary Interests (DI) Issuance (Australian Register to United Kingdom DI Register) in relation to 20,000,000 fully paid ordinary shares in Seeing Machines Limited transferring to Pershing Securities Limited for further credit to PMD002684 Australian National University on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1261</td>
<td>09/12/2015</td>
<td>Change of Name Request re the University’s holding in AMP Limited Capital Notes on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1262</td>
<td>09/12/2015</td>
<td>Request to Consolidate Holdings re the University’s two holdings in AMP Limited Capital Notes on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1263</td>
<td>09/12/2015</td>
<td>Proxy Form re Stockland Residential Estates Equity Fund No 1 meeting of members on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1264</td>
<td>17/12/2015</td>
<td>St George Bank Dealing Account Operating Authority on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1265</td>
<td>23/12/2015</td>
<td>Deed of Consent and Waiver re Hydrexia Pty Ltd (Genesis Fund) on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1266</td>
<td>06/01/2016</td>
<td>Request for Direct Credit of Payments re the University’s holding of Macquarie Group Capital Notes 2 on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1267</td>
<td>06/01/2016</td>
<td>Request for Direct Credit of Payments re the University’s holding in APA Group on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
<tr>
<td>1268</td>
<td>08/01/2016</td>
<td>Transfer Form for Off Market Transactions to transfer CBAPD held in nominees account with UBS to ANU issuer sponsored holding on behalf of the Long Term Investment Pool</td>
<td></td>
</tr>
</tbody>
</table>
What constitutes a Significant Event?
A public lecture, event or seminar which attracts over 200 guests,
a named lecture of historical significance,
a lecture by a significant overseas guest,
a visit by a significant overseas guest,
a visit by an international building opening, or
what constitutes a named lecture of historical significance,
a lecture by a significant overseas guest,
a visit by a significant overseas guest,
a visit by an international building opening, or

NOVEMBER

Partner Visit
Indiana University, United States of America
Wednesday 11 November 2015 - Thursday 12 November 2015
Ms LaVonn Schlegel, from the Kelley School of Business at Indiana University, visited ANU to meet with counterparts and discuss further collaboration opportunities, particularly under the umbrella of the Pan Asia Institute. She met with representatives including Professor Mick Cardew-Hall, Professor Veronica Taylor, Professor Michael Wesley, Dr Nicholas Farrelly, Professor Andrew Walker, Dr Davina Potts, ANU Enterprise and the Centre for Arab and Islamic Studies.

VIP Event
National Centre for Indigenous Studies
2015 ANU Reconciliation Lecture
Wednesday 11 November 2015
The Annual Reconciliation lecture is hosted annually by National Centre for Indigenous Studies (NCIS) in conjunction with Reconciliation Australia, ANU College of Law, and National Film and Sound Archive, Australia. The 2015 lecture was delivered by The Hon Kevin Rudd, former Prime Minister. Several members of the diplomatic community also attended.
More than 200 people were in attendance.

Partner Visit
Tianjin University, China
Thursday 12 November 2015
A delegation from Tianjin University, led by Vice-President Wang Yan, met with representatives of the ANU College of Engineering & Computer Science, the ANU Research School of Physics and Engineering and the ANU Energy Change Institute to further promote exchange and collaboration between the two institutions.

VIP Event
ANU College of Business and Economics
Monday 16 November 2015
The Hon Dr Andrew Leigh MP, Member for Fraser and Shadow Assistant Treasurer, presented the 2016 Sir Leslie Melville Lecture with a talk titled ‘Robots, remuneration and restructuring’.
More than 200 people were in attendance

VIP Event
ANU College of Arts & Social Sciences, School of Demography
Wednesday 18 November 2015
The Vice-Chancellor launched the new School of Demography in the Research School of Social Sciences which has been created to strengthen the University’s role in being the leading demographic centre for research and training in Australia and the Asia-Pacific region.
Public Lecture
ANU/The Canberra Times meet the author event
Thursday 19 November 2015
Laura Tingle, political editor of the Australian Financial Review, was joined in conversation by Jack Waterford, Editor-At-Large of The Canberra Times, to discuss her latest Quarterly Essay ‘Political Amnesia’.
More than 200 people were in attendance

VIP Event
Questacon/Shell/ANU Science Circus
Thursday 19 November 2015
The Vice-Chancellor spoke at the Science Circus Gala Dinner celebrating 30 years of the Science Circus. VIP guests in attendance included:

- Professor Graham Durant AM, Director, Questacon, The National Science and Technology Centre
- Mr Andrew Smith, Country Chair of Shell in Australia
- Mr James Pearson, General Manager Government Relations Shell Australia
- Ms Glenys Beauchamp, Secretary of the Department of Industry, Innovation and Science

VIP Event
2015 Timor-Leste Update
Hosted by State, Society and Governance in Melanesia Program
Thursday 19 November 2015
The Vice-Chancellor spoke at the second annual Timor-Leste update which brought together leading and emerging scholars, policy makers and policy analysts working on Timor-Leste. VIP guests included:

- His Excellency Mr Abel Guterres, Ambassador of the Democratic Republic of Timor-Leste in Australia
- His Excellency Agio Pereira, Minister of State and of the Presidency of the Council of Ministers, Timor-Leste
- His Excellency António da Conceição, State Minister, Coordinator of Social Affairs and the Minister of Education, Timor-Leste
- Ms Elly Lawson, Assistant Secretary, Indonesia Program Delivery and Timor-Leste Branch, DFAT

Meeting
Office of the Vice-Chancellor
Monday 23 November 2015
The Vice-Chancellor met with Senator the Hon Simon Birmingham, Minister for Education to say farewell.

VIP Event
ANU College of Arts and Social Sciences
Monday 23 November 2015
The Vice-Chancellor introduced Senator the Hon Arthur Sinodinos at the ‘Designing effective and innovative public policy in a complex environment’ conference
Co-hosted by HC Coombs Policy forum.

VIP Event
HC Coombs Policy Forum, Crawford Australian Leadership Forum
Designing effective and innovative public policy in a complex environment conference
Monday 23 November 2015
The Vice-Chancellor addressed the conference and introduced Senator the Hon Arthur Sinodinos and invited him to open the conference. International guest speaker for the conference was Mr Cass
Sunstein, Robert Walmsley University Professor, Founder and Director of the Program on Behavioural Economics and Public Policy, Harvard Law School, Harvard University

VIP Event
ANU College of Asia and the Pacific
Monday 23 November 2015
The Chancellor Professor The Hon Gareth Evans AC, QC welcomes guests and introduced Mr Peter Varghese, Secretary of the Department of Foreign Affairs who delivered the 2015 John Gee Memorial Lecture where he spoke about the critical work of arms control in the 21st century. His Excellency Mr Abel Guterres, Ambassador for Timor Leste was in attendance.
More than 200 people were in attendance

Major Event
Eat, drink and be literary series
Monday 23 November 2015
Annabel Crabb, ABC chief online political writer, was joined in conversation by Samantha Maiden, National Political Editor of The Sunday Telegraph, to discuss Annabel’s latest book Special Delivery and her experience working in politics.
190 guests in attendance

Meeting
Office of the Vice-Chancellor
Tuesday 24 November 2015
The Vice-Chancellor met with Senator Robert Simms, Senator for South Australia and The Australian Greens spokesperson on Education at the request of the Senator. Higher education funding was discussed.

Meeting
Office of the Vice-Chancellor
Tuesday 24 November 2015
The Vice-Chancellor met with Senator the Hon Kim Carr, Shadow Minister for Higher Education, Research, Innovation and Industry to say farewell.

VIP Event
Australian Centre on China in the World
Tuesday 24 November 2015
Professor Shirley Leitch, Pro Vice-Chancellor (International and Outreach), welcomed guests to the launch of the 2014 China Story Yearbook and the Australia-China story website. VIP guests in attendance included:

- The Hon Dr Andrew Leigh MP, Member for Fraser and Shadow Assistant Treasurer
- Mr Tim Watts MP, Labor Member for Gellibrand, Victoria
- Mr David Coleman MP, Liberal Member for Banks, NSW

Research Delegation
Ministry for Higher Education and Research, France
Wednesday 25 November 2015
A delegation from the French Ministry for Higher Education and Research visited ANU to discuss existing and potential collaborations between ANU and French researchers. The meeting was led by Professor Margaret Harding and attended by key ANU researchers including Professor Brian Schmidt and Professor Jacqueline Lo.
VIP MOU Signing
**Burgmann College**
*Wednesday 25 November 2015*
Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic), spoke at a MOU signing in recognition of a new ANU equity scholarship - the Northrop Grumman, ViaSat & Optus, Country Scholarship for Burgmann College. The Hon Michael McCormack MP, Assistant Minister to the Deputy Prime Minister, also spoke at the signing.

Major Event
**ANU Twilight Festival**
*Thursday 26 November 2015*
The ANU Twilight Festival is an annual event for staff, students and alumni to come together for a family-friendly end-of-year celebration. Among the festivities was an opportunity for guests to preview the ANU School of Art graduating exhibition.
*More than 2,000 people were in attendance*

Partner Visit
**Shanghai Normal University, China**
*Thursday 26 November 2015*
A delegation from Shanghai Normal University, led by Vice President Professor Qin Liping, visited ANU to discuss potential and existing collaborations between the two institutions. They met with Professor Shirley Leitch before meeting representatives of the Research School of Biology and the Research School of Chemistry.

Universities Australia Visit
**Japan-Australia Knowledge Share**
*Thursday 26 November 2015*
Delegates from a selection of Japanese universities visited ANU as part of a larger Japan-Australia Knowledge Share project coordinated by Universities Australia. The purpose of the visit was to discuss internationalisation. The delegation met with representatives of the ANU College of Asia and the Pacific, led by Professor Veronica Taylor, and representatives of Global Programs and Engagement.

Partner Visit
**Beijing Institute of Technology, China**
*Thursday 26 November 2015- Friday 27 November 2015*
A delegation from Beijing Institute of Technology, led by Dean Professor Ding Gangyi, visited ANU to discuss potential academic and research collaboration. They met with Professor Jenny Corbett, representatives of the ANU College of Engineering and Computer Science and were hosted to dinner by Dr Davina Potts.

Partner Visit
**University of Tsukuba, Japan**
*Friday 27 November 2015*
Professor Teuro Higashi from the University of Tsukuba visited ANU to discuss potential collaborations and student exchange. He met with Professor Shirley Leitch and Dr Davina Potts before meeting representatives of the ANU College of Asia and the Pacific, the ANU Colleges of Science and was hosted to lunch by ANU Global Programs.

VIP Event
**Governor-General dinner for Rhodes Australia-at-large**
*Sunday 29 November 2015*
The Governor-General hosted the dinner for the Rhodes selection committee chaired by Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic).
Meeting
Office of the Vice-Chancellor
Monday 30 November 2015
The Vice-Chancellor met with Senator the Hon Bridget McKenzie, Senator for Victoria and Chair of the Education and Employment committee to say farewell.

VIP Lecture
2015 John Curtin Lecture
The John Curtin School of Medical Research
Monday 30 November 2015
The Vice-Chancellor spoke and presented this year’s speaker, Professor Hannan with a certificate prior to his delivery of The John Curtin Lecture. This lecture celebrates excellence in medical research in Australia and is awarded at the invitation of the Director, JCSMR, and generally comes at the conclusion of a year of achievement and success in research.

180 people were in attendance

MOU Signing
National Central Library of Taiwan
Monday 30 November 2015
The Vice-Chancellor spoke at the signing of a Memorandum of Understanding between The Australian National University and the National Central Library and helped to officially open the Taiwan Resource Centre for Chinese Studies at the ANU Library.
Co-hosted by the ANU Library

DECEMBER

VIP Event
Centre for Personalised Immunology Dinner
NH&MRC Centre of Research Excellence, The John Curtin School of Medical Research
Tuesday 1 December 2015
The Vice-Chancellor spoke at a dinner celebrating one year of the Centre for Personalised Immunology. His Excellency Mr Manuel Cacho, Ambassador of Spain, Embassy of Spain was also in attendance.

Partner Visit
Liaoning University, China
Wednesday 2 December 2015
A delegation from Liaoning University, led by President Pan Yishan visited ANU to discuss existing and potential collaborations. They met with Professor Ian Young and Dr Davina Potts, where a university-wide MOU was signed. They also met with representatives of the ANU College of Arts and Social sciences, the ANU College of Engineering and Computer science, the Research School of Chemistry and the Fenner School of Environment and Society.

Research Delegation
Deutsche Forschungsgemeinschaft (DFG), Germany
Friday 4 December 2015
A delegation from DFG visited ANU to discuss existing and potential collaborations between ANU and German researchers. The meeting was led by Professor Margaret Harding and attended by key ANU researchers including Professor Jacqueline Lo.
VIP Event
ANU Relations and Philanthropy
Monday 7 December 2015
The Vice-Chancellor spoke at the launch of the Chennupati and Vidya Jagadish Endowment Fund – an award giving students and researchers from developing countries the chance to travel and study at the Research School of Physics and Engineering at ANU.

Public Lecture
Energy Change Institute
Monday 7 December 2015
Dr Pierre J Verlinden, Vice-President and Chief Scientist at Trina Solar, gave the 2015 Solar Oration where he discussed Solar photovoltaic systems and the changing energy landscape.
More than 300 people were in attendance

Major Event
Energy Change Institute
Tuesday 8 December 2015
Professor Brian Schmidt gave the opening address at the 2015 Energy Update, which brought together Australian researchers, policymakers, industry and members of the public to provide an update on the latest world energy trends.

VIP Event
2015 Air Command and Staff College (ACSC) Graduation Ceremony
Wednesday 9 December 2015
The Vice-Chancellor and Deputy Vice-Chancellor (Research) officiated at the graduation ceremony for the ANU-Department of Defence graduate program.

VIP Event
ANU College of Arts and Social Sciences
Friday 11 December 2015
The Vice-Chancellor spoke at the conference ‘The Levant crisis: Syria, Iraq and the region’. VIP’s in attendance included:

- His Excellency Mr Arega.H Teferra, Ambassador, Embassy of the Arab Republic of Egypt
- Her Excellency Ms Helena Dmovšek Zorko, Ambassador of Slovenia
- Mr Sultan Al Yammahi, Second Secretary, Embassy of the United Arab Emirates
- Mr Zaid Al-Harb, Third Secretary, Embassy of the State of Kuwait
- Mr Mohammed Alaubidy, First Secretary, Embassy of the Republic of Iraq

Co-hosted by Centre for Arab and Islamic Studies

VIP Event
ANU Relations and Philanthropy
Monday 14 December 2015
The Vice-Chancellor spoke at the 2015 Celebration of Giving. As part of the formal proceedings, Professor Matthew Colless (Director of the ANU Research School of Astronomy and Astrophysics) made special mention of the late Joan Duffield who bequest the University with a seven-figure gift.

Public Lecture
ANU Climate Change Institute
Wednesday 16 December 2015
His Excellency Sem Fabrizi, Ambassador, Delegation of the European Union to Australia, gave the
opening address at the public lecture ‘Deciphering the Paris Climate Talks: where to next?’
More than 400 people were in attendance

VIP Event
ANU Relations and Philanthropy
Thursday 17 December 2015
The Vice-Chancellor and Chancellor attended and spoke at the dinner celebrating the conferral of Honorary Doctorates on Graham and Louise Tuckwell, who were both in attendance.

VIP Event
World Economic Forum, Australia in Davos Reception
Thursday 21 January 2016
The Vice-Chancellor, Professor Brian Schmidt AC co-hosted the reception with Senator the Hon Mathias Cormann, Minister for Finance, at the World Economic Forum, Davos Switzerland. The Hon Andrew Robb, Minister for Trade and Investment was also in attendance along with senior executive, business, investment and academic personnel.
40 people in attendance.
Caveats:
1. The amount shown reflects the funds that were awarded for the entire grant/consultancy, grouped against the primary funds provider.
2. Although many grants/consultancies are collaborative efforts involving more than one area of the ANU, they are reported under the college of the primary department.
3. All amounts reported are in Australian dollars.
4. In a few cases the amount reported is nil. This can be for a variety of reasons, such as the contract is still under negotiation, or that the project is a non-monetary agreement.
## College of Arts and Social Sciences

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universities Australia</td>
<td>Prof Keith Dowding</td>
<td>Political careers in federal countries: theoretical and methodological challenges</td>
<td>$23,600</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Mr Timothy Denham</td>
<td>Divergent pathways to tropical agriculture in highland New Guinea, Wallacea and northern Australia during the Holocene</td>
<td></td>
</tr>
</tbody>
</table>

## College of Asia and the Pacific

<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>European Commission</td>
<td>Prof Warwick McKibbin</td>
<td>Global Excellence in Modelling of Climate and Energy</td>
<td></td>
</tr>
<tr>
<td>John F. Kennedy Library Foundation</td>
<td>Dr Susan Thompson</td>
<td>The United States and Southeast Asian Regionalism: Collaborative Defence and Economic Security, 1945-75</td>
<td>$3,599</td>
</tr>
<tr>
<td>Commonwealth Department of Immigration and Border Protection</td>
<td>Prof Robert Breunig</td>
<td>Mobility Symposium</td>
<td></td>
</tr>
<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>$71,985</td>
</tr>
<tr>
<td>Murray-Darling Basin Authority</td>
<td>Dr Daniel Connell</td>
<td>Peer Review of the 100 Year History of Managing the River Murray</td>
<td>$19,000</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Prof Rory Medcalf</td>
<td>Australia-India Policy Forum</td>
<td>$50,000</td>
</tr>
</tbody>
</table>
### College of Business and Economics

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
</table>

### College of Engineering and Computer Science

<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>Group of Eight</td>
<td>Dr Daniel MacDonald</td>
<td>Improved phosphorus diffusions for higher efficiency silicon solar cells</td>
<td>$19,500</td>
</tr>
<tr>
<td>Universities Australia</td>
<td>Dr Peter Christen</td>
<td>Advancing data integration: Privacy and semantics for record linkage</td>
<td></td>
</tr>
<tr>
<td>Jinko Solar Co. Ltd</td>
<td>Dr Daniel MacDonald</td>
<td>Jinko: Research Collaboration - Materials Testing Agreement</td>
<td></td>
</tr>
<tr>
<td>ANU Connect Ventures Pty Ltd</td>
<td>Dr David Nisbet</td>
<td>One-step flame spray synthesis of ultra porous coatings for titanium implants: encouraging superior integration with bone cells</td>
<td>$50,000</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------</td>
<td>-------</td>
<td>----------------------</td>
</tr>
<tr>
<td>ACT Cancer Council</td>
<td>Prof Ross Hannan</td>
<td>Development of broad spectrum, non-genotoxic cancer treatments for acute myeloid leukaemias and multiple myeloma</td>
<td>$340,000</td>
</tr>
<tr>
<td>Bill and Melinda Gates Foundation</td>
<td>Dr Robert Furbank</td>
<td>C4-Rice Phase 3</td>
<td></td>
</tr>
<tr>
<td>Cotton Research and Development Corporation</td>
<td>Dr Craig Strong</td>
<td>Stoichiometric ratios of cotton soils under different land management practices - Kate McPherson</td>
<td>$5,000</td>
</tr>
<tr>
<td>Universities Australia</td>
<td>Dr Kathleen Griffiths</td>
<td>Harnessing technology to reduce the burden of eating disorders</td>
<td></td>
</tr>
<tr>
<td>Australian Cancer Research Foundation</td>
<td>Prof Ross Hannan</td>
<td>The ACRF Department of Cancer Biology and Therapeutics</td>
<td></td>
</tr>
<tr>
<td>NSW Department of Environment and Heritage, National Parks and Wildlife Service</td>
<td>Dr Craig Strong</td>
<td>DustWatch Support for Riverina LLS 2015-16 contract RV00623</td>
<td>$27,273</td>
</tr>
<tr>
<td>University of Sydney</td>
<td>A/Prof Elizabeth Rieger</td>
<td>Weight loss maintenance in young women affected by obesity</td>
<td>$7,500</td>
</tr>
<tr>
<td>South Australian Research and Development Institute</td>
<td>Ms Sabrina Chin</td>
<td>Parasitic root-knot nematodes</td>
<td>$40,000</td>
</tr>
<tr>
<td>ARC Centre of Excellence in Population Ageing Research</td>
<td>Dr Vasoontara Yiengprugsawan</td>
<td>A comparative study on ageing, health, and wellbeing in China and India</td>
<td>$8,000</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>ARC Centre of Excellence in Population Ageing Research</td>
<td>Mr Kim Kiely</td>
<td>Cognition and Health Literacy, Decisions, and Behaviours (CHLDB) project</td>
<td>$10,000</td>
</tr>
<tr>
<td>ACT Health</td>
<td>Prof Kaarin Anstey</td>
<td>Development of a NHMRC Partnership protocol for studying health impacts of socio-economic disadvantage</td>
<td>$25,810</td>
</tr>
<tr>
<td>ACT Health</td>
<td>Prof Kaarin Anstey</td>
<td>Chronic Disease and comorbidity in the ACT - Joint project with ACT Health and CRAHW</td>
<td>$28,736</td>
</tr>
<tr>
<td>Sirtex Technology Pty Ltd</td>
<td>Prof Christopher Parish</td>
<td>IP Licence Agreement</td>
<td>$1,568,602</td>
</tr>
<tr>
<td>ANU Connect Ventures Pty Ltd</td>
<td>Mr Alonso Zavaleta Fernandez de Cordova</td>
<td>P700 Imaging System: a tool for measuring plant health and productivity</td>
<td>$50,000</td>
</tr>
<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof David Tremethick</td>
<td>Bio-Rad NGC Quest 10 Plus Chromatography System (See 27886)</td>
<td>$37,000</td>
</tr>
<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof John Bekkers</td>
<td>200B MiniPID Gas Sensor (See 27886)</td>
<td>$10,000</td>
</tr>
<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Prof Stefan Broer</td>
<td>EVOLVE 512 EMCCD camera (See 27886)</td>
<td></td>
</tr>
<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Claire O'Brien</td>
<td>Qiagen Tissue Lyser II (See 27886)</td>
<td></td>
</tr>
</tbody>
</table>
### College of Medicine, Biology and Environment

<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>A W Howard Memorial Trust</td>
<td>Ms Ariel Ivanovici</td>
<td>CEP control of nodule formation &amp; plant nitrogen status in Medicago truncatula</td>
<td>$33,000</td>
</tr>
<tr>
<td>NSW Environmental Trust</td>
<td>Prof Robert Heinsohn</td>
<td>Saving Our Swift Parrots and Threatened Woodland Species - STAGE 2 – PROJECT PLANNING GRANTS (Main Project ARIES 30679)</td>
<td>$15,000</td>
</tr>
<tr>
<td>Commonwealth Department of Health</td>
<td>Prof Amanda Barnard</td>
<td>Rural Health Multidisciplinary Training (RHMT) Programme 2016 - 2018</td>
<td>$10,979,143</td>
</tr>
</tbody>
</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>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Nuclear Science &amp; Technology Organisation (ANSTO)</td>
<td>Prof Vincent Craig</td>
<td>Swelling of ALD Titania Films</td>
<td>$1,234</td>
</tr>
<tr>
<td>Australian Synchrotron</td>
<td>Prof Hugh O'Neil</td>
<td>Measuring the Cr2+/Cr3+ ratios along experimental diffusion profiles in olivine (Mg2SiO4) by XANES spectroscopy</td>
<td>$6,800</td>
</tr>
<tr>
<td>Universities Australia</td>
<td>Dr Patrick Kluth</td>
<td>Development of Si compatible nanopore membrane technologies</td>
<td>$22,000</td>
</tr>
<tr>
<td>Universities Australia</td>
<td>Dr Andrey Sukhorukov</td>
<td>Integrated nonlinear circuits for broadband quantum photonics</td>
<td>$20,500</td>
</tr>
<tr>
<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
<td>Title</td>
<td>Total Amount Awarded</td>
</tr>
<tr>
<td>-----------------------------------------------</td>
<td>-------------------------------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Matthew Colless</td>
<td>Growing galaxies: a consistent view of star formation across cosmic time</td>
<td></td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Naomi McClure-Griffiths</td>
<td>Think Global, Act Local: Insights into the Evolution of Galaxies</td>
<td></td>
</tr>
<tr>
<td>Japan Society for the Promotion of Science</td>
<td>Mr Christopher Bourne</td>
<td>Topological phases of matter</td>
<td></td>
</tr>
<tr>
<td>CRC for Space Environment Management</td>
<td>Dr Celine d’Orgeville</td>
<td>CRC for Space Environment Management - SERC Supplementary Scholarships 2016 (Zovaro)</td>
<td></td>
</tr>
<tr>
<td>CRC for Space Environment Management</td>
<td>Dr Celine d’Orgeville</td>
<td>CRC for Space Environment Management - SERC Supplementary Scholarships 2016 (Thorn)</td>
<td></td>
</tr>
<tr>
<td>CRC for Space Environment Management</td>
<td>Dr Celine d’Orgeville</td>
<td>CRC for Space Environment Management - SERC Supplementary Scholarships 2016 (Copeland)</td>
<td></td>
</tr>
</tbody>
</table>
THE AUSTRALIAN NATIONAL UNIVERSITY

Coursework Awards Rule 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated 15 December 2015

Professor Ian Young AO
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 .............................................................................. 4

Division 2.1 — Admission requirements and limitations: coursework awards .............................................. 4

10 Minimum qualification requirements for admission ..................................................................................... 4
11 English language requirements ..................................................................................................................... 4
12 Limits on places in programs ........................................................................................................................ 4

Division 2.2 — Admission process: coursework awards ................................................................................ 4

13 Application for admission .............................................................................................................................. 4
14 Decision on application for admission .......................................................................................................... 4
15 Making of admission decision ....................................................................................................................... 5
16 False or misleading statements in applications for admission etc. ............................................................ 6

Division 2.3 — Enrolment: coursework awards ............................................................................................... 6

17 Program commences on enrolment ............................................................................................................... 6
18 Enrolment ....................................................................................................................................................... 6
19 Deferral of enrolment: programs other than 1-year honours programs ..................................................... 7
20 Deferral of enrolment: 1-year honours programs ........................................................................................ 7

Division 2.4 — Program transfers: coursework awards ................................................................................ 8

21 Transfer between programs generally ......................................................................................................... 8

Division 2.5 — Non-award studies .................................................................................................................. 9

22 Non-award programs .................................................................................................................................... 9

Part 3 — Program requirements ...................................................................................................................... 10

Division 3.1 — Credit ........................................................................................................................................... 10

23 Granting credit ................................................................................................................................................ 10
24 Limits on granting credit ............................................................................................................................... 10

Division 3.2 — Program content .................................................................................................................... 11

25 Program content ........................................................................................................................................... 11
26 Completion of program .................................................................................................................................. 11

Division 3.3 — Undertaking the program ....................................................................................................... 12

27 Enrolment in courses at the University etc. ............................................................................................... 12
28 Program leave of absence ............................................................................................................................ 13

Coursework Awards Rule 2015
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.4</td>
<td>Other program requirements</td>
<td>13</td>
</tr>
<tr>
<td>29</td>
<td>Language of instruction</td>
<td>13</td>
</tr>
<tr>
<td>30</td>
<td>Other studies</td>
<td>13</td>
</tr>
<tr>
<td>3.5</td>
<td>Ending of program</td>
<td>14</td>
</tr>
<tr>
<td>31</td>
<td>Withdrawal from program</td>
<td>14</td>
</tr>
<tr>
<td>32</td>
<td>Maximum period for completion of program</td>
<td>14</td>
</tr>
<tr>
<td>33</td>
<td>Honours year; cancellation etc.</td>
<td>15</td>
</tr>
<tr>
<td>4</td>
<td>Supervision</td>
<td>17</td>
</tr>
<tr>
<td>34</td>
<td>Purpose of Part 4</td>
<td>17</td>
</tr>
<tr>
<td>35</td>
<td>Supervisors</td>
<td>17</td>
</tr>
<tr>
<td>36</td>
<td>Appointment of supervisors</td>
<td>17</td>
</tr>
<tr>
<td>37</td>
<td>Responsibilities of supervisors</td>
<td>17</td>
</tr>
<tr>
<td>38</td>
<td>Temporary supervisory arrangements</td>
<td>17</td>
</tr>
<tr>
<td>5</td>
<td>Assessment</td>
<td>19</td>
</tr>
<tr>
<td>5.1</td>
<td>Assessment methods</td>
<td>19</td>
</tr>
<tr>
<td>39</td>
<td>Purpose of Division 5.1</td>
<td>19</td>
</tr>
<tr>
<td>40</td>
<td>Assessment of thesis</td>
<td>19</td>
</tr>
<tr>
<td>41</td>
<td>Application of Assessment Rule</td>
<td>19</td>
</tr>
<tr>
<td>42</td>
<td>Assessments must be in English</td>
<td>19</td>
</tr>
<tr>
<td>5.2</td>
<td>Thesis</td>
<td>19</td>
</tr>
<tr>
<td>43</td>
<td>Purpose of Division 5.2</td>
<td>19</td>
</tr>
<tr>
<td>44</td>
<td>Requirements for examination of thesis</td>
<td>19</td>
</tr>
<tr>
<td>45</td>
<td>General thesis requirements</td>
<td>19</td>
</tr>
<tr>
<td>46</td>
<td>Submission of thesis</td>
<td>20</td>
</tr>
<tr>
<td>47</td>
<td>Appointment of thesis examiners</td>
<td>20</td>
</tr>
<tr>
<td>48</td>
<td>Re-examination by re-submission of thesis</td>
<td>21</td>
</tr>
<tr>
<td>49</td>
<td>Student must provide thesis for deposit in University Library</td>
<td>21</td>
</tr>
<tr>
<td>6</td>
<td>Grades, eligibility for awards and classifications</td>
<td>22</td>
</tr>
<tr>
<td>50</td>
<td>Course grades</td>
<td>22</td>
</tr>
<tr>
<td>51</td>
<td>Eligibility for awards</td>
<td>22</td>
</tr>
<tr>
<td>52</td>
<td>Classification of awards</td>
<td>22</td>
</tr>
<tr>
<td>7</td>
<td>Review of decisions</td>
<td>24</td>
</tr>
<tr>
<td>53</td>
<td>What decisions are reviewable decisions?</td>
<td>24</td>
</tr>
<tr>
<td>54</td>
<td>Who is a person affected by a reviewable decision?</td>
<td>24</td>
</tr>
<tr>
<td>55</td>
<td>Person affected by reviewable decision to be told about review etc.</td>
<td>24</td>
</tr>
<tr>
<td>56</td>
<td>Application for review of reviewable decision</td>
<td>25</td>
</tr>
<tr>
<td>57</td>
<td>Review by Associate Dean</td>
<td>25</td>
</tr>
<tr>
<td>58</td>
<td>Application for procedural review by Deputy Vice-Chancellor</td>
<td>26</td>
</tr>
<tr>
<td>59</td>
<td>Procedural review by Deputy Vice-Chancellor</td>
<td>26</td>
</tr>
<tr>
<td>8</td>
<td>Miscellaneous</td>
<td>28</td>
</tr>
<tr>
<td>60</td>
<td>Approved forms</td>
<td>28</td>
</tr>
<tr>
<td>61</td>
<td>Service of notices etc.</td>
<td>28</td>
</tr>
<tr>
<td>62</td>
<td>Appointment of Delegated Authorities</td>
<td>28</td>
</tr>
<tr>
<td>63</td>
<td>College Dean exercising Associate Dean's functions</td>
<td>28</td>
</tr>
<tr>
<td>64</td>
<td>Delegation by Deputy Vice-Chancellor</td>
<td>29</td>
</tr>
<tr>
<td>65</td>
<td>Delegation by Associate Dean</td>
<td>29</td>
</tr>
<tr>
<td>66</td>
<td>Power to make orders</td>
<td>29</td>
</tr>
</tbody>
</table>
Part 9—Repeals and transitional

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>67</td>
<td>Repeals</td>
<td>31</td>
</tr>
<tr>
<td>68</td>
<td>Transitional modifications on student application</td>
<td>31</td>
</tr>
</tbody>
</table>
Part 1—Preliminary

Division 1.1—General

1 Name

This is the Coursework Awards Rule 2015.

2 Commencement

This instrument commences on 1 January 2016.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

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.

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.

eexercise 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:

(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.

6 Joint, double 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, 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

Coursework Awards Rule 2015
(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.

(5) If the Delegated Authority admits the applicant to the program under subsection (4), the Delegated Authority must impose conditions on the applicant’s admission unless the Delegated Authority, in the special circumstances of the case and in writing, determines that it is unnecessary or inappropriate to do so.

(6) 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.

(7) 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.

(8) 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 also 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 an undergraduate pass 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
(b) 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

(c) 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

(d) 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

(e) 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), a Graduate Diploma or a Graduate Certificate, 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.

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(7) (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 under subsection (1), the person may enrol in the program again only if the person has subsequently re-applied to be admitted to the program and has been admitted to the program on that re-application.

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 a course is declared by the Associate Dean, in writing, to be a course to which this subsection applies, the Delegated Authority may determine that coursework for the course 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.

(4) At least 1 examiner of the thesis must not be a member of the academic staff of the organisational unit of the University to which the thesis is submitted.
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 course to be a course 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 66 (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 (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 to the Deputy Vice-Chancellor
under section 58 [Application for procedural review by Deputy Vice-Chancellor], 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 by Deputy Vice-Chancellor

(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 by Deputy Vice-Chancellor

(1) This section applies if a person applies under section 58 (Application for procedural review
by Deputy Vice-Chancellor) for review of the decision of the Associate Dean made on the
review.

(2) The Deputy Vice-Chancellor 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 Deputy Vice-Chancellor considers appropriate.

(3) The Deputy Vice-Chancellor 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 reviewable decision or refer the matter to the person who made that decision:
   (i) to further consider the decision, taking into account the directions (if any) of the Deputy Vice-Chancellor; 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.

(4) The Deputy Vice-Chancellor must endeavour to make a decision on the review within 20 working days after the day the application for review is made.

(5) If the Deputy Vice-Chancellor is unable make a decision on the review within the 20-day period mentioned in subsection (4), the Deputy Vice-Chancellor must tell the applicant for review and give the applicant for review a date by which the decision will be reviewed.

(6) Within 7 working days after the day the Deputy Vice-Chancellor makes a decision on the review, the Deputy Vice-Chancellor 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.

(7) The Deputy Vice-Chancellor’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 publicly 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 is a student at the University—an email address provided by the University to the individual; or

(ii) if the individual is not a student at the University—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 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.
64 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.

65 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.

66 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—Repeals and transitional

67 Repeals

The following rules are repealed:

(a) Associate Degrees Rules 2012;
(b) Graduate Coursework Awards Rules 2014;
(c) Undergraduate Awards Rules (No. 2) 2013.

68 Transitional modifications on student application

(1) 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 this instrument; and

(b) a requirement of this instrument applying to the student (the current requirement) is different from the corresponding requirement applying to the student under an instrument repealed by section 67 (Repeals) or there was no corresponding requirement applying to the student under an instrument repealed by that section; and

(c) the student considers that the application of the current requirement to the student is unfair or unreasonable.

(2) 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.

(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.

(4) The Delegated Authority may grant the modification sought if satisfied that the application of the current requirement to the student is unfair or unreasonable.

(5) 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.

(6) To remove any doubt, a decision to refuse to give a modification sought by the student is a reviewable non-admission decision.

(7) This instrument applies to the student subject to any modification in force under this section in relation to the student.
THE AUSTRALIAN NATIONAL UNIVERSITY

Research Awards Rule 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated 15 December 2015

Professor Ian Young AO
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

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
Division 4.3— Undertaking the program

Program standard requirements
Program progress
Standard program enrolment
Standard program duration: doctoral programs
Standard program duration: Master of Philosophy
Place where program must be undertaken
Revocation of approval to undertake program outside University
Total minimum period of attendance at University campus during program
Minimum period of attendance at University campus during a year
Program leave of absence
Program extension

Division 4.4— Other program requirements

Language of instruction
Other studies
Employment

Division 4.5— Ending of program

Withdrawal from program
Maximum period for completion: basic maximum period
Maximum period for completion of program: reduction of maximum period
Maximum period for completion of program: extension of maximum period
Ending of program at end of maximum period for completion
Termination of program

Part 5— Supervision

Purpose of Part 5
Supervisory panel and supervisors
Appointment of supervisors
Particular responsibilities of primary supervisor and chair
General responsibilities of members of supervisory panel etc.
Temporary supervisory arrangements

Part 6— Assessment

Division 6.1— Reviews

Reviews of progress
Action after review

Division 6.2— Thesis

Purpose of Division 6.2
General thesis requirements
Form of thesis for examination
Submission of thesis
Request for non-disclosure of thesis

Division 6.3— Examination methods

Purpose of Division 6.3
Examination of research
Examination of coursework
Examination of clinical or professional practice
Examination of program with research and coursework components
Examinations must be in English

Division 6.4— Thesis examiners
<table>
<thead>
<tr>
<th>Page</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>68</td>
<td>Purpose of Division 6.4</td>
</tr>
<tr>
<td>69</td>
<td>Appointment of thesis examiners</td>
</tr>
<tr>
<td>70</td>
<td>Qualifications for appointment as thesis examiner</td>
</tr>
<tr>
<td>71</td>
<td>Conflicts of interests by examiners</td>
</tr>
<tr>
<td>72</td>
<td>Non-disclosure of identity of examiners</td>
</tr>
<tr>
<td>73</td>
<td>Prohibited communications during thesis examination</td>
</tr>
<tr>
<td>74</td>
<td>Nomination of person to provide further information to examiner</td>
</tr>
<tr>
<td>75</td>
<td>Examiners' reports on thesis examination</td>
</tr>
<tr>
<td>76</td>
<td>Application of Division 6.6</td>
</tr>
<tr>
<td>77</td>
<td>Student to be given opportunity of further examination</td>
</tr>
<tr>
<td>78</td>
<td>Oral examination</td>
</tr>
<tr>
<td>79</td>
<td>Assessor for oral examination</td>
</tr>
<tr>
<td>80</td>
<td>Written examination</td>
</tr>
<tr>
<td>81</td>
<td>Application of Division 6.7</td>
</tr>
<tr>
<td>82</td>
<td>Recommendation by Delegated Authority following thesis examination</td>
</tr>
<tr>
<td>83</td>
<td>Decision of Associate Dean following thesis examination</td>
</tr>
<tr>
<td>84</td>
<td>Corrections or revisions to thesis</td>
</tr>
<tr>
<td>85</td>
<td>Re-examination by resubmission of thesis</td>
</tr>
<tr>
<td>86</td>
<td>Re-examination of coursework</td>
</tr>
<tr>
<td>87</td>
<td>Recommendation by Delegated Authority following re-examination</td>
</tr>
<tr>
<td>88</td>
<td>Decision of Associate Dean following re-examination</td>
</tr>
<tr>
<td>89</td>
<td>Examination of Doctor of Philosophy thesis for Master of Philosophy</td>
</tr>
<tr>
<td>90</td>
<td>Student must provide thesis for deposit in University Library</td>
</tr>
<tr>
<td>91</td>
<td>Thesis of student not granted research award</td>
</tr>
<tr>
<td>92</td>
<td>What is a reviewable decision?</td>
</tr>
<tr>
<td>93</td>
<td>Who is the person affected by a reviewable decision?</td>
</tr>
<tr>
<td>94</td>
<td>Application for review of reviewable decision</td>
</tr>
<tr>
<td>95</td>
<td>Review by Associate Dean</td>
</tr>
<tr>
<td>96</td>
<td>Application for procedural review by Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>97</td>
<td>Procedural review by Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>98</td>
<td>What is an appealable decision?</td>
</tr>
<tr>
<td>99</td>
<td>Who is the person affected by an appealable decision?</td>
</tr>
<tr>
<td>100</td>
<td>Appeal against appealable decision</td>
</tr>
<tr>
<td>101</td>
<td>Appeal: hearing and decision</td>
</tr>
<tr>
<td>102</td>
<td>Application for procedural appeal to Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>103</td>
<td>Procedural appeal to Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>104</td>
<td>Approved forms</td>
</tr>
<tr>
<td>105</td>
<td>Service of notices etc.</td>
</tr>
<tr>
<td>106</td>
<td>Appointment etc. of Delegated Authorities</td>
</tr>
<tr>
<td>107</td>
<td>College Dean exercising Associate Dean's functions</td>
</tr>
</tbody>
</table>

*Research Awards Rule 2015*
Part 9—Repeal and transitional

108 Delegation by Deputy Vice-Chancellor .............................................. 47
109 Power to make orders ....................................................................... 47

110 Repeal etc. ....................................................................................... 48
111 Commencement of existing programs .............................................. 48
112 Maximum period for completion: transitional ................................... 48
113 Transitional modifications on student application ............................ 48
114 Advisers ........................................................................................... 49
Part 1—Preliminary

Division 1.1—General

1 Name

This is the Research Awards Rule 2015.

2 Commencement

This instrument commences on 1 January 2016.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellor's 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 (Appointment 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.
17 Decision on application for admission

(1) This section applies if a person makes an application under section 16 for admission to a program for a research 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:

(a) whether the applicant has been admitted to the program; and

(b) if the applicant has been admitted to the program—about any conditions imposed by the Delegated Authority on the applicant’s admission.

[Note: A decision not to admit the applicant to the program is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(6) If the Delegated Authority does not admit the applicant to the program, the Registrar’s notice must include, or be accompanied by, a statement of reasons for the decision.

18 Admission having regard to minimum admission requirements

(1) The Delegated Authority may, under this subsection, admit the applicant to the program for the research award if satisfied that the applicant meets the following requirements (the admission requirements):

(a) the minimum qualification requirement applying to the program under section 12 (Minimum qualification requirement: doctoral programs) or section 13 (Minimum qualification requirement: Master of Philosophy); and

(b) the English language and other requirements (if any) determined for admission to the program under section 14 (English language and other program requirements).

(2) To remove any doubt, the Delegated Authority is not obliged to admit the applicant to the program under subsection (1) even if the Delegated Authority is satisfied that the applicant meets the admission requirements.

(3) Despite subsection (1), the Delegated Authority must refuse to admit the applicant to the program under that subsection 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 15 (Limits on places in programs) for the program for the period.

(4) Also, despite subsection (1), the Delegated Authority:
(a) may admit the applicant to the program under this subsection even though the Delegated Authority is not satisfied that the applicant meets the admission requirements; but

(b) if the Delegated Authority admits the applicant to the program under this subsection, the Delegated Authority may impose conditions on the admission.

(5) This section is subject to section 20 (False or misleading statements in applications for admission etc.).

19 Admission for certain staff members of University

(1) The Delegated Authority may, under this section, admit the applicant to the program for the research award if:

(a) the program is for the degree of Doctor of Philosophy; and

(b) the applicant is a staff member of the University and, during the previous 10 years, has been employed as a staff member of the University for a total of at least 3 years; and

(c) the applicant meets the minimum qualification requirement applying under section 12 (Minimum qualification requirement: doctoral programs); and

(d) the Delegated Authority is satisfied that the applicant has made a substantial contribution to scholarship, in a discipline relevant to the program, by published work of which the applicant is the author or joint author and that is proposed to be incorporated by compilation into the applicant’s thesis for the program.

(2) To remove any doubt, the Delegated Authority is not obliged to admit the applicant to the program under this section even if the Delegated Authority is satisfied that the applicant meets the admission requirements.

(3) Despite subsection (1), the Delegated Authority must refuse to admit the applicant to the program under this section 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 15 (Limits on places in programs) for the program for the period.

(4) This section is subject to section 20 (False or misleading statements in applications for admission etc.).

20 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 research 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—the Delegated Authority must 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 also 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 3.3—Pre-enrolment process: research awards

21 Pre-enrolment action by Delegated Authority

(1) This section applies if a person is admitted to a program for a research award.

(2) Before the person is enrolled in the program, the Delegated Authority:
   (a) may make a determination under subsection (3); and
   (b) may make a determination under subsection (4); and
   (c) may appoint provisional supervisors for the program; and
   (d) must, by written notice given to the person, tell the person:
      (i) about any matters determined under those subsections; and
      (ii) the names of any provisional supervisors appointed.

(3) The Delegated Authority may, in writing, determine the following:
   (a) requirements for the program;
   (b) the school or centre of the University in which the program is to be undertaken.

(4) The Delegated Authority may, in writing, determine the number of courses that the person may take in a semester, year or other teaching period.
Division 3.4—Program commencement: research awards

22 Program commences on enrolment

If a person is admitted to a program for a research award, the program commences on the day the person is enrolled in the program.

Division 3.5—Program transfers: research awards

23 Transfer between programs

(1) This section applies if:

(a) a person is enrolled in a program for a research award (the existing program); and
(b) the person wishes to transfer from that program to a program for another research award (the new program).

(2) The person may apply, in writing, to the Delegated Authority for the new program for approval to transfer from the existing program to the new program.

[Note: If a form is approved under s104 (Approved forms) for this provision, the form must be used.]

(3) Within 20 working days after the day the application is made to the Delegated Authority, the Delegated Authority 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) If the Delegated Authority approves the transfer:

(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) any conditions imposed on the transfer are taken to be conditions imposed on the person’s admission to the new program.
Part 4—Program requirements

Division 4.1—Credit

24 Granting credit

(1) A student admitted to be enrolled, or enrolled, in a program for a research 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 student whether the credit sought has been granted.

[Note: A decision not to grant credit is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(3) If the Delegated Authority refuses to grant the credit applied for, the notice must include, or be accompanied by, a statement of reasons for the decision.

(4) In granting credit under subsection (1), the Delegated Authority must comply with section 25.

25 Limits on granting credit

(1) The Associate Dean for an ANU College may, in writing, decide the limits within which credit may be granted under section 24(1) to students admitted to be enrolled, or enrolled, in a program offered by the college for a program for a research award.

(2) Without limiting subsection (1), credit must not be granted to a student for a course or other studies, or for clinical or professional experience, completed more than 5 years before the day the student first applied under section 24(1) for credit for the studies or experience, unless the Associate Dean, on the written application of the student, directs that credit should be granted for the studies or experience.

(3) If a student applies under subsection (2), the Associate Dean must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student the decision made on the application.

Division 4.2—Program content

26 Program components

The program of a student for a research award must include a research component and may include a coursework component.

27 Research component

(1) The research component of a student's program for a research award must:
   (a) represent at least two-thirds of the number of units of study required for the program; and

Research Awards Rule 2015
(b) consist of research into a topic or topics approved, in writing, by the Delegated Authority.

(2) The Delegated Authority may approve more than 1 topic only if satisfied the topics have a reasonable relationship with each other.

28 Coursework component

The coursework component (if any) of a student’s program for a research award must:
(a) not represent more than one-third of the number of units of study required for the program; and
(b) consist of courses, clinical or professional practice, or both courses and clinical or professional practice, approved, in writing, by the Delegated Authority.

29 Program standard requirements

(1) To complete the requirements of a program for a research award successfully, the student must pass the research component, and any coursework, at the standard determined, in writing, by the Delegated Authority for students undertaking the program or for the particular student.

(2) For a program with a coursework component, a determination under this section may require the student to pass any course or clinical or professional practice at the determined standard before the student’s thesis for the research component is examined.

Division 4.3—Undertaking the program

30 Program progress

A student enrolled in a program for a research award must make progress in the program to the Delegated Authority’s satisfaction.

31 Standard program enrolment

(1) The standard enrolment for a student for a program for a research award is 48 weeks, and the required number of units of study, for each year of the program.

(2) The required number of units of study, for each year of the program, is:
   (a) for a program undertaken by full-time study—48; or
   (b) for a program undertaken by part-time study—24.

32 Standard program duration: doctoral programs

(1) Completion of a standard program for a Doctor of Philosophy or professional doctorate requires the student to be enrolled for:
   (a) a minimum of 96 units (which is equivalent to enrolment for 2 years full-time or 4 years part-time); and
   (b) a maximum of 192 units (which is equivalent to enrolment for 4 years full-time or 8 years part-time).

(2) However, the Deputy Vice-Chancellor may, in writing, approve:
   (a) a different minimum enrolment period for this section for students undertaking a particular program; or
(b) a different maximum enrolment period for this section for students undertaking a particular program.

(3) Also, a student admitted to a program for a Doctor of Philosophy under section 19 (Admission for certain staff members of University) is required to be enrolled for a minimum of 24 units (which is equivalent to enrolment for 6 months full-time or 12 months part-time) to prepare the student’s work for incorporation by compilation into the student’s thesis and for the thesis to be submitted and examined, unless the Delegated Authority, in writing, approves a different minimum enrolment period for this section for the student.

(4) For this section, leave of absence granted to the student under section 38 (Program leave of absence) is to be disregarded in working out how long the student has been enrolled.

33 Standard program duration: Master of Philosophy

(1) Completion of a standard program for a Master of Philosophy requires the student to be enrolled for:
   (a) a minimum of 48 units (which is equivalent to enrolment for 1 year full-time or 2 years part-time); and
   (b) a maximum of 96 units (which is equivalent to enrolment for 2 years full-time or 4 years part-time).

(2) However, the Deputy Vice-Chancellor may, in writing, approve:
   (a) a different minimum enrolment period for this section for students undertaking a particular program; or
   (b) a different maximum enrolment period for this section for students undertaking a particular program.

(3) For this section, leave of absence granted to the student under section 38 (Program leave of absence) is to be disregarded in working out how long the student has been enrolled.

34 Place where program must be undertaken

(1) A student enrolled in a program for a research award must undertake the program at a campus of the University.

(2) However, the Delegated Authority may, on the written application of the student and in writing, approve the student undertaking all or part of the program outside the University.

(3) The Delegated Authority must not give an approval under subsection (2) unless satisfied:
   (a) if all or part of the program is proposed to be undertaken outside the University at another university or other tertiary education institution—that all of the following requirements will be met:
      (i) any coursework proposed to be undertaken at the tertiary education institution as part of the program will be substantially comparable in quality to equivalent coursework offered by the University for the program (or comparable programs);
      (ii) the tertiary education institution will have satisfactory research facilities available to the student for the program;
      (iii) all reviews under section 55 (Reviews of progress) of the student’s progress in the program will be satisfactorily completed; and
(b) if all or part of the program is proposed to be undertaken outside the University otherwise than at another university or other tertiary education institution—that all of the following requirements will be met:

(i) supervision arrangements will be available to the student for the program that will be substantially comparable in quality to supervision arrangements that will be available to the student for the program when the student is at the University;

(ii) the student will have access to satisfactory resources to undertake the program;

(iii) all reviews under section 55 of the student’s progress in the program will be satisfactorily completed.

(4) If the student applies under subsection (2) for approval for the student to undertake all or part of the program outside the University, the Delegated Authority must:

(a) decide the application; and

(b) by written notice given to the student, tell the student whether the approval is given.

[Note: A decision not to approve the student undertaking all or part of the program outside the University is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(5) If the Delegated Authority refuses to give the approval, the notice must include, or be accompanied by, a statement of reasons for the decision.

35 Revocation of approval to undertake program outside University

(1) This section applies to a student if an approval is in force for the student under section 34(2) (Place where program must be undertaken).

(2) If the student fails to satisfactorily complete a review of progress under section 55 (Reviews of progress), the Delegated Authority may, by written notice given to the student, revoke the approval.

[Note: A decision to revoke the approval is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(3) If the Delegated Authority revokes the approval, the notice must include, or be accompanied by, a statement of reasons for the decision.

36 Total minimum period of attendance at University campus during program

(1) While a student is undertaking a program for a research award, the student must attend a campus of the University for a minimum period, in total, of:

(a) for a Doctor of Philosophy or professional doctorate—72 units (which is equivalent to attendance for 18 months full-time or 36 months part-time); or

(b) for a Master of Philosophy—48 units (which is equivalent to attendance for 1 year full-time or 2 years part-time).

(2) However, subsection (1) is subject to any approval that is in force for the student under section 34(2) (Place where program must be undertaken).

(3) If the Delegated Authority revokes the approval under section 35 (Revocation of approval to undertake program outside University), the Delegated Authority may, on the written application of the student and in exceptional circumstances, reduce the minimum period applying to the student under subsection (1).
(4) If the student applies under subsection (3) for a reduction of the period applying to the student under subsection (1), the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether the period is reduced.

[Note: A decision to refuse to reduce the period is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(5) If the Delegated Authority refuses to grant the reduction applied for, the notice must include, or be accompanied by, a statement of reasons for the decision.

(6) For this section, leave of absence granted to the student under section 38 (Program leave of absence) is to be disregarded in working out how long the student has attended a campus of the University.

37 Minimum period of attendance at University campus during a year

(1) This section applies to a student if an approval is in force for the student under section 34(2) (Place where program must be undertaken).

(2) The student must, during each year of the program while the approval is in force, attend a campus of the University for a minimum period, in total, of:
   (a) for a full-time student—4 units (which is equivalent to full-time attendance for 4 weeks); and
   (b) for a part-time student—2 units (which is equivalent to part-time attendance for 4 weeks).

(3) However, the Delegated Authority may, on the application of the student or on the Delegated Authority’s own initiative and in writing, vary the period that the student must, under subsection (2), attend a campus of the University during a particular year, or each year, while the student is undertaking the program, if the Delegated Authority is satisfied that the variation is justified in the particular circumstances applying to the student.

(4) If the student applies under subsection (3) to vary the period that the student must attend a campus of the University, the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether the variation has been made.

[Note: A decision not to vary the period the student must attend a campus of the University is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(5) If the Delegated Authority refuses to make the variation applied for, the notice must include, or be accompanied by, a statement of reasons for the decision.

(6) If the Delegated Authority varies, on the Delegated Authority’s own initiative, the period that the student must attend a campus of the University, the Delegated Authority must, by written notice given to the student, tell the student about the variation.

(7) For this section, leave of absence granted to the student under section 38 (Program leave of absence) is to be disregarded in working out how long the student has attended a campus of the University.
38 Program leave of absence

(1) The Delegated Authority may, on the written application of a student enrolled in a program for a research award and in writing, grant the student leave of absence from the program.

(2) However, leave of absence must not be granted to the student for less than 1 unit (which is equivalent to leave of absence for 1 week for a full-time student or 2 weeks for a part-time student).

(3) Also, a single leave of absence must not be granted to the student for more than:
   (a) for a full-time student—48 units (which is equivalent to leave of absence on a full-time basis for 48 weeks); and
   (b) for a part-time student—24 units (which is equivalent to leave of absence on a part-time basis for 48 weeks).

(4) To remove any doubt, subsection (3) does not prevent the Delegated Authority from granting to the student, in exceptional circumstances and on separate applications by the student, periods of leave of absence that exceed, in total, the limit applying to the student under that subsection.

(5) If the student applies under subsection (1) for leave of absence from the program, the Delegated Authority must:
   (a) decide the application; and
   (b) by written notice given to the student, tell the student whether the leave of absence applied for has been granted.

[Note: A decision not to grant a period of leave of absence is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(6) If the Delegated Authority refuses to grant the leave of absence applied for, the notice must include, or be accompanied by, a statement of reasons for the decision.

(7) Leave of absence granted to a student under this section does not count towards satisfying the requirements of the program.

39 Program extension

(1) The Delegated Authority may, on the written application of a student enrolled in a program for a research award and in writing, extend the maximum enrolment period applying to the student under section 32 (Standard program duration: doctoral programs) or section 33 (Standard program duration: Master of Philosophy).

(2) However, the Delegated Authority may grant an extension of the maximum enrolment period only if satisfied that the extension is justified because the student’s ability to complete the program within that period has been adversely affected by illness or any other circumstances outside the student’s control that the Delegated Authority considers should be taken into account.

(3) Also, an extension granted by the Delegated Authority must not result in the student’s maximum enrolment period going beyond maximum period under Division 4.5 (Ending of program) for completion of the program by the student.
(4) In addition, any extension granted by the Delegated Authority must be for the standard period unless the Delegated Authority is satisfied that another period would be more appropriate in the circumstances.

(5) If the student applies under subsection (1) for an extension of the maximum enrolment period, 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.

[Note: A decision not to grant the extension applied for is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(6) If the Delegated Authority refuses to grant the extension applied for, the notice must include, or be accompanied by, a statement of reasons for the decision.

(7) In this section:

standard period means:
   (a) for a Doctor of Philosophy or professional doctorate—24 units (which is equivalent to 6 months full-time study or 12 months part-time study); or
   (b) for a Master of Philosophy—12 units (which is equivalent to 3 months full-time study or 6 months part-time study).

Division 4.4—Other program requirements

40 Language of instruction

A program for a research award must be undertaken in English unless, and to the extent that, the Deputy Vice-Chancellor decides otherwise in writing.

41 Other studies

(1) A student enrolled in a program for a research award must not undertake, or continue to undertake, any other studies at AQF level 5 or higher while the student is enrolled in the program unless the Delegated Authority, on the written application of the student and in writing, approves the student undertaking the studies while the student is enrolled in the program.

(2) 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.

[Note: A decision not to approve a student to undertake other studies is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(3) If the Delegated Authority refuses to approve the student undertaking the studies while the student is enrolled in the program, the notice must include, or be accompanied by, a statement of reasons for the decision.

(4) In this section:

AQF means the Australian Qualifications Framework as in force at the commencement of this section.

[Note: At the commencement of this section, the framework was accessible at www.aqf.edu.au.]
42 Employment

(1) This section applies in relation to a student's review of progress under section 55 (Reviews of progress) if the student has been employed during the period (the review period) since:

(a) for the student's first review in the program—the student's enrolment in the program; or

(b) for a later review—the student's last review.

(2) The student must, at the review, give the Delegated Authority an estimate of the student's hours of employment during the review period.

Division 4.5—Ending of program

43 Withdrawal from program

(1) A student enrolled in a program for a research 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.

44 Maximum period for completion: basic maximum period

(1) The maximum period for completion of a program for a Doctor of Philosophy or professional doctorate by a student is:

(a) for a program undertaken by full-time study—5 years beginning on the day the program commences; or

(b) for a program undertaken by part-time study—10 years beginning on the day the program commences; or

(c) for a program undertaken partly by full-time study and partly by part-time study—5 years beginning on the day the program commences plus an additional period, not exceeding 5 years, determined by the Delegated Authority, by written notice given to the student, to take account of the proportionate period for which the program has been undertaken by part-time study.

[Note 1: Under s 22 (Program commences on enrolment), the program commences on the day the student is enrolled in the program.]

[Note 2: A decision determining a particular period under subsection (1)(c) or (2)(c) is reviewable under Division 7.1 (Reviews of reviewable decisions).]

(2) The maximum period for completion of a program for a Master of Philosophy by a student is:

(a) for a program undertaken by full-time study—3 years beginning on the day the program commences; or

(b) for a program undertaken by part-time study—6 years beginning on the day the program commences; or

(c) for a program undertaken partly by full-time study and partly by part-time study—3 years beginning on the day the program commences plus an additional period, not exceeding 3 years, determined by the Delegated Authority, by written notice given to the student, to take account of the proportionate period for which the program has been undertaken by part-time study.
(3) However, the maximum period provided under subsection (1) or (2) for completion of a program may be reduced under section 45 (Maximum period for completion of program: reduction of maximum period) or extended under section 46 (Maximum period for completion of program: extension of maximum period) (or both reduced and extended under those sections).

45 Maximum period for completion of program: reduction of maximum period

(1) This section applies if the Delegated Authority grants credit to a student towards completion of the student’s program for a research award.

(2) 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.

[Note: A decision to reduce the maximum period for completion of a student’s program is reviewable under Division 7.1 (Reviews of reviewable decisions).]

46 Maximum period for completion of program: extension of maximum period

(1) A student enrolled in a program for a research award may apply, in writing, to the Associate Dean for an extension of the maximum period for completion of the student’s program.

(2) The Associate Dean must decide the application.

(3) The Associate Dean may extend the maximum period for completion of the student’s program if:

(a) the Associate Dean is satisfied that the student will be unable to successfully complete the non-research component (if any) of the program, and submit the student’s thesis for the program for examination, within that period for all or any of the following reasons:

(i) the student has been granted leave of absence under section 38 (Program leave of absence) from the program for medical reasons;

(ii) the student has taken, or has been required to take, medical leave from the program under the Medical Leave Rules;

(iii) infrastructure or facilities necessary for the student’s research for the program were not available to the student for a period;

(iv) if the student has an Education Access Plan—changes were made to the student’s program to take account of the plan;

(v) any other circumstances outside of the student’s control that the Associate Dean considers should be taken into account; and

(b) the student’s primary supervisor certifies, in writing, that the student’s research topic remains feasible and has not been rendered invalid by the passage of time.

(4) However, the total period of any extensions granted to the student under subsection (3) must not exceed the total of all the periods in relation to which the Associate Dean considers that a reason mentioned in subsection (3)(a)(i) to (v) applies.

(5) Also, a single extension exceeding 1 year must not be granted to the student under subsection (3) and extensions exceeding 2 years in total must not be granted to the student under that subsection.
(6) Subject to the outcome of any appeal under Division 7.2 (Appeals against appealable decisions), the Associate Dean’s decision is final.

[Note: A student may appeal against a decision not to grant an extension of the maximum period for completion of the student’s program (see s 98).]

(7) The Registrar must, by written notice given to the student within 7 working days after the day the Associate Dean makes the decision, tell the student about the decision.

[Note: Section 105 (Service of notices etc.) sets out how the notice may be given.]

(8) If the Associate Dean refuses to give the extension sought, the notice must include or be accompanied by:

(a) a statement of reasons for the decision; and

(b) a statement to the effect that, subject to this instrument, the student may appeal against the decision; and

(c) a statement setting out the procedure for making an appeal.

(9) Failure to comply with subsections (7) and (8) in relation to a decision does not affect the validity of the decision.

(10) To remove any doubt, the grant of leave of absence to the student under section 38 (Program leave of absence) does not, of itself, extend the maximum period for completion of the program by the student.

47 Ending of program at end of maximum period for completion

(1) A student’s program for a research award ends by force of this section at the end of 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) successfully completed the non-research component (if any) of the program; and

(b) submitted the student’s thesis for the program for examination.

(2) If the program ends under this section, the Delegated Authority must tell the student, in writing, as soon as practicable.

48 Termination of program

(1) The grounds for terminating under this instrument a student’s enrolment in a program for a research award are as follows:

(a) that the student has not pursued the program to the Delegated Authority’s satisfaction;

(b) that the student has otherwise contravened this instrument or an order applying to the student;

(c) that the student has contravened a condition imposed by the Delegated Authority on the student’s admission to the program.

(2) If the Delegated Authority believes that a ground exists for terminating under this instrument the student’s enrolment in the program, the Delegated Authority may, in writing, recommend to the Associate Dean that the student’s enrolment be terminated.

(3) Before acting on the recommendation, the Associate Dean must, by written notice given to the student, tell the student:

(a) about the recommendation; and
(b) that the student may make representations, in the way specified in the notice, to the Associate Dean about the recommendation within the period specified in the notice.

(4) The notice:

(a) may specify that representations must be made to the Associate Dean in writing or orally; and

(b) if the notice specifies that any representations must be made in writing—must specify a period, if not less than 5 working days after the day the student is given the notice, within which the student may make written representations to the Associate Dean; and

(c) if the notice specifies that any representations must be made in orally—must specify a place where, and a time (not earlier than 5 working days after the day the student is given the notice) when, the student may make oral representations to the Associate Dean.

(5) This section does not prevent the Associate Dean from, at any time, allowing representations to be made both in writing and orally or extending any period within which representations may be made.

(6) If, after considering any representations made by the student in accordance with this section, the Associate Dean is satisfied that a ground exists to terminate under this instrument the student’s enrolment in the program, the Associate Dean may terminate the student’s enrolment in the program.

(7) Subject to the outcome of any appeal under Division 7.2 (Appeals against appealable decisions), the Associate Dean’s decision is final.

[Note: A student may appeal against a decision to terminate the student’s enrolment (see s 98).]

(8) If the Associate Dean decides that the student’s enrolment be terminated, the Registrar must, by written notice given to the student within 7 working days after the day the Associate Dean makes the decision, tell the student about the decision.

[Note: Section 105 (Service of notices etc.) sets out how the notice may be given.]

(9) The notice must include or be accompanied by:

(a) a statement of reasons for the decision; and

(b) a statement to the effect that, subject to this instrument, the student may appeal against the decision; and

(c) a statement setting out the procedure for making an appeal; and

(d) a copy of the student’s results following any coursework and any other assessment during the program.

(10) Failure to comply with subsections (8) and (9) does not affect the validity of the decision to terminate the student’s enrolment.

(11) This section does not affect the termination of the student’s enrolment otherwise than under this instrument.

[Note: The student’s enrolment could, for example, be terminated under the Academic Misconduct Rule or the Discipline Rule.]
Part 5—Supervision

49 Purpose of Part 5

This Part sets out the supervisory arrangements applying to a student enrolled in a program for a research award.

50 Supervisory panel and supervisors

(1) The student must have a supervisory panel.

(2) If the student is enrolled in a program for a Doctor of Philosophy or professional doctorate, the student must have a primary supervisor and at least 2 associate supervisors.

(3) If the student is enrolled in a program for a Master of Philosophy, the student must have a primary supervisor and at least 1 associate supervisor.

(4) The supervisory panel consists of a chair, the primary supervisor and the associate supervisor or supervisors.

(5) The chair, primary supervisor and associate supervisors are appointed, in writing, by the Delegated Authority.

(6) The primary supervisor or an associate supervisor may be appointed as the chair of the supervisory panel.

(7) If someone other than the primary supervisor or an associate supervisor is appointed as the chair of the supervisory panel, the person is also a supervisor of the student.

51 Appointment of supervisors

(1) The Delegated Authority must:

(a) ensure that there is a chair for the student’s supervisory panel within 1 month after the day the student is enrolled or, if the Delegated Authority determines a longer period in writing, the determined period; and

(b) in any event, make the initial appointments of the student’s supervisors within 3 months after the day the student is enrolled or, if the Delegated Authority determines a longer period in writing, the determined period.

(2) The primary supervisor must:

(a) hold a Doctor of Philosophy or have a combination of qualifications and professional experience that the Delegated Authority is satisfied is equivalent; and

(b) be a member of the academic staff of the University employed by the University full-time or part-time on at least a 50% basis or, if the Delegated Authority approves in writing in the particular circumstances of the case, an Emeritus Professor of the University; and

(c) be actively carrying out research and publishing in a relevant discipline area.

(3) If a person is already the primary supervisor for at least 6 students who are undertaking programs for research awards, the Delegated Authority may only appoint the person as the student’s primary supervisor after considering the norms for research supervision in the relevant discipline area and the person’s supervisory experience.
(4) If the primary supervisor is not the chair of the supervisory panel, the chair must:
(a) hold a Doctor of Philosophy or have a combination of qualifications and professional experience that the Delegated Authority is satisfied is equivalent; and
(b) be a member of the academic staff of the University employed by the University full-time or part-time on at least a 50% basis or, if the Delegated Authority approves in writing in the particular circumstances of the case, an Emeritus Professor of the University.

(5) An associate supervisor must hold an academic status, or honorary academic status, in the University.

(6) Despite subsections (2) to (5), the Delegated Authority may, with the written approval of the Associate Dean, appoint a person as primary supervisor, chair of the supervisory panel or associate supervisor even though the person is not otherwise eligible for appointment under this section.

(7) In appointing the supervisors, the Delegated Authority must, as far as practicable, ensure continuity in the student’s supervision throughout the program and, in particular, that the primary supervisor, the chair of the supervisory panel or both will be available to carry out their responsibilities in relation to the student until the end of the program.

52 Particular responsibilities of primary supervisor and chair

(1) The primary supervisor is responsible for academic oversight of the major research aspects of the student’s program.

(2) The chair of the supervisory panel is primarily responsible for coordinating all aspects of the student’s program and is responsible for calling meetings of the supervisory panel.

53 General responsibilities of members of supervisory panel etc.

(1) Each supervisor:
(a) is responsible, with the other supervisors, for supervising:
(i) all aspects of the student’s program; and
(ii) the student’s compliance with this instrument and any order applying to the student; and
(b) must advise the student on matters relevant to the program or assist the student to obtain appropriate advice on matters relevant to the program.

(2) However, the chair of the supervisory panel may, by written notice given to an associate supervisor and with the written approval of the Delegated Authority, limit the associate supervisor’s responsibilities under subsection (1) to particular aspects of the student’s program.

(3) In supervising the student, the supervisors must comply with the statutes, rules, orders and policies of the University.

(4) The supervisory panel must meet at least twice in each year.

(5) A supervisor must tell the Delegated Authority if the supervisor considers that the student:
(a) is not pursuing the program satisfactorily; or
(b) has contravened this instrument or an order applying to the student; or
(c) has contravened a condition imposed by the Delegated Authority on the student’s admission to the program; or
(d) has not completed a required milestone.

54 Temporary supervisory arrangements

(1) The Delegated Authority is responsible for supervising the student from the student’s enrolment until the appointment of a person as primary supervisor or chair of the supervisory panel, whichever happens first.

(2) After the Delegated Authority ceases to be responsible for supervising the student under subsection (1), the Delegated Authority must, as far as practicable, ensure that there is at all times a primary supervisor, a chair of the supervisory panel or both.

(3) If, at any time after the Delegated Authority ceases to be responsible for supervising the student under subsection (1), there is neither a primary supervisor nor a chair of the supervisory panel, the Delegated Authority must, in writing, appoint an appropriately qualified person to act as supervisor.

(4) If, while the Delegated Authority is responsible for supervising the student under subsection (1) or a person is acting as supervisor under subsection (3), the Delegated Authority or acting 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 another appropriately qualified person to supervise the student while the Delegated Authority or acting supervisor is absent or unable to supervise the student.
Part 6—Assessment

Division 6.1—Reviews

55 Reviews of progress

(1) The supervisory panel for a student enrolled in a program for a research award must conduct an annual review of the student’s progress in the program.

(2) The first annual review is to be a review of the student’s thesis proposal and research progress and any other matters relevant to the program.

(3) The Delegated Authority may, in writing, direct the supervisory panel, a member of the supervisory panel or someone else to conduct an additional review of the student’s progress in the program.

(4) Without limiting section 48(1)(a) (Termination of program), the student’s failure to satisfactorily complete a review of progress may establish a ground for terminating the student’s enrolment in the program.

56 Action after review

(1) After conducting a review of the student’s progress in the program, the supervisory panel or person conducting the review must, in writing, make one of the following recommendations to the Delegated Authority:
   (a) that the student continue undertaking the program;
   (b) that an additional review of the student’s progress be conducted after a stated period;
   (c) for a program for a Doctor of Philosophy or professional doctorate—that the student transfer to a program for a Master of Philosophy;
   (d) that the student’s enrolment in the program be terminated.

(2) The supervisory panel or person conducting the review must give the Delegated Authority written reasons for its recommendation.

(3) The Delegated Authority must:
   (a) by written notice given to the student, tell the student about the recommendation and the action the Delegated Authority intends to take on the recommendation; and
   (b) give the student a copy of reasons given to the Delegated Authority for the recommendation.

Division 6.2—Thesis

57 Purpose of Division 6.2

This Division sets out provisions applying to the thesis of a student enrolled in a program for a research award.

58 General thesis requirements

(1) The thesis must be an original work that:
(a) incorporates an account summarising the research undertaken by the student during the program and the results of the research; and
(b) if the research is on more than 1 topic—demonstrates the relationship between the topics; and
(c) is required to be provided by the student for the program; and
(d) if the research is undertaken jointly with someone else—clearly indicates the nature and extent of the student’s contribution to the research.

(2) The student may submit a thesis by compilation only if the Delegated Authority approves on the written application of the student.

(3) If the program is for a professional doctorate or Master of Philosophy, the Delegated Authority may give an approval under subsection (2) only if satisfied that the approval is justified in the special circumstances of the case.

(4) The student may submit a thesis for examination in alternative format only if the format in which the thesis is to be submitted has been approved, in writing, by the Delegated Authority, on the advice of the student’s supervisory panel.

(5) The student must not include in the thesis material that has been previously submitted by the student for the purpose of obtaining a degree 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 recommendation, determines otherwise in writing.

59 Form of thesis for examination

The Deputy Vice-Chancellor may, in writing, determine the form a thesis is to take for examination.

60 Submission of thesis

(1) The student must submit the student’s thesis for examination by giving the Registrar 4 paper copies, and 1 digital copy, of the thesis.

(2) However, the Delegated Authority may, in writing:
   (a) approve the submission of all or part of the student’s thesis in another format and determine the number of copies to be given to the Registrar by the student in that format; or
   (b) determine that the student give the Registrar a different number of paper copies of the thesis.

(3) To remove any doubt, subsection (2) does not affect the student’s obligation under subsection (1) to submit 1 digital copy of the thesis.

61 Request for non-disclosure of thesis

(1) When submitting the thesis for examination, the student may, in writing, request the Deputy Vice-Chancellor to prohibit the University Library from disclosing the thesis, or a specified part of it (including any confidential appendix), to anyone for a specified period.

(2) If the Deputy Vice-Chancellor is satisfied that the requested prohibition is reasonable having regard to the need to protect the student’s interests under laws relating to
copyright, designs or patents or confidential information, the Deputy Vice-Chancellor may, by written direction, prohibit the University Library from disclosing the thesis or the specified part of it to anyone for the specified period.

(3) The Deputy Vice-Chancellor must, by written notice given to the student, tell the student the outcome of the student’s request.

Division 6.3—Examination methods

62 Purpose of Division 6.3

This Division sets out how a student undertaking a program for a research award must be examined on the program.

63 Examination of research

Research undertaken by the student during the program must be examined by submission and examination of a thesis based on that research, together with any oral or written examination that may be required.

64 Examination of coursework

(1) Coursework (other than any clinical or professional practice) undertaken by the student during the program must be examined 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 a program declared by the Deputy Vice-Chancellor, in writing, to be a program to which this subsection applies, the Delegated Authority may determine that coursework be examined by an examination of:

(a) an exhibition; or
(b) a performance; or
(c) a folio of work.

65 Examination of clinical or professional practice

(1) Clinical or professional practice undertaken by the student during the program must be examined 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 examined 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.

66 Examination of program with research and coursework components

If the program has research and coursework components, the Deputy Vice-Chancellor may, in writing, determine that a student undertaking the program:

(a) is to be examined for the program on the research only; or
(b) is required to pass a written examination on the coursework before being examined on the research, but the examination for the program is to be on the research only; or
(c) is to be examined for the program on the combined results of the examination of the research and coursework.

67 Examinations must be in English

Any examination 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 6.4—Thesis examiners

68 Purpose of Division 6.4

This Division sets out provisions about the examiners of the thesis of a student undertaking a program for a research award.

69 Appointment of thesis examiners

(1) When the thesis is submitted for examination, the Associate Dean must, in writing, appoint at least 2 examiners of the thesis.

(2) The Associate Dean may, in writing, at any time appoint an additional examiner or additional examiners of the thesis.

(3) An appointment of an examiner must be made by the Associate Dean on the written recommendation of the Delegated Authority.

(4) The student may suggest or comment on the suitability of possible examiners, but must not take part in the making of a recommendation or decision about the appointment of an examiner.

70 Qualifications for appointment as thesis examiner

(1) The Associate Dean must ensure that there are, at all times, at least 2 examiners of the thesis who have international standing and do not hold an academic or honorary academic appointment in the University.

(2) A person must not be appointed an examiner if the person:
   (a) has been connected with the student’s research; or
   (b) has, within the last 5 years, published or closely collaborated with the student or with a person who is or has been a supervisor of the student.

(3) However, the Delegated Authority may recommend the appointment of, and, subject to subsection (1), the Associate Dean may appoint, a person as an examiner even though the person is not eligible for appointment under subsection (2).

71 Conflicts of Interests by examiners

(1) If a person who is proposed to be appointed as an examiner is aware that the person has, or may have, a material interest in relation the examination of the student’s thesis, the person must comply with subsection (2).

[Note: Material interest is defined in subsection (8). The definition of indirect interest in that subsection applies to the definition of material interest.]

(2) Before the person is appointed as an examiner, the person must:
(a) tell the Associate Dean, in writing, that the person has, or may have, a material interest in relation to the examination of the student’s thesis; and
(b) disclose the nature of the interest, in writing, to the Associate Dean.

(3) If an examiner becomes aware that the examiner has, or may have, a material interest in relation to the examination of the thesis, the examiner must immediately disclose the nature of the interest, in writing, to the Associate Dean.

(4) If an examiner makes a disclosure under subsection (3), the examiner must not take part, or continue to take part, in the examination of the thesis unless the Associate Dean agrees, in writing, to the examiner continuing as an examiner.

(5) If a person is aware that a person who is proposed to be appointed, or has been appointed, as an examiner has, or may have, a material interest in relation to the examination of the thesis, the person must immediately tell the Associate Dean in writing.

(6) If the Associate Dean becomes aware that an examiner has, or may have, a material interest in relation to the examination of the thesis, the Associate Dean may, by written notice given to the examiner, end the examiner’s appointment as examiner.

(7) Subsection (6) does not limit the Associate Dean’s power to end the appointment of an examiner.

(8) In this section:

*associate*, of a person, includes:
(a) a business or research partner of the person; and
(b) a close friend of the person; and
(c) a family member of the person.

*executive officer*, of a corporation, means a person (however described) who is concerned with, or takes part in, the corporation’s management, whether or not the person is a director of the corporation.

*indirect interest*: without limiting the kinds of indirect interests a person may have, a person has an *indirect interest* in relation to the examination of the thesis if any of the following has an interest in relation to the examination of the thesis:
(a) an associate of the person;
(b) a corporation if the corporation has not more than 100 members and the person, or an associate of the person, is a member of the corporation;
(c) a subsidiary of a corporation mentioned in paragraph (b);
(d) a corporation if the person, or an associate of the person, is an executive officer of the corporation;
(e) the trustee of a trust if the person, or an associate of the person, is a beneficiary of the trust;
(f) a member of a firm or partnership if the person, or an associate of the person, is a member of the firm or partnership;
(g) someone else carrying on a business if the person, or an associate of the person, has a direct or indirect right to participate in the profits of the business.

*material interest*: a person has a *material interest* in relation to the examination of the thesis if the person has:
(a) a direct or indirect financial interest in relation to the examination; or
(b) a direct or indirect interest of any other kind if the interest could conflict, or
reasonably be seen to conflict, with the proper exercise of the person’s functions in
relation to the examination.

72 Non-disclosure of identity of examiners

(1) The identity of an examiner must not be disclosed to the student, or to the other
examiners, until the final decision is made on the examination of the thesis (and then
only with the examiner’s permission).

(2) This section does not apply to a disclosure made during, or for the purposes of, an oral
examination of the thesis.

73 Prohibited communications during thesis examination

(1) This section applies during the period that begins when the student’s thesis is submitted
for examination and ends when the final decision is made on the examination of the
thesis.

(2) An examiner must not knowingly disclose the content of the thesis to someone who is
not involved in the examination of the thesis.

(3) The student, or a person who is or has been a supervisor of the student during the
program, must not knowingly communicate directly or indirectly with an examiner about
the research on which the thesis is based.

(4) An examiner must not knowingly communicate directly or indirectly with another
examiner, the student, or a person who is or has been a supervisor of the student during
the program, about the research on which the thesis is based.

(5) Subsections (3) and (4) do not apply to a communication made during an oral
examination of the thesis or any other oral presentation for the thesis.

74 Nomination of person to provide further information to examiner

The Delegated Authority may, at the written request of an examiner, nominate a person
(other than a person who is, or has been, a supervisor of the student during the program),
in writing, to provide information to the examiner about the thesis or, if the research on
which the thesis is based was undertaken jointly with someone else, the nature and extent
of the student’s contribution to the research.

Division 6.5—Examination reports

75 Examiners’ reports on thesis examination

(1) This section applies after the thesis of a student enrolled in a program for a research
award has been examined by the examiners.

(2) Each examiner must give the Registrar a written report on the examiner’s examination of
the thesis.

[Note: If a form is approved under s 104 (Approved forms) for this provision, the form must be used.]

(3) The report must include one of the following recommendations:
   (a) that the student be granted the research award;
(b) that the student be granted the research award subject to the student making
specified corrections or revisions, to the satisfaction of the Delegated Authority, in
the copy of the thesis to be deposited with the University Library;
(c) that the student be permitted to submit a revised thesis for re-examination;
(d) that the student be failed.

(4) If the thesis is a thesis by compilation, a recommendation under subsection (3)(b) or (c)
must relate only to the exegesis of the thesis or unpublished works.

(5) The Registrar must give a copy of the examiners' reports to the Delegated Authority.

Division 6.6—Further examination of thesis

76 Application of Division 6.6

This Division applies to a student enrolled in a program for a research award if:
(a) at least 1, but not all, of the examiners of the student's thesis recommend that the
student be failed; and
(b) based on the examiners’ reports, the Delegated Authority considers that the student
should be failed.

77 Student to be given opportunity of further examination

(1) The student must be given the opportunity to have a further examination of the thesis
before the Delegated Authority makes a recommendation to the Associate Dean.

(2) The Delegated Authority must decide, in writing, whether the further examination is an
oral examination or a review of the thesis by an additional examiner.

78 Oral examination

(1) If the further examination is an oral examination, the student must be examined orally by
the examiners on the substance of the student’s thesis and the student’s knowledge of the
subject background.

(2) However, the Delegated Authority may, in writing, direct that the oral examination be
conducted by some, but not all, of the examiners.

(3) If the Delegated Authority gives a direction under subsection (2), the Delegated
Authority must, in writing, specify the examiners who are to conduct the examination.

(4) For subsection (3), the Delegated Authority must specify at least 2 examiners unless the
Delegated Authority considers that a single examiner should be specified for the
particular examination.

[Note: If a single examiner is specified, an assessor must be appointed under s 79 (Assessor for oral
examination).]

(5) If the oral examination is to be conducted by some, but not all, of the examiners, the
examiners who are to conduct the examination must:
(a) find out from the examiners who are to be absent whether they have questions that
they wish to have put to the student; and
(b) at the examination, put the substance of the questions to the student, together with
any other questions they consider relevant; and
(c) after the examination, give the examiners who are absent a report on the student’s performance at the oral examination, including the student’s answers to their questions.

(6) Each examiner must give the Registrar a written report on the oral examination.

[Note: If a form is approved under s 104 (Approved forms) for this provision, the form must be used.]

(7) The report may:
(a) confirm the recommendation made by the examiner in the report made under section 75 (Examiners’ reports on thesis examination); or
(b) make a different recommendation that could have been made in that report.

(8) The Registrar must give a copy of the examiners’ reports to the Delegated Authority.

79 Assessor for oral examination

(1) This section applies if the oral examination is to be conducted by a single examiner.

(2) The Delegated Authority must, in writing, appoint a person as an assessor for the oral examination.

(3) The person appointed as assessor must be a senior member of the academic staff of the University, or another university, who has some knowledge of the subject area of the student’s thesis, but is not necessarily an expert in that area.

(4) The Registrar must give the assessor a copy of the student’s thesis before the examination.

(5) The assessor must attend but not participate in the examination, otherwise than to ensure that the examination is properly and fairly conducted.

(6) The assessor may give the Registrar any written comments the assessor wishes to make about the examination.

(7) The Registrar must give a copy of any comments to the Delegated Authority.

80 Written examination

(1) This section applies if:
(a) the Delegated Authority decides under section 77 (Student to be given opportunity of further examination) that the student is to have an oral examination; but
(b) the Delegated Authority considers that it is not practical to hold the oral examination.

(2) The student is to be examined by written examination, set by the examiners, covering the field that the oral examination would have covered.

(3) The student must give the student’s written answers in the examination to the Registrar who must give a copy of them to the examiners.

(4) Each examiner must consider the student’s answers and give the Registrar a written report on the examiner’s consideration of the answers.

[Note: If a form is approved under s 104 (Approved forms) for this provision, the form must be used.]

(5) The report may:
(a) confirm the recommendation made by the examiner in the report made under section 75 (Examiners’ reports on thesis examination); or
(b) make a different recommendation that could have been made in that report.

(6) The Registrar must give a copy of the examiners’ reports to the Delegated Authority.

Division 6.7—Outcome of thesis examination

81 Application of Division 6.7

This Division applies after:
(a) the thesis of a student enrolled in a program for a research award has been examined by the examiners; and
(b) any further examination of the thesis under Division 6.6 has been completed.

82 Recommendation by Delegated Authority following thesis examination

(1) The Delegated Authority must consider the following material:
(a) the examiners’ reports under section 75 (Examiners’ reports on thesis examination);
(b) any examiners’ reports under section 78 (Oral examination);
(c) any comments given to the Registrar under section 79 (Assessor for oral examination);
(d) any examiners’ reports under section 80 (Written examination).

(2) After considering the material mentioned in subsection (1), the Delegated Authority must make one of the following recommendations, in writing, to the Associate Dean:
(a) that the student be granted the research award;
(b) that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited with the University Library;
(c) that the student be re-examined by resubmission of thesis or that some or all of the student’s coursework during the program be re-examined (or both);
(d) that the student be failed.

(3) If the thesis is a thesis by compilation, a recommendation under subsection (2)(b) or (c) must relate only to the exegesis of the thesis or unpublished works.

(4) The Delegated Authority must recommend that the student be granted the research award if satisfied that the overall results obtained by the student during the program are satisfactory, both in relation to the examination of the student’s thesis and in relation to the examination of the student’s coursework.

(5) Subsection (4) does not prevent the Delegated Authority from recommending that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited in the University Library.

(6) If the Delegated Authority’s recommendation is that the student be failed, the recommendation must be accompanied by written reasons for the recommendation.
83 Decision of Associate Dean following thesis examination

(1) This section applies if the Delegated Authority makes a recommendation under section 82 (Recommendation by Delegated Authority following thesis examination) in relation to the student.

(2) The Associate Dean must make one of the following decisions:
   (a) that the student be granted the research award;
   (b) that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited with the University Library;
   (c) that the student be re-examined by resubmission of thesis or that some or all of the student’s coursework during the program be re-examined (or both);
   (d) that the student be failed.

(3) Subject to the outcome of any appeal under Division 7.2 (Appeals against appealable decisions), the Associate Dean’s decision is final.

[Note: A student may appeal against a decision to fail the student (see s 98).]

(4) The Registrar must, by written notice given to the student, tell the student about the decision.

[Note: Section 105 (Service of notices etc.) sets out how the notice may be given.]

(5) If the Associate Dean decides that the student be failed, the notice must include or be accompanied by:
   (a) a statement of reasons for the decision; and
   (b) a statement to the effect that, subject to this instrument, the student may appeal against the decision; and
   (c) a statement setting out the procedure for making an appeal; and
   (d) a copy of each of the following, prepared so the identity of the examiners is not disclosed to the student:
      (i) the examiner’s reports under section 75 (Examiners’ reports on thesis examination);
      (ii) any examiner’s reports under section 78 (Oral examination);
      (iii) any comments given to the Registrar under section 79 (Assessor for oral examination);
      (iv) any examiner’s reports under section 80 (Written examination).

(6) Failure to comply with subsections (4) and (5) does not affect the validity of the decision to fail the student.

84 Corrections or revisions to thesis

(1) This section applies if the Associate Dean decides that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited with the University Library.

(2) Within 12 months after the day the student is given written notice of the decision by the Registrar or any further period the Delegated Authority may, in writing, allow, the student must:
   (a) make the specified corrections or revisions to a copy of the thesis; and
(b) give the copy, as corrected or revised, to the Delegated Authority for review.

85 Re-examination by resubmission of thesis

(1) This section applies if the Associate Dean decides that the student be re-examined by resubmission of thesis.

(2) The Delegated Authority must, in writing, appoint a person to advise the student during the process of revising the student’s thesis.

(3) The student must revise the thesis, and resubmit the revised thesis for examination, within:
   (a) 12 months after the day the student is given written notice of the Associate Dean’s decision by the Registrar; or
   (b) if the Associate Dean, by written notice given to the student, fixes a shorter period—that shorter period.

(4) The Delegated Authority may, by written notice given to the student, extend (or further extend) the period for revising and resubmitting the thesis.

(5) However, any extension must not go beyond 24 months after the day the student is given written notice of the Associate Dean’s decision by the Registrar.

(6) The Associate Dean must, in writing, appoint at least 2 examiners to examine the revised thesis.

(7) An examiner may, but need not be, an examiner who examined the student’s initial thesis.

(8) Division 6.4 (Thesis examiners) applies to the appointment of an examiner under this section, and to an examiner appointed under this section, with any necessary changes.

(9) Each examiner must give the Registrar a written report on the examiner’s examination of the revised thesis.

[Note: If a form is approved under s 104 (Approved forms) for this provision, the form must be used.]

(10) The report must include one of the following recommendations:
   (a) that the student be granted the research award;
   (b) that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited with the University Library;
   (c) that the student be failed.

(11) If the thesis is a thesis by compilation, a recommendation under subsection (10)(b) must relate only to the exegesis of the thesis or unpublished works.

(12) To remove any doubt, the report may not recommend that the student be re-examined by resubmission of thesis or that some or all of the student’s coursework during the program be re-examined.

(13) The Registrar must give a copy of the examiners’ reports to the Delegated Authority.
86 Re-examination of coursework

(1) This section applies if the Associate Dean decides that some or all of the student’s coursework during the program be re-examined.

(2) Division 6.3 (Examination methods) applies to the re-examination with any necessary changes.

87 Recommendation by Delegated Authority following re-examination

(1) This section applies if the student has been re-examined by resubmission of thesis or the student’s coursework during the program has been re-examined (or both).

(2) The Delegated Authority must consider the following material:
   (a) if the student has been re-examined by resubmission of thesis—the examiners’ reports under section 85 (Re-examination by resubmission of thesis);
   (b) if the student’s coursework has been re-examined—the results of the re-examination.

(3) After considering the material mentioned in subsection (2), the Delegated Authority must make one of the following recommendations, in writing, to the Associate Dean:
   (a) that the student be granted the research award;
   (b) that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, to the copy of the thesis to be deposited with the University Library;
   (c) that the student be failed.

(4) If the thesis is a thesis by compilation, a recommendation under subsection (3)(b) must relate only to the exegesis of the thesis or unpublished works.

(5) The Delegated Authority must recommend that the student be granted the research award if satisfied that the overall results obtained by the student during the program are satisfactory, both in relation to the examination of the student’s thesis and in relation to the examination of the student’s coursework.

(6) Subsection (5) does not prevent the Delegated Authority from recommending that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, in the copy of the thesis to be deposited in the University Library.

(7) If the Delegated Authority’s recommendation is that the student be failed, the recommendation must be accompanied by written reasons for the recommendation.

88 Decision of Associate Dean following re-examination

(1) This section applies if:
   (a) the student has been re-examined by resubmission of thesis or the student’s coursework during the program has been re-examined (or both); and
   (b) the Delegated Authority makes a recommendation to the Associate Dean under section 87 (Recommendation by Delegated Authority following re-examination) in relation to the student.

(2) The Associate Dean must make one of the following decisions:
   (a) that the student be granted the research award;
(b) that the student be granted the research award subject to the student making specified corrections or revisions, to the satisfaction of the Delegated Authority, to the copy of the thesis to be deposited with the University Library;

(c) that the student be failed.

(3) Subject to the outcome of any appeal under Division 7.2 (Appeals against appealable decisions), the Associate Dean’s decision is final.

[Note: The student may appeal against a decision to fail the student (see s 98).]

(4) The Registrar must, by written notice given to the student, tell the student about the decision.

[Note: Section 105 (Service of notices etc.) sets out how the notice may be given.]

(5) If the Associate Dean decides that the student be failed, the notice must include or be accompanied by:

(a) a statement of reasons for the decision; and

(b) a statement to the effect that, subject to this instrument, the student may appeal against the decision; and

(c) a statement setting out the procedure for making an appeal; and

(d) a copy of any examiners’ reports under section 85 (Re-examination by resubmission of thesis), prepared so the identity of the examiners is not disclosed to the student.

(6) Failure to comply with subsections (4) and (5) does not affect the validity of the decision to fail the student.

89 Examination of Doctor of Philosophy thesis for Master of Philosophy

(1) This section applies if:

(a) the student is enrolled in a program for the degree of Doctor of Philosophy (the existing program); and

(b) the student submits the student’s thesis for examination for that degree; and

(c) the Associate Dean decides:

(i) that the student be re-examined by resubmission of thesis; or

(ii) that the student be failed; and

(d) the student wishes to be examined as a student in a program for the degree of Master of Philosophy (the new program).

(2) The student may apply, in writing, to the Delegated Authority for the new program for approval for the thesis to be examined for the degree of Master of Philosophy.

(3) The application must be made within:

(a) 12 months after the day the student is given written notice of the Associate Dean’s decision by the Registrar; or

(b) if the student appeals against the decision and the decision is confirmed on appeal or the decision is made on appeal that the student be re-examined by resubmission of thesis—12 months after the day the student is given written notice of the final decision on the appeal by the Registrar.

(4) Within 20 working days after the day the application is made to the Delegated Authority, the Delegated Authority must:

(a) decide the application; and
(b) by written notice given to the student, tell the student about the decision.

(5) The Delegated Authority may approve the examination of the thesis for the degree of Master of Philosophy:
(a) whether or not the student’s thesis has been revised since it was submitted for examination for the degree of Doctor of Philosophy; and
(b) whether or not the thesis exceeds the maximum length normally acceptable for a thesis for a Master of Philosophy.

(6) If the Delegated Authority approves the examination of the thesis for the degree of Master of Philosophy:
(a) the student is taken to be enrolled in the program for the degree of Master of Philosophy; and
(b) the student may submit the student’s thesis, or the thesis as revised, for examination for that degree.

(7) If the student submits the thesis for examination for the degree of Master of Philosophy, the Associate Dean must, unless the circumstances of the case are exceptional, appoint examiners who were not previously appointed to examine the student’s thesis for the degree of Doctor of Philosophy.

(8) If an examiner appointed to examine the thesis was not previously appointed to examine the student’s thesis for the degree of Doctor of Philosophy, the examiner must not be told that the thesis was previously examined for that degree.

**Division 6.8—Retention and availability of thesis**

**90 Student must provide thesis for deposit in University Library**

(1) This section applies if the Associate Dean decides that the student be granted the research award.

(2) Before the research award is conferred, the student must provide the following to the Registrar for deposit in the University Library:
(a) 1 copy of the student’s thesis, as finally corrected, revised and reviewed, in the format in which the thesis was submitted for examination;
(b) 1 digital copy of the thesis, as finally corrected, revised and reviewed, so far as the thesis was submitted in paper format.

(3) Any paper copy must be hard-bound.

(4) The provision of copies (or a 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.

(5) However, subsection (4)(a) is subject to any direction of the Deputy Vice-Chancellor under section 61 (Request for non-disclosure of thesis) prohibiting the University Library from disclosing the thesis, or a specified part of it, to anyone for a specified period.

**91 Thesis of student not granted research award**

(1) This section applies if the student submits the student’s thesis for examination, but the Associate Dean does not decide that the student be granted the award.
(2) The Registrar must keep a copy of the thesis.

(3) After considering any University intellectual property and open access policies, and with the Delegated Authority’s agreement and the student’s permission, the Deputy Vice-Chancellor may make the thesis available for private study and research in any format.
Part 7—Reviews and appeals

Division 7.1—Reviews of reviewable decisions

92 What is a reviewable decision?

Each of the following decisions is a reviewable decision:

(a) a decision under section 17 (Decision on application for admission) not to admit a person to a program for a research award;
(b) a decision under section 24 (Granting credit) not to grant credit to a student;
(c) a decision under section 34(2) (Place where program must be undertaken) not to approve a student undertaking all or part of a program outside the University;
(d) a decision under section 35 (Revocation of approval to undertake program outside University) to revoke an approval under section 34(2);
(e) a decision under section 36(3) (Total minimum period of attendance at University campus during program) not to reduce the minimum period a student must attend a campus of the University during a year;
(f) a decision under section 37(3) (Minimum period of attendance at University campus during a year) not to vary the period a student must attend a campus of the University;
(g) a decision under section 38 (Program leave of absence) not to grant leave of absence to a student;
(h) a decision under section 39 (Program extension) not to grant an extension of the maximum enrolment period applying to a student;
(i) a decision under section 41 (Other studies) not to approve a student undertaking other studies;
(j) a decision determining a particular period under section 44(1)(e) or (2)(e) (Maximum period for completion: basic maximum period);
(k) a decision under section 45 (Maximum period for completion of program: reduction of maximum period) to reduce the maximum period for completion of a student’s program.

93 Who is the person affected by a reviewable decision?

The person affected by a reviewable decision is:

(a) for a decision not to admit a person to a program for a research award—the applicant for admission; and
(b) for any other decision—the student affected by the decision.

94 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 Registrar within:
(i) 20 working days after the day the person is given written notice of, and any statement of reasons required to be given for, the decision; or
(ii) if the Registrar 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 research 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.

95 Review by Associate Dean

(1) This section applies if the person affected by a reviewable decision applies under section 94 (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) 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 (if any) of the Associate Dean; and
      (ii) to make a new decision; or
   (c) set aside the reviewable decision and substitute a decision that the Delegated Authority 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 to the Deputy Vice-Chancellor under section 96 (Application for procedural review by Deputy Vice-Chancellor), the decision of the Associate Dean is final.

(8) This section is subject to section 20 (False or misleading statements in applications for admission etc.).
96 Application for procedural review by Deputy Vice-Chancellor

(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 to the Deputy Vice-Chancellor for review of the Associate Dean's decision, 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 Associate Dean's decision; or
      (ii) if the Registrar extends the period in the special circumstances of the case—the extended period.

97 Procedural review by Deputy Vice-Chancellor

(1) This section applies if a person applies under section 96 (Application for procedural review by Deputy Vice-Chancellor) for review of the decision of the Associate Dean.

(2) The Deputy Vice-Chancellor 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 Deputy Vice-Chancellor considers appropriate.

(3) The Deputy Vice-Chancellor must:
   (a) confirm the Associate Dean's decision; or
   (b) set aside the Associate Dean's decision, and either confirm the original reviewable decision of the Delegated Authority or refer the matter to the Delegated Authority:
      (i) to further consider the decision, taking into account the directions (if any) of the Deputy Vice-Chancellor; and
      (ii) to make a new decision; or
   (c) set aside the Associate Dean's decision and substitute another decision that the Delegated Authority could have made.

(4) The Deputy Vice-Chancellor must endeavour to make a decision on the review within 20 working days after the day the application for review is made.

(5) If the Deputy Vice-Chancellor is unable make a decision on the review within the 20-day period mentioned in subsection (4), the Deputy Vice-Chancellor must tell the applicant for review and give the applicant for review a date by which the decision will be reviewed.

(6) Within 7 working days after the day the Deputy Vice-Chancellor makes a decision on the review, the Deputy Vice-Chancellor 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.

(7) The Deputy Vice-Chancellor’s decision is final.

Division 7.2—Appeals against appealable decisions

98 What is an appealable decision?

Each of the following decisions is an appealable decision:
(a) a decision under section 46 (Maximum period for completion of program: extension of maximum period) not to grant an extension of the maximum period for completion of a student’s program;
(b) a decision under section 48 (Termination of program) to terminate a student’s enrolment;
(c) a decision under section 83 (Decision of Associate Dean following thesis examination) or section 88 (Decision of Associate Dean following re-examination) to fail a student.

99 Who is the person affected by an appealable decision?

The person affected by an appealable decision is the student affected by the decision.

100 Appeal against appealable decision

(1) The person affected by an appealable decision may appeal against the decision.

(2) The appeal must:
(a) be in writing; and
(b) set out the grounds of the appeal; and
(c) include, or be accompanied by, any evidence in support of the grounds; 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.

(3) If:
(a) the person appeals against the decision; and
(b) immediately before the decision was made, the person was enrolled in a program for a research award; and
(c) the appealable decision affected the person’s right to remain enrolled in the program;
the person is entitled to be enrolled in the program until the appeal is finally decided.

101 Appeal: hearing and decision

(1) This section applies if the person affected by an appealable decision appeals against the decision under section 100 (Appeal against appealable decision).
(2) The Registrar must, after consulting the Associate Dean and in writing, appoint impartial members of the full-time academic staff of the University to form an Appeal Committee to hear and decide the appeal.

(3) The members of the Appeal Committee must choose a member of the committee to be its chair.

(4) The Appeal Committee may conduct the inquiries, and have regard to anything, on any matter in relation to the appeal that it considers appropriate.

(5) However, before deciding the appeal, the Appeal Committee must give the person affected by the appealable decision an opportunity to make representations to the committee.

(6) The Appeal Committee may permit the person to make either oral or written representations (or both).

(7) If the person is permitted to make oral representations, the person may be accompanied by a student, or member of the staff, of the University who may observe the proceedings but not act as an advocate unless expressly invited by the Appeal Committee.

(8) If the appealable decision is a decision not to grant an extension of the maximum period for completion of the person’s program, the Appeal Committee must:
   (a) confirm the decision appealed against (the appealable decision); or
   (b) set aside the appealable decision and refer the matter to the Associate Dean:
      (i) to further consider the decision, taking into account the directions (if any) of the Appeal Committee; and
      (ii) to make a new decision; or
   (c) set aside the appealable decision and substitute a decision the Associate Dean could have made.

(9) If the appealable decision is a decision to terminate the person’s enrolment in a program for a research award, the Appeal Committee must:
   (a) confirm the decision appealed against; or
   (b) set aside the decision and require that the person be permitted to continue to be enrolled in the program, subject to the conditions decided by the Appeal Committee after consultation with the Associate Dean (including conditions about the duration of the program).

(10) If the appealable decision is a decision that the person be failed in a program for a research award, the Appeal Committee must:
    (a) confirm the decision appealed against; or
    (b) set aside the decision, require that the person be re-examined in a stated way and give written directions about how the re-examination is to be conducted.

(11) Within 7 working days after the day the Appeal Committee makes a decision on the appeal, the Registrar must:
    (a) by written notice given to the person, tell the person about the decision made on the appeal; and
    (b) give the person a statement of reasons for the decision.
(12) Subject to the outcome of any appeal made to the Deputy Vice-Chancellor under section 102 (Application for procedural appeal to Deputy Vice-Chancellor), the decision of the Appeal Committee is final.

102 Application for procedural appeal to Deputy Vice-Chancellor

(1) This section applies if a person who appeals against an appealable decision is dissatisfied with the decision of the Appeal Committee because procedures that were required to be observed by this instrument in connection with the appeal were not observed.

(2) The person may appeal to the Deputy Vice-Chancellor against the Appeal Committee’s decision, but only on the ground that procedures that were required to be observed by this instrument in connection with the appeal were not observed.

(3) The appeal must:
   (a) be in writing; and
   (b) state clearly the procedures required by this instrument that were not observed in connection with the appeal; and
   (c) include, or be accompanied by, any evidence in support of the appeal; 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 Appeal Committee’s decision; or
      (ii) if the Registrar extends the period in the special circumstances of the case—the extended period.

103 Procedural appeal to Deputy Vice-Chancellor

(1) This section applies if a person appeals under section 102 (Application for procedural appeal to Deputy Vice-Chancellor) against the decision of the Appeal Committee.

(2) The Deputy Vice-Chancellor may conduct the inquiries, and have regard to anything, on any matter in relation to the appeal that the Deputy Vice-Chancellor considers appropriate.

(3) The Deputy Vice-Chancellor must:
   (a) confirm the Appeal Committee’s decision (the appeal decision); or
   (b) set aside the appeal decision, and either confirm the original appealable decision of the Associate Dean or refer the matter to the Associate Dean:
      (i) to further consider that decision, taking into account the directions (if any) of the Deputy Vice-Chancellor; and
      (ii) to make a new decision; or
   (c) set aside the appeal decision and substitute another decision that the Associate Dean could have made.

(4) The Deputy Vice-Chancellor must endeavour to make a decision on the appeal within 20 working days after the day the appeal is made.

(5) If the Deputy Vice-Chancellor is unable make a decision on the appeal within the 20-day period mentioned in subsection (4), the Deputy Vice-Chancellor must tell the appellant and give the appellant a date by which the appeal will be decided.

(6) Within 7 working days after the day the Deputy Vice-Chancellor makes a decision on the appeal, the Deputy Vice-Chancellor must:
(a) by written notice given to the appellant, tell the appellant about the decision made on the procedural appeal; and
(b) give the appellant a statement of reasons for the decision.

(7) The Deputy Vice-Chancellor’s decision is final.
Part 8—Miscellaneous

104 Approved forms

(1) The Registrar may, in writing, approve forms for this instrument.

(2) If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3) The Registrar must ensure that approved forms are publicly available on the University’s website or any other way that the Registrar considers appropriate.

105 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 is a student at the University—an email address provided by the University to the individual; or
      (ii) if the individual is not a student at the University—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.

106 Appointment etc. of Delegated Authorities

(1) The Associate Dean for an ANU College may, in writing, appoint a member of the staff of the college to be a Delegated Authority for a program offered by the college for a research award.

(2) However, if a Delegated Authority for the program becomes the primary supervisor of a student enrolled in the program or chair of the student’s supervisory panel, the person ceases to be a Delegated Authority for the program in relation to that student and the Associate Dean must ensure that another member of staff of the college is available to be the Delegated Authority for the program in relation to that student.

107 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.

108 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.

109 Power to make orders

The Deputy Vice-Chancellor may make orders about matters mentioned in this instrument.
Part 9—Repeal and transitional

110 Repeal etc.

(1) The Research Awards Rules (No.2) 2013 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Research Awards 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.

111 Commencement of existing programs

(1) This section applies to a program of a student for a research award that commenced, but had not ended, before the commencement of this instrument.

(2) To remove any doubt, the program commenced on the day the student enrolled in the program, even though that day was before the commencement of this instrument.

112 Maximum period for completion: transitional

(1) This section applies to a student enrolled in a program for a research award if the program commenced, but had not ended, before the commencement of this instrument.

(2) Section 44 (Maximum period for completion: basic maximum period) and section 47 (Ending of program at end of maximum period for completion) do not apply in relation to the student before 1 January 2019.

(3) For section 47, if, apart from this section, the maximum period for completion of the program by the student would end before 1 January 2019, it ends on that date.

(4) To remove any doubt, this section does not prevent the maximum period for completion of the program from being reduced under section 45 (Maximum period for completion of program: reduction of maximum period) or extended under section 46 (Maximum period for completion of program: extension of maximum period) (or both reduced and extended under those sections).

(5) Also, to remove any doubt, this section is subject to any modification in force under section 113.

113 Transitional modifications on student application

(1) This section applies to a student enrolled in a program for a research award if:

   (a) the program commenced, but had not ended, before the commencement of this instrument; and

   (b) a requirement of this instrument applying to the student (the current requirement) is different from the corresponding requirement applying to the student under Research Awards Rules (No. 2) 2013 (the repealed instrument) or there was no corresponding requirement applying to the student under the repealed instrument; and

   (c) the student considers that the application of the current requirement to the student is unfair or unreasonable.
(2) 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.

(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.

(4) The Delegated Authority may grant the modification sought if satisfied that the application of the current requirement to the student is unfair or unreasonable.

(5) 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.

(6) For this instrument, a decision to refuse to give the modification sought by the student is a reviewable decision.

(7) This instrument applies to the student subject to any modification in force under this section in relation to the student.

114 Advisers

(1) This section applies if, immediately before the commencement of this instrument, a person was an adviser of a student under the Research Awards Rules (No.2) 2013.

(2) The person’s appointment as adviser continues under this instrument as if the person had, on the commencement of this instrument, been appointed, in writing, by the Delegated Authority under this section as an adviser of the student.

(3) The function of adviser continues to be to advise the student, at the request of the student, on any matter relating to the student’s program.

(4) The adviser also continues to be a member of the student’s supervisory panel.

(5) For section 50(2) and (3) (Supervisory panel and supervisors), the adviser is taken to be an associate supervisor of the student.
THE AUSTRALIAN NATIONAL UNIVERSITY

APPEALS RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

Professor Ian Young AO
VICE-CHANCELLOR

TABLE OF CONTENTS

PART 1 PRELIMINARY
1 Name, commencement and authority 2
2 Definitions 2

PART 2 REVIEWABLE DECISIONS
3 Meaning of reviewable decision 3
4 Discipline decision 3
5 Academic misconduct decision 3

PART 3 GROUNDS FOR REVIEW
6 Grounds for review 3

PART 4 APPLICATION FOR REVIEW
7 Affected person may lodge an application for review 3

PART 5 CONSEQUENCES OF LODGING AN APPEAL
8 Appeal by a student whose enrolment has been terminated 4
9 Appeal by a student who has been excluded or denied access 4

PART 6 PRELIMINARY CONSIDERATION OF APPLICATIONS
10 Rejection of invalid applications 4
11 Referral of application to Appeals Committee 4
12 Interim measures may be taken by Vice-Chancellor 4

PART 7 APPOINTMENT OF APPEALS COMMITTEE
13 Appeals Panel 5
14 Appeals Committee 5

PART 8 CONSIDERATION BY APPEALS COMMITTEE
15 Additional material 6
PART 1 PRELIMINARY

1 Name, commencement and authority
   (1) This is the Appeals Rule 2015.
   (2) This instrument commences on the day after it is registered.
   (3) This instrument is made under section 3 of the Appeals Statute 2014.

2 Definitions
   In this instrument:

   Academic Board means the Board established under the Academic Board Statute.
   academic misconduct decision has the meaning given to it in section 5.
   appeal means a review under this instrument.
   Appeals Committee means a committee constituted under section 14.
   discipline decision has the meaning given to it in section 4.
   exercise a function includes perform the function.
   function includes duty and power.
   reviewable decision has the meaning given to it in section 3.
   Secretary means the person appointed as Secretary under section 14(5).

   student:
   (a) means any person who is or was enrolled in, or seeking enrolment in, a program or a course offered by the University, or who is or has been given permission by the University to audit a course offered by the University; and
   (b) in Part 8, includes a person who is the applicant in relation to an appeal.
**PART 2 REVIEWABLE DECISIONS**

3 **Meaning of reviewable decision**

A decision is a reviewable decision under this instrument if it is:

(a) a discipline decision; or
(b) an academic misconduct decision.

4 **Discipline decision**

A decision is a discipline decision if it is specified to be a reviewable decision in the Discipline Rule.

5 **Academic misconduct decision**

A decision is an academic misconduct decision if it specified to be a reviewable decision in the Academic Misconduct Rule.

**PART 3 GROUNDS FOR REVIEW**

6 **Grounds for review**

(1) An application for review must be on one or more of the following grounds:

(a) that a procedural irregularity occurred which may have affected the decision-maker's decision;
(b) that the decision-maker was biased;
(c) that the decision was manifestly wrong;
(d) that the decision was made in a mistaken application of the applicable rules;
(e) that there is substantial relevant evidence that:
   (i) was not taken into consideration by the decision-maker; and
   (ii) could not have been known to the person and provided to the decision-maker before the decision was made;
(f) that a penalty imposed on the person was manifestly excessive.

(2) If an application includes the ground referred to in subsection (1)(f), the penalty is to be considered to form part of the decision for the purposes of this instrument.

**PART 4 APPLICATION FOR REVIEW**

7 **Affected person may lodge an application for review**

(1) A person may lodge an application for review of a decision if:

(a) the decision was a reviewable decision affecting the person in the person's capacity as a student; and
(b) subject to subsection (3), the application is made within 20 working days after the person was notified of the decision.

*working day* means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.
(2) An application must:
   (a) specify the grounds on which the applicant relies; and
   (b) be lodged with the Registrar.

(3) An application for review may be made later than is allowed by subsection (1)(b) if the
time limit has been extended under section 27.

PART 5 CONSEQUENCES OF LODGING AN APPEAL

8 Appeal by a student whose enrolment has been suspended
   The termination of a student's enrolment does not take effect until any application for
   review in respect of the relevant decision or penalty has been concluded.

9 Appeal by a student who has been excluded or denied access
   The exclusion of a student, or denial of access to facilities or premises or activities of the
   University under the Academic Misconduct Rule or the Discipline Rule, continues to have
   effect notwithstanding that an application for review of the relevant decision or penalty is
   lodged.

PART 6 PRELIMINARY CONSIDERATION OF APPLICATIONS

10 Rejection of invalid applications
   (1) The Registrar may reject an application for review if it appears that:
       (a) the application does not relate to a reviewable decision; or
       (b) the application does not set out one or more grounds specified in this
           instrument; or
       (c) the application has not been made within the time required by this instrument,
           and the Registrar has not decided to extend time under section 27.

   (2) The Registrar must not reject an application under this section unless the Registrar
       has provided the person with the opportunity to make a submission in writing in relation
       to the proposed decision.

   (3) If the Registrar rejects an application under this section, the Registrar must, as soon
       as is practical, provide notification of that determination, with reasons to:
       (a) the applicant; and
       (b) the relevant decision-maker.

11 Referral of application to Appeals Committee
   Subject to section 10, the Registrar must, if the Registrar determines that a decision is a
   reviewable decision, refer the application for review to the Appeals Committee.

12 Interim measures may be taken by Vice Chancellor
   If an application for review is made by a student whose candidature or enrolment in a
   program of study or course has been terminated by reason of the decision which is the
   subject of the appeal, the Vice-Chancellor may direct that the student be permitted to
   continue to undertake that program of study or course pending the determination of the
   appeal.
PART 7  APPOINTMENT OF APPEALS COMMITTEE

13 Appeals Panel

(1) There is to be an Appeals Panel appointed by the Academic Board.

(2) The Appeals Panel is to be comprised of not fewer than two persons in each of the following categories:
   (a) persons appointed after consultation with the President of the Australian National University Students’ Association Inc.;
   (b) persons appointed after consultation with the President of the Australian National University Postgraduate and Research Students’ Association Inc.;
   (c) persons who have knowledge or experience of the teaching, research or visual and performing arts functions of the University.

(3) Subject to subsection (4), a member of the Appeals Panel:
   (a) holds the position for 2 years and is eligible for reappointment; but
   (b) may resign at any time by writing to the Registrar.

(4) If a student who has been appointed under subsection (2)(a) or (b) ceases to be a student, the person ceases to be a member of the Appeals Panel.

14 Appeals Committee

(1) The Registrar must appoint an Appeals Committee if an application for review has been received (unless the application has been rejected by the Registrar under section 10).

(2) An Appeals Committee must include at least 4 members of the Appeals Panel, including:
   (a) one student member from the appropriate category; and
   (b) three members appointed to the Appeals Panel under section 13(2)(c).

(3) A person appointed to an Appeals Committee must not be the original decision-maker.

(4) The Registrar must appoint a person, not being a student, to be the Chair of an Appeals Committee.

(5) The Registrar must appoint a person (not being a member of the Appeals Committee) to be the Secretary to the Appeals Committee.

(6) The Registrar may appoint a person (not being a member of the Appeals Committee) to assist the Appeals Committee in the hearing of an appeal.

(7) An Appeals Committee appointed to consider an application relating to an academic misconduct decision must include a person from the relevant academic discipline or, where this is not possible, a related academic discipline.

(8) The quorum for a meeting of an Appeals Committee (including a hearing) is 3 members, including the Chair.
PART 8  CONSIDERATION BY APPEALS COMMITTEE

15 Additional material

(1) If material is made available to the Appeals Committee which was not before the decision-maker, the Appeals Committee may assess the additional material provided in a summary way on the papers without conducting a hearing.

(2) If, on review of the material, the Appeals Committee considers the information to be cogent, relevant or substantial, it may refer the decision back to the original decision-maker to remake the decision.

(3) A decision remade following reference back under this section:
   (a) stands in place of the original decision; and
   (b) may be the subject of an application under this instrument.

16 Material to be provided to student

The Secretary to an Appeals Committee must provide the student with a copy of the substantive material upon which the Appeals Committee intends to rely not less than 5 working days before the day on which the appeal is to be heard.

17 Notification of hearing

(1) Before the Appeals Committee hears an appeal and, if the student so wishes, the student may advise the President of the relevant Students' Association of the hearing.

(2) The Appeals Committee must:
   (a) fix a date, time and place for the hearing of an appeal; and
   (b) give not less than 5 working days notice of the hearing to the student.

18 Decision whether to conduct an oral hearing

(1) An appeal may be determined with or without an oral hearing.

(2) In deciding whether an appeal is to be determined with or without an oral hearing, an Appeals Committee may take into consideration:
   (a) whether the parties are able to participate in an oral hearing within a reasonable time; and
   (b) whether an oral hearing would unnecessarily subject a party or a witness to stress; and
   (c) any other relevant factor.

(3) The Chair of an Appeals Committee must decide how the appeal is to be conducted.

19 Appeals relating only to penalty

At an appeal in relation to penalty, the Appeals Committee must consider only the question of penalty.

20 Hearing procedure

(1) At the hearing of an appeal:
(a) the procedure to be followed is at the discretion of the Appeals Committee; and
(b) the Appeals Committee:
   (i) may inform itself on any matter in relation to an appeal in any manner it thinks appropriate; and
   (ii) is bound by the rules of procedural fairness but is not bound by rules of evidence; and
   (iii) must take into consideration any submission made by the student or the Registrar.

(2) The hearing of evidence by the Appeals Committee may be adjourned from time to time and from place to place.

(3) Unless the Appeals Committee otherwise directs, a person is not entitled to be present at the hearing of an appeal unless the person is:
   (a) a member of the Appeals Committee; or
   (b) the student or the person nominated by the student under section 21(2); or
   (c) the Secretary to the Appeals Committee; or
   (d) a person giving evidence before the Appeals Committee; or
   (e) a person appointed under section 14 in relation to the Appeals Committee.

(4) An appeal hearing under this instrument is not ineffective by reason only of a formal defect or irregularity in the convening or conduct of the Appeals Committee.

21 Student's rights on appeal

(1) At the hearing of an appeal before the Appeals Committee, a student may:
   (a) appear in person; and
   (b) call and question witnesses; and
   (c) make oral or written statements.

(2) At the hearing of an appeal, the student may be accompanied by another person nominated by the student who may:
   (a) observe the proceedings; and
   (b) with the express approval of the Appeals Committee, act as an advocate for the student.

22 Non-appearance before Appeals Committee

(1) This section applies to an appeal by a student where the student:
   (a) does not appear in person at the hearing of the appeal; and
   (b) is not otherwise represented at the hearing of the appeal; and
   (c) does not make a written statement under section 21(1)(c).

(2) If this section applies to an application, the original decision of the decision-maker takes effect immediately after the conclusion of the hearing.

23 Decision by the Appeals Committee

(1) After considering an appeal, the Appeals Committee may:
   (a) affirm the decision of the decision-maker; or
   (b) vary the decision; or
(c) set aside the decision and make a fresh decision in substitution for the decision set aside; or
(d) set aside the decision.

(2) When making a decision the Appeals Committee may:
(a) accept an undertaking from the student; or
(b) include recommendations arising from the consideration of the appeal, including recommendations for:
   (i) counselling; or
   (ii) intervention; or
   (iii) corrective or other measures that should be taken.

(3) If the Appeals Committee varies a decision under subsection (1)(b) or substitutes a fresh decision under subsection (1)(c), the decision so varied or substituted must be a decision that the original decision-maker could have made.

(4) The decision of the Appeals Committee and the reasons for the decision must be given in writing to the student and the Registrar by the Secretary to the Appeals Committee within 10 working days after the decision.

24 Student undertakings

If the Appeals Committee accepts a student's undertaking under section 23(2)(a):
(a) the Appeals Committee must ensure that a written copy of the undertaking is provided to the student and the Registrar; and
(b) if the student fails to comply with the undertaking, an Appeals Committee may exercise any power conferred by section 23(1), taking into account (where appropriate) the failure to comply with the undertaking and the reasons for that failure.

25 Decision final

The decision of an Appeals Committee is final.

PART 9 MISCELLANEOUS

26 Nominees for Vice-Chancellor and Registrar

(1) A University official may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the official's functions under this instrument (other than this section).

(2) A function exercised by the nominee under the appointment is taken to have been exercised by the University official.

(3) This section does not prevent the University official from exercising a function in relation which the nominee has been appointed.

(4) In this section:

University official means:
(a) the Vice-Chancellor; or
(b) the Registrar.
27 Extension of time

(1) The Registrar may extend a time limit under this instrument.

(2) In deciding whether to extend a time limit, the Registrar must take into consideration:
   (a) the reason why an extension is sought; and
   (b) the period of extension; and
   (c) the prejudice, if any, which will be caused by the granting of the extension.

(3) An extension must be for no longer than is reasonably necessary.

(4) The power to extend a time limit may be exercised notwithstanding that the time limit has expired.

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 is a student at the University—an email address provided by the University to the individual; or
      (ii) if the individual is not a student at the University—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.

29 Repeal etc.

(1) The Appeals Rules 2014 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Appeals 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.

30 Transitional

(1) To remove any doubt, this instrument applies to a decision taken, or a proceeding commenced but not concluded, before the commencement of this section.

(2) This section is additional to, and does not limit, the following provisions:
   (a) section 7 of the Acts Interpretation Act 1901;
   (b) section 7 of the Interpretation Statute.
THE AUSTRALIAN NATIONAL UNIVERSITY

ASSESSMENT RULE 2015

1, Professor Ian Young AO, Vice- Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

[Signature]
Professor Ian Young AO
VICE-CHANCELLOR

1 Name, commencement and authority

(1) This is the Assessment Rule 2015.

(2) This instrument commences on 1 January 2016.

(3) This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

2 Application

This instrument applies in relation to all undergraduate and graduate coursework programs.

3 Definitions

In this instrument:

assessmen; in relation to a course, includes any task that is required to be performed by a student for a judgement to be made of the student's level of performance in that course.

deferred examination; for a student in relation to a course, means an examination the student is permitted to take under subsection 11(1).

Delegated Authority; means a person appointed under section 4.

examination; in relation to a course, includes any task that is required to be performed by a student for the assessment of the student's performance in that course.

exercise; a function includes perform the function.

final assessment; for a course, means the final task for the course described in section 5 that must be performed by a student for the satisfactory completion of the course.

function; includes duty and power.

further assessment; means an assessment required by a Chair of Examiners for a course under section 9(3).
hurdle assessment, for a course, means an assessment task that tests competency, skills or knowledge considered to be fundamental to passing the course or is required by a discipline-specific or other accreditation authority.

special assessment, for a student in relation to a course, means an assessment the student is permitted to take under section 12(6).

special assessment arrangements, for a student in relation to an assessment for a course, are arrangements approved under section 8 for the student.

student means a person undertaking all or part of a program and who is eligible to undertake, or is undertaking, an assessment.

supplementary assessment, in relation to a course, includes, but is not limited to, assessment by a formal assessment, a practical assessment, a take-home assessment and an essay.

4 Appointments

An Associate Dean for an ANU College may appoint a member of the staff of the ANU College to be a Delegated Authority for the purposes of this instrument in relation to a course offered by the ANU College.

5 Final assessment

For the definition of final assessment in section 3, the final assessment for a course is to be in the form of a compulsory examination where the student is required to sit the whole of the examination on a particular day commencing at a particular time, or any other form of assessment, including, but not limited to practical examinations, take-home examinations and essays representing the final task for the course.

6 Eligibility to be assessed

A student is eligible to be assessed for a course if the person is enrolled in the course and complies with the requirements of the rules and orders applicable to taking that course.

7 Manner, time and place of assessment

(1) Notice of the manner, time and place of final assessments to be conducted during University assessment sessions at the end of semester (including session) or trimester:

(a) for assessments to be administered by the Registrar—must be published on the University's timetable website by the Registrar not less than 3 weeks before the commencement of the assessment session; and

(b) for assessments to be administered by the ANU College offering the course—must be displayed by the Delegated Authority not less than 3 weeks before the commencement of the assessment session in at least one of the following ways:

(i) on a notice board used for the purpose in the ANU College by which the course is offered;

(ii) to students enrolled in the course in class;

(iii) if possible, on the website for the course.

(2) A failure to comply with subsection (1) is not to be taken to affect the validity of an assessment or of anything done in relation to an assessment under this instrument.

(3) In this section, a reference to a notice board is to be read as a reference to a notice board that is commonly used for displaying notices to students, including an electronic notice board or an appropriate part of the University's website.
8 Special assessment arrangements

(1) A student with a temporary or chronic disability who has dealt with the University's Disability Services Centre in relation to his or her disability may ask the Centre to determine special assessment arrangements for the student for an assessment, including, but not limited to, additional reading or writing time, the provision of special equipment, separate accommodation or the services of an amanuensis.

(2) Special assessment arrangements for a student referred to in subsection (1) must be approved by the Registrar.

(3) Details of special assessment arrangements are to be sent by the Registrar to the Delegated Authority who may request changes to the arrangements.

(4) The Registrar is to ensure that the Chair of Examiners for a course is informed of the arrangements.

(5) A student with a temporary or chronic disability or other condition to whom subsection (1) does not apply may ask the Delegated Authority to approve special assessment arrangements in relation to the student.

(6) The Delegated Authority may approve special assessment arrangements requested under subsection (5).

(7) The assessments referred to in subsection (2) or (5) are to be conducted in accordance with the arrangements set out in subsection (1).

9 Examiners

(1) The Delegated Authority must, at the commencement of the semester (including a session) or trimester in which the course is offered, appoint a Chair of Examiners and at least 1 other examiner, for the course.

(2) The Chair of Examiners for a course must:

   (a) ensure that the academic performance of each student attempting the course is adequately and fairly assessed; and

   (b) ensure that no student is failed in the course unless the student's performance in assessments in the course has been reviewed by at least 2 of the examiners appointed in relation to the course; and

   (c) submit to the examiners' meeting for the course a written report setting out, for each student examined, the marks and the grade of result that the examiners recommend be awarded to that student.

(3) Before submitting recommendations under paragraph (2)(c), the Chair of Examiners may require a student to take a further assessment to ensure that the academic performance of the student in that course is adequately and fairly assessed, and any such assessment may be oral, written or practical.

(4) The Delegated Authority must ensure that meetings of examiners are held to consider reports on marks, grades of results and further assessments required by the Chair of Examiners, and to moderate results.

(5) The Chair of Examiners must, before submitting recommendations to the examiners' meeting for a course:

   (a) permit full-time members of the staff who participated in the teaching of the course to examine and comment on the recommendations; and

   (b) take into account any matters put to the Chair by those members.

(6) The Chair of Examiners must make final marks and a grade of result recommended for award to each student for a course available to the Delegated Authority, for approval by the Delegated Authority.
(7) The Delegated Authority may approve, for a student for the course:
(a) the marks and the grade of result recommended or amended by the Chair of Examiners; or
(b) in exceptional circumstances, marks and a grade of result that are different from the marks and the grade of result recommended or amended by the Chair of Examiners.

(8) After the Delegated Authority has approved the results for a course for release, the Delegated Authority must send the results to the Registrar.

(9) The Registrar must cause the results in a course to be published.

(10) To avoid doubt, for the purposes of subsection (9), published includes published electronically in an appropriate part of the University's website, including a part of the website accessible only to a student whose results are so published.

10 Review of decisions

(1) If, after the final result of a student for a course 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 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 course.

(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. The Course Convenor must notify the student of the decision made on the review.

(3) If, after discussing the final result with the Course Convenor and being notified of 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.

(4) 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 notified of the Course Convenor's decision (or any further time that the Associate Dean may 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.

(5) 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, but not limited to, recommended outcomes sought from other parties.

(6) 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).
(7) Written notice of the decision of the Associate Dean and the reasons for the decision must be sent by the Associate Dean to the student within 20 working days after the day the appeal is given to the College Student Office.

(8) The Associate Dean must also send the results to the Registrar.

(9) Subject to subsection (10), the decision of the Associate Dean is final.

(10) An appeal against the decision of the Associate Dean may be made by the student to the College Dean:

(a) on procedural grounds only; and

(b) within 20 working days after the day the student is given written notice of the Associate Dean’s decision and the reasons for the decision.

(11) The decision of the College Dean following an appeal under subsection (10) 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.

(12) Except with the approval of the Delegated Authority, a student awaiting the outcome of a review of, or an appeal against a decision relating to, marks and grade of result in a course may not enrol in another course for which the subject course is a prerequisite until the student is awarded a passing result in the course.

(13) However, if the student is already enrolled, the student is entitled to remain enrolled pending the outcome of any review or appeal under this section.

(14) 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.

(15) A function exercised by the nominee under the appointment is taken to have been exercised by the Associate Dean.

(16) Subsections (14) and (15) do not prevent the Associate Dean from exercising a function in relation which the nominee has been appointed.

11 Deferred examinations

(1) The Delegated Authority or Registrar may permit a student who was eligible to take an examination in a course but was unable to attend the examination to take such deferred examination as the Delegated Authority or Registrar determines.

(2) A student seeking permission to take a deferred examination must lodge an application with the Registrar not later than 3 working days after the time fixed for the completion of the examination that the student failed to attend, or within such further time as the Delegated Authority or Registrar allows.

(3) An application under subsection (2) is to be accompanied by a statement in writing setting out the circumstances that prevented the student from attending the examination and by such evidence as is available to the student in support of that statement.

12 Special consideration etc.

(1) A student who considers that his or her academic performance in respect of a course has been adversely affected by illness or other cause during the period of studies to which an assessment relates, may furnish a statement of the circumstances in writing to the Delegated Authority in the ANU College offering the course, together with any medical or other evidence, before the assessment is held.

Invigilated examinations

(2) If, during an examination the conduct of which is under the supervision of invigilators:
(a) a student notifies an invigilator that the student considers that the student’s performance in the examination has been adversely affected by illness or other cause in the course of the examination; or

(b) another person present at the examination notifies an invigilator that it appears that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination; or

(c) it otherwise appears to an invigilator that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination;

the invigilator must, as soon as possible after the completion of the examination, so inform the Delegated Authority in writing.

Other assessment tasks

(3) If a student considers that the student’s performance in an assessment other than an assessment of the kind referred to in subsection (2) has been adversely affected by illness or other cause during the assessment, the student may, before the conclusion of the assessment, so notify the Delegated Authority.

(4) Upon receiving a notification under subsection (1), (2) or (3), the Delegated Authority must report accordingly to the examiners.

(5) The examiners must take the report into account in making their assessment of the performance of the student in the course.

(6) The Delegated Authority may permit a student to whom this section applies to undertake further assessment in the course.

13 Eligibility for supplementary assessment

(1) A student must be offered supplementary assessment for a course if the student achieves a final result for a course of N45%-N49%.

[Note 1: This includes ungraded (CRS) courses.]

[Note 2: For subsection (1), the student must have achieved a result of N45%-N49%, not NCN.]

(2) A student must be offered a supplementary assessment for a course if the student fails the course because of a requirement that a pass in a hurdle assessment is necessary to achieve a pass in the course and the student achieves a final result for the course of not less than N45%.

[Note: For subsection (2), the student must have achieved a result of N45% or above, not NCN.]

14 Offer of supplementary assessment

(1) If a student is eligible for a supplementary assessment for a course, the student’s Notification of Results must show an interim result of PX for the course.

(2) If a student is notified of an interim result of PX for a course, the notification constitutes an offer by the Delegated Authority of a supplementary assessment for the course.

(3) However, subsection (2) does not prevent the Delegated Authority from offering a supplementary assessment in writing or in any other way.

(4) If a student is offered a supplementary assessment for a course (other than a course offered by the ANU Medical School), the student must accept or reject the offer by written notice given to the Delegated Authority for the course within 7 working days after the day the offer is made to the student.
(5) To avoid doubt, if a student is offered a supplementary assessment for a course offered by the ANU Medical School, it is not necessary for the student to formally accept or reject the offer.

[Note: See subsection 15(4) for when a supplementary assessment for a course offered by the ANU Medical School may be set.]

(6) A student who fails a course following supplementary assessment may be eligible to be offered supplementary assessment in another attempt at the same course.

15 Supplementary assessment

(1) The Delegated Authority must determine the form a supplementary assessment is to take.

(2) The Delegated Authority must give adequate notice to the student of the form, time and place of the supplementary assessment.

(3) Notice may, but is not required to be, given to the student in writing sent to the student’s most current address notified to the Registrar.

(4) To avoid doubt, a supplementary assessment of a student for a course 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 course.

(5) If a student passes a supplementary assessment, the student is regarded as having passed the course concerned with a result of 50PS.

(6) Except with the approval of the Delegated Authority, a supplementary assessment must be held before the end of the first week of the semester (including session) or trimester next following that to which the assessment relates.

(7) If a student fails the supplementary assessment, the student is regarded as having failed the course concerned with a result of N plus the original mark (for a supplementary assessment mentioned in subsection 13(1)) or (for a supplementary assessment mentioned in subsection 13(2)) a result of NCN.

(8) The Registrar must cause the result in the course in relation to which a supplementary assessment is undertaken to be published.

(9) There is no limit to the supplementary assessments that a student may be offered.

(10) To avoid doubt, for the purposes of subsection (8), published includes published electronically in an appropriate part of the University’s website, (including a part of the website accessible only to a student whose results are so published) or otherwise inform the student concerned.

16 Prerequisite courses

Except with the approval of the Delegated Authority, a student awaiting the result of a supplementary assessment in a course (the subject course) may not enrol in another course for which the subject course is a prerequisite until the student is awarded a result of 50PS in the subject course.

17 Assessment of clinical or professional practice

(1) Clinical or professional practice undertaken by a student during a program 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.

18 Nominees of Registrar

(1) The Registrar may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the Registrar’s functions under this instrument.

(2) A function exercised by the nominee under the appointment is taken to have been exercised by the Registrar.

(3) This section does not prevent the Registrar from exercising a function in relation which the nominee has been appointed.

19 Repeal etc.

(1) The Assessment Rules 2014 (No. 3) are 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.
THE AUSTRALIAN NATIONAL UNIVERSITY

ACADEMIC MISCONDUCT RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

[Signature]

Professor Ian Young AO
VICE-CHANCELLOR

---

TABLE OF CONTENTS

PART 1  PRELIMINARY .................................................................................................................. 2

1 NAME, COMMENCEMENT AND AUTHORITY ........................................................................... 2
2 APPLICATION OF INSTRUMENT ............................................................................................... 2
3 THE ACADEMIC INTEGRITY PRINCIPLE ................................................................................ 2
4 DEFINITIONS ............................................................................................................................ 2

PART 2  STUDENT ACADEMIC CONDUCT .............................................................................. 5

5 THE ACADEMIC INTEGRITY PRINCIPLE ................................................................................ 5
6 ACADEMIC MISCONDUCT ...................................................................................................... 5
7 PLAGIARISM ............................................................................................................................ 5
8 COLLUSION ............................................................................................................................. 5
9 POOR ACADEMIC PRACTICE .................................................................................................. 6

PART 3  INTERIM ACTION .......................................................................................................... 6

10 INTERIM EXCLUSION BY THE DEPUTY VICE-CHANCELLOR .................................................. 6
11 EXCLUSION OF STUDENT FROM ATTENDANCE AT AN EXAMINATION VENUE .................. 6
12 ENROLMENT NOT TERMINATED BY INTERIM ACTION .......................................................... 7

PART 4  REPORT OF ACADEMIC MISCONDUCT .................................................................... 7

13 Alleged ACADEMIC MISCONDUCT ..................................................................................... 7
14 REFERENCE OF Alleged ACADEMIC MISCONDUCT TO THE REGISTRAR ...................... 7

PART 5  INITIAL REVIEW ............................................................................................................ 7

15 Allegations of ACADEMIC MISCONDUCT TO BE REVIEWED ........................................... 7
16 POWER OF Registrar TO INITIATE INQUIRY WITHOUT INITIAL REVIEW ......................... 8
17 DECISION BY REVIEW OFFICER TO TERMINATE THE PROCESS ...................................... 8
18 NOTIFICATION OF INITIAL REVIEW .................................................................................... 9
19 MEETING WITH THE REVIEW OFFICER ................................................................................ 9
20 DECISION BY THE REVIEW OFFICER .................................................................................. 10
21 ACTION TO BE TAKEN IF POOR ACADEMIC PRACTICE IS FOUND .................................... 10
PART 1    PRELIMINARY

1    Name, commencement and authority
(1) This is the Academic Misconduct Rule 2015.
(2) This instrument commences on the day after it is registered.
(3) This instrument is made under section 3 of the Academic Misconduct Statute 2014.

2    Application of instrument
This instrument applies to all students of the University.

3    The academic integrity principle
The objective of this instrument is to ensure that academic integrity is respected and observed at
the University.

4    Definitions
In this instrument:
academic integrity principle has the meaning given to it in section 5.
academic misconduct has the meaning given to it in section 6.
allegation of academic misconduct means a report made in accordance with section 13(2) or a written record made under section 13(3).

alleged academic misconduct means alleged academic misconduct referred to in section 13(1).

Appeals Committee means an Appeals Committee established under the Appeals Rule.

assessment work means the output of a task which is required to be performed by a student for assessment.

assessment includes a task that is required to be performed by a student for a judgement to be made of the student's level of performance in relation to a program or course, including:

(a) an examination; or
(b) a task required to be performed by a student for the assessment of the student's performance; or
(c) a thesis, dissertation, minor thesis, research project, written report, assignment or essay undertaken for the assessment of the student's performance; or
(d) a task required to be performed by a person for the purpose of enabling the person to qualify for admission as a student in a program or course.

Associate Dean, for a college, means an Associate Dean appointed under the ANU College Governance Rules by the College Dean for the college.

cheating means the breach of rules regarding formal examinations, or dishonest practice in informal examinations, tests or other assessments.

Examples
1. use of prohibited material or equipment for unfair advantage
2. consultation with other persons during the course of the assessment where this is prohibited.

college means an ANU College.

collusion has the meaning given to it in section 8.

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.

course convenor means the person in charge of a course (and, for the ANU Medical School, means the Deputy Dean of the Medical School in the College of Medicine, Biology and Environment).

Dean, in relation to a student, means the College Dean of the college responsible for the program in which the student is or was enrolled or is or was seeking enrolment.

examination venue means a place at which students are required to attend for the purpose of assessment under controlled conditions.

exercise a function includes perform the function.

fabrication means the representation of data, observation or other research activity as genuine, comprehensive or original when it is not. This includes inventing the data, using data gathered by other researchers without acknowledgement, falsifying data or willfully omitting data to obtain desired results.

function includes duty and power.
initial review means review under Part 5.

inquiry officer means a person who conducts an inquiry under Part 6.

inquiry process means the process of investigating a report of academic misconduct, including any appeal from a decision.

invigilator means any person, including a member of the academic or general staff of the University, who is employed by or acting on behalf of the University to attend examinations and/or supervise students who are undertaking examinations conducted by or on behalf of the University (including examinations conducted by other national or international educational institutions).

member of ANU means a person who is a member of staff, a student or an invigilator.

original work means work that is genuinely produced by a student specifically for the particular assessment task for which it is submitted.

poor academic practice has the meaning given to it in section 9.

plagiarism has the meaning given to it in section 7.

research misconduct includes:

(a) fabrication of data; and
(b) plagiarism; and
(c) other conduct that:
   (i) improperly appropriates the intellectual property or contributions of others; or
   (ii) intentionally impedes the progress of research; or
   (iii) risks corrupting the research record or compromising the integrity of research practices.

review officer means a person who conducts an initial review under Part 5.

serious research misconduct means research misconduct where:

(a) there is recurrence or continuation of conduct that has previously been found to be research misconduct by the student; or
(b) there is failure to follow research protocols approved by research ethics committees or statutory licence conditions, where that failure has resulted in harm, or unreasonable risk of harm, to humans, animals or the environment; or
(c) there is deliberate publishing of false research results that become part of the public record; or
(d) serious harm to the University, or to other students, staff or visitors occurs as a result of reckless and wilful disregard for the consequences of the conduct.

student means a person who is or was enrolled in, or seeking enrolment in, a program or a course offered by the University, or who is or was given permission by the University to audit a program or course offered by the University.

supervisor, in relation to a student, means a person who is:

(a) a supervisor of the student under the Research Awards Rule; or
(b) for a coursework student—appointed to supervise the student’s thesis or research project.

work includes written, oral, numerical, audio, visual or other material that is submitted for assessment.

working day means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.
PART 2  STUDENT ACADEMIC CONDUCT

5 The academic integrity principle

(1) The academic integrity principle is the principle that a student's work is genuine and original, completed only with the assistance allowed according to the rules, policies and guidelines of the University.

(2) In particular:

(a) the academic integrity principle requires the words, ideas, scholarship and intellectual property of others used in the work to be appropriately acknowledged; and

(b) a person is in breach of the academic integrity principle if the person engages in collusion.

6 Academic misconduct

It is academic misconduct if a student:

(a) in relation to an assessment:

   (i) cheats; or

   (ii) engages in plagiarism; or

   (iii) improperly colludes with another person; or

   (iv) acts, or assists another person to act, dishonestly or unfairly in or in connection with an examination; or

   (v) takes a prohibited document into an examination venue; or

   (vi) fails to comply with examination or assessment rules or directions; or

   (vii) engages in other conduct with a view to gaining unfair or unjustified advantage; or

   (viii) submits work that is not original; or

(b) in relation to research, commits research misconduct.

7 Plagiarism

(1) For the purposes of this instrument, a person engages in plagiarism if the person uses another person's work as though it were the person's own work.

(2) Without limiting subsection (1), a person uses another person's work as though it were the person's own work if the person uses the other person's work without appropriate attribution.

(3) A student is responsible for ensuring that the student is fully informed about the appropriate methods of acknowledgement for any assessable work that the student submits.

8 Collusion

(1) For the purposes of this instrument, collusion means the involvement of more than one person in an instance of academic dishonesty.

(2) However, it is not collusion if:

   (a) a person's involvement is unintentional; or

   (b) a person collaborates by undertaking work jointly, in accordance with course requirements.
9 Poor academic practice
(1) For the purposes of this instrument, it is not academic misconduct if a person's behaviour constitutes only poor academic practice.
(2) Subject to subsection (3), it is poor academic practice to fail to conform to the academic integrity principle where that failure is:
   (a) excusable due to mitigating circumstances (including personal, emotional, or health-related circumstances); or
   (b) due to unintended, careless, inadvertent or uninformed behaviour which is excusable.
(3) Subsection (2) does not apply where:
   (a) the failure to conform to the academic integrity principle is severe; or
   (b) there has been repeated similar behaviour.

PART 3 INTERIM ACTION

10 Interim exclusion by the Deputy Vice-Chancellor
(1) Subject to subsection (2), the Deputy Vice-Chancellor may, by written notice, deny a student in relation to whom an allegation of academic misconduct has been made access to all or any of the facilities of the University, or to any part of the University premises or to any activities conducted by or on behalf of the University.
(2) The Deputy Vice-Chancellor must not deny a student access under subsection (1) unless the Deputy Vice-Chancellor considers that the alleged academic misconduct is of a serious nature.
(3) A denial of access under this section is in force for the period specified in the notice, or until the conclusion of the inquiry process, whichever first occurs.
(4) If the Deputy Vice-Chancellor exercises powers under this section, the Deputy Vice-Chancellor must, as soon as is practicable, give to the student:
   (a) a copy of the notice; and
   (b) a written statement setting out the reasons for the action and advising the student that the student has a right to apply for review of the decision under the Appeals Rule.

11 Exclusion of student from attendance at an examination venue
(1) If it appears to a responsible person that the academic misconduct has occurred during, or in respect of, an assessment, the responsible person may exclude the student from attendance at that examination venue.
(2) The power conferred by this section must not be exercised unless, in the opinion of the responsible person, the exclusion is necessary to preserve order and decorum in an examination venue or to preserve the integrity of the conduct of the assessment.
(3) In this section:
   responsible person, in relation to assessment, means:
   (a) if the conduct occurs at an examination venue, the invigilator; or
   (b) the course convenor; or
   (c) the Registrar.
(4) If a responsible person exercises powers under this section in relation to a student, the responsible person must, as soon as possible after the action is taken:
   (a) make a report of the decision and the circumstances relating to it; and
(b) if the decision is made by a person other than the Registrar, forward the report to the Registrar.

(5) The student must be advised in writing of the decision and the reasons for the action as soon as possible after any decision or action is taken in accordance with subsection (1).

12 Enrolment not terminated by interim action
A student’s enrolment is not terminated by action taken under this Part.

PART 4 REPORT OF ACADEMIC MISCONDUCT

13 Alleged academic misconduct
(1) For the purposes this instrument, there is alleged academic misconduct if:

(a) in accordance with subsection (2), a person reports a belief that a student may have engaged in academic misconduct; or

(b) in accordance with subsection (3), a course convenor makes a written record of a belief that a student may have engaged in academic misconduct.

(2) A person (whether or not a member of ANU) who believes that a student may have engaged in academic misconduct must report that belief to the course convenor, supervisor or the Registrar.

(3) A course convenor or supervisor who believes that a student may have engaged in academic misconduct must make a written record of that belief.

14 Reference of alleged academic misconduct to the Registrar
(1) A course convenor must refer an allegation of academic misconduct to the Registrar if it appears to be an allegation of:

(a) academic misconduct in research; or

(b) academic misconduct in another college; or

(c) academic misconduct involving more than one college.

(2) A course convenor may refer any other allegation of academic misconduct to the Registrar.

(3) A supervisor must refer an allegation of academic misconduct to the Registrar in all circumstances.

PART 5 INITIAL REVIEW

15 Allegations of academic misconduct to be reviewed
(1) Subject to subsection (2) and section 16, a course convenor must carry out an initial review of an allegation of academic misconduct.

(2) A course convenor is not required to carry out an initial review of an allegation of academic misconduct if the course convenor has referred it to the Registrar under section 14.

(3) Subject to section 16, if the Registrar receives an allegation of academic misconduct, the Registrar must appoint an appropriate review officer to carry out an initial review of the alleged academic misconduct.

(4) Subsection (3) applies whether:
(a) the Registrar receives the allegation of academic misconduct directly; or
(b) the allegation of academic misconduct is referred to the Registrar under section 14.

(5) In this section:

appropriate review officer means:

(a) the Associate Dean, in the case of:
   (i) a report of academic misconduct across colleges; or
   (ii) a report of academic misconduct in relation to research; or
(b) in any other case, the course convenor.

16 Power of Registrar to initiate inquiry without initial review

(1) This section applies if it appears to the Registrar that an allegation of academic misconduct may not relate only to poor academic practice.

(2) Without limiting subsection (1), this section applies if it appears to the Registrar that an allegation of academic misconduct may relate to alleged serious research misconduct.

(3) The Registrar may refer the alleged academic misconduct for inquiry under Part 6 without an initial review being conducted.

(4) The Registrar is not required to provide a hearing before forming the view that this section applies to an allegation of academic misconduct or referring the alleged misconduct for inquiry under Part 6 without an initial review being conducted.

17 Decision by review officer to terminate the process

(1) A review officer may decide not to conduct an initial review for the reason that:

(a) there are not adequate grounds for deciding that the student has engaged in the alleged academic misconduct; or

(b) the review officer considers that it is appropriate that the alleged academic misconduct should be treated as a very minor breach of the academic integrity principle; or

(c) the allegation is frivolous, vexatious or not made in good faith; or

(d) in the circumstances, it is not appropriate to take further action.

(2) The review officer may decide that the alleged academic misconduct should be treated as a very minor breach of the academic integrity principle only if:

(a) the course in relation to which the allegation is made is an introductory or transitional course taken in the first year of the student's undergraduate degree or the first semester of the student's graduate coursework award; and

(b) the course outline provides information on academic integrity and states that very minor breaches of the academic integrity principle may result in a reduction of marks of up to 10% of the total marks available for the assessment; and

(c) the breach of the academic integrity principle is a very minor mistake in referencing; and

(d) as part of the course or feedback in relation to the course, an opportunity is provided to learn appropriate academic integrity techniques through individual or group sessions or written educative information.

(3) In making a decision under this section, the review officer is not required to conduct a hearing.

(4) If the review officer makes a decision under subsection (1)(b) in relation to a student, the only penalty that may be imposed on the student in relation to the breach of the academic
integrity principle is a reduction of marks for the relevant assessment of up to 10% of the total marks available for the assessment.

(5) If the review officer makes a decision under subsection (1)(a), (c) or (d), the review officer must tell the Registrar within 5 working days after the day the review officer makes the decision.

(6) If the review officer makes a decision under subsection (1)(b), the review officer must tell the Registrar within 5 working days after the end of the semester in which the review officer makes the decision.

18 Notification of initial review

(1) If the review officer has not terminated the process under section 17, the review officer must give written notification to the student that an initial review is to be conducted.

(2) The notification must:

(a) provide the substance of the alleged misconduct; and

(b) offer the student the opportunity to be heard; and

(c) be accompanied by:

(i) a copy of this instrument; and

(ii) a copy of any information provided to support the allegation; and

(d) be given to the student:

(i) if the investigation is to be conducted as a result of an allegation being made, within 10 working days after the allegation is made; and

(ii) in any case, as soon as is practicable.

(3) The review officer must also notify the Registrar that an initial review is to be conducted.

19 Meeting with the review officer

(1) If the student wishes to be heard, the student must advise the review officer within working 5 days after the day on which the student is given the notice.

(2) If the review officer is advised in accordance with subsection (1) that the student wishes to be heard, the review officer must arrange a meeting with the student, to be held within 5 working days after receiving that advice.

(3) The purpose of the meeting is to assist the review officer to decide:

(a) whether there is substance to the allegation; and

(b) if there is substance, whether the alleged conduct constitutes poor academic practice or academic misconduct.

(4) The review officer must act fairly and give the student a reasonable opportunity to be heard in relation to the allegation.

(5) At the meeting, the student may be accompanied by another person who may:

(a) observe the proceedings; and

(b) with the express approval of the review officer, act as an advocate.

(6) If the student does not advise that the student wishes to be heard, the review officer may determine the matter without further communication with the student and in the absence of any evidence or representation from the student.
20 Decision by the review officer

(1) If, after conducting the review, the review officer decides that there is no substance to the allegation, the matter is concluded and the review officer must inform the student and the Registrar in writing within 3 working days after making the decision.

(2) If the review officer decides that the student’s conduct constitutes poor academic practice, the review officer must take action under section 21.

(3) If the review officer decides that the student’s conduct may constitute academic misconduct, the review officer must refer the matter to the Registrar.

(4) The review officer must, within 5 working days, notify the student and the Registrar in writing of a decision under this section.

21 Action to be taken if poor academic practice is found

(1) If a review officer decides that a student’s conduct constitutes poor academic practice, the review officer must, after giving the student the opportunity to be heard in relation to penalty, take one or more of the following actions:

(a) direct the student to resubmit one or more assessment items;

(b) counsel the student;

(c) request that the student make an undertaking to attend academic or other counselling;

(d) reprimand the student;

(e) direct that the student’s marks or grade be changed for the assessment.

(2) The review officer must, within 5 working days, notify the student and the Registrar in writing of a decision under this section.

PART 6 INQUIRY

22 Registrar to refer matter to an inquiry officer

(1) This Part applies if:

(a) the Registrar decides, under section 16, to refer alleged academic misconduct for inquiry under this Part without an initial review being conducted; or

(b) a review officer refers a matter to the Registrar under section 20(3); or

(c) the Deputy Vice-Chancellor transfers the matter to the Registrar under section 25; or

(d) an inquiry officer refers the matter to the Registrar under section 30.

(2) If this Part applies, the Registrar must, within 5 working days, refer the matter to the relevant inquiry officer.

(3) In this section:

relevant inquiry officer means:

(a) the Deputy Vice-Chancellor, if:

(I) the matter has been referred to the Registrar under section 30; or

(II) it appears to the Registrar that the alleged academic misconduct may relate to serious research misconduct (except where the Deputy Vice-Chancellor has transferred the matter to the Registrar under section 25); or

(b) the Dean, if the review officer was the Associate Dean; or

(c) if it appears to the Registrar that there may have been academic misconduct across more than one college, the Associate Dean of one of the affected colleges; or

(d) in any other case, the Associate Dean of the college.
(4) The Registrar is not required to provide a hearing before forming the view that the alleged academic misconduct may relate to serious research misconduct.

23 Decision by the inquiry officer not to conduct an inquiry

(1) An inquiry officer to whom an allegation of academic misconduct is referred may decide not to conduct an inquiry for the reason that:

(a) there are not adequate grounds for deciding that the student has engaged in the alleged academic misconduct; or

(b) the allegation is frivolous, vexatious or not made in good faith; or

(c) in the circumstances, it is not appropriate to take further action.

(2) In making a decision under this section, an inquiry officer is not required to conduct a hearing.

(3) If an inquiry officer makes a decision under this section, the inquiry officer must, within 5 working days after making the decision:

(a) notify the Registrar; and

(b) give to the student a written notice that:
   (i) sets out the alleged misconduct, and contains copies of any substantive material on which the allegations were made; and
   (ii) informs the student that the allegations have been considered by the inquiry officer, who has determined that there are not adequate grounds believing that the student has engaged in academic misconduct, or (as the case may be) has determined that the allegation is frivolous, vexatious or not made in good faith.

(4) An inquiry officer must not make a decision under this section if it appears that there may have been serious research misconduct.

24 Options available to the inquiry officer

Unless a decision has been made under section 23(1), an inquiry officer to whom an allegation of academic misconduct is referred must:

(a) decide to take no action; or

(b) decide to meet with the student, if it appears that the student has engaged in poor academic practice; or

(c) decide to hold an inquiry; or

(d) transfer the matter in accordance with section 25.

25 Transfer by an inquiry officer

(1) An inquiry officer (other than the Deputy Vice-Chancellor) who is considering an allegation of academic misconduct must transfer the matter to the Deputy Vice-Chancellor if it appears that there may have been serious research misconduct.

(2) The Deputy Vice-Chancellor may transfer a matter to the Registrar if it appears that the matter does not involve serious research misconduct.

(3) If a matter is transferred to the Registrar under this instrument, the Registrar must allocate the matter to the appropriate inquiry officer in accordance with section 22.
26 Meeting with the student

(1) If an inquiry officer decides to meet with a student to discuss poor academic practice, the inquiry officer must first give the student a written notice that:

(a) advises the student of the name of the inquiry officer; and
(b) sets out the details of the alleged academic misconduct and includes a copy of this instrument and of any materials on which the allegations are based; and
(c) advises the student that the inquiry officer has decided to meet with the student to discuss poor academic practice; and
(d) advises the student of the date, time and place for the meeting (which must be not less than 5 working days after the date of service of the notice); and
(e) advises the student who to contact if the student needs to arrange an alternative time.

(2) If, after giving the student the opportunity of meeting with the inquiry officer, the inquiry officer decides that the student’s conduct constitutes poor academic practice, the inquiry officer must, after giving the student opportunity to be heard in relation to penalty, take 1 or more of the following actions:

(a) direct the student to resubmit 1 or more assessment items;
(b) counsel the student;
(c) request the student to make an undertaking to attend academic or other counselling;
(d) reprimand the student;
(e) direct that the student’s marks or grade be changed for the assessment.

(3) If the inquiry officer decides to take action in relation to the student for poor academic practice, the inquiry officer must, within 5 working days after the day the decision is made, notify the student and the Registrar in writing of the decision.

(4) To remove any doubt, if, after giving the student the opportunity of meeting with the inquiry officer, the inquiry officer decides that the student’s conduct does not constitute poor academic practice, but the inquiry officer believes that the student may have otherwise engaged in academic misconduct, the inquiry officer must report the belief to the Registrar under section 13(2).

27 Notice of inquiry by inquiry officer

(1) If an inquiry officer decides to hold an inquiry into alleged academic misconduct, the inquiry officer must give the student a written notice that:

(a) advises the student of the name of the inquiry officer; and
(b) sets out the details of the alleged academic misconduct and includes a copy of this instrument and of any materials on which the allegations are based; and
(c) advises the student that the inquiry officer has decided to hold an inquiry into the alleged misconduct; and
(d) advises the student of the date, time and place for the hearing of the inquiry (which must not, without the written consent of the student, be less than 7 working days after the date of service of the notice); and
(e) contains a statement to the effect that:
   (i) the purpose of the inquiry is to determine whether there has been academic misconduct by the student and that the inquiry officer may make a finding that there has been academic misconduct; and
   (ii) the inquiry will be conducted in an informal manner; and
   (iii) the student is entitled to attend in person at the inquiry; and
   (iv) if student does not attend at the time and place specified under paragraph (d), the inquiry may proceed in the absence of the student; and
(v) the student is entitled to present oral statements to the inquiry; and
(vi) the student may, in addition to or instead of appearing in person at the inquiry, present to the inquiry written statements in relation to the alleged misconduct (whether made by the student or any other person); and
(vii) the student is entitled to be accompanied at the inquiry by another person who may observe the proceedings, but that person must not act as an advocate unless expressly invited to do so by the inquiry officer; and
(viii) the inquiry officer is not bound by rules of evidence.

(2) The inquiry officer must ensure that all documents that are to be relied on at the inquiry are made available to the student.

28 Procedure at an inquiry

(1) At an inquiry by an inquiry officer:

(a) the procedure to be followed is at the discretion of the inquiry officer; and
(b) the inquiry officer:
   (i) may conduct the inquiries, and have regard to anything, that the inquiry officer considers appropriate; and
   (ii) is bound by the rules of procedural fairness, but is not bound by rules of evidence; and
   (iii) must take into consideration any submission made by the student.

(2) The hearing of evidence by the inquiry officer may be adjourned from time to time and from place to place.

(3) Unless the inquiry officer otherwise directs, a person is not entitled to be present at the hearing unless the person is:

(a) the student or the person (if any) accompanying the student; or
(b) an administrative assistant to the inquiry officer; or
(c) a person giving evidence.

(4) An inquiry is not ineffective by reason only of a formal defect or irregularity in the convening or conduct of the inquiry.

29 Student’s rights at an inquiry

(1) At an inquiry, a student may:

(a) appear in person; and
(b) call and question witnesses; and
(c) make oral or written statements.

(2) At the hearing, the student may be accompanied by another person who may:

(a) observe the proceedings; and
(b) with the express approval of the inquiry officer, act as an advocate.

(3) A person nominated and approved under subsection (2) may advise the student in relation to the inquiry and may address the inquiry officer and assist the student in the conduct of the inquiry.

(4) If the student fails to attend, the inquiry officer may conduct the inquiry in the absence of the student.
30 Decision by the inquiry officer

(1) After conducting an inquiry, the inquiry officer may:

(a) decide that the student’s conduct does not amount to academic misconduct and conclude the matter without further action; or
(b) decide that the student’s conduct does not amount to academic misconduct but does amount to poor academic practice, and take any action referred to in section 21; or
(c) decide that the student’s conduct amounts to academic misconduct and impose a penalty set out in section 31; or
(d) decide that the student’s conduct amounts to academic misconduct of a serious nature, and refer the matter to the Deputy Vice-Chancellor; or
(e) if the misconduct involved so warrants, refer the matter to the Registrar for transfer to the Deputy Vice-Chancellor.

(2) In imposing a penalty, the inquiry officer may take into consideration penalties imposed previously in the University in similar circumstances.

(3) The inquiry officer must give notification of the decision and the reasons for it within 5 working days to the student and, if the inquiry officer is not the Registrar, the Registrar.

(4) A notification to the student must include information about the student’s right to apply for review of the decision.

(5) The Registrar, at the direction of the inquiry officer or of the Registrar’s own motion, may, if it appears to be appropriate to do so:

(a) publish the decision; and
(b) notify any relevant professional, government or other organisation or agency of the decision.

(6) A publication or notification may include the reasons for the decision.

31 Penalty for academic misconduct

(1) An inquiry officer who finds, in accordance with this instrument, that a student has committed academic misconduct may take one or more of the following actions:

(a) order a re-assessment in a program or course to which the alleged misconduct is related (which may include, for example, requiring the student to re-sit an examination for a maximum pass grade of 50% or determining that an alternative form of examination be completed by the student);
(b) order that a denial of access imposed under this instrument does not affect the student’s academic progress;
(c) reprimand the student;
(d) award a reduced mark for any piece of assessment;
(e) award a fail mark for any piece of assessment;
(f) record a fail (‘0’) mark for the entire course;
(g) determine the conditions under which the student may attend classes or lessons or use any facility or otherwise continue in the student’s studies or research program of the University;
(h) require the student to undertake relevant research integrity training;
(i) request an undertaking from the student to attend relevant academic or other counselling;
(j) require the student to make the relevant corrections to the student’s research findings or publications;
(k) require the student to apologise or take other action the inquiry officer thinks appropriate with a view to mitigating the effect of the misconduct;

(l) suspend the candidature or enrolment of the student in a program of study or course in which the student is admitted or enrolled and prohibit resumption of candidature or enrolment for a period not exceeding 12 months;

(m) accept an undertaking from the student;

(n) refer the matter to the Deputy Vice-Chancellor for action if it appears to the inquiry officer that the student has previously been found to have committed academic misconduct.

(2) If the Deputy Vice-Chancellor is the inquiry officer, or if a matter has been referred to the Deputy Vice-Chancellor under subsection (1)(n), the Deputy Vice-Chancellor may take one or more of the following actions (in addition to, or instead of, any action taken under subsection (1)):

(a) deny the student access to all or any of the facilities of the University or to all or any part of the University premises for a specified period, or to any activities conducted by or on behalf of the University;

(b) terminate the candidature or enrolment of the student in a program of study or course in which the student is admitted or enrolled and prohibit the resumption of candidature or enrolment;

(c) determine that the student should not be granted the relevant award for the program the student is studying;

(d) recommend to the Council that an award of the University (within the meaning of the Programs and Awards Statute) gained by the student be revoked;

(e) exclude the student from the University.

(3) An inquiry officer may, in determining any penalty to be imposed on a student, take into account any other finding of misconduct or poor academic practice made in respect of the student and any penalty imposed in relation to that finding.

32 Student undertakings

(1) If an inquiry officer accepts a student's undertaking under section 31(1)(m):

(a) the inquiry officer must ensure that a written copy of the undertaking is provided to the student and the Registrar; and

(b) if the student fails to comply with the undertaking, an inquiry officer may impose a further penalty for the academic misconduct.

(2) In imposing a penalty under this section, an inquiry officer may take into consideration the failure of the student to comply with the undertaking and the reasons for that failure.

33 Re-enrolment following suspension

A person whose enrolment as a student has been suspended may not re-enrol until the person pays any fees owed by the person under the Fees Rule (including late fees) and agrees to comply with any conditions that the Vice-Chancellor may impose in relation to the revived enrolment.

PART 7 APPEALS AND REVIEW

34 Review by the Appeals Committee

For the purposes of the Appeals Rule, the following are reviewable decisions:
(a) an interim decision to exclude a student under section 10;
(b) a decision that a student has committed academic misconduct;
(c) a decision to impose a penalty for academic misconduct.

[Note: The Appeals Rule, provides that a person who is affected by a reviewable decision may, within specified time limits, apply for review of that decision.]

35 Review by the Dean of a finding of poor academic practice

(1) A student may apply to the Dean for review of a decision under this instrument that the student has engaged in poor academic practice.

(2) An application must be made within 5 working days after the student is notified of the decision.

(3) After receiving an application:
   (a) the Dean must provide to the student the opportunity to make submissions, either in writing or, if agreed by the Dean, orally; and
   (b) the Dean must consider a report from the decision-maker, and may consider other relevant material (in which case, a copy of the other relevant material must be given to the student, and the student given opportunity to comment on it); and
   (c) the Dean must, as soon as is practicable, decide whether to:
      (i) dismiss the application and confirm the decision; or
      (ii) allow the application, and modify or set aside the decision.

(4) A decision, if modified by the Dean, takes effect in the modified form.

(5) The decision of the Dean is final.

PART 8 MISCELLANEOUS

36 Nominees

(1) A University official may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the official’s functions under this instrument (other than this section).

(2) A function exercised by the nominee under the appointment is taken to have been exercised by the University official.

(3) This section does not prevent the University official from exercising a function in relation which the nominee has been appointed.

(4) In this section:

*University official* means:

(a) the Deputy Vice-Chancellor; or
(b) the Dean; or
(c) the Associate Dean; or
(d) the Registrar; or
(e) a course convener.
37 Action where there may be a serious health issue

(1) This section applies where an allegation of academic misconduct has been made in respect of a student and the review officer or inquiry officer considers that the student may have a serious health condition.

(2) In this section:

*serious health condition* has the same meaning as in the Medical Leave Rules.

(3) Where this section applies, the review officer or inquiry officer must refer the matter to the Deputy Vice-Chancellor for consideration.

(4) If a matter has been referred to the Deputy Vice-Chancellor under this section, the Deputy Vice-Chancellor may:

(a) if the Deputy Vice-Chancellor considers that the student may have a serious health condition, suspend further proceedings under this instrument and refer the student to the Registrar to be assessed in accordance with the Medical Leave Rules; or

(b) whether or not the Deputy Vice-Chancellor considers that the student may have a serious health condition, refer the matter back to the review officer or inquiry officer to be dealt with as if this section did not apply.

38 Multiple processes

(1) This section applies where it appears that a student has engaged in conduct that:

(a) may be academic misconduct; and

(b) may be misconduct within the meaning of the Discipline Rule.

(2) Where this section applies, to enable the discipline process under the Discipline Rule to proceed:

(a) a review officer conducting a review under this instrument may suspend that review; or

(b) an inquiry officer conducting an inquiry under this instrument may suspend that inquiry; or

(c) the Registrar or the Deputy Vice-Chancellor may suspend a process under this instrument.

(3) A review officer, an inquiry officer, the Registrar or the Deputy Vice-Chancellor may recommence the process if the discipline process is completed or if it appears that, in the circumstances, the suspension is not appropriate.

39 Extension of time

(1) The Registrar may extend a time limit under this instrument.

(2) In deciding whether to extend a time limit, the Registrar must take into consideration:

(a) the reason why the extension is sought; and

(b) the period of the extension; and

(c) the prejudice, if any, which will be caused by the granting of the extension.

(3) An extension must be for no longer than is reasonably necessary.

(4) The power to extend a time limit may be exercised notwithstanding that the time limit is expired.
40 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 is a student at the University—an email address provided by the University to the individual; or

(ii) if the individual is not a student at the University—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.

41 Repeal etc.

(1) The Academic Misconduct Rules 2014 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Academic Misconduct 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.
ATTACHMENT 31.6 148/2016

THE AUSTRALIAN NATIONAL UNIVERSITY

DISCIPLINE RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

Professor Ian Young AO
VICE-CHANCELLOR

TABLE OF CONTENTS

PART 1  PRELIMINARY ................................................................. 2
  1 NAME, COMMENCEMENT AND AUTHORITY ........................................ 2
  2 INTERPRETATION ................................................................. 2

PART 2  MISCONDUCT ................................................................. 4
  3 MISCONDUCT ........................................................................ 4

PART 3  CONSEQUENCES OF MISCONDUCT ....................................... 4
  4 REPORTING MISCONDUCT ....................................................... 4
  5 PRESCRIBED AUTHORITY’S ROLE ........................................... 5
  6 POWERS OF PRESCRIBED AUTHORITY ..................................... 6
  7 POWERS OF AND ACTION BY VICE-CHANCELLOR ......................... 7
  8 INTERIM DENIAL OF ACCESS ................................................... 8

PART 4  INQUIRIES ................................................................. 8
  9 INQUIRIES ........................................................................ 8
 10 FINDINGS AND PENALTIES: PRESCRIBED AUTHORITY ............... 9
 11 FINDINGS AND PENALTIES: VICE-CHANCELLOR ..................... 10
 12 STUDENT UNDERTAKINGS .................................................... 11
 13 NOTICE OF DECISIONS ETC ............................................... 11
 14 EFFECT OF DENIAL OF ACCESS ............................................ 12
 15 EXCLUSION OF STUDENT ..................................................... 12

PART 5  FAILURE TO MEET OBLIGATIONS .................................... 12
 16 FAILURE TO MEET OBLIGATIONS BY DUE DATE ....................... 12
 17 RE-ENROLMENT FOLLOWING SUSPENSION .................................. 13
 18 LIABILITY OF PERSONS FINANCIALLY SUPPORTED BY THIRD PARTIES 13
 19 SANCTIONS AGAINST PERSONS WHO FAIL TO MEET OBLIGATIONS ... 13

PART 6  APPEALS AND CALL-IN ..................................................... 13
 20 REVIEW BY THE APPEALS COMMITTEE .................................. 13
 21 VICE-CHANCELLOR MAY CALL IN A CASE ................................ 14

PART 7  MISCELLANEOUS ............................................................. 14
 22 NOMINEES ......................................................................... 14
PART 1  PRELIMINARY

1 Name, commencement and authority
(1) This is the Discipline Rule 2015.
(2) This instrument commences on the day after it is registered.
(3) This instrument is made under section 3 of the Discipline Statute 2005.
   [Note: Under section 50(3) of the Australian University Act 1991 a statute may
   empower any authority or officer of the University to make rules or orders.
   Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor
   to make rules and orders for a number of statutes, including the Discipline
   Statute.]

2 Interpretation
(1) In this instrument:
   conduct of a sexual nature includes the making of a statement of a sexual nature to, or in
   the presence of, a person, whether the statement is made orally or in writing.
   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.
   discrimination includes unfair or inequitable treatment on the basis of a person’s race,
   colour, sex, sexual preference or orientation, marital status, pregnancy or potential
   pregnancy, status as carer, age, disability, ethnic or national origin, breastfeeding
   requirements, religious, political or union affiliation, or any other attributes applied by or set
   out in any Commonwealth, State, Territory or University legislation that applies in relation to
   a University activity.
   document includes:
      (a) paper or other material on which there is writing; and
      (b) paper or other material on which there are marks, figures, symbols or
          perforations having a meaning for persons qualified to interpret them; and
      (c) any article or material from which sounds, images or writings are capable of
          being reproduced with or without the aid of any other article or device.
   examination includes:
      (a) a task required to be performed or undertaken by a student for the
          assessment of the student’s performance in a program of study or course in
          which the student is admitted or enrolled; and
(b) a thesis, dissertation, minor thesis, research project, written report, assignment or essay undertaken for the assessment of the student's performance for an award offered by the University; and

(c) a task required to be performed or undertaken by a person for the purpose of enabling the person to qualify for admission as a student in a program in the University.

**exercise** a function includes perform the function.

**function** includes duty and power.

**harassment** includes behaviour, comments or images that are unwelcome, offensive, humiliating or intimidating to a person, and that, in the circumstances, a reasonable person should have expected would be offensive or intimidating, and also includes sexual harassment.

**inquiry** means an inquiry mentioned in Part 4.

**misconduct** has the meaning given in section 3.

**obligation** includes:

(a) a non-monetary obligation; and

(b) a monetary penalty; and

(c) compensation;

(whether to be made or payable to the University or another person) under a statute (other than the *Parking and Traffic Statute*) or under any rule or order made under such a statute, and also includes:

(d) a monetary obligation (such as a fee or charge for accommodation, board or a related service) payable to the University or to a Hall of Residence or affiliated College under a contract or agreement.

**prescribed authority**:

(a) in relation to a student, means the relevant Dean, the Registrar or a person nominated for the purpose by the Vice-Chancellor, as the case requires; and

(b) in relation to a resident in a hall or lodge of the University, means the Head of the Hall.

**property** includes real and personal property and intellectual property including data and information.

**sexual harassment** includes:

(a) the making of an unwelcome sexual advance, or an unwelcome request for sexual favours, to another person; or

(b) engaging in any other unwelcome conduct of a sexual nature in circumstances in which another person reasonably feels offended, humiliated or intimidated.

**student** means a person who is or was enrolled in, or seeking enrolment in, a program or course offered by the University, or who is or was given permission by the University to audit a course offered by the University.

**victimisation** includes any unfavourable treatment, including adverse changes to a person's work or study environment, denial of access to resources, work opportunities or training, or ostracism of a person as a consequence of the person's involvement in a grievance under any grievance procedures applicable in the University.

**working day** means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.
(2) A reference in this instrument to a Dean, in relation to a student, is a reference to the Dean of the ANU College responsible for the program in which the student is or was enrolled or is or was seeking enrolment.

PART 2 MISCONDUCT

3 Misconduct

(1) It is misconduct if a student engages in conduct which:
(a) is prejudicial to the good order and government of the University; or
(b) unreasonably hinders other persons in the pursuit of their studies in the University or in participation in the life of the University; or
(c) is otherwise reprehensible conduct for a member of the University to engage in.

(2) Without limiting the generality of subsection (1), it is misconduct if a student:
(a) wilfully obstructs or disrupts an activity or proceeding of the University; or
(b) wilfully or negligently destroys, damages, defaces, loses, removes or otherwise interferes with, or makes unauthorised use of, any property of the University or any other person; or
(c) enters any place in the University that the student is not permitted to enter; or
(d) fails to comply with any reasonable order or direction of an officer or employee of the University or a person acting with the lawful authority of the University; or
(e) fails to comply with a provision of a statute, or of a rule, order or direction made under a statute, rule or order; or
(f) acts dishonestly or unfairly, in connection with:
   (i) any assessment for admission to the University; or
   (II) the preparation or presentation of any assignment or material in support of an application for admission to the University; or
(g) subjects another person to harassment, victimisation or other discrimination; or
(h) behaves in an intimidating manner to another person or creates a hostile working or studying environment; or
(i) makes a statement to the University or to an officer or employee of the University that the student knows to be false (including the provision of a falsified medical certificate or falsified academic transcript); or
(j) engages in, or is party to, conduct intended to deceive the University (including the provision of a falsified medical certificate or falsified academic transcript); or
(k) fails to comply with the University’s instructions to students at, or in relation to, an examination; or
(l) negligently or recklessly causes risk or danger to the health or safety of another person.

PART 3 CONSEQUENCES OF MISCONDUCT

4 Reporting misconduct

(1) Any person who considers that a student may have engaged in misconduct may report the student’s conduct to the Vice-Chancellor or to a prescribed authority.
(2) A prescribed authority may report any suspected misconduct by a student to the Vice-Chancellor.

(3) A prescribed authority or the Vice-Chancellor (the relevant person) may exercise powers under this instrument whether or not the relevant person has received a report about the misconduct.

5 Prescribed authority’s role

(1) If the prescribed authority becomes aware of alleged misconduct by a student, the prescribed authority must determine whether there are reasonable grounds for believing that the student has engaged in misconduct.

(2) The prescribed authority may determine that no action is to be taken if the prescribed authority considers that:

(a) there are no adequate grounds for believing that a student has engaged in the alleged misconduct; or

(b) the allegations about the student’s behaviour are frivolous, vexatious or not made in good faith.

(3) If a prescribed authority makes a determination under subsection (2), the prescribed authority must within 5 working days after making the determination give the student written notice that:

(a) sets out the grounds, including a description of the alleged misconduct; and

(b) contains copies of any substantive material upon which the allegations were made; and

(c) informs the student that the allegations have been considered by the prescribed authority, who has determined that there are no adequate grounds for believing that the student has engaged in misconduct, or (as the case may be) has determined that the allegation is frivolous, vexatious or not made in good faith.

(4) If the prescribed authority determines that there are adequate grounds for believing that a student has engaged in misconduct, the prescribed authority may:

(a) decide to hold an inquiry into the matter; or

(b) if the matter was not referred to the prescribed authority under section 7(4)(a) and if the misconduct involved so warrants, refer the matter to the Vice-Chancellor.

(5) If the prescribed authority decides to hold an inquiry into alleged misconduct, the prescribed authority must within 5 working days after making the decision give the student a written notice that:

(a) sets out the grounds, including a description of the alleged misconduct and contain copies of the substantive material upon which the allegations are based; and

(b) informs the student that the prescribed authority intends to hold an inquiry under Part 4 into the alleged misconduct; and

(c) advises the student of the name of the prescribed authority; and

(d) sets out the date, time and place fixed for the hearing of the inquiry; and

(e) contains a statement to the effect that:

(i) the purpose of the inquiry is to determine whether there has been misconduct by the student and that the powers of the prescribed authority include the power to make a finding that there has been such misconduct; and

(ii) the inquiry will be conducted in an informal manner; and
(iii) the student is entitled to appear in person at the inquiry; and
(iv) if the student does not appear at the time and place fixed for the
hearing of the inquiry, the inquiry may proceed in the absence of the
student; and
(v) the student is entitled to present to the inquiry oral statements or
written statements (whether made by the student or another person); and
(vi) the student may, in addition to or instead of appearing in person at the
inquiry, furnish to the inquiry a written statement in relation to the
alleged misconduct (whether made by the student or another person); and
(vii) the student may be accompanied at the inquiry by another person who
may observe the proceedings but not act as an advocate unless with
the express approval of the prescribed authority; and
(viii) the prescribed authority is not bound by rules of evidence.

(6) The written notice must be served on the student not less than 5 working days before
the date fixed for the hearing, unless the student consents to later service.

6 Powers of prescribed authority

(1) If a prescribed authority is satisfied that a student is likely to have engaged in
misconduct, the prescribed authority may, before holding an inquiry mentioned in section
5(5)(b):

(a) subject to subsection (2), deny the student access to all or any University
facilities, to all University premises, any University premises or any part of
University premises, or to all or any activities conducted by or on behalf of the
University, for 20 working days (or such further period as the Vice-Chancellor
determines); or

(b) if the misconduct occurred during an examination or other assessment and
subject to subsection (3), exclude the student from attendance at that
examination or assessment.

[Note: If, in relation to information infrastructure or information services, a student
is to have committed misconduct (however described), appropriate action
may be taken under the Information Infrastructure and Services Rule.]

(2) A prescribed authority may deny a student access under subsection (1)(a) only if the
alleged misconduct is of a nature that causes imminent, and serious, risk to the health or
safety of a person or if the student's continued access to the facilities, premises or activities
otherwise presents a serious risk to the University, its staff, students or its property.

(3) A prescribed authority may only exclude a student from participating in an examination
if, in the opinion of the prescribed authority, it is necessary to preserve the integrity of the
conduct of the examination or order and decorum in an examination centre.

(4) If a prescribed authority exercises powers under this section in relation to a student,
the prescribed authority must, as soon as is possible:

(a) advise the student in writing of the action taken and the reasons for the
action; and

(b) report the action taken and the circumstances relating to it to the Vice-
Chancellor.

(5) Denial of access, or exclusion from attending an examination or assessment, under
subsection (1) does not, of itself, terminate a student's enrolment.
7 Powers of and action by Vice-Chancellor

(1) If the Vice-Chancellor becomes aware of alleged misconduct by a student that is not being dealt with by a prescribed authority, the Vice-Chancellor must determine whether there are adequate grounds for believing that the student has engaged in misconduct.

(2) The Vice-Chancellor must determine that there are no adequate grounds for taking action against the student if the Vice-Chancellor considers that:
   (a) there are no reasonable grounds for believing that a student has engaged in the alleged misconduct; or
   (b) the allegations about the student's behaviour are frivolous, vexatious or not made in good faith.

(3) The Vice-Chancellor must, within 5 working days after making a determination under subsection (2), give the student written notice that:
   (a) sets out the grounds, including a description of the alleged misconduct; and
   (b) contains copies of any substantive material upon which the allegations were made; and
   (c) informs the student that:
      (i) the allegations have been considered by the Vice-Chancellor; and
      (ii) the Vice-Chancellor has determined that there are no adequate grounds for taking action against the student.

(4) If the Vice-Chancellor determines that there are adequate grounds for believing that a student has engaged in misconduct and if the alleged misconduct has not already been dealt with under this or any other provision, the Vice-Chancellor may:
   (a) refer the matter to a prescribed authority for inquiry and determination in accordance with section 6 and Part 4; or
   (b) refer the matter for inquiry on behalf of the Vice-Chancellor by a panel of persons selected by the Vice-Chancellor; or
   (c) conduct an inquiry into the matter.

(5) If the Vice-Chancellor decides to deal with a matter under subsection (4)(b) or (c), the Vice-Chancellor must within 5 working days cause a written notice to be given to the student specifying the misconduct and containing copies of the substantive material upon which the allegations are based and requiring the student to appear at the inquiry.

(6) A written notice under subsection (5) must:
   (a) specify, in addition to the matters referred to in that subsection, the date, time and place fixed for the inquiry; and
   (b) advise the student that the Vice-Chancellor is to conduct the inquiry or, if a panel is appointed under subsection (4)(b), of the names of the panel members; and
   (c) contain a statement to the effect that:
      (i) the purpose of the inquiry is to determine whether there has been misconduct by the student and that the powers of the Vice-Chancellor include the power to make a finding that there has been such misconduct; and
      (ii) the inquiry will be conducted in an informal manner; and
      (iii) the student is entitled to appear in person at the inquiry; and
      (iv) if the student does not appear at the time and place fixed for the inquiry, the inquiry may proceed in the absence of the student; and
      (v) the student is entitled to present to the inquiry oral statements or written statements (whether made by the student or another person); and

DISCIPLINE RULE 2015
(vi) the student may, in addition to or instead of appearing in person at the inquiry, furnish to the inquiry a written statement in relation to the alleged misconduct (whether made by the student or another person); and

(vii) the student may be accompanied at the inquiry by another person who may observe the proceedings but not act as an advocate unless with the express approval of the Vice-Chancellor or Chair of the panel; and

(viii) the Vice-Chancellor or the panel is not bound by rules of evidence.

(7) The written notice must be served on the student not less than 5 working days before the date fixed for the hearing, unless the student consents to later service.

(8) If the Vice-Chancellor appoints a panel under subsection (4)(b), the panel must consist of 2 members of the academic staff of the University (one of whom is to Chair the panel) and one student appointed by the Vice-Chancellor after consultation with the President of the Australian National University Students' Association Inc. or the Australian National University Postgraduate and Research Students' Association Inc., as the case requires.

8 Interim denial of access

(1) Subject to subsection (2), the Vice-Chancellor may deny the student in relation to whom misconduct is alleged access to all or any University facilities, to all University premises, any University premises or any part of University premises, or to all or any activities conducted by or on behalf of the University, for a specified period or until the end of the inquiry mentioned in section 9, whichever first occurs.

(2) The Vice-Chancellor may deny a student access under subsection (1) only if the alleged misconduct is of a nature that causes imminent and serious risk to the health or safety of a person or if the student's continued access to the facilities, premises or activities otherwise presents a serious risk to the University, its staff, students or its property.

(3) If the Vice-Chancellor exercises powers under subsection (1) in relation to a student, the Vice-Chancellor must give written notice to the student of the action taken and the reasons for the action as soon as possible after the action is taken.

(4) Denial of access under subsection (1) does not, of itself, terminate a student's enrolment.

(5) A student may, within 10 working days after receiving written notice under subsection (3), make a written submission to the Vice-Chancellor in relation to the continuance of the denial of access.

(6) The Vice-Chancellor may, after taking into consideration the written submission, vary or terminate the denial of access.

PART 4 INQUIRIES

9 Inquiries

(1) The Vice-Chancellor, a panel referred to in section 7(4)(b) or a prescribed authority may hold an inquiry into alleged misconduct.

(2) A student may make a statement in writing to the person or panel holding the inquiry or orally at the inquiry in relation to the alleged misconduct.

(3) At an inquiry, the person or panel holding the inquiry must consider the statement, if any, of the student in relation to the misconduct and any other matters that the person or panel holding the inquiry thinks fit.
(4) At an inquiry by the Vice-Chancellor, a panel or a prescribed authority, the student must be given the opportunity to comment upon the substantive material in the possession of the Vice-Chancellor, the panel or prescribed authority and upon which the Vice-Chancellor, the panel or prescribed authority intends to rely.

(5) An inquiry by the Vice-Chancellor, a panel or a prescribed authority must, subject to this section, be conducted in such manner as the person or panel holding the inquiry determines.

(6) A person or panel holding an inquiry is not bound to act in a formal manner but may inform themselves on any matter relating to the alleged misconduct as the person or panel thinks just.

(7) At an inquiry the student may:
   (a) appear in person; and
   (b) present to the inquiry oral or written statements (whether made by the student or another person); and
   (c) in addition to, or instead of, appearing in person, furnish to the inquiry a written statement in relation to the alleged misconduct (whether made by the student or another person).

(8) At an inquiry, the student is entitled to be accompanied by another person who may:
   (a) observe the proceedings; and
   (b) with the express approval of the person or panel holding the inquiry act as an advocate.

(9) The powers of the person or panel holding an inquiry under this section may be exercised whether or not the student on whom a notice under section 5(5) or 7(5) is given is present at an inquiry held under this section.

10 Findings and penalties: prescribed authority

(1) If, after consideration of the matter, the prescribed authority finds that the student has not engaged in misconduct, the prescribed authority must dismiss the allegation.

(2) If, after consideration of the matter, the prescribed authority finds that the student has engaged in misconduct, the prescribed authority may do one or more of the following:
   (a) decide to take no action;
   (b) deny the student access to all or any University facilities, to all University premises, any University premises or any part of University premises, or to all or any activities conducted by or on behalf of the University, for a specified period not exceeding 12 months;
   (c) reprimand the student;
   (d) suspend the candidature or enrolment of the student in a program of study or course in which the student is admitted or enrolled and prohibit the resumption of candidature or enrolment for a period not exceeding 12 months;
   (e) determine the conditions under which the student may attend classes or lessons or use any facility of the University;
   (f) if the misconduct involved so warrants, refer the matter to the Vice-Chancellor;
   (g) require the student to apologise or take other action the prescribed authority thinks appropriate with a view to mitigating the effect of the misconduct;
   (h) accept an undertaking from the student;
   (i) notify any relevant professional, government or other organisation or agency of the decision.
(3) The prescribed authority may, in determining any penalty to be imposed on a student, take into account any other finding of misconduct made in respect of the student and any penalty imposed in relation to that finding.

(4) If a prescribed authority exercises powers under this section in relation to a student, the prescribed authority must report the action taken and the circumstances relating to it to the Vice-Chancellor as soon as possible after the action is taken.

(5) However, the suspension of a student’s enrolment may not take effect until any appeal to the Appeals Committee in accordance with the Appeals Rule has been concluded.

(6) To avoid doubt, denial of access under subsection (2) does not, of itself, terminate or suspend a student’s enrolment.

11 Findings and penalties: Vice-Chancellor

(1) In relation to an inquiry held by the Vice-Chancellor or a panel appointed under section 7(4)(b), after consideration of the matter, including (where applicable) any report or recommendation by the panel, the Vice-Chancellor may:

(a) find that the student has not engaged in misconduct; or

(b) find that the student has engaged in misconduct.

(2) If the Vice-Chancellor finds that the student has not engaged in misconduct, the Vice-Chancellor must dismiss the allegation.

(3) If the Vice-Chancellor finds that the student has engaged in misconduct, the Vice-Chancellor may do one or more of the following:

(a) decide to take no action;

(b) reprimand the student;

(c) deny the student access to all or any University facilities, to all University premises, any University premises or any part of University premises, or to all or any activities conducted by or on behalf of the University, for a specified period;

(d) impose on the student a monetary penalty not exceeding $500 for each occurrence of misconduct to which this instrument applies;

(e) if, as a result of the misconduct:

(i) any property is damaged; or

(ii) a person incurs expense;

order the student to pay to the owner of the property or the person incurring the expense, as the case requires, compensation as determined by the Vice-Chancellor;

(f) determine the conditions under which the student may attend classes or lessons or use any facility of the University;

(g) suspend the candidature or enrolment of the student in a program of study or course in which the student is admitted or enrolled and prohibit the resumption of candidature or enrolment for a period not exceeding 12 months;

(h) exclude the student from the University;

(i) accept an undertaking from the student to attend University Counselling (or another appropriate counselling provider) to address behavioural issues;

(j) notify any relevant professional, government or other organisation or agency of the decision;

(k) determine the conditions under which the student may attend classes or lessons or use any facility or otherwise continue in their studies or research program of the University;
(i) determine that the student should not be granted the relevant award for the program the student is studying;

(m) recommend to the Council that an award of the University (within the meaning of the Programs and Awards Statute) gained by the student be revoked;

(n) accept an undertaking from the student.

(4) The Vice-Chancellor may, in determining any penalty to be imposed on a student, take into account any other finding of misconduct made in respect of the student and any penalty imposed in relation to that finding.

(5) If a person becomes liable to pay to the University a monetary penalty or other amount under this section, the person must pay to the University the amount specified in the notice given to the student under section 13(1), or enter into an arrangement for its repayment satisfactory to the Vice-Chancellor, not later than 20 working days after:

(a) if an appeal is not lodged under the Appeals Rule in relation to the finding giving rise to the liability—the date of the notice; or

(b) if an appeal is lodged under the Appeals Rule in relation to the finding giving rise to the liability—the day on which the decision is given in respect of the appeal.

(6) Termination of a student’s enrolment may not take effect until any appeal under the Appeals Rule has been concluded.

12 Student undertakings

(1) If a prescribed authority or the Vice-Chancellor accepts a student’s undertaking under section 10(2)(h) or 11(3)(n):

(a) the prescribed authority or the Vice-Chancellor must ensure that a written copy of the undertaking is provided to the student and the Registrar; and

(b) if the student fails to comply with the undertaking, the prescribed authority or the Vice-Chancellor (as is appropriate) may impose a penalty for the misconduct.

(2) In imposing a penalty under this section, the prescribed authority or the Vice-Chancellor may take into consideration the failure of the student to comply with the undertaking and the reasons for that failure.

13 Notice of decisions etc.

(1) The Vice-Chancellor or a prescribed authority who makes a decision under section 10 or 11 must give the student in respect of whom the decision was made, and the Registrar, written notice containing a copy of a decision under section 10(1) or (2) or section 11(1) or (3) and of the reasons for the decision within 5 working days after the decision is made.

(2) A notice given under subsection (1):  

(a) must inform the student that the allegations of misconduct have been considered by the prescribed authority or the Vice-Chancellor, as the case requires; and

(b) must detail the substantive material considered by the prescribed authority or Vice-Chancellor; and

(c) must, in the case of a decision under section 10(1), advise the student that no further action is to be taken in relation to the particular allegations of misconduct that were the subject of the inquiry; and
(d) must, in the case of a decision under section 11(1)(a), advise the student that no further action is to be taken in relation to the particular allegations of misconduct that were the subject of the inquiry.

(3) Subject to the relevant provisions of the Appeals Rule, the exclusion of a student, or denial of access to facilities, premises or activities, under section 10(2) or 11(3) continues to have effect notwithstanding that an appeal is lodged under Part 6.

(4) A notice under this section of a decision made under section 10(2) or 11(3) must set out the right of the student to whom it is addressed to appeal against the decision of the Vice-Chancellor or prescribed authority and tell the student to whom an appeal must be sent.

14 Effect of denial of access

If, under this instrument, a student is denied access to facilities, premises or activities, the student must not:

(a) use any facility to which the student is denied access; or
(b) enter any premises, or the part of any premises, to which the student is denied access; or
(c) engage in any activity to which the student is denied access.

15 Exclusion of student

If, under this instrument, a person is excluded from the University, the person ceases to be a student and, except with the permission of the Vice-Chancellor:

(a) must not be enrolled again; and
(b) must not use any University facility, or enter any University premises or any part of University premises, that the Vice-Chancellor determines the person must not use or enter; and
(c) must not engage in any activities conducted by or on behalf of the University at the University or at a place other than the University.

PART 5 FAILURE TO MEET OBLIGATIONS

16 Failure to meet obligations by due date

(1) The Vice-Chancellor may terminate the enrolment of a person as a student, deny a person access to all or any University facilities, to all University premises, any University premises or any part of University premises or to all or any activities conducted by or on behalf of the University, or withdraw the rights and privileges to which a person would otherwise have been entitled, if an obligation of the person is not met:

(a) within 10 working days after the due date determined in accordance with a statute or rule or by the Vice-Chancellor, as the case requires; or
(b) within any further period determined by the Vice-Chancellor.

(2) The termination of the enrolment of a person as a student, the denial of access of a person to facilities, premises or activities, or the withdrawal of a person's rights and privileges, under subsection (1) does not extinguish any uncircumstantial liability of the person to meet an obligation.

(3) The Vice-Chancellor must notify the person referred to in subsection (1) of the decision.
17 Re-enrolment following suspension

A person whose enrolment as a student has been suspended may not re-enrol until the person pays any fees owed by the person under the Fees Rule (including late fees) and agrees to comply with any conditions that the Vice-Chancellor may impose in relation to the revived enrolment.

18 Liability of persons financially supported by third parties

(1) The Vice-Chancellor may accept an undertaking by a third party to meet, on behalf of a person, an obligation.

(2) However, a person to whom this instrument applies remains personally liable for the obligation in respect of that person if the obligation has not been discharged by the third party.

19 Sanctions against persons who fail to meet obligations

(1) Without limiting the generality of section 16, if a person fails to meet an obligation that the person is required to meet, the Vice-Chancellor may direct that, while the obligation remains to be met:

(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) The Vice-Chancellor must notify the person concerned of any relevant direction under subsection (1).

PART 6 APPEALS AND CALL-IN

20 Review by the Appeals Committee

(1) A student may appeal a reviewable decision under the Appeals Rule.

(2) For the purposes of the Appeals Rule, the following are reviewable decisions:

(a) a decision to deny a student access to facilities, premises or activities under section 6(1)(a);

(b) a finding by a prescribed authority under section 10(2) that a student has engaged in misconduct;

(c) a finding by the Vice-Chancellor, in accordance with section 11(1)(b), that a student has engaged in misconduct;

(d) a decision to impose a penalty for misconduct under section 10(2), 11(3) or 12(1)(b).

[Note: The Appeals Rule provides that a person who is affected by a reviewable decision may, within specified time limits, apply for review of that decision.]
21 Vice-Chancellor may call in a case

(1) If the Vice-Chancellor considers that a reviewable decision, including a penalty that has been imposed, is inappropriate in the circumstances of the case, the Vice-Chancellor may, by written notice, call in the file for reconsideration of the decision or penalty.

(2) The Vice-Chancellor must:
   (a) give a copy of the notice to the student; and
   (b) give the student opportunity to be heard in relation to the reasons why the file has been called in.

(3) A notice under this section must set out the reasons why the file has been called in.

(4) After hearing the submissions (if any) made by the student, the Vice-Chancellor may make a decision as if the Vice-Chancellor were the original decision-maker.

(5) A decision made by the Vice-Chancellor operates as if it were made by the original decision-maker, as from the date it is made.

(6) The Vice-Chancellor must give the student written advice of a decision which has been made under subsection (4) and the reasons for it.

PART 7 MISCELLANEOUS

22 Nominees

(1) A University official may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the official's functions under this instrument (other than this section).

(2) A function exercised by the nominee under the appointment is taken to have been exercised by the University official.

(3) This section does not prevent the University official from exercising a function in relation to which the nominee has been appointed.

(4) In this section:

   University official means:
   (a) the Vice-Chancellor; or
   (b) the Registrar; or
   (c) a prescribed authority

23 Multiple processes

(1) This section applies where it appears that a student has engaged in conduct that:
   (a) may be academic misconduct within the meaning of the Academic Misconduct Rule; and
   (b) may be misconduct within the meaning of this instrument.

(2) Where this section applies, to enable the review and inquiry processes under the Academic Misconduct Rule to proceed:
   (a) a prescribed authority conducting an inquiry under this instrument may suspend that inquiry; or
   (b) the Registrar or the Vice-Chancellor may suspend a process under this instrument.
(3) A prescribed authority, the Registrar or the Vice-Chancellor may recommence the inquiry or process if the review and inquiry processes under the Academic Misconduct Rule are completed or if it appears that, in the circumstances, the suspension is not appropriate.

24 Extension of time

(1) The Registrar may extend a time limit under this instrument.

(2) In deciding whether to extend a time limit, the Registrar must take into consideration:
   (a) the reason why an extension is sought; and
   (b) the period of extension; and
   (c) the prejudice, if any, which will be caused by the granting of the extension.

(3) An extension must be for no longer than is reasonably necessary.

(4) The power to extend a time limit may be exercised notwithstanding that the time limit has expired.

25 Services 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 is a student at the University—an email address provided by the University to the individual; or
      (ii) if the individual is not a student at the University—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.

26 Repeal etc.

(1) The Discipline Rules 2014 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Discipline 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.

27 Transitional

(1) To remove any doubt, this instrument applies to a decision taken, or a proceeding commenced but not concluded, before the commencement of this section.

(2) This section is additional to, and does not limit, the following provisions:
   (a) section 7 of the Acts Interpretation Act 1901;
   (b) section 7 of the Interpretation Statute.
THE AUSTRALIAN NATIONAL UNIVERSITY

ACADEMIC PROGRESS RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

[Signature]
Professor Ian Young AO
VICE-CHANCELLOR

Part 1 Preliminary

1 Name

This is the Academic Progress Rule 2015.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 8 of the Programs and Awards Statute 2013.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Programs and Awards Statute.]

4 Definitions

In this instrument:

Academic Progress Committee means a committee established under section 11.
Associate Dean, for an ANU College, means an Associate Dean appointed under the ANU College Governance Rules by the College Dean for the college.
award means degree, diploma or certificate offered 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.

*course code* means the unique alphanumeric code used within the University to identify a particular course.

*Delegated Authority*, in relation to a program offered by an ANU College for an award, means a person who is appointed under section 19 (Appointment of Delegated Authorities) as a Delegated Authority for the program.

*enrol* includes re-enrol.

*equivalent course* is any course declared by the Delegated Authority to have a sufficient similarity of content to another course, despite having a different title or different course code.

*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.

*student* means a student who is or was enrolled (as the case requires) in an award program.

---

5 Application

This instrument applies in relation to both graduate coursework and undergraduate awards.

6 References to particular course

A reference in this instrument to a particular course includes a reference to an equivalent course.

7 Delegated Authority to ensure instrument applied consistently and fairly

A Delegated Authority for a program must take reasonable steps to ensure that this instrument is applied consistently and fairly within the program.

---

Part 2 Academic progress rules

8 Repeated failures in courses

(1) If a student fails an undergraduate or graduate course in any award program for a second time, the Registrar must, by written notice given to the student, tell the student:
   (a) that the student is on probation for the repeated failure; and
   (b) that the student may be excluded from undergraduate or graduate coursework, as the case requires, if the student fails the course for a third time.

[Note: Failure includes N, NCN and WN.]

(2) If the student fails the course for a third time, the Delegated Authority may, in writing, exclude the student from undergraduate or graduate coursework, as the case requires, for a specified period of no longer than 5 years.

(3) If the Delegated Authority excludes the student from undergraduate or graduate coursework, the Registrar must, by written notice given to the student, tell the student:
   (a) that the student has been excluded from undergraduate or graduate coursework, as the case requires; and
   (b) the period that the student has been excluded; and
(c) that the student may appeal to the Academic Progress Committee against the exclusion.

(4) To remove any doubt, if a student fails a course, nothing in this instrument prevents, by implication, this section and another provision of this Part from both applying in relation to the student in accordance with their terms.

9 Failure to maintain satisfactory coursework standard

(1) If a student undertaking undergraduate coursework fails more than 50% of the unit value of the courses attempted in a semester (including session) of enrolment, the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, and is regarded as being on probation.

[Note: It is intended that, for this section, Semester 1 includes courses taken in Summer and Autumn Sessions and Semester 2 includes courses taken in Winter and Spring Sessions.]

(2) If a student undertaking graduate coursework fails more than 50% of the unit value of the courses attempted in a semester (including session) or trimester of enrolment, the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, and is regarded as being on probation.

(3) If a student undertaking undergraduate coursework fails, for a second or subsequent time, more than 50% of the unit value of the courses attempted in a semester (including session) of enrolment, or fails to meet any condition imposed in relation to the student because an appeal under Part 3 (Academic progress appeals), the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, and may be excluded by the Delegated Authority from undergraduate coursework for a specified period of no longer than 5 years.

(4) If a student undertaking graduate coursework fails, for a second or subsequent time, more than 50% of the unit value of the courses attempted in a semester (including session) or trimester of enrolment, or fails to meet any condition imposed in relation to the student because of an appeal under Part 3, the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, and may be excluded by the Delegated Authority from graduate coursework for a specified period of no longer than 5 years.

(5) If a student is considered under this section to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, the student must be notified by the Registrar as soon as practicable, in writing, of that fact.

(6) If the Delegated Authority excludes a student under this section from undergraduate or graduate coursework, the Registrar must, by written notice given to the student, tell the student:

(a) that the student has been excluded from undergraduate or graduate coursework, as the case requires; and

(b) the period that the student has been excluded; and

(c) that the student may appeal to the Academic Progress Committee against the exclusion.

(7) To remove any doubt, a course completed in the timeframe for which credit has been granted in the award program does not count as part of the unit value of the courses attempted in the relevant semester (including session) or trimester of enrolment.

(8) Also, to remove any doubt, if a student is considered under this section to have failed to maintain a satisfactory standard of academic progress in the student’s coursework, nothing
in this instrument prevents, by implication, this section and another provision of this Part from both applying in relation to the student in accordance with their terms.

10 Failure to achieve coursework results at specified level

(1) If a student undertaking graduate or undergraduate coursework fails to achieve results in the courses in the award program for which the student has enrolled at the level specified in an order for continuation in the award program, the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s award program and may be excluded from graduate or undergraduate coursework, as the case requires, by the Delegated Authority for a specified period of no longer than 5 years.

(2) If the Delegated Authority excludes a student under this section from undergraduate or graduate coursework, the Registrar must, by written notice given to the student, tell the student:

(a) that the student has been excluded from undergraduate or graduate coursework, as the case requires; and
(b) the period that the student has been excluded; and
(c) that the student may appeal to the Academic Progress Committee against the exclusion.

(3) To remove any doubt, if a student is considered under this section to have failed to maintain a satisfactory standard of academic progress in the student’s award program, nothing in this instrument prevents, by implication, this section and another provision of this Part from both applying in relation to the student in accordance with their terms.

Part 3 Academic progress appeals

11 Establishment of committees

(1) There is to be an Academic Progress Committee for the University in relation to graduate coursework, and another in relation to undergraduate coursework.

(2) Each committee is to consist of the following members:

(a) the Registrar;
(b) a person appointed, in writing, by the College Dean of each ANU College;
(c) a further person appointed, in writing, by the Dean of Medicine and Health Sciences.

(3) A person must not be appointed to a committee in relation to a matter if the person was previously involved in making a decision in relation to the matter.

(4) The Registrar is the chair of each Academic Progress Committee.

12 Appeal against exclusion

(1) If a student is excluded from undergraduate or graduate coursework under Part 2 (Academic progress rules), the student may appeal to the appropriate Academic Progress Committee against the exclusion.

(2) The appeal must:

(a) be in writing; and
(b) set out reasons why the student should be permitted to continue to undertake the coursework; and
(c) include, or be accompanied by, any evidence in support of the reasons; and
(d) be given to the Registrar within 20 working days after the day the student is given written notice of the student’s exclusion from undergraduate or graduate coursework.

(3) If the student appeals to the Academic Progress Committee under this section, the student is entitled to be enrolled in undergraduate or graduate coursework until the appeal is finally decided.

13 Exclusion appeal: hearing and decision

(1) This section applies if a student is excluded from undergraduate and graduate coursework under Part 2 (Academic progress rules) and the student appeals to the Academic Progress Committee under section 12 against the exclusion.

(2) The Academic Progress Committee may decide the appeal solely on the basis of the notice of appeal and any material accompanying it, but may make the inquiries, and have regard to anything else, that the committee considers appropriate.

(3) The Academic Progress Committee may, if requested by the student, take account of any non-award enrolment completed by the student in the relevant semester (including session) or trimester of enrolment.

(4) However, success in passing a course as part of a non-award enrolment, even if credit is later granted in connection with a program being undertaken by the student, is not to be regarded as conclusive evidence of the ability of the student to meet the remaining academic requirements of a program.

(5) The Academic Progress Committee may dismiss or uphold the appeal and, in doing so, may:
   (a) permit the student to continue to undertake coursework; or
   (b) permit the student to re-enrol in coursework conditionally; or
   (c) exclude the student from coursework for a specified period of no longer than 5 years; or
   (d) require the student to transfer to another award program; or
   (e) require the student to vary student’s load to take account of the impact of external pressures on the student’s academic studies; or
   (f) require the student to take leave of absence from the award program for a specified period; or
   (g) require the student to undertake specified clinical or professional practice; or
   (h) refer the student to academic or professional staff for advice and support; or
   (i) decide other strategies as appropriate.

(6) The Academic Progress Committee must endeavour make a decision on the appeal within 20 working days after the day the appeal is made to the committee.

(7) Within 7 working days after the day the Academic Progress Committee makes a decision on the application, the Registrar must:
   (a) by written notice given to the student, tell the student about the decision made on the application; and
   (b) give the student a statement of reasons for the decision.

(8) Subject to the outcome of any appeal made to the Deputy Vice-Chancellor under section 14, the decision of the Academic Progress Committee is final.
14 Application for procedural appeal to Deputy Vice-Chancellor

(1) This section applies if a student who appeals to the Academic Progress Committee under this Part is dissatisfied with the decision of the committee because procedures that were required to be observed by this instrument in connection with the appeal were not observed.

(2) The student may appeal to the Deputy Vice-Chancellor against the Academic Progress Committee’s decision, but only on the ground that procedures that were required to be observed by this instrument in connection with the appeal were not observed.

(3) The appeal must:
(a) be in writing; and
(b) state clearly the procedures required by this instrument that were not observed in connection with the appeal; and
(c) include, or be accompanied by, any evidence in support of the appeal; and
(d) be given to the Registrar within 20 working days after the day the student is given written notice of the Academic Progress Committee’s decision.

15 Procedural appeal to Deputy Vice-Chancellor

(1) This section applies if a student appeals under section 14 (Application for procedural appeal to Deputy Vice-Chancellor) against a decision of the Academic Progress Committee.

(2) The Deputy Vice-Chancellor may decide the appeal solely on the basis of the notice of appeal and any material accompanying it, but may make the inquiries, and have regard to anything else, that the Deputy Vice-Chancellor considers appropriate.

(3) The Deputy Vice-Chancellor must:
(a) confirm the Academic Progress Committee’s decision; or
(b) set aside the committee’s decision, and do any of the following:
   (i) confirm the original decision of the Delegated Authority;
   (ii) refer the matter back to the committee to further consider its decision, taking into account the directions (if any) of the Deputy Vice-Chancellor, and to make a new decision;
   (iii) dismiss or uphold the original appeal and, in doing so, take any action that the committee could have taken.

(4) The Deputy Vice-Chancellor must endeavour to make a decision on the appeal within 20 working days after the day the appeal is made.

(5) If the Deputy Vice-Chancellor is unable make a decision on the appeal within the 20-day period mentioned in subsection (4), the Deputy Vice-Chancellor must tell the student and give the student a date by which the appeal will be decided.

(6) Within 7 working days after the day the Deputy Vice-Chancellor makes a decision on the appeal, the Deputy Vice-Chancellor must:
(a) by written notice given to the student, tell the student about the decision made on the appeal; and
(b) give the student a statement of reasons for the decision.

(7) The Deputy Vice-Chancellor’s decision is final.
Part 4  Miscellaneous

16  Enrolment application after period of exclusion

    If a student is excluded from graduate or undergraduate coursework under this Part, the student may apply the Registrar for enrolment to undertake undergraduate or graduate coursework, as the case may be, after the expiration of the period of exclusion.

17  Application of instrument to medical students

(1)  Part 2 (Academic progress rules) does not apply a medical student.

(2)  An order may make provision about the academic performance of medical students, including the effect of unsatisfactory performance.

(3)  If a medical student is excluded from graduate or undergraduate coursework under an order:

    (a)  the student is taken, for the application of this instrument to the student, to have been excluded under Part 2; and

    (b)  this instrument applies in relation to the student with all necessary changes and any changes prescribed by order.

(4)  In this section:

    medical student means a student enrolled, at any level, in:

    (a)  the Bachelor of Medicine, Bachelor of Surgery (MBBS) program; or

    (b)  the Medicinae ac Chirurgiae Doctoranda (Doctor of Medicine and Surgery) (MChD) program.

18  Approved forms

(1)  The Registrar may, in writing, approve forms for this instrument.

(2)  If the Registrar approves a form for a particular purpose, the form must be used for that purpose.

(3)  The Registrar must ensure that approved forms are publicly available on the University's website or any other way that the Registrar considers appropriate.

19  Appointment of Delegated Authorities

The Associate Dean for an ANU College may, in writing, appoint a member of the staff of the college to be a Delegated Authority for a program offered by the college for an award.

20  Nominees of Registrar

(1)  The Registrar may, in writing, appoint a member of the staff of the University (the nominee) to exercise all or any of the Registrar's functions under this instrument (other than this section).

(2)  A function exercised by the nominee under the appointment is taken to have been exercised by the Registrar.

(3)  This section does not prevent the Registrar from exercising a function in relation which the nominee has been appointed.
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) emailing it to:
   (i) if the individual is a student at the University—an email address provided by the University to the individual; or
   (ii) if the individual is not a student at the University—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 Orders
The Deputy Vice-Chancellor may make orders about matters mentioned this instrument.

Part 6 Repeal and transitional

23 Repeal etc.
(1) The Academic Progress Rules 2014 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the Academic Progress 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.

24 Transitional: repeated failure in course
(1) Section 8 (Repeated failure in courses) does not apply to a student in relation to a failure of a course if the student failed the course before the commencement of this section.

(2) Despite the repeal of the Academic Progress Rules 2014 by this instrument, section 5 (Repeated failure in course) of those rules continues to apply in relation to a student if the student:
   (a) had failed a course twice before the commencement of this section; or
   (b) had failed a course once before the commencement of this section and fails the course for a second time after the commencement of this section.
THE AUSTRALIAN NATIONAL UNIVERSITY

ACADEMIC PROGRESS (ANU MEDICAL SCHOOL) ORDER 2015

I, Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic) of the Australian National University, make the following order.

Dated: 11 December 2015

Professor Marnie Hughes-Warrington
DEPUTY VICE-CHANCELLOR (ACADEMIC)

1 Name
   This is the Academic Progress (ANU Medical School) Order 2015.

2 Commencement
   This instrument commences on 1 January 2016.

3 Authority
   This instrument is made under section 6 of the Program and Awards Statute 2013 and section 22 of the Academic Progress Rule 2015.

4 Interpretation
   In this instrument, unless the contrary intention appears, words and expressions used in this instrument and in the Academic Progress Rule have the same respective meanings as they have in the Academic Progress Rule.

5 Application
   This instrument applies to a student (a medical student) enrolled, at any level, in the Bachelor of Medicine and Bachelor Surgery (MBBS) program or the Medicinae ac Chirurgiae Doctoranda (Doctor of Medicine and Surgery) (MChD) program.

   [Note: Part 2 (Academic progress rules) of the Academic Progress Rule does not apply to a medical student (see s 17 of that rule). Instead this instrument makes provision about the academic performance of medical students, including the effect of unsatisfactory performance. However, a medical student may appeal under Part 3 (Academic progress appeals) of the Academic Progress Rule to the Academic Progress Committee against the exclusion of the student from coursework under this instrument.]
6 Failure to maintain satisfactory coursework standard

(1) If a student fails one or more courses in a year of enrolment, the student is considered to have failed to maintain a satisfactory standard of academic progress in the student’s program, and is to be regarded as being on probation for the remainder of that program.

(2) If a student is regarded as being on probation, the student must be notified by the Registrar, in writing, as soon as practicable after the relevant failure occurs.

(3) Upon notification of being on probation, a student must meet with the Delegated Authority and may be directed, in writing, by the Delegated Authority to take remediation activities.

(4) If a student to whom subsection (1) applies fails, for a second or subsequent time, any course in any year of the student’s enrolment, the student is considered to have failed to have maintained a satisfactory standard of academic progress, and may be excluded by the Delegated Authority from graduate or undergraduate coursework for a specified period of no longer than 5 years.

(5) If a student fails to undertake remediation activities directed by the Delegated Authority under subsection (3) or to meet any condition imposed in relation to the student under Part 3 (Academic progress appeals) of the Academic Progress Rule, the student may be excluded by the Delegated Authority from graduate or undergraduate coursework for a specified period of no longer than 5 years.

(6) However, notwithstanding subsections (1) and (4), if a student fails any course in the student’s final year (or part-time equivalent), the student is considered to have failed to have maintained a satisfactory standard of academic progress, and may be excluded by the Delegated Authority graduate or undergraduate coursework for a specified period of no longer than 5 years.

(7) If a student fails a second or later year ANU Medical School professional practice course, the student is considered to have failed to have maintained a satisfactory standard of academic progress, and may be excluded by the Delegated Authority from graduate or undergraduate coursework for a specified period of no longer than 5 years.

(8) If the Delegated Authority excludes a student under this section from undergraduate or graduate coursework, the Registrar must, by written notice given to the student, tell the student:

(a) that the student has been excluded from undergraduate or graduate coursework, as the case requires; and

(b) the period that the student has been excluded; and

(c) that the student may appeal to the Academic Progress Committee under Part 3 (Academic progress appeals) of the Academic Progress Rule against the exclusion.

(9) In this section:

remediation activities may include, but are not limited to, undertaking a targeted academic revision program or satisfying a specific requirement from the ANU Medical School Professional Behaviours Committee.

7 Repeal etc.

(1) The ANU Medical School Academic Progress Order 2014 is repealed.
(2) To remove any doubt, a reference in an order or other document of the University to the *ANU Medical School Academic Progress Order* (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.
ATTACHMENT 31.9 151/2016

THE AUSTRALIAN NATIONAL UNIVERSITY

FEES RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated: 11 December 2015

Professor Ian Young AO
VICE-CHANCELLOR

[General Note:
The University is permitted to charge fees under section 41 of the Australian National University Act 1991 and section 19-85 of the Higher Education Support Act 2003 ("the HES Act"). The Acts are accessible on the Internet at the following website:

This instrument relates to types of fees which the University is permitted to charge under the HES Act and which the Council has authorised for collection.

This instrument is designed to be consistent with the HES Act and with Guidelines issued by the Minister under that Act. The Guidelines are accessible on the Internet at the following website:
http://www.innovation.gov.au]

PART 1 - PRELIMINARY

1 Name, commencement and authority
(1) This is the Fees Rule 2015.
(2) This instrument commences on the day after it is registered.
(3) This instrument is made under section 3 of the Fees Statute 2006.
[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Fees Statute.]

2 Interpretation
(1) In this instrument:
Commonwealth supported place means a place within a course in which a Commonwealth supported student may enrol.
Commonwealth supported student has the meaning given in the HES Act.
contributing student means a Commonwealth supported student who receives HECS-HELP or FEE-HELP assistance.
course means a unit of study within the meaning of the HES Act.

coursework program means a program consisting either entirely of coursework or of a
combination of coursework and research (the research component being less than two-thirds
of the whole program).

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 in a course or
other work requirement that forms part of a program offered by the University.

Deputy Vice-Chancellor, in relation to a matter, means the person who holds office as a
Deputy Vice-Chancellor and who has portfolio responsibility for the matter.
domestic student means a person who is not an overseas student.
[Note: overseas student is defined in the HES Act.]
enrolled, in relation to a student or a program, means a student who has registered an
enrolment in a course of the relevant 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 awarding of a
graduate degree, a 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.
non-award program means a program which does not lead to the award of a degree,
diploma or certificate, but which consists of a course or work requirement that forms part of
an undergraduate or graduate program.
[Note: non-award program does not include studies undertaken on a non-award basis
within the meaning of the HES Act.]

order means an order made under or for the purposes this instrument.

program means a course of study within the meaning of the HES Act, including a program
of study offered by the University under rules made under the Programs and Awards Statute,
or any course or any work requirement forming part of such a program.

Registrar, in relation to a function or matter, means the Registrar with portfolio
responsibility for the function or matter concerned.

relevant authority, in relation to a student, means the Associate Dean, Registrar, or other
authority, as appropriate, who is authorised under the relevant rules as the relevant authority
for the program for which the student is or was enrolled.

research program means a program for which the research component comprises not less
than two-thirds of the total program requirements.

SA Fee means the Student Services and Amenities Fee.

semester means first semester or second semester.

session includes, as the case requires:

(a) in relation to a person undertaking a coursework program — summer session,
    autumn session, winter session and spring session; or

(b) in relation to a person undertaking a research program — research quarter 1,
    research quarter 2, research quarter 3 and research quarter 4.

student, except in relation to a Commonwealth supported student where the HES Act
definition of student applies, means a person who is, or is to be, enrolled in a program.

student contribution means a contribution payable under Part 4.
(2) Other words and expressions used in this instrument have the respective meanings given to them in the HES Act.
[Note: For example, census date, course of study, overseas student and student contribution amount are defined in the HES Act.]

3 Application

(1) This instrument applies to persons who:
   (a) are admitted to candidature in programs offered by the University under rules made under the Programs and Awards Statute, or in any course or other work requirement forming part of such a program; or
   (b) use any ancillary service offered by the University; or
   (c) use the residential accommodation services offered by the University; or
   (d) undertake non-award studies offered by the University.

[Note: A student who wishes to use FEE-HELP must meet all the relevant requirements of the Commonwealth.]

(2) Notwithstanding anything else in this instrument, if the Vice-Chancellor or Deputy Vice-Chancellor arranges for a program to be offered in conjunction with another tertiary education institution or educational provider, the arrangement prevails over this instrument and this instrument is to be interpreted accordingly.

(3) In addition to and notwithstanding anything else in this instrument, if the Vice-Chancellor or Deputy Vice-Chancellor enters into a contract with a private or government organisation for a program to be offered, in relation to a person undertaking that program the contract prevails over this instrument and this instrument is to be interpreted accordingly.

PART 2 - TUITION FEES FOR DOMESTIC STUDENTS

4 Award programs

(1) A domestic student who is enrolled in any semester, session or trimester in a program for an award must pay to the University the tuition fees set out in, or worked out under, the orders for the courses to be undertaken in that program for that semester, session or trimester.

(2) However, a student referred to in subsection (1) is not required to pay particular fees set out in, or worked out under, the orders for the courses to be undertaken in a program if the student:
   (a) is eligible for FEE-HELP or HECS-HELP assistance from the Government and has taken out a FEE-HELP or HECS-HELP loan before the relevant census date; or
   (b) is a Commonwealth-funded Higher Degree by Research student; or
   (c) is a student who 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
   (d) is the holder of a full tuition fee scholarship funded by the University; or
   (e) is a person who holds a place fully funded by an employer;
and whose obligation to pay those fees is met under an award or other scheme or arrangement referred to in paragraph (a), (b), (c), (d) or (e).
(3) However, a student referred to in subsection (2) remains personally liable for the payment of any fees due to the University in respect of that student if the obligation to pay those fees is not met under an award, scheme or arrangement referred to in that subsection.

(4) Also, if the Vice-Chancellor, the Deputy Vice-Chancellor or the relevant Associate Dean sponsors all or part of the tuition fees for a student in accordance with the HES Act, the student is not liable to pay the fees so sponsored.

5 Non-award programs

(1) A student who is enrolled in a non-award program in any semester, session or trimester must pay the University the tuition fees set out in, or worked out under, the orders for the courses to be undertaken in the program for that semester, session or trimester.

(2) A student referred to in subsection (1) must pay the tuition fees referred to in that subsection whether or not the student's performance is to be examined.

(3) A contributing student who is enrolled in a course in a semester, session or trimester that does not have a Commonwealth supported place in that semester, session or trimester must pay the University the tuition fees set out in, or worked out under, the orders for that course.

(4) However, a cross-institutional student of another tertiary education institution who is enrolled in a course or other work requirement that forms part of a coursework program offered by the University is liable to pay the University the fees set out in, or worked out under, the orders for that course or other work requirement unless:

(a) the student discharges their 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 or defers that student contribution amount using HECS-HELP.

(5) Also, 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 regarded as being enrolled at the other institution on a fee-paying basis.

PART 3 - FEES FOR OVERSEAS STUDENTS

6 Fees payable by overseas students

(1) An overseas student who is (or is to be) enrolled in a program for any semester, session or trimester must pay the University the fees set out in, or worked out under, the orders for the courses to be undertaken in that program for that semester, session or trimester.

[Note: overseas student is defined in the HES Act.]

(2) However, an overseas student referred to in subsection (1) is not required to pay particular fees set out in, or worked out under, the orders for the courses to be undertaken in a program if the student:

(a) holds a scholarship, approved by the University, that meets the student's obligation to pay those fees; or
(b) has the tuition fees sponsored by the Vice-Chancellor, the Deputy Vice-Chancellor or the relevant Associate Dean in accordance with the Higher Education Provider Guidelines.

(3) However, an overseas student referred to in subsection (1) remains personally liable for the payment of any fees due to the University in respect of that student if the obligation to pay those fees is not met under a scholarship referred to in subsection (2).

7 Overseas students who become permanent residents

(1) An overseas student who is granted a permanent resident visa after having arrived in Australia 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, an overseas student who is awarded a permanent residency visa must provide proof of their visa before the census date of the first course in the semester, session or trimester in which they are enrolled to be eligible to be recognised as a permanent resident for that semester, session or trimester.

(3) Also, an overseas student whose continued presence in Australia is subject to any limitation as to time imposed by law on the census date for a semester, session or trimester, remains an overseas student for that semester, session or trimester.

PART 4 - COMMONWEALTH SUPPORTED STUDENTS

[General Note: Commonwealth supported students are eligible domestic students that are offered a Commonwealth supported place by the University. Commonwealth supported students pay a contribution to the cost of their program whilst the Government pays the remainder of their tuition.]

8 Requirement to pay contributions

(1) A contributing student who is, in any semester, session or trimester, undertaking a program at the University on the census date for that program for that semester, session or trimester must pay to the University for that semester, session or trimester a student contribution amount, ascertained in accordance with section 19-67 of the HES Act, 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) making a full payment of the student contribution amount of the student contribution that the student is required to pay to the University; or
   (b) making a partial payment and deferring the unpaid part; or
   (c) deferring the entire payment.

[Note: Permanent residents cannot defer payment.]

(3) A contributing student who intends to defer payment of a student contribution liability for a semester, session or trimester in whole or in part must provide the Registrar with the student's Tax File Number or a Certificate of Application for a Tax File Number from the Australian Taxation Office before the census date for that semester, session or trimester.
(4) However, a student to whom subsection (3) applies who provides the Registrar with a Certificate of Application for a Tax File Number from the Australian Taxation Office must provide the Registrar with that Tax File Number within 21 days of it being issued.

(5) A contributing student of the kind referred to in subsection (2)(b) may in a semester, session or trimester make one or more payments of at least $500 per payment until the date notified by the Registrar, in writing, for making such payments in that semester, session or trimester, but the University will not accept any voluntary payments of any amount from such a student in that semester, session or trimester after that date.

(6) A notice referred to in subsection (5) must be published on the University's website and on appropriate notice boards.

9 Appropriate officer

For the purposes of Chapter 5, Part 5-5 of the HES Act, appropriate officer means the person appointed by the Vice-Chancellor for that purpose.

[Note: At the commencement of this instrument, that person is the Registrar.]

10 Registrar's duties

The Registrar must ensure compliance with the following provisions of the HES Act:
• section 169-5 (Notices);
• section 169-10 (Correction of notices);
• section 19-70 (Provider to provide statement of general information);
• section 154-55 (Higher Education Provider etc. to provide information to Commissioner).

PART 5 - FEES FOR GOODS OR SERVICES INCIDENTAL TO STUDIES

11 Fees for incidental services etc

A person who uses any incidental or additional service offered by the University must pay the amount of the fee or charge for that service.

[Note: For criteria to determine whether a fee is of a kind that is incidental to studies that may be undertaken by a university, see chapter 8 of the Higher Education Provider Guidelines made under section 238-10 of the HES Act.]

12 Student Services and Amenities Fee

A student who is enrolled in any semester, session or trimester at the University must, unless an order provides otherwise, pay to the University a fee, ascertained in accordance with section 19-37 of the HES Act, to support the provision to students of amenities and services not of an academic nature, regardless of whether the student chooses to use any of those amenities and services.
PART 6 - FEES FOR RESIDENTIAL ACCOMMODATION

13 Residential accommodation services fees

(1) Subject to the Halls of Residence Statute, the University House Statute and to any rules made under either of those statutes, if the orders so require, a person who uses the residential accommodation services offered by the University must pay the amount of the fee or charge for that service set out in, or worked out under, the orders.

(2) However, nothing in this section prevents the University from entering into a commercial arrangement with a person for the use of residential accommodation services requiring that person to pay a fee for that use.

(3) A fee payable under subsection (2) is a fee that is required to be paid under this instrument.

PART 7 - FEES FOR NON-AWARD STUDIES

14 Fees for non-award studies

A person who 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, must pay the amount of the fee or charge for those studies set out in, or worked out under, this instrument or the orders.

PART 8 - COLLECTION OF FEES

15 Officers responsible for the collection of fees

(1) The Vice-Chancellor may appoint a nominee to collect the fees payable under this instrument.

(2) For the purposes of this Part, the Registrar is to be regarded as a nominee of the Vice-Chancellor.

16 Nominee to collect fees

(1) The Registrar must collect the fees and student contribution amount payable under Parts 2, 3, and 4, and any fees of a type payable under Part 5 as the Vice-Chancellor directs.

(2) A nominee must collect whichever fees payable under Part 5 as the Vice-Chancellor directs, and the fees payable under Parts 6 and 7.

(3) A nominee, other than the Registrar, has, for the purposes of this instrument, such powers as the Vice-Chancellor determines.

17 Powers of the Registrar

(1) The Registrar may, by notice, determine:

(a) the date or dates for the payment of fees and student contribution amounts to the University; and
(b) the manner in which fees and student contribution amounts are to be paid; and
(c) the circumstances in which late fees may be imposed; and
(d) the circumstances, if any, and the conditions applying to payment by instalments; and
(e) the circumstances in which a person may be entitled to a refund of the whole or portion of the fees paid or to the remission of a fees debt; and
(f) the notice that a person is required to give the University of a change in the person's mailing or contact address.

(2) A notice 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 may, from time to time, by further notice, amend or revoke a notice.

(4) A notice referred to in this section must be published on the University's website.

18 Extensions and exemptions

(1) The Registrar may:
   (a) extend the time for payment of fees to which this instrument or the orders apply; or
   (b) exempt a student from payment of a late fee or of an additional fee for the revival of an enrolment.

(2) However, the Registrar may not extend the payment due date for Commonwealth supported students beyond the census date.

19 Non-payment of fees by due date

(1) The Registrar may cancel the enrolment of a person as a student, and withdraw the rights and privileges to which that person would otherwise have been entitled, if fees payable by a person under this instrument or the orders are not paid:
   (a) before the relevant census date; or
   (b) within the period determined by the Registrar under section 18;

as the case requires.

(2) The cancellation of the enrolment of a person as a student does not extinguish any undischarged liability of the person to pay fees.

(3) In making a determination under subsection (1), the Registrar must act in accordance with the HES Act and the Education Services for Overseas Students Act 2000.

20 Applications for enrolment to be revived

(1) A person whose enrolment as a student has been cancelled may apply to the Registrar for that enrolment to be revived and the Registrar may grant the application.

(2) However, an application under subsection (1) must not be granted unless:
   (a) the relevant authority recommends that the enrolment be revived, subject to any conditions that the relevant authority may impose; and
(b) the applicant pays, in addition to all other fees (including late fees) that the applicant owes to the University, any additional fee that the applicant is required to pay under this instrument or the orders.

21 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 nominee of the third party, to pay, on behalf of a person, fees payable to the University by that person.

(2) However, a person to whom this instrument applies remains personally liable for the payment of any fees due to the University in respect of that person but unpaid by the third party.

22 Sanctions against persons who fail to pay fees

(1) If a person fails to pay a fee which the person is required to pay under this instrument or the orders, the Registrar may direct that, while the fee 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) In this section:
   
   fee, in relation to a person, includes any of the following:
   (a) a tuition fee;
   (b) a late fee;
   (c) a fee known as an SA Fee;
   (d) an accommodation debt;
   (e) a fee payable in relation to a financial assistance program or field trip;
   (f) any other financial liability for a service rendered by the University in relation to that person.

PART 9 - MISCELLANEOUS

23 Service of notice

A notice required or permitted to be given to a person under this instrument is to be taken to have been given to the person if it was sent:

(a) by pre-paid post to the person at the address last notified to the Registrar as the person's mailing or postal address for the relevant semester, session or trimester; or
   
   (b) to the person at the e-mail address allocated to the person by the University; or
   
   (c) to the person at a secure website which the person is required by the University to access.
24 Nominee may appoint agent

A nominee of the Vice-Chancellor appointed under section 15 to collect fees may appoint one or more persons to act as an agent of the nominee for the purposes of carrying out the nominee's functions.

25 Repeal etc.
(1) The Fees Rules 2014 are repealed.

(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.

26 Transitional

(1) To remove any doubt, any amount payable and unpaid under the Fees Rules 2014, and anything done under those rules and in effect immediately before the repeal of those rules, 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) section 7 of the Acts Interpretation Act 1901;
(b) section 7 of the Interpretation Statute.
THE AUSTRALIAN NATIONAL UNIVERSITY

FEES (GENERAL) ORDER 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following order.

Dated: 11 December 2015

[Signature]

Professor Ian Young AO
VICE-CHANCELLOR

[General Note:]
The University is permitted to charge fees under section 41 of the Australian National University Act 1991 and section 19-85 of the Higher Education Support Act 2003 ("the HES Act"). The Acts are accessible on the Internet at the following website:

The Fees Rule relates to types of fees which the University is permitted to charge under the HES Act and which the Council has authorised for collection. The rule is designed to be consistent with the HES Act and with Guidelines issued by the Minister under that Act. The Guidelines are accessible on the Internet at the following website:

This instrument is intended to complement the Fees Rule by setting out a framework under which particular fees can be calculated.

1 Name

This is the Fees (General) Order 2015.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made under section 4 of the Fees Statute 2006.
4 Interpretation

In this instrument, unless the contrary intention appears, words and expressions used in this instrument and in the Fees Rule have the same respective meanings as they have in the Fees Rule.

5 Application

(1) This instrument applies for 2016 to persons to whom the Fees Rule applies.

(2) Notwithstanding anything else in this instrument, 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, the arrangement prevails over this instrument and this instrument is to be interpreted accordingly.

(3) In addition to and notwithstanding anything else in this instrument, 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, in relation to a person undertaking that program the contract prevails over this instrument and this instrument is to be interpreted accordingly.

6 Tuition fees

(1) The tuition fees set out in Schedules 1 and 2 apply for 2016 to a student to whom this instrument applies.

(2) On and after 1 January 2016, all students are liable for the tuition fee applied to each year, regardless of commencement date.

7 Calculation of particular student fees etc.

Particular student tuition and contribution amounts are to be calculated in accordance with the guidelines accessible at:
http://students.anu.edu.au/students/program-administration/costs-fees

[Note: Indicative fees for individual programs may be found at: http://programsandcourses.anu.edu.au/]

8 Extension of program arrangements for higher degree research students

If a student enrolled in a higher degree research program has successfully obtained an extension of the standard program duration applying to students undertaking the program, the student is to pay fees as follows:

(a) for a domestic student—the student is to be granted an exemption scholarship in 2016;

(b) for an international student resident in Australia—the student is to pay a subsidised fee of $3,000 (non-laboratory) or $4,000 (laboratory) for a period of 6 months in 2015;

(c) for an international student resident overseas—the student is not required to pay the subsidised fee mentioned in paragraph (b).
9   **Student Services and Amenities Fee**

   All students enrolled at the University are liable to pay the applicable Student Services and Amenities Fee mentioned in Schedule 3 unless the Schedule provides otherwise.

10  **Repeal etc.**

(1) The *Tuition Fees Order 2015* is repealed.

(2) To remove any doubt, a reference in an order or other document of the University to the *Tuition Fees Order* (whether with or without the year of making or the year and number of the year of its making) includes a reference to this instrument.
Schedule 1—Standard tuition fees

<table>
<thead>
<tr>
<th>Broad discipline</th>
<th>Field of education (FoE) name</th>
<th>FoE code</th>
<th>UG band</th>
<th>PG band</th>
<th>HDR band¹</th>
<th>Domestic tier (coursework only)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agriculture, Environmental and Related Studies</td>
<td>Agriculture, Environmental and Related Studies</td>
<td>05</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>A</td>
</tr>
<tr>
<td>Behavioural Science</td>
<td>Behavioural Science</td>
<td>0907</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>B</td>
</tr>
<tr>
<td>Business (MBA)</td>
<td>Management and Commerce</td>
<td>08</td>
<td></td>
<td></td>
<td></td>
<td>A</td>
</tr>
<tr>
<td>Creative Arts</td>
<td>Creative Arts</td>
<td>10</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>C</td>
</tr>
<tr>
<td>Economics</td>
<td>Economics and Econometrics</td>
<td>0019</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>A</td>
</tr>
<tr>
<td>Engineering</td>
<td>Engineering and Related Technologies</td>
<td>03</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>A</td>
</tr>
<tr>
<td>Health</td>
<td>Health</td>
<td>0801</td>
<td>5</td>
<td>5</td>
<td>5</td>
<td>A</td>
</tr>
<tr>
<td>Information Technology</td>
<td>Information Technology</td>
<td>02</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>A</td>
</tr>
<tr>
<td>Graduate Diploma of Legal Practice/Master of Legal Practice Courses</td>
<td>Law</td>
<td>0909</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Law</td>
<td>Law</td>
<td>0909</td>
<td>2</td>
<td>3</td>
<td>2</td>
<td>B</td>
</tr>
<tr>
<td>Management and Commerce</td>
<td>Management and Commerce</td>
<td>08</td>
<td>3</td>
<td>4</td>
<td>4</td>
<td>A</td>
</tr>
<tr>
<td>Medical Science²</td>
<td>Medical Studies</td>
<td>0613</td>
<td>5</td>
<td>5</td>
<td>5</td>
<td>A</td>
</tr>
<tr>
<td>Natural and Physical Sciences</td>
<td>Natural and Physical Sciences</td>
<td>01</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>A</td>
</tr>
<tr>
<td>Political Science and Policy Studies</td>
<td>Political Science and Policy Studies</td>
<td>0901</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>B</td>
</tr>
<tr>
<td>Society and Culture</td>
<td>Society and Culture (ex 0901, 0908, 0919, 0907)</td>
<td>09</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>B</td>
</tr>
</tbody>
</table>

Table 2: Band fee rates

<table>
<thead>
<tr>
<th>Band</th>
<th>Fee per 48 units</th>
<th>Fee per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$31,008</td>
<td>$646</td>
</tr>
<tr>
<td>2</td>
<td>$34,944</td>
<td>$728</td>
</tr>
<tr>
<td>3</td>
<td>$37,104</td>
<td>$773</td>
</tr>
<tr>
<td>4</td>
<td>$39,024</td>
<td>$813</td>
</tr>
<tr>
<td>5</td>
<td>$41,520</td>
<td>$865</td>
</tr>
</tbody>
</table>

Table 3: Domestic tier

<table>
<thead>
<tr>
<th>Tier</th>
<th>Reduction on table 2 Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>25%</td>
</tr>
<tr>
<td>B</td>
<td>30%</td>
</tr>
<tr>
<td>C</td>
<td>35%</td>
</tr>
</tbody>
</table>

¹ Coursework courses taken as part of a research program will be charged at the relevant coursework rate.
² Does not include the Doctor of Medicine and Surgery (MChD) international fee, which is provided in Schedule 2.
## Schedule 2—Other tuition fees

### Program fees

<table>
<thead>
<tr>
<th>Program code</th>
<th>Program name</th>
<th>Domestic fee</th>
<th>International fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>8950</td>
<td>Doctor of Medicine and Surgery (MChD)</td>
<td>$69,024 per 48 units</td>
<td></td>
</tr>
<tr>
<td>9300 9101 9600</td>
<td>Higher Doctorates excluding Medicine • Doctor of Laws • Doctor of Letters • Doctor of Science</td>
<td>$1,575³</td>
<td>$1,575³</td>
</tr>
<tr>
<td>9911</td>
<td>Doctor of Medicine (MD)</td>
<td>$3,500⁵</td>
<td>$3,500⁶</td>
</tr>
<tr>
<td>1300</td>
<td>Study Abroad</td>
<td>N/A</td>
<td>$18,132⁷ per 24 units</td>
</tr>
<tr>
<td>1300</td>
<td>Study Abroad (Partner Institutions)</td>
<td>N/A</td>
<td>$11,550</td>
</tr>
</tbody>
</table>

### Course fees

<table>
<thead>
<tr>
<th>Subject</th>
<th>Catalogue</th>
<th>Name</th>
<th>Units</th>
<th>DTF 2016</th>
<th>ISF 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEGW</td>
<td>8010</td>
<td>Banking &amp; Finance Law</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8100</td>
<td>Accounts</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8101</td>
<td>Legal Ethics</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8104</td>
<td>Civil Practice</td>
<td>6</td>
<td>$2,406</td>
<td>$3,144</td>
</tr>
<tr>
<td>LEGW</td>
<td>8105</td>
<td>Commercial Practice</td>
<td>6</td>
<td>$2,406</td>
<td>$3,144</td>
</tr>
<tr>
<td>LEGW</td>
<td>8106</td>
<td>Criminal Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8107</td>
<td>Family Law Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8114</td>
<td>Wills Probate and Admin</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8118</td>
<td>Admin Law Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8124</td>
<td>Government Law Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8133</td>
<td>Real Estate Practice</td>
<td>6</td>
<td>$2,406</td>
<td>$3,144</td>
</tr>
<tr>
<td>LEGW</td>
<td>8135</td>
<td>Consumer Law Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8136</td>
<td>Employ &amp; Industrial Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8137</td>
<td>Plan &amp; Environmental Practice</td>
<td>3</td>
<td>$1,147</td>
<td>$1,503</td>
</tr>
<tr>
<td>LEGW</td>
<td>8141</td>
<td>Becoming a Practitioner</td>
<td>6</td>
<td>$1,701</td>
<td>$2,174</td>
</tr>
<tr>
<td>LEGW</td>
<td>8142</td>
<td>Professional Practice Core</td>
<td>24</td>
<td>$5,720</td>
<td>$8,014</td>
</tr>
<tr>
<td>LEGW</td>
<td>8129 8130 8131 8143</td>
<td>Legal Practice Experience</td>
<td>3-12</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

---
³ Flat rate, non-refundable administration and examination charge.
⁴ Flat rate, non-refundable administration and examination charge.
⁵ Flat rate, non-refundable administration and examination charge.
⁶ Flat rate, non-refundable administration and examination charge.
⁷ The study abroad rate is determined by using the price for 12 units of undergraduate Medical Science and 12 units of Society and Culture fees and is indicative only. This is the fee charged to nominated sponsors as a flat fee per semester.
<table>
<thead>
<tr>
<th>LAWS</th>
<th>Course Code</th>
<th>Course Name</th>
<th>Units</th>
<th>Fee 1</th>
<th>Fee 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>LAWS</td>
<td>8160</td>
<td>Military Discipline Law</td>
<td>6</td>
<td>$4,353</td>
<td>$4,353</td>
</tr>
<tr>
<td>LAWS</td>
<td>8161</td>
<td>Advocacy for Military Lawyers</td>
<td>6</td>
<td>$4,353</td>
<td>$4,353</td>
</tr>
<tr>
<td>LAWS</td>
<td>8162</td>
<td>Military Operations Law</td>
<td>6</td>
<td>$4,353</td>
<td>$4,353</td>
</tr>
<tr>
<td>LAWS</td>
<td>8163</td>
<td>Military Administrative Law</td>
<td>6</td>
<td>$4,353</td>
<td>$4,353</td>
</tr>
<tr>
<td>LAWS</td>
<td>8164</td>
<td>Advanced Military Discipline Law</td>
<td>9</td>
<td>$6,534</td>
<td>$6,534</td>
</tr>
<tr>
<td>LAWS</td>
<td>8165</td>
<td>Advanced Military Administrative Law</td>
<td>9</td>
<td>$8,534</td>
<td>$6,534</td>
</tr>
<tr>
<td>LAWS</td>
<td>8166</td>
<td>Advanced Military Operations Law</td>
<td>6</td>
<td>$4,353</td>
<td>$4,353</td>
</tr>
</tbody>
</table>
Schedule 3—Student Services and Amenities Fee

Fee
ANU will charge the fee in 2016 to all students as follows:
- $290 for full-time students (to be indexed each year)
- $145 for part-time students (to be indexed each year).

<table>
<thead>
<tr>
<th>Student cohort</th>
<th>Liable?</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commonwealth supported students</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Domestic tuition fee (DTF) paying students</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Research Training Scheme students (Domestic PhD or MPhil)</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Domestic cross-institutional students (inbound)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Domestic exchange students (outbound)</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Study abroad students (inbound)</td>
<td>Yes</td>
<td>Inbound study abroad students coming from another institution are not eligible to defer the debt through SA HELP.</td>
</tr>
<tr>
<td>Exchange students (inbound)</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>International student fee (ISF) paying students</td>
<td>Yes</td>
<td>International students are not eligible to defer the debt through SA HELP.</td>
</tr>
</tbody>
</table>

Exemptions
1. Students in the following online only programs are exempt from the Student Services and Amenities Fee:
   - 5132 Graduate Non-award Legal Workshop
   - 6363 Graduate Certificate in Australian Migration Law and Practice
   - 6312 Graduate Diploma in Legal Practice
   - 7835 Master of Environmental Management and Development – Online.
2. Despite Schedule 3, students enrolled in the following transnational offshore programs and contractual arrangements are exempt from the Student Services and Amenities Fee:
   - 7812XTSING Master of Management
   - 6826 Graduate Diploma in Military Studies
   - 6827 Graduate Certificate in Military Studies
   - 6828 Graduate Diploma of Military and Defence Studies
   - 6829 Graduate Certificate of Military and Defence Studies
   - 7826 Master of Arts (Military Studies)
   - 7827 Master of Military Studies
   - 7828 Master of Military and Defence Studies (Advanced)
   - 7829 Master of Military and Defence Studies.
3. Students who are in the following programs and so have concurrent full-time enrolment at a secondary school or secondary College are exempt from the Student Services and Amenities Fee:
   - Bachelor of Studies
   - Diploma of Studies.
THE AUSTRALIAN NATIONAL UNIVERSITY

INFORMATION INFRASTRUCTURE AND SERVICES RULE 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following rule.

Dated 15 December 2015

[Signature]
Professor Ian Young AO
Vice-Chancellor

TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>PART 1 - PRELIMINARY</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 NAME</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 COMMENCEMENT</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 AUTHORITY</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 DEFINITIONS</td>
<td>4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 RESPONSIBLE OFFICERS</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PART 2 - INFORMATION INFRASTRUCTURE: ACCESS AND USE</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 INFORMATION INFRASTRUCTURE: ACCESS AND USE</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 AUTHORISED AND PUBLIC ACCESS</td>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 AUTHENTICATION</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 SYSTEM SECURITY</td>
<td>6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 PUBLICATION OF MATERIAL</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 USE OF EQUIPMENT AND SOFTWARE</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 DEVELOPMENT OF SOFTWARE</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13 ACCESS TO REMOTE SERVICES FROM THE UNIVERSITY</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14 EXAMINATION OF INFORMATION</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15 APPLICATION OF FURTHER CONDITIONS</td>
<td>7</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
PART 3 - PARTICULAR CONTRAVENTIONS IN RELATION TO INFORMATION INFRASTRUCTURE

16 CONTRAVENTION: USE FOR GAIN ................................................................. 8
17 CONTRAVENTION: COPYING ETC ............................................................. 8
18 CONTRAVENTION: SUBVERTING ETC ....................................................... 8
19 CONTRAVENTION: OFFENSIVE MESSAGES OR MATERIAL ETC. .......... 9
20 CONTRAVENTION: MISREPRESENTATION ............................................... 9
21 CONTRAVENTION: DAMAGE TO INFORMATION INFRASTRUCTURE ETC. 9

PART 4 – LIBRARY AND LIBRARY COLLECTIONS ............................................. 9
22 APPLICATION OF PART 4 ........................................................................... 9
23 DELEGATION BY LIBRARIAN ................................................................. 9
24 RETURN OR RECALL OF BORROWED ITEMS ........................................... 10
25 LOSS OR DESTRUCTION OF BORROWED ITEMS ..................................... 10
26 DAMAGE TO LIBRARY ITEMS ETC ......................................................... 10
27 CONDUCT OF PERSONS IN LIBRARY PREMISES ..................................... 11

PART 5 – DEALING WITH CONTRAVENTIONS ................................................ 11
28 HOW CONTRAVENTIONS MAY BE DEALT WITH ..................................... 11

PART 6 – PENALTIES ..................................................................................... 12
29 PENALTIES FOR CONTRAVENTIONS ....................................................... 12
30 PENALTIES THAT MAY BE IMPOSED ....................................................... 12
31 AMOUNT OF COMPENSATION ............................................................... 13
32 IMPOSITION OF PENALTIES ................................................................. 13
33 SUSPENSION FROM INFORMATION INFRASTRUCTURE ............................ 14

PART 7 - APPEALS .......................................................................................... 14
34 INFORMATION INFRASTRUCTURE AND SERVICES APPEALS COMMITTEE 14
35 APPEAL BY PERSON AGAINST WHOM FINDING IS MADE ....................... 14
36 APPEAL BY EXECUTIVE DIRECTOR ......................................................... 14
37 CONDUCT OF APPEAL BY APPEALS COMMITTEE .................................. 15
38 REPRESENTATION AT APPEALS COMMITTEE HEARINGS ....................... 15
39 DECISION OF APPEALS COMMITTEE .................................................... 15

PART 8 - MISCELLANEOUS ............................................................................. 16
40 APPROVED FORMS .................................................................................. 16
41 DELEGATION BY VICE-CHANCELLOR ..................................................... 16
42 SERVICE OF NOTICES ETC ................................................................. 16
43 ORDERS .............................................................................................. 17
PART 1 PRELIMINARY

1 Name
This is the Information Infrastructure and Services Rule 2015.

2 Commencement
This instrument commences on 1 January 2016.

3 Authority
This instrument is made under section 5 of the Information Infrastructure and Services Statute 2012.
[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Information Infrastructure and Services Statute.]

4 Definitions
In this instrument:

account means an account assigned to a user under section 7(4) (Authorised and public access).

Appeals Committee means the Information Infrastructure and Services Appeals Committee established by section 34(1).

Executive Director means the Executive Director (Administration and Planning).

exercise a function includes perform the function.

function includes duty and power.

item includes a book, periodical, newspaper, thesis, pamphlet, musical score, map, plan, chart or table, sound recording, cinematograph film, audio-visual material, electronic material, digital material and microform material.

Librarian means the University Librarian.

library collection includes a collection of items.

order means an order made under or for the purposes of this instrument.

password, in relation to a user, means a password or other form of authentication, described in section 8 (Authentication), to a part of the information infrastructure authorised under section 7 (Authorised and public access) for use by the user.

prescribed by order includes worked out in accordance with an order.

responsible officer, for a provision of this instrument, means a person appointed under section 5(1) as a responsible officer for that provision.

this instrument includes the orders.

user means a person (wherever located) who accesses the information infrastructure.

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 Responsible officers

(1) The Executive Director may, in writing, appoint a person to be a responsible officer for a provision of this instrument.

(2) The Executive Director may not personally exercise the functions of a responsible officer.

PART 2 INFORMATION INFRASTRUCTURE: ACCESS AND USE

6 Information infrastructure: access and use

(1) A user must not use the information infrastructure in a way that is:
   (a) unethical; or
   (b) not in accordance with the law (including a statute, rule or order of the University); or
   (c) detrimental to the rights and property of others.

(2) A responsible officer may give a user access to all or a particular part of the information infrastructure, depending on the user's individual work or study requirements.

(3) If a user is permitted to access the information infrastructure jointly with other users, each joint user is responsible for anything done, or omitted to be done, on the information infrastructure by any of the joint users during a period of permitted joint access.

(4) If a user is uncertain about whether the user is authorised to use any part of the information infrastructure, the user must obtain the advice of a responsible officer or a person appointed, in writing, by a responsible officer as a person responsible for that part of the information infrastructure.

7 Authorised and public access

(1) A person must not use the information infrastructure unless:
   (a) the person is authorised to do so by a responsible officer; or
   (b) the service used by the person is for public use.

(2) An authorised user must not contravene a University policy, procedure or standard about the use of the information infrastructure.

(3) A person must not:
   (a) use, or permit anyone else to use, the information infrastructure or any part of the information infrastructure, unless the person is authorised to do so; or
   (b) use another user's account; or
   (c) use, for unauthorised purposes, any part of the information infrastructure that the person is authorised to use; or
   (d) without authority or lawful excuse, disturb anyone else using the information infrastructure or any part of the information infrastructure; or
   (e) cause a nuisance in premises that are part of the information infrastructure; or
(f) attempt to do anything prohibited under paragraphs (a) to (e).

(4) A responsible officer, or a person appointed, in writing, by a responsible officer for the purpose, may assign an account to a user to enable the user to access part of the information infrastructure.

(5) A user must provide proof of the user’s identity if required by a member of staff of the University.

(6) If an authorised user of the information infrastructure is not a member of the staff or student of the University (a priority user), the user must, if requested by a priority user, cede use of the information infrastructure to the priority user, unless a responsible officer otherwise directs.

(7) If a person on University premises contravenes section 6(1) (Information infrastructure: access and use) or subsection (1), (2), (3), (5) or (6) of this section, any member of the staff of the University may direct the person to leave the premises.

(8) If a person is given a direction under subsection (7), the person must immediately leave the premises and not re-enter the premises for 24 hours without a responsible officer’s prior permission.

8 Authentication

(1) Access to some parts of the information infrastructure may be regulated by password or other form of authentication supplied to a user by the responsible officer or by someone else appointed, in writing, by the responsible officer for the purpose.

(2) If a password or other form of authentication is personal to its user, the user must not make it available to anyone else.

9 System security

(1) If a user inadvertently obtains information to which the user is not entitled, or becomes aware of a breach of security relating to any part of the information infrastructure, the user must immediately report the matter to a responsible officer or a person appointed, in writing, by a responsible officer as a person responsible for that part of the information infrastructure.

(2) A user must not:

(a) find out a password or another authentication credential for a part of the information infrastructure that the user is not authorised to use; or

(b) introduce malicious software (for example, a computer virus, ransomware, spyware, a Trojan horse or a worm) into any part of the University’s network or any of the University’s equipment, whether or not the equipment is connected to the network; or

(c) copy, disclose, transfer, examine, rename, change, add to or delete information on the information infrastructure belonging to someone else (including the University) without the information owner’s express permission, unless it is part of the user’s duties as a member of the staff of the University to do so; or

(d) collect or discard any analogue, digital, electronic, printed or magnetic output from the information infrastructure belonging to someone else (including the University) without the owner’s express permission, unless it is part of the user’s duties as a member of the staff of the University to do so; or

(e) attempt to do anything prohibited under paragraphs (a) to (d).

(3) A user must not do anything, or omit to do anything, that adversely affects the security of the information infrastructure or any part of the information infrastructure.
10 Publication of material

(1) If a user creates, or is responsible for, material sent over or published on the information infrastructure, the user must present the material in a professional way that upholds the reputation of the University.

(2) A user must not send material over, or publish material on, the information infrastructure that misrepresents, or could reasonably mislead anyone else about, the user's identity or the user's position in or connection with the University.

11 Use of equipment and software

(1) A user must not exceed the user's allocation on any machine governed by allocation of resources to individuals or groups (for example, supercomputer time allocation).

(2) If a user becomes aware of an abuse of a shared resource, the user must immediately report the matter to a responsible officer or a person appointed, in writing, by a responsible officer as a person responsible for the relevant part of the information infrastructure.

(3) If a user is provided by the University with, or with access to, software to be used on the information infrastructure, the user must comply with the Copyright Act 1968 in relation to the software and with all relevant terms of any licence agreement for the software given to the user.

12 Development of software

If a user develops software with potential commercial value on, or using, the information infrastructure, the user must comply with the University's statutes, rules, orders, policies, procedures and standards about intellectual property in relation to the software.

13 Access to remote services from the University

A user must not, without authority or lawful excuse, interfere with any information or information service at another site accessed using the information infrastructure.

[Note: Information services at another site may also be covered by relevant legislation or applicable policies administered by the other site.]

14 Examination of information

(1) If the Executive Director believes, on reasonable grounds, that the information infrastructure is being or has been used in contravention of an industrial award, enterprise agreement or workplace agreement, a statute, rule or order of the University, or any other law, the Executive Director may, in writing, appoint a member of the staff of the University to examine information stored on the information infrastructure.

(2) If a member of the staff of the University is appointed under subsection (1) to examine information stored on the information infrastructure, the staff member must comply with the provisions of the Privacy Act 1988 in relation to information obtained through the examination except in relation to its disclosure for purposes of substantiating, or taking action in relation to, a contravention mentioned in that subsection.

15 Application of further conditions

(1) A responsible officer may apply further conditions to the use of a particular information service.
(2) If a user of an information service knows that further conditions have been applied under subsection (1) to the use of the service, the user must comply with the conditions.

PART 3 PARTICULAR CONTRAVENTIONS IN RELATION TO THE INFORMATION INFRASTRUCTURE

16 Contravention: use for gain

A user must not intentionally or recklessly use, or attempt to use, any part of the information infrastructure for personal or private gain, or for a financial gain to a third party, without the prior approval of a responsible officer.

17 Contravention: copying etc.

A user must not:

(a) copy any information on the information infrastructure belonging to another user without the other user’s express permission, unless it is part of the user’s duties as a member of the staff of the University to do so; or

(b) copy any software located, or for use, on the computer infrastructure without the consent of the licensor of the software, unless it is part of the user’s duties as a member of the staff of the University to do so; or

(c) copy any information belonging to the University that the user is not authorised to access or to copy (including copying that would cause the University to be in breach of a licence agreement); or

(d) using the information infrastructure, make anything available in contravention of the Copyright Right Act 1968; or

(e) otherwise contravene the Copyright Act 1968 in relation to information on, or by using, the information infrastructure; or

(f) attempt to do anything prohibited under paragraphs (a) to (e).

18 Contravention: subverting etc.

(1) A person must not subvert, or attempt to subvert, the security of any part of the information infrastructure.

(2) A person must not, without authority or lawful excuse:

(a) destroy, erase or alter information on, or insert information into, any part of the information infrastructure; or

(b) interfere with, interrupt or obstruct the operation or lawful use of any part of the information infrastructure; or

(c) destroy, erase, alter or add to information stored on behalf of the University; or

(d) impede or prevent access to, or impair the usefulness or effectiveness of, data stored on any part of the information infrastructure or information stored on behalf of the University; or

(e) attempt to do anything prohibited under paragraphs (a) to (d).
19 Contravention: offensive messages or material etc.

(1) A user must not use the information infrastructure:
   (a) in a way that brings the University into disrepute; or
   (b) to publish or send spam; or
   (c) to publish or send a message or material to someone else, whether at the University or elsewhere, if the message or material is obscene, offensive, harassing, threatening or defamatory.

(2) A user must not publish or send spam, or a message or material of a kind mentioned in subsection (1)(c), on a network connected to the information infrastructure, whether or not it identifies the user as affiliated with the University.

(3) A user must not publish or send, through equipment that is not part of the University's information infrastructure, spam, or a message or material of a kind mentioned in subsection (1)(c), if the spam, message or material associates the University with the spam, message or material.

20 Contravention: misrepresentation

(1) A person must not falsely represent that the person is someone else, whether fictional or not:
   (a) to obtain access to the information infrastructure or any part of it; or
   (b) in publishing or sending any message or material on the information infrastructure.

(2) A person must not falsely represent that the person is the author of any work or material, or the owner of any information or anything else, on the information infrastructure.

21 Contravention: damage to information infrastructure etc.

A person must not intentionally or recklessly:
   (a) damage any part of the information infrastructure, including, for example, any hardware, software, or digital or print media, that forms part of the infrastructure; or
   (b) erase, delete or damage any information through the information infrastructure.

PART 4 LIBRARY AND LIBRARY COLLECTIONS

22 Application of Part 4

This Part applies to all library collections and any part of the information infrastructure in which a part of the library collections is located or through which scholarly information in digital or electronic form is accessed.

23 Delegation by Librarian

The Librarian may, in writing, delegate all or any of the librarian's functions under this Part to a member of the staff of the University.

[Note: The Acts Interpretation Act 1901 has provisions applying to delegations (see ss, 34AA, 34AB and 34A).]
24 Return or recall of borrowed items

(1) If a person borrows an item from a library collection, the person must return the item to the Library within the period prescribed by order.

(2) Despite subsection (1), if a person borrows an item from a library collection, the Librarian may, either orally or by written notice given to the person, recall the item and require the person to return the item to the Library on or before a specified date (or at or before a specified time on a specified date) that is earlier than the time by which the item would otherwise have been required to be returned to the Library.

(3) Subsection (2) does not to apply to a borrowing prescribed by order.

(4) If a person is required under subsection (2) to return an item to the Library, the person must comply with the requirement.

(5) If a person contravenes subsection (1) or (2), without reasonable excuse, by not returning an item to the Library as required, the person must pay to the University the penalty prescribed by order.

(6) If a person is liable to pay the University a penalty under subsection (5) of not less than the amount prescribed by order (or penalties under that subsection totalling not less than that prescribed amount), the person is not entitled to borrow any item from any library collection until the penalty is paid.

25 Loss or destruction of borrowed items

(1) If an item borrowed by a person from a library collection is lost or destroyed, the person:

   (a) must tell the Librarian, in writing, about the loss or destruction of the item as soon as practicable; and

   (b) must pay to the University the penalty, prescribed by order, for the loss or destruction of the item, unless the Librarian otherwise directs in writing.

(2) If a person:

   (a) borrows an item from a library collection; and

   (b) does not return the item, or tell the Librarian in writing about the loss or destruction of the item, within 4 weeks after the day the person was required under section 24 (Return or recall of borrowed items) to return the item to the Library;

the item is to be taken to have been lost.

(3) If a person is liable to pay a penalty to the University under subsection (1)(b), the Librarian may give the person a written notice specifying the amount of the penalty.

(5) The person must pay the specified amount to the University within 20 working days after the day the notice is given to the person.

(6) If the person does not pay the penalty to the University as required by subsection (5), the person is not entitled to borrow any item from the Library collection, or to use the Library or any of the facilities of the Library, until the penalty is paid.

26 Damage to library items etc.

(1) A person must not intentionally, recklessly or negligently damage an item in a library collection or anything else in the Library.
(2) If a person intentionally, recklessly or negligently damages an item in a library collection or anything else in the Library, the person must pay to the University the penalty, prescribed by order, for the damage, unless the Librarian otherwise directs in writing.

(3) If a person is liable to pay a penalty to the University under subsection (2), the Librarian may give the person a written notice specifying the amount of the penalty.

(4) The person must pay the specified amount to the University within 20 working days after the day the notice is given to the person.

(5) If the person does not pay a penalty to the University as required under subsection (4), the person is not entitled to borrow any item from the Library collection, or use the Library or any facilities of the Library, until the penalty is paid.

27 Conduct of persons in Library premises

(1) This section applies to a person who is in any Library premises.

(2) The person must produce proof of the person's identity if required by the Librarian or a member of the staff of University.

(3) The person must permit the Librarian, or a member of the staff of the University, to inspect at any time any bag, folder, container or anything else in the person's possession.

(4) The person must not make any unnecessary noise or otherwise behave in a way that unreasonably disturbs, or is likely to unreasonably disturb, Library users.

(5) If the person contravenes subsection (2), (3) or (4), the Librarian, or a member of the staff of the University, may direct the person to leave the Library premises.

(6) If the person is given a direction under subsection (5), the person must immediately leave the Library premises and must not enter any Library premises for 24 hours without the Librarian's prior permission.

PART 5 DEALING WITH CONTRAVENTIONS

28 How contraventions may be dealt with

(1) If a person contravenes this instrument, the Executive Director may decide that the contravention is to be dealt with under this instrument or may take action to have it dealt with under the Discipline Rule, the Medical Leave Rules or a relevant industrial award, enterprise agreement or workplace agreement.

(2) However, a person may not be held accountable more than once for the same contravention.

(3) To remove any doubt, despite subsection (2):

(a) a direction may be given under section 7(7) (Authorised and public access) or section 27(5) (Conduct of persons in Library premises), or a suspension imposed under section 33(1) (Suspension from information infrastructure), for a contravention whether or not:

(i) the contravention is (or may be) dealt with under this instrument, the Discipline Rule, the Medical Leave Rules or a relevant industrial award, enterprise agreement or workplace agreement; or

(ii) a penalty or other amount is (or may be) subsequently imposed or payable for the contravention; and

(b) a direction or suspension mentioned in paragraph (a) must not be taken into account in imposing any penalty or taking any other action under section 29 (Penalties for contraventions), the Discipline Rule, the Medical Leave Rules, or a relevant industrial
award, enterprise agreement or workplace agreement, for the contravention for which the direction was given or the suspension was imposed.

PART 6 PENALTIES

29 Penalties for contraventions

(1) If a person contravenes a provision of this instrument, the person is liable to the penalty specified for the contravention or, if a penalty is not specified for the contravention, a penalty under section 30(1) (Penalties that may be imposed).

(2) However, if an act or omission by a person is a contravention of this instrument and an offence against the Copyright Act 1968, a financial penalty may not be imposed on the person under section 30(1)(f) for the act or omission if the person is to be prosecuted for an offence against that Act.

(3) Also, if an act or omission by a person is a contravention of 2 or more provisions of this instrument, the person may be dealt with and a penalty imposed for any of the contraventions, but is not liable to be penalised more than once for the act or omission.

30 Penalties that may be imposed

(1) If a responsible officer finds that a person contravened this instrument, the responsible officer may, in relation to the contravention:

(a) decide to take no action; or

(b) recommend to the Executive Director that action be taken to have the contravention dealt with under the Discipline Rule, the Medical Leave Rules or an industrial award, enterprise agreement or workplace agreement; or

(c) reprimand the person; or

(d) direct that the person must not use the Information infrastructure, the Library, or a stated part of the information infrastructure or the Library, for a stated period of no longer than 20 working days; or

(e) close the person’s account; or

(f) impose a financial penalty of not more than $500 on the person; or

(g) determine conditions under which the person may have access to, or use, any or a stated part of the information infrastructure or the Library; or

(h) decide that compensation is payable by the person to the University for damage to the information infrastructure and, if so, decide the amount of the compensation payable in accordance with section 31(1) (Amount of compensation); or

(i) take any combination of the actions mentioned in paragraphs (c) to (h).

(2) A responsible officer may, in relation to a contravention for which the sole penalty is a financial penalty:

(a) waive the penalty; or

(b) extend the time for payment of the penalty.

(3) A person must not contravene a direction given to the person under subsection (1)(d).
(4) A person in relation to whom conditions are determined under subsection (1)(g) must not contravene any of the conditions.

(5) If a person is liable to pay to the University a financial penalty or other amount under subsection (1) in relation to a contravention, the person must pay to the University the amount specified in the notice given to the person under section (7) in relation to the contravention within 20 working days after the day the notice is given to the person or, if an appeal is made under Part 7 in relation to the contravention, the day the person is given notice of the decision on the appeal.

(6) If a person does not pay a financial penalty or other amount to the University as required under subsection (5), the person is not entitled to use the information infrastructure until the penalty or other amount is paid, without a responsible officer’s prior permission.

(7) If a responsible officer makes a decision under this section in relation to a person, the responsible officer must give written notice of the decision to the person, and the Executive Director, within 7 working days after the day the decision is made.

31 Amount of compensation

(1) If a responsible officer decides under section 30(1)(h) (Penalties that may be imposed) that compensation is payable by a person to the University for damage to the information infrastructure, the amount of the compensation payable is to be decided by the responsible officer in accordance with the following provisions:

(a) if the responsible officer considers that the damage is repairable—the amount of the compensation payable is the lesser of:
   (i) the amount that the responsible officer decides is the cost of repairing the damage; and
   (ii) $5,000; or

(b) if the responsible officer considers that the damage is irreparable—the amount of the compensation payable is the lesser of:
   (i) the amount that the responsible officer decides is the cost (including any reasonable administrative costs) of replacing the relevant part of the information infrastructure (or anything forming part of it); and
   (ii) $5,000.

(2) Despite any compensation paid (or payable) by the person under section 30(1)(h) for the damage to the information infrastructure, the University may recover from the person, in a court of competent jurisdiction, as a debt and in addition to the costs of the recovery:

(a) any unpaid part of the cost of repairing the information infrastructure; or

(b) any unpaid part of the cost (including any reasonable administrative costs) of replacing the relevant part of the information infrastructure (or anything forming part of it).

32 Imposition of penalties

A penalty may be imposed on a person under section 30(1)(c) to (i) (Penalties that may be imposed) only if:

(a) the person is given written notice of:
   (i) the contravention that is alleged to have been committed by the person; and
   (ii) the penalty that is proposed to be imposed for the contravention (in addition to any suspension under section 33(1) (Suspension from Information infrastructure)); and

(b) the notice is accompanied by a copy of this section and Part 7 (Appeals); and
(c) a period of not less than 20 working days, or any shorter period agreed to by the person, has elapsed since the day the person is given the notice; and
(d) the responsible officer has taken into account any written representations made by the person to the responsible officer within the period mentioned in paragraph (c).

33 Suspension from information infrastructure

(1) If it appears to a responsible officer (or a nominee of the responsible officer) that a person is contravening, or has contravened, this instrument in relation to the information infrastructure, the responsible officer (or nominee) may suspend the person from using the information infrastructure, or a stated part of the information infrastructure, for an initial period of no longer than 20 working days.

(2) The responsible officer (or nominee) must give written notice of the suspension to the person before, or not later than 1 working day after the day, the suspension takes effect.

(3) The responsible officer (or nominee) may, at any time while the suspension is in force, extend the suspension until the contravention has been finally dealt with (including any appeal finally decided).

(4) If the responsible officer (or nominee) extends the suspension, the person must be given written notice of the extension within 7 working days after the day the suspension is extended.

(5) If a person was given a direction under section 7(7) (Authorised and public access), the direction must not be taken into account for the purposes of this section.

PART 7 APPEALS

34 Information Infrastructure and Services Appeals Committee

(1) There is to be an Information Infrastructure and Services Appeals Committee.

(2) For an appeal, the Appeals Committee consists of a chair and 4 other members appointed, in writing, by the Vice-Chancellor for the appeal.

(3) However, if the appellant is a student, or the appeal is an appeal under section 36 (Appeal by Executive Director) and the relevant contravention is a contravention by a student, the Vice-Chancellor must, after consultation with the President of the Australian National University Students' Association or the Australian National University Postgraduate and Research Students' Association Inc., as the case requires, appoint an appropriate student representative as a member of the Appeals Committee for the appeal.

(4) Also, if the appellant is a student, or the appeal is an appeal under section 36 (Appeal by Executive Director) and the relevant contravention is a contravention by a student, a person must not be appointed as a member of the Appeals Committee for the appeal if the person is a member of the staff of, or a student in, the same ANU College as the student.

35 Appeal by person against whom finding is made

(1) If a responsible officer finds that a person has contravened a provision of this instrument, the person may appeal to the Appeals Committee against the finding made or penalty imposed (or both).

(2) The appeal is made by giving a written notice of appeal to the Vice-Chancellor within 20 working days after the day the person is given written notice of the responsible officer's decision.

36 Appeal by Executive Director

(1) If:
(a) a responsible officer finds that a person has contravened this instrument; and
(b) the Executive Director considers that the finding made or penalty imposed is inappropriate
in the circumstances of the case;

the Executive Director may, after giving the person the opportunity to be heard, appeal to the Appeals
Committee against the finding or penalty (or both).

(2) The appeal must be made by giving a written notice of appeal to the Vice-Chancellor within 20
working days after the day the Executive Director is given written notice of the responsible officer’s
decision.

37 Conduct of appeal by Appeals Committee

(1) Business may be carried out at a meeting of the Appeals Committee (including any hearing)
only if the chair and 2 other members are present.

(2) The Appeals Committee may decide its own procedures in relation to an appeal.

(3) The Appeals Committee is not bound to act in a formal way but may inform itself in any way it
considers just.

(4) However, the Appeals Committee must give the appellant (and, if the appellant is the
Executive Director, the person found to have committed the relevant contravention) an opportunity to
present evidence and make representations.

(5) But, the Appeals Committee must disregard any statement that, in the committee’s opinion,
has been obtained unfairly or to which it would be unjust to have regard.

(6) A decision of the Appeals Committee is not invalid only because of a formal defect or
irregularity in the convening or conduct of the committee.

38 Representation at Appeals Committee hearings

(1) At a hearing by the Appeals Committee, the appellant (or, if the appellant is the Executive
Director, the person found to have committed the relevant contravention (the respondent)) is
entitled to be accompanied by a relevant person.

(2) The relevant person may:

(a) advise the appellant (or respondent) in relation to the appeal; and
(b) address the Appeals Committee and examine and cross-examine witnesses on behalf of the
appellant (or respondent).

(3) In this section:

relevant person means a person (other than a person acting as a practising lawyer) who is:

(a) a student; or
(b) a member of the staff of the University; or
(c) a member of a registered trade union.

39 Decision of Appeals Committee

(1) The Appeals Committee may:

(a) confirm the decision appealed against; or
(b) vary the decision; or
(c) set aside the decision and make a decision in substitution for the decision set aside; or

(d) set aside the decision.

(2) If the Appeals Committee is divided in opinion about the decision to be made on any question, the question must be decided according to the opinion of the majority or, if the members are equally divided in opinion, in favour of the appellant (or, if the appellant is the Executive Director, against the appellant).

(3) Written copies of the decision of the Appeals Committee and the reasons for the decision must be given to the appellant (or, if the appellant is the Executive Director, the person found to have committed the relevant contravention), and the Executive Director, within 7 working days after the day the decision is made.

(4) A decision of the Appeals Committee is final.

PART 8 MISCELLANEOUS

40 Approved forms

(1) The Executive Director or a responsible officer may, in writing, approve forms for this instrument.

(2) If the Executive Director or a responsible officer approves a form for a particular purpose, the form must be used for that purpose.

(3) The Executive Director must ensure that approved forms are publicly available on the University's website or any other way that the Executive Director considers appropriate.

41 Delegation by Vice-Chancellor

The Vice-Chancellor may, in writing, delegate all or any of the Vice-Chancellor's functions under this instrument (except the making of orders) to a member of the staff of the University.

42 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 is a student at the University—an email address provided by the University to the individual; or

   (ii) if the individual is not a student at the University—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.
43 Orders

The Vice-Chancellor may make orders about matters mentioned in this instrument.

44 Repeal etc.

(1) The Information Infrastructure and Services Rules 2012 are repealed.

(2) To remove any doubt, a reference in a rule, order or other document of the University to the
Information Infrastructure and Services 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.

45 Transitional

(1) This instrument does not apply to an act or omission that happened before the
commencement of this instrument.

(2) Despite the repeal of the Information Infrastructure and Services Rules 2012 (the repealed
rules) by this instrument, the repealed rules continue to apply to an act or omission that happened
before the commencement of this instrument if the repealed rules applied to the act or omission
immediately before that commencement.

(3) Subsection (2) is additional to, and does not limit, section 7 of the Acts Interpretation Act
1901.
THE AUSTRALIAN NATIONAL UNIVERSITY

Information Infrastructure and Services Order 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following order.

Dated 15 December 2015

[Signature]

Professor Ian Young AO
Vice-Chancellor
## Contents

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Name ............................................................................................................. 1</td>
</tr>
<tr>
<td>2</td>
<td>Commencement ................................................................................................. 1</td>
</tr>
<tr>
<td>3</td>
<td>Authority ........................................................................................................ 1</td>
</tr>
<tr>
<td>4</td>
<td>Definition ...................................................................................................... 1</td>
</tr>
<tr>
<td>5</td>
<td>Period for return of borrowed library items .................................................. 1</td>
</tr>
<tr>
<td>6</td>
<td>Exceptions to recall of borrowed library items .............................................. 1</td>
</tr>
<tr>
<td>7</td>
<td>Penalties for late return of borrowed library items ...................................... 1</td>
</tr>
<tr>
<td>8</td>
<td>Amount of penalty owing that prevents borrowing ...................................... 2</td>
</tr>
<tr>
<td>9</td>
<td>Penalties for loss or destruction of borrowed library items .......................... 2</td>
</tr>
<tr>
<td>10</td>
<td>Penalties for damage to library items etc. .................................................. 2</td>
</tr>
</tbody>
</table>
1 Name

This is the Information Infrastructure and Services Order 2015.

2 Commencement

This instrument commences on 1 January 2016.

3 Authority

This instrument is made under section 5.1 of the Information Infrastructure and Services Statute 2016.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Information Infrastructure and Services Statute.]

4 Definition

In this instrument:

the rule means the Information Infrastructure and Services Rule 2015.

5 Period for return of borrowed library items

(1) This section makes provision for section 24(1) (Return or recall of borrowed items) of the rule.

(2) If a person borrows an item from a library collection, the person must return the item to the Library on or before the date specified for the return of the item in the Library Management System and, if a time on that date is specified in the system, at or before that time on that date.

(3) If a person borrows an item from a library collection and no date is specified for the return of the item in the Library Management System, the person must return the item to the Library within the required period after the day the item was borrowed.

(4) For subsection (3), the required period is 28 days for a book and 7 days for audio-visual material, a periodical or any other item.

6 Exceptions to recall of borrowed library items

(1) This section makes provision for section 24(3) (Return or recall of borrowed items) of the rule.

(2) Section 24(2) does not apply to the borrowing of an item from a library collection for a 2-hour, overnight or 2-day loan.

7 Penalties for late return of borrowed library items.

(1) This section makes provision for section 24(5) (Return or recall of borrowed items) of the rule.
(2) The penalty payable by a person to the University for contravening section 24(1) or (2) of the rule by not returning an item to the Library as required is:
   (a) for an item borrowed on a 2-hour or overnight loan—$12 for the first hour or part of an hour, and $6 for each subsequent hour or part of an hour, during which the contravention continues; and
   (b) for any other item—$30 for each day or part of a day during which the contravention continues.

(3) However, if the penalty payable by a person to the University for the contravention in relation to the item would otherwise exceed $220, the penalty is $220.

8 Amount of penalty owing that prevents borrowing

(1) This section makes provision for section 24(6) (Return or recall of borrowed items) of the rule.

(2) The prescribed amount is $25.

9 Penalties for loss or destruction of borrowed library items

(1) This section makes provision for section 25(1)(b) (Loss or destruction of borrowed items) of the rule.

(2) The penalty payable by a person to the University for the loss or destruction of an item borrowed from a library collection is the total of the following components:
   (a) a replacement cost component of $110 or, if in the Librarian’s opinion this amount is insufficient to cover the cost to the Library of replacing the item, the higher amount that the Librarian considers necessary to cover the cost to the Library of replacing the item;
   (b) an administrative cost component of $110.

[Note: All amounts mentioned in this section and section 10 are GST inclusive.]

(3) However, if the item is subsequently returned to the Library, the administrative cost component of the penalty remains payable, but:
   (a) if the item has not yet been replaced by the Library—the amount of the penalty payable for the item is reduced by the amount of the replacement cost component of the penalty; or
   (b) if the item has already been replaced by the Library—the replacement cost component of the penalty is reduced to the amount actually incurred by the Library in replacing the item.

10 Penalties for damage to library items etc.

(1) This section makes provision for section 26(2) (Damage to library items etc.) of the rule.

(2) The penalty payable by a person to the University for the damage to an item in a library collection or anything else in the Library is the total of the following components:
   (a) a repair cost component of $110 or, if in the Librarian’s opinion this amount is insufficient to cover the cost to the Library of repairing the damage, the higher amount that the Librarian considers necessary to cover the cost to the Library of repairing the damage;
   (b) an administrative cost component of $110.
THE AUSTRALIAN NATIONAL UNIVERSITY

Academic Board (Election of Members) Order 2015

I, Professor Ian Young AO, Vice-Chancellor of the Australian National University, make the following order.

Dated 15 December 2015

[Signature]

Professor Ian Young AO
Vice-Chancellor
## Contents

1. Name ................................................................. 1
2. Commencement ...................................................... 1
3. Authority ........................................................... 1
4. College Executive Committee members ....................... 1
5. Repeal .................................................................. 3
1 Name

This is the Academic Board (Election of Members) Order 2015.

2 Commencement

This instrument commences on 1 January 2016.

3 Authority

This instrument is made under section 6.1(i) of the Academic Board and Committees Statute 2014.

[Note: Under section 50(3) of the Australian University Act 1991 a statute may empower any authority or officer of the University to make rules or orders. Section 9.5 of the Vice-Chancellorship Statute authorises the Vice-Chancellor to make rules and orders for a number of statutes, including the Australian National University Academic Board Statute.]

4 College Executive Committee members

For section 6.1(i) of the Academic Board and Committees Statute 2014, the holders of the following academic staff positions are members of the College Executive Committees of the ANU Colleges:

(a) ANU College of Arts and Social Sciences
   (i) Dean;
   (ii) Associate Dean (Education);
   (iii) Associate Dean (Higher Degree Research);
   (iv) Associate Dean (International);
   (v) Associate Dean (Research);
   (vi) Associate Dean (Students);
   (vii) Director, Research School of Humanities and the Arts;
   (viii) Director, Research School of Social Sciences;
   (ix) Representative of College Institutes and Centres;

(b) ANU College of Asia and the Pacific
   (i) Dean;
   (ii) Associate Dean (Education: Curriculum and Quality);
   (iii) Associate Dean (Education: Students and Innovation);
   (iv) Associate Dean (Higher Degree Research);
   (v) Associate Dean (Research);
   (vi) Director, Australian Centre on China in the World;
   (vii) Director, Coral Bell School of Asia Pacific Affairs;
   (viii) Director, Crawford School of Public Policy;
   (ix) Director, Regulatory Institutions Network;
   (x) Director, School of Culture, History and Language;

Academic Board (Election of Members) Order 2015

ACADEMIC BOARD (ELECTION OF MEMBERS) ORDER 2015
(c) **ANU College of Business and Economics**
   (i) Dean;
   (ii) Associate Dean (Education);
   (iii) Associate Dean (Higher Degree Research);
   (iv) Associate Dean (Research);
   (v) Director, Research School of Accounting;
   (vi) Director, Research School of Economics;
   (vii) Director, Research School of Finance, Actuarial Studies and Statistics;
   (viii) Director, Research School of Management;

(d) **ANU College of Engineering and Computing Science**
   (i) Dean;
   (ii) Deputy Dean;
   (iii) Associate Dean (Education);
   (iv) Associate Dean (Higher Degree Research);
   (v) Associate Dean (Information Technology);
   (vi) Associate Dean (Research);
   (vii) Director, Research School of Computer Science;
   (viii) Director, Research School of Engineering;
   (ix) Early Career Research Representative;

(c) **ANU College of Law**
   (i) Dean;
   (ii) Deputy Dean;
   (iii) Associate Dean (Education);
   (iv) Associate Dean (Research);
   (v) Head, School of Law;
   (vi) Director, ANU Legal Workshop;

(f) **ANU College of Medicine, Biology and Environment**
   (i) Dean;
   (ii) Dean, ANU Medical School;
   (iii) Deputy Dean (Education);
   (iv) Director, The Fenner School of Environment and Society;
   (v) Director, The John Curtin School of Medical Research;
   (vi) Director, Research School of Biology;
   (vii) Director, Research School of Population Health;
   (viii) Director, Research School of Psychology;
(g) ANU College of Physical and Mathematical Sciences
   (i) Dean;
   (ii) Deputy Dean (Education);
   (iii) Director, Centre for the Public Awareness of Science;
   (iv) Director, Mathematical Sciences Institute;
   (v) Director, Research School of Astronomy and Astrophysics;
   (vi) Director, Research School of Chemistry;
   (vii) Director, Research School of Earth Sciences;
   (viii) Director, Research School of Physics and Engineering.

5 Repeal

The Academic Board (Election of Members) Order 2014 (No. 3) is repealed.
ANU by 2020 Performance Review

Strategies for Success: Core Objectives

Excellence in Research

A1) ANU Research Funding Grants 2010-2014 ($'000)

Note Category 4 - Cooperative Research Centre (CRC) Research Income

A2) By 2015, 85 per cent of academic staff will be in four digit field of research code areas (discipline areas) rated ERA 4 or 5. This will rise to 90 per cent by 2020.

ANU achieved outstanding results in the ERA 2015 exercise.

- 90 per cent of academic staff were associated with at least one 4-digit field of research (compare 79 per cent for ERA 2010 and 84 per cent for ERA 2012), meeting the 2020 target.
- 60 of 66 research areas were rated above world average, with the majority (38) rated well above world average.

A7) ANU will remain the top-ranked Australian university on a per capita basis in the world rankings.

ANU is ranked first in Australia and 19th globally in the 2015 QS World Rankings, 52nd in the Times Higher Education World University Rankings and 77th in the world in the 2015 Academic Ranking of World Universities. ANU ranks 3rd in Australia on the per capita performance measure of the Academic Ranking of World Universities.
A8) By 2015, the number of HDR students supervised per FTE member of academic staff will raise to 1.68, increasing to 1.75 by 2020.

The chart below shows the ratio of FTE staff to full-time HDR load. This does not give information about supervision and it is recommended that it be replaced as an indicator of supervision capacity. More informative data on the distribution of supervision load are in development.

![Number of students and Total HDR EFTSL chart]

Excellence in Education

B1) ANU will perform above the Group of Eight average in national university survey’s (Course Experience Questionnaire (CEQ), or successor, survey results averaged across the good teaching, overall satisfaction and generic skill scales)

![Satisfaction chart]

Note 2015 CEQ and Exit Survey analyses presented to University Education Committee 10 April 2016.
ANU CEQ Scales % of Agreement, benchmarked with GO8 and National results, 2010-2014*

<table>
<thead>
<tr>
<th>Scale</th>
<th>ANU 2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Generic Skills</td>
<td>73%</td>
<td>75%</td>
<td>74%</td>
<td>75%</td>
<td>75%</td>
</tr>
<tr>
<td>GO8</td>
<td>74%</td>
<td>76%</td>
<td>77%</td>
<td>77%</td>
<td>77%</td>
</tr>
<tr>
<td>National</td>
<td>75%</td>
<td>76%</td>
<td>77%</td>
<td>77%</td>
<td>78%</td>
</tr>
<tr>
<td>Good Teaching</td>
<td>64%</td>
<td>66%</td>
<td>66%</td>
<td>68%</td>
<td>67%</td>
</tr>
<tr>
<td>GO8</td>
<td>62%</td>
<td>65%</td>
<td>66%</td>
<td>67%</td>
<td>67%</td>
</tr>
<tr>
<td>National</td>
<td>63%</td>
<td>66%</td>
<td>67%</td>
<td>68%</td>
<td>68%</td>
</tr>
<tr>
<td>Graduate Qualities</td>
<td>80%</td>
<td>81%</td>
<td>80%</td>
<td>81%</td>
<td>81%</td>
</tr>
<tr>
<td>GO8</td>
<td>78%</td>
<td>80%</td>
<td>81%</td>
<td>81%</td>
<td>82%</td>
</tr>
<tr>
<td>National</td>
<td>78%</td>
<td>79%</td>
<td>80%</td>
<td>81%</td>
<td>81%</td>
</tr>
<tr>
<td>Intellectual Motivation</td>
<td>83%</td>
<td>83%</td>
<td>82%</td>
<td>83%</td>
<td>83%</td>
</tr>
<tr>
<td>GO8</td>
<td>83%</td>
<td>84%</td>
<td>82%</td>
<td>83%</td>
<td>83%</td>
</tr>
<tr>
<td>National</td>
<td>82%</td>
<td>83%</td>
<td>82%</td>
<td>82%</td>
<td>80%</td>
</tr>
<tr>
<td>Overall Satisfaction</td>
<td>84%</td>
<td>86%</td>
<td>84%</td>
<td>85%</td>
<td>84%</td>
</tr>
<tr>
<td>GO8</td>
<td>81%</td>
<td>83%</td>
<td>83%</td>
<td>83%</td>
<td>83%</td>
</tr>
<tr>
<td>National</td>
<td>81%</td>
<td>82%</td>
<td>83%</td>
<td>83%</td>
<td>83%</td>
</tr>
</tbody>
</table>

*This data represent all coursework careers, with benchmarks unweighted by discipline. This does not equate to KPI methodology which utilise undergraduate results weighted by discipline. Note 2015 CEQ and Exit Survey analyses presented to University Education Committee 10 April 2016.

ANU has performed above the average of the Group of Eight universities in the Course Experience Questionnaire (CEQ) survey in the categories of Overall Satisfaction and is equivalent on good teaching and intellectual motivation.

B2) ANU will maintain the percentage of undergraduate Graduate Destination Survey respondents who undertake further postgraduate study above the Group of Eight average.
B3) ANU will maintain employment rates of graduates, as measured by the Graduate Destination Survey, above the Group of Eight.

ANU has achieved an employment rate higher than the average of the Go8 however there has still been a decrease in employment rates overall.

Note 2015 CEQ and Exit Survey analyses presented to University Education Committee 10 April 2016.

B4) ANU will aim to continually increase the number of national teaching awards won by staff.

Citations for Outstanding Contributions to Student Learning 2012-2015 - No. of Award Recipients

<table>
<thead>
<tr>
<th>Institution</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Monash</td>
<td>7</td>
<td>4</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Adelaide</td>
<td>2</td>
<td>4</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>UNSW</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>UQ</td>
<td>3</td>
<td>3</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>Sydney</td>
<td>7</td>
<td>8</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>UWA</td>
<td>4</td>
<td>2</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>Melbourne</td>
<td>6</td>
<td>6</td>
<td>4</td>
<td>-</td>
</tr>
</tbody>
</table>

Data: Office for Learning and Teaching

Awards for Teaching Excellence and Awards for Programs that Enhance Learning 2012-2015

<table>
<thead>
<tr>
<th>Institution</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Monash</td>
<td>1</td>
<td>-</td>
<td>-</td>
<td>3</td>
</tr>
<tr>
<td>Sydney</td>
<td>1</td>
<td>-</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>UNSW</td>
<td>2</td>
<td>-</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>UQ</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>UWA</td>
<td>-</td>
<td>1</td>
<td>-</td>
<td>1</td>
</tr>
<tr>
<td>Adelaide</td>
<td>1</td>
<td>1</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

Data: Office for Learning and Teaching
B5) By 2015, 65 per cent of courses offered will obtain an agreement rate of over 80 percent for overall satisfaction in the SELT survey (for courses with over 5 responses), rising to 70 per cent by 2020.

![Student Experience of Learning Support](image)

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>65.9</td>
<td>69.2</td>
<td>64.8</td>
<td>64.9</td>
<td>67.8</td>
</tr>
<tr>
<td>CAP</td>
<td>69.2</td>
<td>69.2</td>
<td>75.5</td>
<td>72.3</td>
<td>71.5</td>
</tr>
<tr>
<td>CBE</td>
<td>47.0</td>
<td>51.6</td>
<td>46.7</td>
<td>50.8</td>
<td>43.2</td>
</tr>
<tr>
<td>CECS</td>
<td>38.3</td>
<td>43.0</td>
<td>39.6</td>
<td>44.8</td>
<td>42.1</td>
</tr>
<tr>
<td>COL</td>
<td>50.6</td>
<td>51.3</td>
<td>61.4</td>
<td>58.9</td>
<td>60.1</td>
</tr>
<tr>
<td>CMBE</td>
<td>58.3</td>
<td>61.4</td>
<td>56.1</td>
<td>58.8</td>
<td>63.9</td>
</tr>
<tr>
<td>CPMS</td>
<td>54.7</td>
<td>59.8</td>
<td>46.9</td>
<td>53.0</td>
<td>58.7</td>
</tr>
<tr>
<td>ANU</td>
<td>57.6</td>
<td>60.7</td>
<td>59.1</td>
<td>59.9</td>
<td>59.8</td>
</tr>
</tbody>
</table>
B6) ANU will increase the number of staff who have receive an HE Academy Fellowship

<table>
<thead>
<tr>
<th></th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>1</td>
<td>22</td>
<td>9</td>
<td>32</td>
</tr>
<tr>
<td>CAP</td>
<td>1</td>
<td>9</td>
<td>2</td>
<td>12</td>
</tr>
<tr>
<td>CBE</td>
<td>2</td>
<td>10</td>
<td>7</td>
<td>19</td>
</tr>
<tr>
<td>CECS</td>
<td>1</td>
<td>13</td>
<td>3</td>
<td>17</td>
</tr>
<tr>
<td>COL</td>
<td>2</td>
<td>10</td>
<td>7</td>
<td>19</td>
</tr>
<tr>
<td>CMBE</td>
<td>4</td>
<td>24</td>
<td>18</td>
<td>46</td>
</tr>
<tr>
<td>CPMS</td>
<td>1</td>
<td>10</td>
<td>9</td>
<td>20</td>
</tr>
<tr>
<td>ANU-Other</td>
<td>1</td>
<td>15</td>
<td>7</td>
<td>23</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>13</strong></td>
<td><strong>113</strong></td>
<td><strong>62</strong></td>
<td><strong>188</strong></td>
</tr>
</tbody>
</table>

Student Experience of Learning Support
Proportion of courses below 60% satisfaction

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>14.3</td>
<td>10.0</td>
<td>13.7</td>
<td>13.9</td>
<td>12.3</td>
</tr>
<tr>
<td>CAP</td>
<td>8.1</td>
<td>6.8</td>
<td>7.7</td>
<td>5.1</td>
<td>5.3</td>
</tr>
<tr>
<td>CBE</td>
<td>19.8</td>
<td>16.1</td>
<td>17.5</td>
<td>15.7</td>
<td>19.8</td>
</tr>
<tr>
<td>CECS</td>
<td>20.2</td>
<td>20.6</td>
<td>19.8</td>
<td>20.0</td>
<td>23.4</td>
</tr>
<tr>
<td>COL</td>
<td>20.2</td>
<td>26.3</td>
<td>15.9</td>
<td>15.2</td>
<td>12.7</td>
</tr>
<tr>
<td>CMBE</td>
<td>15.1</td>
<td>15.7</td>
<td>9.8</td>
<td>10.7</td>
<td>12.5</td>
</tr>
<tr>
<td>CPMS</td>
<td>23.3</td>
<td>13.7</td>
<td>14.6</td>
<td>19.3</td>
<td>12.5</td>
</tr>
<tr>
<td>ANU</td>
<td>16.5</td>
<td>13.5</td>
<td>13.6</td>
<td>13.3</td>
<td>13.6</td>
</tr>
</tbody>
</table>
World-Class Staff

D1-4 ANU will maintain or improve the number of:

<table>
<thead>
<tr>
<th>1. Staff who are listed as ISI highly cited authors (19 in 2010)¹</th>
<th>2012</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>20</td>
<td>3</td>
<td>3</td>
<td>4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Staff who are Fellows of one of the learned academies²</th>
<th>New</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total</td>
<td>215</td>
<td>226</td>
<td>235</td>
<td>242</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Staff who are ARC Laureates (ANU awarded 4 out of 15 Laureate Fellows in 2010)³</th>
<th>Current</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARC</td>
<td>140</td>
<td>109</td>
<td>79</td>
<td>51</td>
</tr>
<tr>
<td>NHMRC</td>
<td>20</td>
<td>20</td>
<td>20</td>
<td>22</td>
</tr>
<tr>
<td>Total</td>
<td>160</td>
<td>129</td>
<td>99</td>
<td>73</td>
</tr>
</tbody>
</table>

Results of the Australian Research Council (ARC) and NHMRC show an outstanding success rate of 25.2% and 23.9% in the ARC Discovery and DECRA schemes. Key stats for ANU are:

- 60 ARC Discovery projects worth over $23 million in total;
- 21 ARC Discovery Early Career Researcher projects, total over $7.5 million in researcher support; and
- 2 ARC Linkage Infrastructure, Equipment and Facilities projects, total $13 million.
- A new NHMRC Centre of Research Excellence awarded in 2015, in Cognitive Health

D4 ANU will increase its investment in general staff by:

1 Progressively increasing staff development opportunities
2 Encouraging and supporting staff to enhance their qualifications

The University recognises that the contributions of highly skilled and dedicated professional staff are critical to the success and future of the University, and we are committed to providing opportunities to build and develop talent to ensure the continued success.

Through the offerings of two highly competitive internal scholarship and grants programs for professional staff, namely the Professional Staff Development Endowment Fund (PSDEF) and the Professional Staff Scholarship Scheme (PSSS), the University has committed to providing financial support to professional staff to enhance development and qualifications.

The PSDEF, established as a University policy, has provided numerous teams and individuals with the opportunity to attend various conferences, short courses, symposiums and seminars both on a national and international level. In 2015 the grant assisted 75% of applicants with financial funding.

¹ Note change in methodology in 2013
² Note academy fellowships are awarded for life
³ Rolling coverage - 5 year fellowships, Laureate only. 2012: 2009,10,11,12; 2013: 2009,10,11,12,13; 2014: 2010,11,12,13,14; 2015: 2011,12,13,14,15. Based on offers of award and duration of project, not actual start dates/active projects
⁴ Rolling coverage (as above). Note that DECRA, introduced 2012, are not considered Fellowships, unlike the scheme replaced, the Australian Postdoctoral Fellowship. This leads to a significant decrease in Fellows each year as DECRA come to the end of their projects
The continued commitment by the University to the development for professional staff was established in the ANU Enterprise Agreement (EA) 2013-2016 which offers up to 50 scholarships per annum of up to $2,500 per scholarship. The fund has provided for a large number of staff to advance their qualification and skills and knowledge, primarily through the attainment of formal qualifications.

The scholarship receives applications from dedicated staff wishing to progress in their current field as well as staff making a career change by undertaking a certificate, diploma or a degree. In Round 1 of 2014, 88% of applicants received funding. In Round 2, 2014, all eligible applicants receive a scholarship. In the 2015 calendar year 96% of eligible applicants received funding assistance.

### Inspired Students

E2 ANU will aim to increase both undergraduate and postgraduate student numbers (EFTSL) at rates that are sustainable and will not compromise quality.

```
Date Source: ANU Teaching Load 2012 – 2016 Pivot Table (18 January 2016)
Note: Postgraduate total includes postgraduate coursework and higher degree research EFTSL
```
E3 ANU will further develop the provision and use of a diverse range of entry mechanisms for students. This flexibility will allow a broad range of well-prepared student to have access to the ANU educational experience.

![Student numbers (EFTSL) studying a Associate Degree, Diploma or Enabling Program]

E4 ANU will aim for at least 40 per cent of our students to be postgraduate by 2020

![Chart showing student numbers by EFTSL for Associate Degree, Diploma, and Enabling programs from 2011 to 2015 Prel.]

<table>
<thead>
<tr>
<th>Year</th>
<th>Associate Degree</th>
<th>Diploma</th>
<th>Enabling</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>38.0</td>
<td>51.8</td>
<td>10.2</td>
</tr>
<tr>
<td>2012</td>
<td>50.9</td>
<td>22.6</td>
<td>26.5</td>
</tr>
<tr>
<td>2013</td>
<td>61.1</td>
<td>18.4</td>
<td>20.5</td>
</tr>
<tr>
<td>2014</td>
<td>74.7</td>
<td>17.6</td>
<td>7.7</td>
</tr>
<tr>
<td>2015 Prel</td>
<td>51.8</td>
<td>23.9</td>
<td>24.3</td>
</tr>
</tbody>
</table>

PG c’work HDR Undergraduate/ Non-award and Enabling

<table>
<thead>
<tr>
<th>Year</th>
<th>PG c’work</th>
<th>HDR</th>
<th>Undergraduate/ Non-award and Enabling</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>2,783</td>
<td>1,897</td>
<td>8,667</td>
</tr>
<tr>
<td>2011</td>
<td>2,977</td>
<td>2,032</td>
<td>8,964</td>
</tr>
<tr>
<td>2012</td>
<td>3,377</td>
<td>2,054</td>
<td>8,937</td>
</tr>
<tr>
<td>2013</td>
<td>3,986</td>
<td>2,119</td>
<td>8,653</td>
</tr>
<tr>
<td>2014</td>
<td>4,873</td>
<td>2,133</td>
<td>8,581</td>
</tr>
<tr>
<td>2015 Prel</td>
<td>5,068</td>
<td>2,145</td>
<td>8,826</td>
</tr>
</tbody>
</table>
Engaged Alumni

Alumni Relations and Philanthropy (AR&P) was formed from the predecessor business units of Alumni Relations and the ANU Endowment for Excellence prior to the launch of ANU by 2020.

ANU by 2020 set ambitious targets for AR&P. The measures were chosen to be appropriately ambitious to support a change of culture, over time, across the University, and bring philanthropic performance from its low starting point into line amongst the best of the Group of Eight universities, and lift alumni relations performance to amongst the best in the world.

The strategy chosen was the building of a range of new, specific, measureable Alumni Relations programs together with the establishment of comprehensive, program-based, centrally supported fundraising. This overarching strategy has been pursued since the inception of AR&P, with the expansion and merger of the existing units of Advancement Services and Endowment and Business Services (inward-facing management of the Endowment Portfolio) - the foundational business units, the construction of an entirely new Alumni Relations Team, and the formation and establishment of teams focussed on philanthropy. With the sophistication of the function having grown in scope and reach, AR&P is now systematically reviewing its operations to ensure that programs and services are being delivered in the most efficient and effective way possible.

AR&P has implemented highly visible programs such as the Annual Alumni Awards, and the annual Golden Graduates' reunion and has initiated one of the most comprehensive Annual Giving programs in the Australian tertiary education sector. The programs have driven engagement with the University’s almost 96,000 living alumni to 48.07% from 29% in 2012. By comparison, the best-practise and established North American alumni programs average approximately 35% engaged alumni. While not quite reaching the target of 50% engagement (with alumni) by the end of 2015, the achievement of more than 48% alumni engagement, and the rate with which this metric has been reached, has been the source of considerable interest and acclaim nationally and internationally. From 2016, a more sophisticated suite of alumni metrics will be adopted which permit finer targeting of acquisition and engagement programs and the assessment of depth of engagement, which is particularly important in the ongoing development of a robust philanthropic pipeline.

F1 By 2015, ANU will increase the number of alumni actively engaged with the University from 27 percent to 50 per cent

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
<th>2015 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2015, ANU will increase the number of alumni actively engaged with the University from 27 per cent (2010) to 50 per cent, this figure increasing to 75 per cent by 2020.</td>
<td>29.6%</td>
<td>34.83%</td>
<td>41.62%</td>
<td>48.07%</td>
<td>50.0%</td>
</tr>
<tr>
<td>Total Alumni</td>
<td>80,946</td>
<td>85,917</td>
<td>91,380</td>
<td>95,967</td>
<td></td>
</tr>
</tbody>
</table>
F2 By 2020, ANU will increase the proportion of alumni donating to ANU from 1 per cent to 4 per cent by 2020

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
<th>2020 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2020, ANU will increase the proportion of alumni donating to ANU from 1 per cent (2010) to 4 per cent by 2020.</td>
<td>1.7%</td>
<td>2.0%</td>
<td>2.42%</td>
<td>2.84%</td>
<td>4.0%</td>
</tr>
</tbody>
</table>

F3 By 2020, ANU will grow its Endowed Funds to $334m

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
<th>2020 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2020, ANU will grow its Endowed Funds to $334m</td>
<td>$202m</td>
<td>$242m</td>
<td>$257m</td>
<td>$270</td>
<td>$334m</td>
</tr>
</tbody>
</table>

F4 By 2015, ANU will increase gifts from Trust, Foundation and Corporate donors to $9m per annum, rising to $12 million per annum by 2020

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
<th>2020 Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>By 2015, ANU will increase gifts from Trust, Foundation and Corporate donors to $9m per annum, rising to $12m per annum by 2020.</td>
<td>$11.3m*</td>
<td>$15.5m</td>
<td>$2.87m</td>
<td>$3.55m</td>
<td>$12m</td>
</tr>
</tbody>
</table>
* Philanthropic income from corporations not captured. 2012 data includes $9.4m pledges from Gates and Mitchell Foundations. Cash only: does NOT include pledges. 2013 includes $6.5m payment from Tuckwell Foundation. 2014 does not include Philanthropic grant income from Research funding (ARIES), and 2015 data does not contain a complete record of income from the same source.

F5 By 2020, ANU will secure at least two major, transformative gifts of more than $10 million each

AR&F has demonstrated success in the promotion of philanthropy, showing the University's ability to attract and manage large scale gifts (such as the landmark $50m donation by Graham and Louise Tuckwell (2013)) as well as several $1m-scale gifts which have been secured and delivered. The major gift pipeline now contains a number of anticipated gifts in the scale of $1m to $10m which will mature in the coming years. The baseline performance of the University in smaller gifts has lifted and with more specialist and College-based fundraisers coming on board in 2015, this can be expected to continue.

This is supported by other University-wide programs in donor relations and stewardship and, most recently, the creation of a comprehensive Annual Giving program. The primary purpose of an Annual Giving program is essentially donor acquisition for the University rather than income generation. Once acquired, these donors shall be stewarded well and form the start of a pipeline for major gifts in the future. The program comprises an integrated suite of components which address segments ranging from current students to our alumni aged 60 years +, as well as our first ‘affinity appeals’, segmented to particular discipline areas or halls of residence. This was augmented in 2015 by the first Annual Day of Giving which focussed on raising funds for and awareness of the work of the ANU National Institute for Mental Health Research. At present, the most visible component of this program is the telephone campaign, first conducted in 2014 and now programmed to be an annual event. The annual telephone appeal and its associated components represent the largest single outreach and donor-base
development program ever fielded by the University. In total, since its commencement in late 2014, the Annual Giving program has raised more than $235,000 and acquired more than 1300 new donors for the University. This single program produced a measureable change in the proportion of alumni donating to ANU (Key Metric above) of 0.84 percentage points, representing an increase of 42%. Annual iterations of the program are anticipated to produce positive changes of similar magnitude.

Measures to increase philanthropic income from trusts, foundations and corporations have been less successful, and a clear trajectory to meet the 2020 goal of $12m per annum has not yet been established. Analysis of these results and their associated programs suggests that the pool of developed, fundable projects is yet to mature, and the time needed to develop productive relationships with institutional donors is longer than expected. Taking a whole-of-university approach to trusts, foundations and corporations will be important in the future, but has, for the time being, been deferred in favour of the development of deeper relationships with a small number of corporate donors centred on focussed projects and priorities.

The effectiveness of the University’s fundraising activities depends on effective interaction between all the AR&P teams and between AR&P and College-based advancement/development staff. A new approach to the University’s fundraising policy and practice, being driven by AR&P, requires a consistent, professional cross-campus approach, sustained by solid collaboration and communication. A joint model for collaborative working is presently being implemented which foresees the development of the existing network of College-based advancement staff, with central support from AR&P coordinated by the Individual Giving team. All Colleges are now participating in this approach, with staff either now in-place or being recruited, or are in discussions with AR&P about alternatives. The approach aims to ensure that priorities are established with due consideration of all relevant University/College perspectives; that ANU presents a united front in its fundraising and philanthropy practice; and that University expenditure in this field is highly targeted and efficient, both at College level and in providing centrally-based support services. This model is consistent with established industry best practice, including in other Go8 universities, but will be reviewed as priorities and effective approaches to the task continue develop and mature.

The main challenge faced in pursuing this strategy continues to be the identification, recruitment and retention of talent to populate these teams. University Advancement (combining fundraising and Alumni Relations) is a relatively new field in Australia, and the national pool of experienced employees is small. All universities, without exception, report this difficulty, but ANU faces further challenges in that Canberra is not seen as a destination of choice for either domestic or international candidates, and the fact that the ANU remuneration structure is low relative to competing employers - chiefly other universities interstate. Australian wages are competitive internationally, but in this candidate market, comparator wages are inflated by both the published and perceived costs of living in Canberra. Notwithstanding these challenges, AR&P is confident that it is well placed to ensure growth in this function.
International Outreach

H1 By 2015, ANU will increase international research income by 45 per cent, raising to 120 per cent in 2020

![Graph showing international research income from 2010 to 2014, with targets for 2015 and 2020.]

**2010** $14.4m  **2011** $13.7m  **2012** $10.2m  **2013** $14.3m  **2014** $15.1m

**2015 Target = $18.0m**

**2020 Target = $27.4m**

H2 By 2015, ANU will increase the percentage of international HDR students with an externally funded scholarship to 45 per cent, raising to 60 per cent in 2020

This measure requires refinement to remove internally funded scholarship holders that were incorrectly included in the calculation. There is a significant drop in scholarship support available through AusAID/DFAT that presents a major challenge for the externally funded HDR target.

ANU has put in place new processes and strategies to increase the proportion of full sponsored and fee-paying international HDR students. Priority international sponsors are now being targeted by ANU to establish formal agreements to support cohorts of PhD students and increase the proportion of full-fee paying international HDR students at ANU. The impact of this strategy will require several years to impact significantly on numbers and reduce the number of fee remission (or waivers) that ANU currently offers to support high quality HDR students, which is currently highest within the Go8 at 48 per cent.
By 2015, ANU will increase the percentage of domestic undergraduate graduating students who studied part of their academic program overseas to 15 per cent, raising to 25 per cent in 2020.

This measure has been refined to measure the number of domestic undergraduate student completions who received a mobility experience.

<table>
<thead>
<tr>
<th>College</th>
<th>Undergraduate completions</th>
<th>Mobility Experiences</th>
<th>Participation Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Asia and Pacific</td>
<td>118</td>
<td>122</td>
<td>103.4%</td>
</tr>
<tr>
<td>College of Law</td>
<td>245</td>
<td>155</td>
<td>63.3%</td>
</tr>
<tr>
<td>College of Arts and Social Science</td>
<td>756</td>
<td>317</td>
<td>41.9%</td>
</tr>
<tr>
<td>All Sciences</td>
<td>566</td>
<td>109</td>
<td>19.3%</td>
</tr>
<tr>
<td>College of Business and Economics</td>
<td>386</td>
<td>55</td>
<td>14.2%</td>
</tr>
<tr>
<td>College of Engineering and Computer</td>
<td>145</td>
<td>15</td>
<td>10.3%</td>
</tr>
<tr>
<td>Science</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>5</td>
<td></td>
</tr>
<tr>
<td><strong>University Total</strong></td>
<td><strong>2,221</strong></td>
<td><strong>773</strong></td>
<td><strong>34.8%</strong></td>
</tr>
</tbody>
</table>

Note: data audit and study for the AUIDF 2014 Survey. Date source: Completions pivot table (26 Aug 2015)

### Embedded Access and Equity

By 2015, ANU will increase the percentage of students from low SES backgrounds to 6.8 per cent, rising to 8 per cent by 2020.

![Number of Low SES undergraduate students 2011-2015](image)

<table>
<thead>
<tr>
<th>2011 Actual</th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>2011</td>
<td>2012</td>
<td>2013</td>
<td>2014</td>
</tr>
<tr>
<td>4.14%</td>
<td>4.01%</td>
<td>3.85%</td>
<td>4.04%</td>
</tr>
</tbody>
</table>

Data Source: Group of Eight Pivot Tables 2011-2014

By 2015, the progression rates of low SES students will exceed or equal the Group of Eight.

<table>
<thead>
<tr>
<th>Low SES progress rate</th>
<th>2011 Actual</th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>86.16</td>
<td>91.17</td>
<td>89.36</td>
<td>89.57</td>
</tr>
<tr>
<td>Go8</td>
<td>87.24</td>
<td>87.14</td>
<td>86.13</td>
<td>87.17</td>
</tr>
<tr>
<td>Diff</td>
<td>-1.08</td>
<td>4.03</td>
<td>3.03</td>
<td>2.40</td>
</tr>
</tbody>
</table>

Data Source: Group of Eight Pivot Tables 2011-2014
I3 By 2020, the percentage of academic staff (levels D and E) who are women will equal or exceed the Group of Eight average

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>22.34%</td>
<td>21.91%</td>
<td>23.11%</td>
<td>23.94%</td>
</tr>
<tr>
<td>Go8</td>
<td>25.50%</td>
<td>26.07%</td>
<td>27.13%</td>
<td>27.74%</td>
</tr>
<tr>
<td>Diff</td>
<td>-3.16%</td>
<td>-4.15%</td>
<td>-4.02%</td>
<td>3.80%</td>
</tr>
</tbody>
</table>

Data Source Go8 Staff Pivot Tables 2010-2015

I4 By 2020, the percentage of women in senior professional positions (SM1 and above) will equal or exceed the Group of Eight average

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>43.21%</td>
<td>44.27%</td>
<td>46.23%</td>
<td>48.62%</td>
</tr>
<tr>
<td>Go8</td>
<td>48.23%</td>
<td>48.00%</td>
<td>49.23%</td>
<td>50.58%</td>
</tr>
<tr>
<td>Diff</td>
<td>-5.64%</td>
<td>-3.74%</td>
<td>-2.99%</td>
<td>-1.96%</td>
</tr>
</tbody>
</table>

Data Source Go8 Staff Pivot Tables 2010-2015

I5 By 2015, the percentage of Indigenous HDR students will equal or exceed the Go8.

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 (14 Dec)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>1.37%</td>
<td>1.41%</td>
<td>1.35%</td>
<td>1.37%</td>
</tr>
<tr>
<td>Go8</td>
<td>0.67%</td>
<td>0.68%</td>
<td>0.70%</td>
<td></td>
</tr>
<tr>
<td>Diff</td>
<td>0.70%</td>
<td>0.73%</td>
<td>0.65%</td>
<td></td>
</tr>
</tbody>
</table>

Date Source Go8 Pivot Tables 2010-2014
2015 (14 Dec) provided from ANU Enrolment Pivot Table as at 18 Jan 2016

I6 By 2015, the percentage of Indigenous academic staff will equal or exceed the Group of Eight.

<table>
<thead>
<tr>
<th></th>
<th>2012 Actual</th>
<th>2013 Actual</th>
<th>2014 Actual</th>
<th>2015 Actual</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU</td>
<td>0.37%</td>
<td>0.48%</td>
<td>0.37%</td>
<td>0.44%</td>
</tr>
<tr>
<td>Go8</td>
<td>0.45%</td>
<td>0.47%</td>
<td>0.50%</td>
<td>0.56%</td>
</tr>
<tr>
<td>Diff</td>
<td>-0.08%</td>
<td>0.01%</td>
<td>-0.13%</td>
<td>-0.12%</td>
</tr>
</tbody>
</table>

Data Source Go8 Staff Pivot Tables 2010-2015

Effective Organisation

Strategic Program – Delegations Framework – Governance and Review
The Corporate Governance and Risk Office continues to implement the program of work outlined in the Strategic Program for the Delegations Framework – Governance and Review which was approved the end of 2014.

The first key objective of the Strategic Program was to address the major system, process, practice and policy issues associated with the management of delegations across the University. As part of this CGRO and HR Systems have now completed a program of work to address and resolve the system issues that remained from the implementation of the 2012/13 upgrade of the online system. Improvements have been achieved in data integrity and usability of the system – and how the system inter-relates with online form solutions such as the travel form.
With these issues resolved, and following completion of testing, HR System was able to 'go live' in early July with an upgraded HORUS delegations module which allows staff to see their own delegations and those of the positions they supervise. Following lengthy consultation between CGRO, HR Systems and developers in ITS, greatly improved PDF reports on delegations were made available to the University community in early August. The updated reports clearly list all details of a position’s delegations, including financial limits and authorised budget codes. These reports now appear on the delegations website for each budget unit of the University and are available to all users of HRMS delegations. The resolution of outstanding system issues and delivery of the HORUS delegation module and improved PDF reporting addresses key recommendations in the 2014 audit of the delegations framework, and three major goals outlined in CGRO’s Strategic Program for the Delegations Framework.

In relation to the bigger picture system, process, practice and policy issues for delegations at the ANU, CGRO has been involved in discussions throughout 2015 on possible solutions to improve delegation business processes across the university. Initial discussions revolved around inclusion of an integrated online delegation form solution as part of the HR Transformation project. However, subsequent consideration has evolved around simplifying the use Framework and addressing the underlying issue of position management at the ANU. The Executive Director (Administration & Planning) received support for a Delegations Discussion Paper which he put to a number of forums, including SMG, during July and August. In early September, the Corporate Governance and Risk Office submitted an initial analysis to EDAP on how to implement the Discussion Paper, including recommendations on how best to progress a move to greater position management at the ANU. Discussions between EDAP, Human Resources Division, Service Improvement Group and CGRO continue in this regard.

In terms of the review component of the Strategic Program, CGRO has continued to review delegations against policy, procedures and forms and has held discussions with relevant staff in those areas to discuss those findings and recommend corrections to policy documents. A number of recommendations for changes to delegations were put to, and approved by, the Vice-Chancellor in September – including changes to bring delegations into line with changes to organisational structures and policy, as well as to streamline and simplify delegations.

Another key component of the Strategic Program was to enhance training and education around delegations at the ANU. To this end, CGRO continues to offer training to administrators and academics on the delegations framework, its rules and processes. In August, the Delegations Administrator, Manager, Academic Governance and Assistant Registrar, ASQO developed and ran a pilot training session for College Deans and Associate Deans – the details of which are outlined Section 11 below.

### Integrated and Efficient Suite of Administrative Systems

The Service Improvement Group (SIG) and other Service Divisions have completed and are delivering a number of strategic projects focused on promoting and driving change to support the university’s strategic objectives in research and education.

#### Summary of Projects:

<table>
<thead>
<tr>
<th><strong>HR Transformation Program</strong></th>
<th>Implementation of the below HR processes and forms is expected to commence on the 31st July 2015. The following processes will transition to the online forms.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>New HR Forms</strong></td>
<td>From 31 July 2015, new online HR forms will progressively be made available to staff. These include:</td>
</tr>
<tr>
<td></td>
<td>• Performance Development Review/Statement of Expectations</td>
</tr>
</tbody>
</table>
• Person of Interest/Honorary Appointments
• Annual and Bi-annual Increments
• Accelerated Increments
• Enhancements to Professional Timesheets.

**Implementation of Financial Shared Services**
The Financial Shared Services Change Implementation Plan was released to affected employees on 2 July 2015. Shared services will facilitate the efficient and effective delivery of financial transactional services, while maintaining service levels, and allow local area Finance teams to focus on non-transactional activities that support the strategic direction of their College or Service Division.

**New ANU Services website**
To be released the end of July, the new website will replace the current Staff homepage, the new ANU Services website will reduce the amount of systems, effort and time involved in publishing content and improve the website experience for audiences.

**Improvements to the Service Desk Tool**
The University is undertaking service improvements to the Service Desk tool. The ANU Workspace Program Working Parties and ITS Teams are working together to develop a new front-end to the Service Desk tool, called the User Portal. The User Portal will consist of a new user-friendly interface, with pathways to commonly requested services such as ordering desktop hardware and requesting Wattle support. It is envisaged that the User Portal will improve efficiencies and service delivery to staff and students.

**Data Integration**
A Data Integration Business Case proposes an approach for integration and supporting tools to efficiently manage the flow of information between our systems. The services are proposed to be created as part of the two early adopter projects integrating:

1. HR, Security and Library systems to automate the process of staff joining the library
2. ANU Online and Student Administration System to improve the process for Wattle course site creation and account registration.

**Workers Compensation Self Insurance**
The Workers’ Compensation Self-Insurance Project will investigate moving to a self-insurance model in an effort to become more efficient and cost effective in our workers’ compensation plan. An important piece of work for the Workers’ Compensation Self-Insurance Project is a financial feasibility assessment and a liability report. A preferred vendor has been appointed and of work is expected to be completed by the last week in August.

**Broad Resource Base**
L1-2 Over the period to 2020, ANU will increase its revenue for operations at an average rate not less than 3% per annum in real terms and by 2015, the percentage of university revenue from non-commonwealth sources will increase to 40%, rising to 45% in 2020 (compared to approximately 36% in 2011).
The L1 and L2 targets still stand. On current projections revenue will increase by 5 percent over 2014, however, the percentage of non-government revenue will only likely reach 37 percent as shown below.

% of ANU non-Commonwealth revenue to total revenue

<table>
<thead>
<tr>
<th>Year</th>
<th>Non-Commonwealth revenue</th>
<th>ANU total revenue</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>31.3% $306m</td>
<td>$978m</td>
</tr>
<tr>
<td>2011</td>
<td>35.5% $356m</td>
<td>$1,003m</td>
</tr>
<tr>
<td>2012</td>
<td>33.6% $334m</td>
<td>$995m</td>
</tr>
<tr>
<td>2013</td>
<td>36.6% $360m</td>
<td>$978m</td>
</tr>
<tr>
<td>2014</td>
<td>36.7% $382m</td>
<td>$996m</td>
</tr>
<tr>
<td>2015 Prelim</td>
<td>37.3% $385m</td>
<td>$1,031m</td>
</tr>
<tr>
<td>2015 Target</td>
<td>40.0% $410m</td>
<td>$1,026m *</td>
</tr>
<tr>
<td>2020 Target</td>
<td>45.0% $535m</td>
<td>$1,190m *</td>
</tr>
</tbody>
</table>

ANU total operations revenue

- 2010: $978m
- 2011: $1,003m
- 2012: $995m
- 2013: $978m
- 2014: $996m
- 2015 Prelim: $1,031m
- 2015 Target: $1,026m
- 2020 Target: $1,190m

*ANU BY 2020* PERFORMANCE REVIEW REPORT
### ATAR and university admissions report on frequently asked questions

<table>
<thead>
<tr>
<th>Issue</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. What is at issue in the various media reports on ATAR and university admissions?</td>
<td>Two stories are running nationally. The first—reported in the Fairfax press—concerns the gap between the published admissions thresholds and the lower actual admissions thresholds for many undergraduate programs offered by NSW universities in the University Admissions Centre (UAC) (NSW and ACT). The second—reported in <em>The Australian</em>—concerns a change in reporting in the Victorian Tertiary Admissions Centre (VTAC) (Vic and Tas) which means that universities with small enrolment programs do not have to report a percentage of students who were offered a place despite having a lower attainment level than the published threshold. ANU is a member of UAC, but not currently a member of VTAC. ANU has provided one comment to the <em>Canberra Times</em> and is very happy to provide additional comment given the transparency of the University’s admission arrangements.</td>
</tr>
<tr>
<td>2. Are these stories about the same issue?</td>
<td>Yes, both stories concern the difference between published university admissions thresholds and the actual—lower—thresholds universities use and the lack of transparency about this for students. This is an important Australia-wide issue. The key difference between the stories is that the change in VTAC reporting was announced by VTAC. The gap in standards for UAC story was made possible by—we believe—a large scale, and very serious leak of confidential applicant data to the <em>Sydney Morning Herald</em>.</td>
</tr>
<tr>
<td>3. What is the ANU position on this issue?</td>
<td>For two years, ANU has demonstrated national leadership in making it clear that transparent admissions standards are good for students, schools and universities alike. Our published admissions standards are our admissions standards. We would like the rest of the sector to follow suit, and have expressed our views to a range of media outlets over that time. No one wishes to see admissions reform more than ANU. At the same time, though, we do not agree that the unauthorised use of private applicant data to support a news story is the right way to achieve much-needed reform.</td>
</tr>
<tr>
<td>4. What is ATAR?</td>
<td>Australian Tertiary Admissions Rank is a percentile score for senior secondary school students between ‘less than 30’ and 99.95. There is no single ranking score in Australia: there are five different ATARs calculated by the five different tertiary admissions centres (UAC, VTAC, QTAC, SATAC and TISC) according to different criteria. Students in Queensland do not get an ATAR, but an OP (Overall Position) score. They have agreed to introduce ATAR in 2018. The University has repeatedly voiced its concerns publicly about inconsistencies in ATAR calculation across Australia and has succeeded in its request for English to be a compulsory part of senior secondary studies in the ACT. It is continuing to lobby for the inclusion of maths in ATAR in the ACT.</td>
</tr>
<tr>
<td>5. How is the University responding to the reports about UAC in the Fairfax press?</td>
<td>In two ways. First, ANU is extremely well placed to respond to claims about the gaps in actual and published admissions thresholds. Two years ago, ANU agreed to introduce an ATAR floor of 80 for bachelor degree programs (note B Vis Arts and B Des Arts are more heavily weighted on portfolio and may be offered with ATAR &lt;80), and to the principle that published admissions standards should be actual admissions thresholds. Those admissions standards are published: [<a href="http://www.anu.edu.au/files/resource/FINAL_UGRDMINI_2016_Web_SR">http://www.anu.edu.au/files/resource/FINAL_UGRDMINI_2016_Web_SR</a> A15218%20Mini%20UG%20Guide%20v1%20FA%20WEB.pdf](<a href="http://www.anu.edu.au/files/resource/FINAL_UGRDMINI_2016_Web_SR">http://www.anu.edu.au/files/resource/FINAL_UGRDMINI_2016_Web_SR</a> A15218%20Mini%20UG%20Guide%20v1%20FA%20WEB.pdf). The University also publishes all of the bonus points it awards applicants: <a href="http://www.anu.edu.au/study/apply/academic-bonus-points">http://www.anu.edu.au/study/apply/academic-bonus-points</a> and <a href="http://www.anu.edu.au/study/apply/educational-access-scheme-bonus-points">http://www.anu.edu.au/study/apply/educational-access-scheme-bonus-points</a>. Bonus points are clearly limited to 5 academic and 5 equity bonus points per student with only 5% of students currently admitted to ANU with 10 bonus points. These details are sent to schools every year.</td>
</tr>
</tbody>
</table>
The response to ANU being transparent about its standards has been extremely positive: we have seen a 20% growth in student demand in the last two years and schools repeatedly provide the University with positive feedback on the certainty this provides students, their families and schools.

Second, ANU will conduct an audit of all staff who have access to the University Admissions Centre (UAC) database. It will be conducted by the Academic Standards and Quality Office, which is independent of student admissions and recruitment. It will audit regardless of whether UAC pursues an investigation or not into the breach of applicant confidentiality. We do not believe the breach to have come from ANU, but wish to make it clear how important applicant confidentiality is to us.

6. **Who sets the admissions standards at ANU?**

   Coursework admissions standards are discussed, endorsed and approved by Coursework Admissions and Awards Committee, then University Education Committee, then Academic Board.

   Research admissions standards are discussed, endorsed and approved by the Higher Degree Research Committee, University Research Committee and Academic Board.

   The DVCA chairs the Coursework Admissions and Awards Committee, and the PVCRRRT chairs the Higher Degree Research Committee. These committees are independent of Student Recruitment and Admissions, which report to the PVCIO.

7. **Does the University ever waive those admissions standards?**

   On rare occasions, via a process of ‘forced offers’. All forced offer requests put forward by colleges are considered by admissions before being put to the DVCA and PVCIO. In 2014, 165 forced offers were issued for domestic applicants. Approval is by no means guaranteed. 38 of those offers were to address a technical problem with a UAC algorithm for mature age and tertiary transfer students going to law. That technical problem has now been addressed. The remainder of the students were within two points of the cutoff and had strong performance in cognate areas (eg ATAR brought down by score in PE or religious studies). In the case of IT programs, 10 requests for the waiver of a maths prerequisite were made. The DVCA has requested the review of that prerequisite. The committees in 6. above review and discuss an annual report on forced offers. In 2015, the total number of forced offers so far is lower, despite a 11.9% growth in preferences for ANU.

8. **How does the University manage admissions errors?**

   Admissions errors are very infrequent in universities, but they do happen. In the case of an admissions incident, a report is prepared for the committees detailed in 6. above. Twenty admissions cases were discussed in 2014-2015 across all applications and awards, including cases as a result of administrative error and false/misleading information being provided by the applicant). A list of actions is determined in response to admissions incidents, and implemented either in policy or in operating procedures.

9. **Are international students affected by this issue?**

   Some international students apply to ANU via UAC. The admissions standards for international students are the same as those for domestic students at ANU.

10. **Does the University analyse the performance of students to detect patterns of underperformance?**

    Yes, ANU monitors the performance of international and domestic students. The most recent example is the University’s reporting to the Victorian Curriculum and Assessment Authority (VCAA) of poor performance of students who completed their Victorian senior certificate at some schools in China. That investigation is ongoing. Performance data was also used to introduce the ATAR floor of 80 in 2014.