COUNCIL

The 421st meeting of the Council will be held at 9:15am on Friday 25 July 2014 in the R C Mills Room, Chancelry. Any additional papers and briefing materials will be available in the Mills Room from 7.30am.

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

Kate Molloy
Director
Corporate Governance and Risk Office

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IMPORTANT INFORMATION FOR MEMBERS

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

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

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

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

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

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

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

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

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

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

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

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

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

* 1 ANNOUNCEMENTS AND APOLOGIES

No apologies have been received for this meeting.

The Chair may speak.

* 2 LEAVE OF ABSENCE

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

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

* 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST

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

* 4 ARRANGEMENT OF AGENDA

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstarred items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 26, Other Business.
5. Are there 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 30 May 2014 (64/2014).
ANU Council:

Present:
The Chancellor, Professor Gareth Evans AC QC (in the Chair)
The Vice-Chancellor, Professor Ian Young AO
Pro-Chancellor Ms Ilana Atlas
Professor Stephen Bottomley
Dr Vince FitzGerald
Ms Robin Hughes AO
Dr Doug McTaggart
Mr David Miles AM
Mr Matthew King
Ms Martine Letts
Mr Arjuna Mohottala
Mr Graeme Samuel AC
Professor John Close
Professor Tim Senden
Mr Cameron Wilson

Apologies:
No apologies were received.

In attendance:

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

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

PART 1: PROCEDURAL ITEMS

1. ANNOUNCEMENTS

The Chancellor welcomed to the 420th meeting of Council Mr. Matthew King re-elected to Council for a term of two years, from 26 May 2014 to 25 May 2016, following the recent election by the general staff.

Council recorded its immeasurable thanks and appreciation to outgoing members Pro-Chancellor Ms Ilana Atlas, Dr Vince Fitzgerald and Ms Martine Letts, who have each served Council, and its Committees, over the course of 10 years providing exceptional contributions to the work of Council. Council also expressed its gratitude for the contribution made by Mr. Arjuna Mohottala who also concludes his term on Council as PARSA President.
Council further extended its appreciation to the professional support, and sound advice tendered by the University’s Chief Financial Officer, Mr. David Sturgiss, who will conclude his role in the coming months.

Mr. Graeme Samuel joined the meeting via videoconference from ANU House, Melbourne.

2. LEAVE OF ABSENCE

No leave of absence was granted for the meeting.

3. DISCLOSURE OF MATERIAL PERSONAL INTEREST

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

4. ARRANGEMENT OF AGENDA

Council noted the updated agenda tabled at the meeting which removed the confidentiality marking for the following items:

- Agenda item 7 – ANU Future Directions
- Agenda item 12 – Student Accommodation Demand Analysis Project
- Agenda item 14 – Service improvement program – presentation
- Agenda item 15 – Melbourne Engagement Strategy
- Agenda item 21 – Academic Board Annual Report

Council noted that Agenda item 18 – Appointment of Board of Governors of the Endowment for Excellence - has been starred for the meeting.

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

5. COUNCIL MINUTES

Council resolved to confirm the minutes of the meeting held on 28 March 2014 (65/2014).

PART 2: KEY BUSINESS ITEMS

6. VICE-CHANCELLOR’S REPORT

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

International rankings results

Leiden Rankings and U-Multirank have issued their international rankings in recent weeks. Of note, citations are a significant measure for ranking purposes by Leiden. ANU results rose in this category. In relation to U-Multirank, ANU understandably performed well in research but poorly in industry collaboration.

Semester 2 Intake

Second semester intake results show that international commencements have almost doubled when compared with last year’s results – 400 compared with 200 last year - noting that acceptances are still 8 weeks out from finalisation.

Capital Development

The university has implemented a capital planning and management program, as approved by Council at its meeting on 28 March 2014, providing for the pooling of funds and competitive bidding amongst Colleges, to support major infrastructure development over a 5 year program cycle.

The results from the first round of funding, have produced a suite of high quality proposals that facilitate major consolidation of disciplines within a single complex, as in the case of Maths and...
Computing Science at an estimated cost of $26 million, provision of a new building for Social Sciences at an estimated cost of $50 million, first stage development for the Physics building at an estimated cost of $50 million, or $180 million for the full redevelopment; and refurbishment of Biological Sciences.

Consolidation of the budget in this way will significantly assist in bringing the university’s infrastructure to state-of-the-art standard and will enhance opportunities to attract philanthropic support. Moreover, the outcomes achieved have only been made possible through the collegiality and engagement of Deans and Directors in the process.

A paper outlining capital projects approved through this program will be circulated to Council members out of session.

May Federal Budget

The Vice-Chancellor gave an overview of the Federal Government’s proposed Higher Education reforms with an historical analysis of Commonwealth expenditure on the Higher Education Contribution Scheme and the Commonwealth Grants Scheme (CGS) and likely future projections if the current system continues in its present configuration.

The Vice-Chancellor referenced the key outcomes from the Federal budget, notably:

1. preservation of NIG funding with indexation;
2. continued funding for the Future Fellows program;
3. funding for the National Collaborative Research Infrastructure Scheme for a further year;
4. the introduction of fee deregulation;
5. the introduction of a new scholarship scheme and
6. reduction in Commonwealth Grant Scheme (CGS) funding rates in the order of 20% combined with extension of CGS to the non-university sector and CGS funding of sub-degrees to enhance pathways to degrees.

A clear objective of the government’s decision to introduce fee deregulation is to adjust the ratio of Commonwealth to student funding for undergraduate education of domestic students on the basis that current projections present significant downward pressure on the Federal budget and one that cannot be sustained longer term.

Council noted that fee deregulation, arises from the exponential increase in the proportion of the Australian population with a bachelor degree with 2020 targets already reached and consequent cost pressures realised. Of note, CGS funding in 2007 represented $5.9 billion. In 2010 costs grew to $9.5 billion and, in 2017, the budget impact is predicted to reach $12.8 billion. Further, government borrowings are calculated at the 10 year bond rate, currently 3.8%, but are passed on to students, through the HECS-HELP Scheme, at CPI, currently at 2.9%. Total HECS liability for 2013 is forecast at $30 billion and is projected to grow to $55 billion by 2017. On this basis, government has argued the need for fundamental change to ensure sustainability and affordability in out years.

The Vice-Chancellor outlined the range of options that could prevail in the current fiscal climate:

1. Option 1 – an increase in government funding to, not only, cover the increasing costs of the expanding higher education system but to also increase the funding per student. This is very unlikely in the present fiscal climate;
2. Option 2 - introducing a recapping of students currently in the system – this option would not be supported by parties of either political persuasion;
3. Option 3 – ‘do nothing’ – this option would result in a continued decline in the level of funding for students and would result in mediocre educational outcomes;
4. Option 4 – transfer some of the liability from the taxpayer to students – this option, a feature of fee deregulation, represents the current policy direction of government post-budget.

Noting the current uncertainty in respect of passage of the Appropriation Bill, Council reaffirmed the importance of being able to navigate the current fiscal and policy landscape in a way that supports the university’s objectives to:
1. deliver a quality student experience by investment in research, teaching and infrastructure;
2. increase scholarships and/or bursaries; and
3. ensure the principles of access and equity are upheld in an environment of fee deregulation.

Extensive discussion ensued in relation to the Federal budget and the medium to longer term consequences for ANU. In particular, concern was raised that the benefits forecast to accrue through fee deregulation and sector restructuring may be eroded to offset losses arising from the 20% reduction in CGS funding. The magnitude of the reduction in CGS funding, in itself, may diminish the sector's capacity to effectively maintain equity and access programs aimed at attracting and supporting student cohorts from diverse socio-economic backgrounds.

Discussion moved to consideration of the impact of an increased interest rate on future HECS loans for the domestic student market. This issue has featured prominently in most recent media coverage and general community debate. ****

Against this backdrop, program development and delivery, including growing online delivery, and ensuring an enriched student experience must remain areas for priority action and innovation if ANU is to achieve research and scholarship excellence on a sustained basis.

Council noted that Professor Bruce Chapman is undertaking analysis in relation to the policy's implementation. Issues arising include consideration of 'suspension events' and how, or whether, this may feature within the structure of the new HECS loan scheme.

Council received a presentation during the meeting from Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic) and Ms Richelle Hilton, Director, Planning and Performance Measurement highlighting early work in modelling various fee scenarios, and their impacts, as a result of the government's decision to move towards fee deregulation.

At the conclusion of extensive discussion, Council endorsed the Group of Eight position on the Higher Education Reforms, expressing its deep concerns regarding the proposed rate of interest for HECS debts and the magnitude of the funding reduction for the Commonwealth Grants Scheme.

Council noted the report of the Vice-Chancellor.

7. ANU FUTURE DIRECTIONS

The Vice-Chancellor recapped the outcomes from Council's February retreat at which time Council resolved that a review, or "refresh", of ANU by 2020 was timely and a process of engagement across the university should be initiated to debate emerging issues and themes that will contribute to a strengthened articulation of the university's strategic intent through to 2026 – 2030.

The working party convened on 29 May 2014 and agreed that a series of forums, 10 in all, be conducted across the university. Forum topics and format have been agreed with Deans and a model, similar to the Budget Solutions forums, will be adopted. In addition, forum feedback will be consolidated and placed on the university's website with a further opportunity for online feedback.

The schedule of activity over the coming months is as follows:

- Forums will be scheduled over July;
- A White Paper incorporating the results from each forum will be developed by August and considered by the working party; and
- A final report will be presented to Council, at its October meeting.

Council members considered the benefit in attending some sessions, as observers, particularly in relation to student experience considerations. Council further recommended that a discussion forum be convened inviting participation by alumni.

Council noted the progress report on the review of ANU by 2020 by the Vice-Chancellor.
8. ASSET OWNERS DISCLOSURE PROJECT – GLOBAL UNIVERSITIES SURVEY

The Executive Director (Administration and Planning) outlined the rationale for recommending that Council not participate in the survey based on the following:

- the need for the University to focus on implementing its Socially Responsible Investment policy;
- that survey’s integrity as a robust research tool is questionable; and
- the survey suffers from a low response rate from past participants.

Resolved:
That Council:

1. Approve the university’s plan to focus efforts on the implementation of its Socially Responsible Investment Policy;
2. Agree not to participate in the 2014 Global Universities Index Survey; and
3. Endorse the university’s proposal to formally respond to Professor Hewson outlining the University’s position.

9. BUDGET SOLUTIONS UPDATE

The Executive Director (Administration and Planning) spoke to the report provided to Council.

Council noted the summary report on the implementation of the Budget Solutions package and results achieved to date (66/2014).

10. ANU ENTERPRISE PTY LTD – PROPOSED ACQUISITION OF THE SOCIAL RESEARCH CENTRE PTY LTD

The Vice-Chancellor provided an outline of the details of the acquisition and its strategic alignment with the University.

Resolved:
That Council approved the acquisition of the Social Research Centre Pty Ltd by ANU Enterprise Pty Ltd and the loan facility of $6.0 million.

11. PROJECTED FINANCIAL RESULTS AND KEY PERFORMANCE INDICATORS

The Executive Director (Administration and Planning) spoke to the report, advising Council that the results show a significant improvement against budget attributed to improved investment returns, reduced staffing expenditure as a result of the implementation of the Voluntary Early Retirement program and an increase in student commencements. The combined effect of these factors shows the overall Net Operating Result, after Capital Grants, has moved favourably from a budgeted deficit of $26.174 million to a projected deficit of $3.512 million.

Council noted the summary report of the University’s draft financial position as at 13 April 2014 and projected result for the Financial Year to 31 December 2014 (522/2014; 523/2014 and 524/2014).

12. STUDENT ACCOMMODATION DEMAND ANALYSIS PROJECT

The Vice-Chancellor provided an outline of the project scope, the purpose of which is to better understand, and build a business case for meeting student demand for accommodation, community services and facilities and an enhanced physical environment that brings life to the university campus and residential experience.

Preliminary analysis signals the need for major redevelopment of Union Square to incorporate apartment-style accommodation for postgraduate students and staff, combined with commercial outlets. The Student Accommodation Demand Analysis Project has been commissioned to provide a more nuanced understanding of longer term demand and the investment model required to meet this demand.

Council noted the Student Accommodation Demand Analysis project scope (70/2014).
13. WORK HEALTH AND SAFETY PERFORMANCE AT ANU

The Executive Director (Administration and Planning) spoke to the report. The Council discussed key issues emerging from the report, including implications for self-insurance, underlying causes of repetitive stress injuries, trend data highlighting the emergence of mental health issues and the extent to which structural change influences these factors.

Council noted the report on Work Health and Safety performance in 2013 and action underway to improve performance (68/2014).

PART 3: STRATEGIC ISSUES

14. SERVICE IMPROVEMENT PRESENTATION – PROGRESS REPORT

The Director, Service Improvement Group, and Acting Chief Information Officer, Ms Karen Hill, provided a presentation outlining progress on the Service Improvement Program. The focus of the presentation highlighted:

- The current situation and desired future state of administrative services; and
- Project status to support business transformation and delivery of administrative efficiencies.

Of the original 60 projects scheduled for implementation, Council noted that 30 remain as “work in progress”. Active contribution and cooperation from Colleges has been a hallmark of the program, leading to the delivery of results to date. In addition, engagement across the university community has generated ideas and project proposals in relation to:

- Target areas for administrative reform;
- The identification of systems and services that should be integrated, aligned and coordinated;
- The articulation of more effective ways of working and cooperating with reduced resources; and
- The establishment of communities of practice to build organisational capability and a performance culture.

Council noted the presentation on implementation progress in relation to the Service Improvement program of work for 2014 and thanked Ms Hill for a succinct and focussed overview of this major change program across the university.

15. MELBOURNE ENGAGEMENT STRATEGY

Council noted the Chancellor’s report on the Melbourne Engagement Strategy (69/2014).

PART 4: OTHER MATTERS FOR DECISION

16. HONORARY DEGREE NOMINATIONS

Council approved the awarding of the degree of Doctor of Science *honoris causa* to William (Bill) Thomas Cooper and Wendy Elizabeth Cooper on the grounds of their outstanding achievements as scholars.

17. APPOINTMENTS TO COMMITTEES

Council was advised of the terms of the current membership of the Audit and Risk Management Committee, Finance Committee, Appeals Panel, Honorary Degrees Committee and Nominations Committee.

17.1 Audit & Risk Management Committee

Resolved that Council:
1. Approve the following membership of the Committee:

- Mr. Geoff Knuckey be reappointed as Committee Chair, for two years to from 1 July 2014 to 30 June 2016;
- Mr. Mark Ridley be reappointed for two years from 1 July 2014 to 30 June 2016;
- Ms Robin Hughes be appointed, as Council member, for two years from 1 July 2014 to 30 June 2016; and
- The following two new independent members be appointed, each for a two year term, from 1 July 2014 to 30 June 2016:
  o Ms Janine McMinn
  o Mr. Jeremy Chandler.

2. Agree to retain one vacancy on the Committee to provide a level of flexibility for the Committee to determine skill mix requirements over the longer term, to support its work.

17.2 Finance Committee

Resolved that Council:

1. Approve changes to the composition of the Finance Committee providing for:

   - ex-Officio members, being, for the present time, the Pro-Chancellor, Vice-Chancellor and Chair, Audit and Risk Management Committee;
   - Up to three Council members; and
   - Up to five other members with appropriate expertise, at least four of whom are neither students nor employees of the University, appointed by Council.

2. Approve the following membership of the Committee:

   - Dr. Doug McTaggart be reappointed for two years from 1 July 2014 to 30 June 2016;
   - Mr. David Miles be reappointed for two years from 1 July 2014 to 30 June 2016;
   - Subject to Ministerial approval, Ms Naomi Flutter be appointed, as a new Council member, for two years; and
   - Mr. Keith Lyon be reappointed for two years from 1 July 2014 to 30 June 2016.

3. Note that the Chair of Finance Committee will confer with the Chancellor, Council members, the Vice-Chancellor and Committee members in relation to the future appointment of other members, with a particular focus on achieving an improved gender balance within the Committee.

4. Note that Mr. Samuel’s current term as Committee Chair will not expire until 30 June 2015. In addition, Ms Siobhan McKenna’s term will not expire until 30 June 2015.

17.3 Appeals Panel

Resolved that Council:

1. Renew the following appointments to the Appeals Panel:

   - Dr Mary Varghese, as the Council nominated member, effective from 25 May 2014 to 24 May 2016 and
   - Ms. Emma Dunn, ANUSA representative, effective from 25 May 2014 to 24 May 2015.

2. Note that Ms Sophie Stanley's term, ANUSA representative, will not expire until 22 September 2015.

17.4 Honorary Degrees Committee

Resolved that Council:

1. Approve the following appointments to replace current retiring Council members:
17.5 Nominations Committee

Resolved that Council note:

1. The reappointment of the following members to the Nominations Committee of Council for a further three year term to 26 May 2017:
   - Professor Carmen Lawrence; and
   - Ms Hilary McPhee.

2. The appointment of Ms Julie Steiner who will replace long-serving member Mr Rob Southey, for a three year term from 1 June 2014 to 31 May 2017.

3. The ongoing appointment of Professor Kiaran Kirk to 26 May 2017 and Professor Ian Young, Vice-Chancellor; and

4. The appointment of Ms Robin Hughes, Pro-Chancellor to the Committee to replace Ms Ilana Atlas.

18. APPOINTMENT OF BOARD OF GOVERNORS OF THE ENDOWMENT FOR EXCELLENCE

Resolved that Council:

1. Approve the following appointments to the Board of Governors of the ANU Endowment for Excellence:

   i. Extension of Dr David Chessell as Senior Vice-President to the Board of Governors of the ANU Endowment for Excellence Board of Governors until 19 February 2017, under Paragraph 3 (1) (b) of the Rules.

   ii. Appointment of a representative from The Australian National University Students’ Association Inc. or the Postgraduate and Research Students’ Association Inc under Paragraph 3 (1) (e) of the Rules:

      *Incumbent up to 30.04.14: Mr Arjuna Mohottala
      *Replacing Nominee up to 30.11.14: Mr Cameron Wilson

2. Approve the appointment of Mr Vince FitzGerald to the Board of Governors of the ANU Endowment for Excellence effective from 1 June 2014 to 31 May 2018, in accordance with Council (Rule 3(2) ANU Endowment for Excellence Rules 2012).
PART 5: OTHER MATTERS FOR NOTING

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

Council noted the summary of the major items considered by the Audit and Risk Management Committee at its meeting held on 1 May 2014.

20. FINANCE COMMITTEE – SUMMARY OF MAJOR ITEMS CONSIDERED

Council noted the summary of the major items considered by the Finance Committee at its meeting held on 16 May 2014.

21. ACADEMIC BOARD ANNUAL REPORT 2013

Council approved the 2013 Annual report for Academic Board (74/2014).

22. ACADEMIC BOARD

Council noted the report from the meeting of the Academic Board held on 2 May 2014 (809/2014).

23. ANU ENDOWMENT FOR EXCELLENCE ANNUAL REPORT TO DONORS 2013

Council approved the ANU Endowment for Excellence Annual Report to Donors 2013 (72/2014).

24. POWER OF ATTORNEY

Council noted the list of transactions over which the Investment Manager exercised the Power of Attorney between 12 March 2014 and 5 May 2014.

25. UNIVERSITY SEAL REPORT

Council noted the document to which the University Seal has been affixed since the meeting of Council held on 28 March 2014.

26. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

Council noted the report of significant visits and events, grants and consultancies (84/2014).

27. ANU ENTERPRISE PTY LIMITED UPDATE REPORT TO 31 MARCH 2014

Council noted the update report for ANU Enterprise Pty Limited as at 31 March 2014 (530/2014).

28. BRU HOLDINGS PTY LIMITED AND SA2 HOLDINGS PTY LIMITED QUARTERLY UPDATE REPORT TO 31 MARCH 2014

Council noted the quarterly summary financial update from BRU Holdings Pty Limited (Davey Lodge) and SA2 Holdings Pty Limited (Kinloch Lodge) to 31 March 2014 (531/2014) and (532/2014).

PART 6: OTHER BUSINESS

29. QUESTION TIME

There were no matters raised in Question Time.
30. OTHER BUSINESS

The Chancellor invited Council members to join with him and the Vice-Chancellor to meet with a representative group of students to discuss issues of concern arising from the Federal Budget announcement to deregulate university fees.

Council concluded at 11:25 am.

31. NEXT MEETING

It was noted that the next meeting of Council will be held on 25 July 2014.

______________________________
Date:______________________

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

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

C* 6 Confidential to Council Members
**CHANCELLOR’S BRIEFING – CRAWFORD AUSTRALIAN LEADERSHIP FORUM**

**PURPOSE**
To note the Chancellor’s brief to Council in relation to the University’s inaugural Crawford Australian Leadership Forum.

**AUTHOR**
Chancellor

**SPONSOR**
Chancellor

**RECOMMENDATION**
That Council note the Chancellor’s brief to Council in relation to the University’s inaugural Crawford Australian Leadership Forum.

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

**BACKGROUND**
Earlier this month, the University held the inaugural two-day Crawford Australia Leadership Forum, designed to promote discussion and debate about pressing economic, political and international issues.

Speakers included senior ministers, academics, economists, business leaders and public servants, as well as experts from around the world.

The theme of the 2014 conference was global realities, domestic choices.

The Chancellor will brief Council members about the Forum and its outcomes.
C* 8 Confidential to Council Members
SOCIALLY RESPONSIBLE INVESTMENT POLICY REVIEW

PURPOSE
To consider the proposed review of the University’s Socially Responsible Investment Policy, its implementation and reporting.

AUTHOR
Executive Director (Administration and Planning)

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council consider the proposed review of the University’s Socially Responsible Investment Policy, its implementation and reporting.

ACTION REQUIRED
For discussion ☑️ For decision ☐ For information ☑️

BACKGROUND
The protest by the Students for a Fossil Free ANU group, held prior to the March 2014 Council meeting, was in response to a call to universities Australia-wide to participate in an international survey issued by the Asset Owners Disclosure Project (AODP), regarding ethical investment practices and transparency in investment decision-making conduct.

At its meeting held in March 2014, Mr Tom Swann, an ANU student, from the Students for a Fossil Free ANU group, was given the opportunity to address Council to raise relevant issues about ethical investment, and, in particular, to invite the Australian National University to participate in the inaugural Global Universities index survey for 2014, as developed by the Asset Owners Disclosure Project (AODP).

Council resolved at its meeting on 30 May 2014, not to participate in the survey and, instead, to request the university to consider various options and methodologies for developing a robust, credible and transparent process for examining existing and potential investment holdings in the ANU investment portfolios.

Since that time, the University’s Investment Office has been requested to examine the availability of external ratings providers for the purpose of seeking an independent assessment of directly held securities in the ANU investment portfolios. Secondly, the Investment Office has been asked to seek statements from external managers regarding their environmental, social and governance (ESG) and/or their SRI policies.

Mr Swann has been invited to this meeting of Council to raise further issues of interest to his group which will be taken into account in the course of the review of the SRI policy, its implementation and reporting.

The attached paper provides a progress report in relation to the review being undertaken by the Investment Office.

ATTACHMENTS
9.1 Progress Report on SRI Implementation and Reporting (91/2014)
9.2 ANU Socially Responsible Investment Policy (92/2014)
REPORT TO COUNCIL ON PROGRESS OF ANU SRI IMPLEMENTATION AND REPORTING

25 JULY 2014

Purpose:

The purpose of this paper is to provide an update to Council on the progress of implementing The Australian National University’s Socially Responsible Investment (SRI) Policy as approved by Council in November 2013.

The ANU SRI Policy is provided at Attachment 1. The reporting requirements of the policy are as follows:

The Investment Advisory Committee (IAC) will monitor investments held in the University investment portfolio through the detailed reports provided to the Committee at its regular meetings to be held four times each year.

Each year, the IAC will prepare a report to Council that summarises measures taken to ensure compliance with this policy. This report will detail any deviation from the policy and actions taken to address non-compliance. This report will list any assets held which are in contradiction of this policy and the approved timeframe for reducing these investments.

While undertaking due diligence on new and existing assets held within the University investment portfolios, the Investment Office will ensure each asset is in compliance with the principles provided for in this policy. Should there be any uncertainties regarding the compliance of specific investments, the Investment Director will discuss the matter with University Executive.

Progress to Date:

The Investment Advisory Committee (IAC) considered a paper titled “Outline of Proposed ANU SRI Reporting Document” at the IAC meeting of 6 March 2014. This paper outlined various options and methodologies for developing a robust, credible and transparent process for examining existing and potential investment holdings in the ANU investment portfolios. It was agreed that in the first instance, the Investment Office should examine the availability of external ratings providers for the purpose of seeking an independent assessment of directly held securities in the ANU investment portfolios. Secondly the Investment Office should seek statements from external managers regarding their environmental, social and governance (ESG) and/ or their SRI policies.

At the IAC meeting of 22 May 2014 the Committee further refined the preferred approach of assessing investments and the format of reports. It was agreed there was a preference for an independent ESG rankings provider that placed a significant focus on the environmental and social issues when performing its analysis of companies. Finance Committee endorsed the IAC’s proposed process for implementing the ANU SRI Policy.

The Investment Office is currently negotiating a Service Agreement with a suitable ESG service provider which will provide independent reports on the majority of ANU’s listed investments in Australia. The Investment Office has also compiled investment policy statements from its external managers where available.

Implementation and Reporting:
The Investment Office anticipates the ESG Service Agreement with the independent service provider will be finalised in the near term. This will allow the University to order and review the relevant reports relating to its existing investment holdings. A report from the service provider will also provide an average ranking of ANU’s holdings against the average score for the top 300 companies listed on the Australian Stock Exchange. The Investment Office will examine the individual company ESG reports to assist with the process of determining whether the University should divest any of its existing holdings. A detailed report will be provided to the ANU senior executive and the IAC for discussion and consideration of the University’s direct holdings and the alignment or otherwise of those holdings with the ANU SRI policy.

Where available the Investment Office will examine the ESG/SRI policy statements from its external managers to assess alignment with the principles of the ANU SRI policy. Where there are inconsistencies the Investment Office will engage with the external managers to discuss remedial action. Where there is no relevant policy statement (such as may be the case with indexed funds) this will be noted. In situations where a resolution of inconsistencies is not available to the satisfaction of IAC or the ANU executive the Investment Office will examine options for exiting the relevant exposure. A detailed report will be provided to ANU senior executive and the IAC for discussion and consideration of the externally managed investments.

The next scheduled meeting for the IAC is 21 August 2014. It is anticipated the detailed reports on the University’s direct holdings and its investments held through external managers will be discussed at that meeting.

Based on further input from ANU senior executive and the IAC, a report will be prepared on behalf of IAC for consideration by Council at its next meeting following the IAC meeting of 21 August 2014.

Summary:

The University has made good progress in advancing the implementation and reporting on the ANU SRI policy approved by Council in November 2013. It is anticipated the IAC will review detailed reports relating to this policy at its meeting of 21 August 2014. The IAC will then be in a position to provide a report to Council outlining the alignment of the University’s investment portfolios with the ANU SRI policy and a summary of any remedial actions.
Policy - Socially Responsible Investment

Purpose
This policy has been developed to provide guidance on what assets should be held in the University’s investment portfolios.

Overview
This policy seeks to ensure socially responsibility investing behaviours are maintained in the execution of ANU investment policies and strategy. The ANU Council will contribute to the ongoing implementation of this policy. Council will provide input to the debate on substantive issues as they arise.

Scope
This Policy applies to those with responsibility for investing on behalf of ANU, and those with oversight of ANU investing activities.

Policy Statement
The University directly manages a large investment portfolio. The aim of the portfolio is to deliver a balance of risk and return within parameters determined by the University. Investment returns from the University’s investment portfolio support operational revenues, provide for payments on liabilities and underpin endowment mandates. In making these investment decisions, the University also considers its wider responsibilities as an investor.

To this end the University has developed a Socially Responsible Investment policy to provide guidance on what assets should be held in its investment portfolios. While the University has a fiduciary responsibility to maximize returns under its control, to diversify risk and to ensure the funds are efficiently managed, this policy also incorporates the need to assess and consider any social harm or benefit that might arise through these investment activities.

In making investment decisions, the University will aim to:

- avoid investment opportunities considered to be likely to cause substantial social injury
- positively promote investment in securities, companies, trusts and other entities that support socially beneficial outcomes.

It is acknowledged that many large companies have diverse activities and that assessing a company’s involvement in either ‘avoid’ or ‘promote’ activities requires some judgement of the degree of involvement.

Compliance and Reporting
The Investment Advisory Committee (IAC) will monitor investments held in the University investment portfolio through the detailed reports provided to the Committee at its regular meetings to be held four times each year.

Each year, the IAC will prepare a report to Council that summarises measures taken to ensure compliance with this policy. This report will detail any deviation from the policy and actions taken to address non-compliance. This report will list any assets held which are in contradiction of this policy and the approved timeframe for reducing these investments.

While undertaking due diligence on new and existing assets held within the University investment portfolios, the Investment Office will ensure each asset is in compliance with the principles provided for in this policy. Should there be any uncertainties regarding the compliance of specific investments, the Investment Director will discuss the matter with University Executive.

Transitional Arrangements
Where the University determines, pursuant to this policy, to reduce its investment in an existing company or asset, the liquidation of that asset should be timed to avoid any adverse impact on the University’s overall investment position and the University may decide to phase out of a particular asset over a period of time. In such cases, the progressive winding back of such an asset will be monitored and periodically reported.
C*10 Confidential to Council Members
*11 ASSET NAMING POLICY

PURPOSE 
To approve the University’s Asset Naming Policy.

AUTHOR 
Vice-Chancellor

SPONSOR 
Vice-Chancellor

RECOMMENDATION 
That Council approve the University’s Asset Naming Policy (94/2014).

BACKGROUND 
The University's naming policy and practice has evolved over a period of many years and, to date, has mainly related to the naming of buildings, facilities and spaces. At present, there is a rich mixture of names of such facilities, including:

- Names associated with the history of the site, e.g. Canberry Bridge, Bachelors Lane, Lennox House, Sullivans Creek. In some cases these features were named prior to the development of the University.
- Notable Australian identities, e.g. of a political nature (such as Menzies, Chifley, Curtin and Bruce) or academic, e.g. Liversidge.
- Names with a University or academic association, e.g. Chancelry, Fellow Road and historical figures, e.g. Banks, Linnaeus
- Names after those having a significant involvement with the University, either as staff or in some other position, for example Burton, Coombs, Crawford, Hope, Jaeger, Melville and Mills.
- Names linked to special identities, especially the affiliated colleges, e.g. John XXIII, Ursula.
- Functional names, e.g. University House, Science Road, University Union, Willows Oval, Arts Centre and RSBS Building.
- Others, including charming eccentricities, e.g. Toad Hall.

As the University continues to grow its fundraising capabilities, and as donations to the University continue to increase in significance, so the practice of recognising Benefactors through naming opportunities will become ever more important.

Naming can also represent considerable potential reputational risk to the University through public exposure of association. Managing this risk through the construction of a strong governance framework must be made a priority.

The pro-forma for naming submissions covers the full range of detail required to put forward a naming proposal for consideration by the Asset Naming Committee including:

- A summary biography of the individual, corporation, organisation or foundation to be recognised, to ensure consistency with the objectives of the ANU Asset Naming Policy.
- Details of their existing relationship with the University
- Clear indication of the importance and value of the proposed naming to ANU.
- The clearly defined time frame / duration of the proposed naming.
- And importantly, compliance with the minimum level of support for the relevant category as articulated in the annually published ANU Contribution Guidelines for Asset Naming opportunities.
This pro-forma and associated contribution guidelines will be tested with the Asset Naming Committee and with College / Division users to ensure it is fit for purpose, intelligible and accessible. We will review after six months of use, or earlier as required, and it will be published on both the University's policy and philanthropy websites.

ATTACHMENT
11.1 ANU Asset Naming Policy (94/2014).
11.2 ANU Asset Naming Procedures (107/2014).
Asset Naming Policy

Purpose

To outline the standards by which the University recognises the contributions of benefactors and individuals or groups who have made an exceptional contribution to the institution's achievements and future activities.

Overview

This policy sets out principles designed to support the recognition of individuals and groups who have made an exceptional contribution to the University's past achievements and future activities.

Scope

All University assets—physical and non-physical—whether existing or proposed

All new proposals for asset naming.

Policy Statement

Asset naming at the University is:

- Based upon outstanding achievement or contribution, as demonstrated through a transparent and rigorous process;
- Consistent with the recognition of achievement across the range of the University’s activities and with equal opportunity;
- Aligned with University priorities, reputation and principles of integrity and academic freedom;
- For a finite asset, and a finite time period, with the option of renewal available in some cases.
Asset Naming Procedures

Governing Policy

This procedure is made under the ANU Asset Naming policy.

Overview

To outline the procedures by which the University recognises the contributions of benefactors and individuals or groups who have made an exceptional contribution to the institution's achievements and future activities.

Scope

All University assets—physical and non physical—whether existing or proposed.
All new proposals for asset naming.

Definitions

The term “facility / facilities” includes:
• University buildings and parts thereof (e.g. rooms, interior spaces, wings, lecture and seminar rooms, laboratories, atria, foyers).
• Open spaces, exterior spaces (e.g. gardens, courts etc.) and roads.
• And all other tangible and relatively permanent features (e.g. natural features, physical improvements), owned operated or controlled by ANU.

The term “non-physical assets” includes, but is not limited to:
• Academic entities (e.g. Centres, Schools, Colleges)
• Academic and Professional positions (e.g. Professorial Chairs)
• Scholarships, bursaries, prizes and student awards

The term “Benefactor” is used in recognition of an individual, foundation, corporation or organisation that has made a substantial financial contribution to the University. (The recommended gift thresholds for all naming of University assets are outlined in the annually published ANU Contribution Guidelines for Naming Opportunities.)

The term “Honouree” is used in either:
a) recognising an individual who has made an exceptional contribution to the University by attaining achievements of extraordinary and lasting distinction; or
b) recognising a foundation, corporation or organisation that has made an exceptional contribution to the life and/or history of the University.

Proposal for naming an asset

1. The Asset Naming Committee endorses and the Vice-Chancellor approves asset names.

2. Asset Naming Committee Membership
   Chair: Executive Director, Administration & Planning
   Deputy Vice-Chancellor (Academic) and/or Deputy Vice-Chancellor (Research)
   Director, Alumni Relations & Philanthropy
   Director, Facilities & Services
   Director, Corporate Governance and Risk
   One Dean appointed by the Vice-Chancellor

3. An individual or group wishing to submit a naming proposal (the proposer) discusses the proposed name with the Director, Alumni Relations and Philanthropy and the required draft Gift Deed if the proposal involves a philanthropic gift.
4. The individual or group submits a formal naming proposal on the approved pro-forma via philanthropy@anu.edu.au to the ANU Naming Committee for consideration.

5. The Asset Naming Committee considers complete naming proposals. The Asset Naming Committee will seek additional information or commission additional due diligence, if required.

6. The Asset Naming Committee considers proposals that do not adversely affect the University's reputation and where the gift is otherwise acceptable.

7. Members of the Asset Naming Committee declare any Conflict of Interest in alignment with University standards.

8. Once approved, the Vice-Chancellor notifies the Director of Alumni Relations and Philanthropy to:
   a) Seek consent from the individual (Honouree) for whom the entity is to be named (or representative/next of kin); or
   b) Advise the benefactor (or representative/next of kin)

9. At this time the University also informs the individual or the entity that the University’s approval of naming does not confer the right to the Benefactor or Honouree to use the University's name.

10. In the case of a benefactor, the Director of Alumni Relations and Philanthropy produces a final Gift Deed outlining the approved naming agreement.

Implementation of the Name

11. The Director, AR&P (or delegate) notifies the naming committee in confidence of the final outcome and implements the stewardship and communication plans associated with the approved naming proposal.

12. The Director, AR&P (or delegate) notifies in confidence the specific academic entity or associated college or division to which the naming relates and informs them of their responsibility for managing the implementation of the name change to all aspects of the academic entity’s activities and functions.

13. The Director, AR&P (or delegate) notifies the Director of Strategic Communication and Public Affairs for arrangements of the formal announcement to be made.

14. Upon final approval for the naming and after the naming has been publicly announced, a copy of the naming proposal, naming agreement and other relevant documents are held by Facilities and Services.

15. Facilities & Services maintains a naming register containing details of all facilities named and approved under the ANU Asset Naming Policy and/or prior to this policy’s implementation.

16. A copy of the approved naming proposal will also be provided to AR&P by F&S. AR&P are responsible for maintaining and updating the University’s community database with newly named entities, property and other indicia, to include the details of the Benefactor or Honouree who has been recognised, the date of naming, time frame for naming, individual or Faculty who proposed the naming.

17. The ANU community adopts the new title of a space into common usage. The new name is communicated to staff and students by the Director of Facilities and Services, including appropriate room signage, building maps, room bookings and on students’ timetabling.

18. Signs acknowledging a space’s new title adhere to the standard methodology for labelling within a particular building and are subject to University policies and guidelines applicable to signage.
19. Facilities & Services ensure that signage for the named space is produced in keeping with the building or environment in which the named space resides.

20. All facilities named after a Benefactor or Honouree incorporates the display of an approved plaque containing the chosen name given to the facility and other information relating to the naming as deemed appropriate.

21. The costs associated with the naming of University assets including but not limited to, the production and installation of the plaque, signage and costs relating to the hosting of a space naming ceremony, are to be met from the University’s central budget and are approved by the Executive Director of Administration and Planning. Where an ANU College or Division is the recipient of a financial donation or sponsorship in respect of the naming, the costs are borne by the ANU College or Division.

Period of Naming

22. The terms of naming are ‘in perpetuity’ (defined as the useful life of the building or asset) or for a specified period of time.

23. The temporary naming of a facility occurs for identification purposes. These names indicate use or location, or have another neutral connotation, so that they are easily changed. Temporary names are used for an indefinite period, when required.

Review and amendment of asset names

24. The Director of Facilities and Services and the Director of Alumni Relations and Philanthropy review asset names on an annual basis.

25. Reviews of and amendments to names are put forward to the Naming Committee outlining the rationale and the communication strategy to the affected Honouree or Benefactor.

26. The Asset Naming Committee endorses and the Vice-Chancellor approves review of and amendments to asset names.

Disestablishing or replacing a naming

27. The Asset Naming Committee endorses and the Vice-Chancellor approves the disestablishment or the removal of asset names.

28. Cases to disestablish or remove an asset name put forward to the Asset Naming Committee via a memo outlining the rationale and the communication strategy to the affected Honouree or Benefactor.

29. Reasons for disestablishing a name include:
   a) The Individual or organization (Benefactor or Honouree) after whom an asset has been named comes into disrepute;
   b) The existing named asset is to be demolished or has been subject to substantial change. The original name may then be considered for transferring or reinterpreting onto a new asset (See Transferring a Naming below);
   c) The existing name is considered to be interim or temporary or does not adequately reflect the status or naming opportunity of the asset;
   d) The agreed period of the naming opportunity has expired.

30. Where it is proposed that a named space will be renamed or the existing name removed, the original Benefactor or Honouree is notified by the Director of Alumni Relations and Philanthropy (or delegate) in advance of any formal announcement. If the Benefactor or Honouree is deceased, reasonable efforts will be made to inform the next of kin in advance of the renaming. Recognition of earlier Benefactors or Honourees is included where appropriate.
31. Where a naming is for a limited period of time, the University removes the name and/or rename the asset on the expiration of that time.

**Transferring a naming**

32. A transfer or reinterpretation of a naming onto a new asset is considered via new naming proposal submission, if the existing asset is removed, substantially modified or in the case of facilities, has changed function as a consequence of redevelopment.

33. A proposal to transfer a name is to be submitted in sufficient time for approval prior to the removal of the original asset.

**Revocation of Naming**

34. No commitment to a naming extends beyond the clearly defined time frame for naming or the useful life of the asset that has been named, whichever is the shorter period of time as outlined in these procedures.

35. The Vice-Chancellor reserves the right to revoke the naming approval at any time, if for any reason it considers the association with the name to be damaging to its reputation or if the Benefactor is in breach of the terms of the Gift Deed.

36. In the case of early revocation, the University shall inform the Benefactor or Honouree outlining its decision.

**Disputes about the proposal, amendment or disestablishment of a name**

37. The decision of the Vice-Chancellor on all naming is final.
### PART 3 – STRATEGIC ISSUES

**12 ALUMNI RELATIONS AND PHILANTHROPY PRESENTATION**

<table>
<thead>
<tr>
<th><strong>PURPOSE</strong></th>
<th>To consider a presentation and discuss the University’s strategy for strengthening its alumni relations and growing its philanthropic base.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AUTHOR</strong></td>
<td>Director, Alumni Relations and Philanthropy</td>
</tr>
<tr>
<td><strong>SPONSOR</strong></td>
<td>Vice-Chancellor</td>
</tr>
</tbody>
</table>

**RECOMMENDATION**

That Council consider a presentation and discuss the University’s strategy for strengthening its alumni relations and growing its philanthropic base.

**ACTION REQUIRED**

- For discussion [✓]
- For decision [☐]
- For information [☐]

**SUPPORTING MATERIAL**

The Director, Alumni Relations and Philanthropy, Dr. Colin Taylor, will present an update to Council on Alumni Relations and Philanthropy at ANU including:

- A review of recent developments in the Australian philanthropic landscape;
- The development of philanthropy by the Group of Eight;
- ANU performance and progress against targets; and
- Essential next steps required to capture present opportunities.

**ATTACHMENT**

12.1 Alumni Relations and Philanthropy at ANU presentation (95/2014)
Building an institution-wide approach to Alumni Relations and Philanthropy

Dr Colin Taylor
Director
Alumni Relations and Philanthropy
A fundamental change?

$50m
Tuckwell

$50.1m
Berghofer

$65m
Forrest

$100m
Westpac

$2bn
Ramsey
## The Group of Eight

<table>
<thead>
<tr>
<th>University</th>
<th>Campaign Details</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sydney</td>
<td>(Campaign: $600m, Established)</td>
<td>Established</td>
</tr>
<tr>
<td>Melbourne</td>
<td>(Campaign: $500m, Established)</td>
<td>Established</td>
</tr>
<tr>
<td>UQ</td>
<td>(Quiet phase: expect $500m, Established)</td>
<td>Established</td>
</tr>
<tr>
<td>UWA</td>
<td>(Campaign: initially $300m, now $400m, Established)</td>
<td>Established</td>
</tr>
<tr>
<td>UNSW</td>
<td>(Established)</td>
<td></td>
</tr>
<tr>
<td>Adelaide</td>
<td>(Quiet phase: expect $150m, Building)</td>
<td>Building</td>
</tr>
<tr>
<td>ANU</td>
<td>(Building)</td>
<td>Building</td>
</tr>
<tr>
<td>Monash</td>
<td>(Building)</td>
<td>Building</td>
</tr>
</tbody>
</table>
2013 Full Year Performance

$12.53m Receipted

$64.05 Raised

$241.08m Endowment

34.83% Engaged Alumni
Corporate and Foundation Relations

Funding from Organisational Donors to ANU

<table>
<thead>
<tr>
<th>Year</th>
<th>RAISERS EDGE</th>
<th>ARIES</th>
</tr>
</thead>
<tbody>
<tr>
<td>2007</td>
<td>$1,000,000</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>2008</td>
<td>$4,000,000</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>2009</td>
<td>$4,000,000</td>
<td>$3,000,000</td>
</tr>
<tr>
<td>2010</td>
<td>$3,000,000</td>
<td>$2,000,000</td>
</tr>
<tr>
<td>2011</td>
<td>$5,000,000</td>
<td>$1,500,000</td>
</tr>
<tr>
<td>2012</td>
<td>$3,000,000</td>
<td>$1,000,000</td>
</tr>
<tr>
<td>2013</td>
<td>$9,000,000</td>
<td>$3,000,000</td>
</tr>
</tbody>
</table>

NOTES:
Organisational donors are defined as philanthropic trusts/foundations, corporations and non-profit organisations.
Funding excludes pledges, only cash received each calendar year.
2013 totals exclude $6.5M from Tuckwell Foundation.
## 2013 Behind the scenes

<table>
<thead>
<tr>
<th>193</th>
<th>training hours delivered during reporting period (1:1 and group)</th>
</tr>
</thead>
<tbody>
<tr>
<td>308</td>
<td>Account delegations restructured to align with College and Exec structures</td>
</tr>
<tr>
<td>616</td>
<td>Individual accounts reviewed (investment mix and budget)</td>
</tr>
<tr>
<td>127,140</td>
<td>constituents in donor and alumni database at end of reporting period</td>
</tr>
<tr>
<td>116</td>
<td>ad hoc data requests provided during reporting period</td>
</tr>
<tr>
<td>17,452</td>
<td>bio updates (auto and manual) during reporting period (address, phone and email)</td>
</tr>
<tr>
<td>2,027</td>
<td>gifts processed during reporting period (one-off, new pledges and pledge payments)</td>
</tr>
<tr>
<td>141</td>
<td>prospect research profiles / event briefings provided during reporting period</td>
</tr>
</tbody>
</table>
2014 Headline Projects

Annual Giving

Donor Stewardship

International and Domestic AR Structure
2014 Enabling Strategies

Articulate AR&P Purpose and Scope

Improve communication and understanding of AR&P across University

Determine AR&P structure and interactions

Develop Policy and Procedures
Gifts received to date in 2014

At P6 (8 June): $1.467M

Processed since P6: $923,835.94

Awaiting processing: approx $250,000

Total: $2,640,835.94

Last year P6: $1.948M + $6.5M Tuckwell
Gifts in progress, expected in 2014

$1M endowed (scholarships)

$1M in - kind

$250k (research fellowships / SoM)

$100k pa (postgrad scholarships) (UK)

Significant foundation gift (scale not known)
Alumni Engagement

Engagement Percentage by Year

<table>
<thead>
<tr>
<th>Year</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>END OF 2010</td>
<td>26.55%</td>
</tr>
<tr>
<td>END OF 2011</td>
<td>26.36%</td>
</tr>
<tr>
<td>END OF 2012</td>
<td>29.60%</td>
</tr>
<tr>
<td>END OF 2013</td>
<td>34.83%</td>
</tr>
<tr>
<td>JUN-14</td>
<td>39.12%</td>
</tr>
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</table>
## Prospects by Net Capacity

<table>
<thead>
<tr>
<th>Net Capacity - Totals</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NC 2 ($50k - $100k)</td>
<td>416</td>
</tr>
<tr>
<td>NC 3 ($100k - $500k)</td>
<td>200</td>
</tr>
<tr>
<td>NC 4 ($500k - $1m)</td>
<td>25</td>
</tr>
<tr>
<td>NC 5 ($1m+)</td>
<td>88</td>
</tr>
</tbody>
</table>

**Estimated NW of NC5s:** $12.1 billion
The Case for support: Basic ingredients

The “Big Story” (Vision)

Research and Education priorities

College priorities

School priorities
The Case: Another way of looking at it

Why is this important?

Why must it be done now?

Why is ANU the best place to do it?
PART 4 – OTHER MATTERS FOR DECISION

13 ETHICS COMMITTEES ANNUAL REPORTS 2013

PURPOSE
To approve annual reports of ethics committees for 2013.

AUTHOR
Chairs, Ethics Committees

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council approve the 2013 Annual Reports of the following:
(a) Animal Experimentation Ethics Committee (96/2014);
(b) Human Research Ethics Committee (97/2014);
(c) Recombinant DNA Monitoring Committee 98/2014).

ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☐

ATTACHMENT
13.1 Animal Experimentation Ethics Committee Annual Report 2013 (96/2014)
13.2 Human Research Ethics Committee Annual Report 2013 (97/2014)
13.3 Recombinant DNA Monitoring Committee Annual Report 2013 (98/2014)
Animal Experimentation Ethics Committee

2013 Annual Report to Council

June 2014

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CRICOS Provider No. 00120C
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SECTION 1

Introduction
The ANU Animal Experimentation Ethics Committee (AEEC) operates to ensure that the University complies with standards required under *Australian Code for the Care and Use of Animals for Scientific Purposes, 2004* (NH&MRC, CSIRO, ARC, AVCC). It also ensures that the University operates within the *ACT Animal Welfare Act 1992*.

The broad functions of the Committee are to emphasise the responsibilities of both investigators and institutions using animals; ensure that animal use is valid; minimise the number of animals used in projects whilst ensuring research outcomes; limit or avoid pain and distress and ensure that the welfare of animals is always considered; promote the development and use of techniques which replace animal experiments.

Membership of the Committee for 2013

Professor D Stoljar (Chairperson)
Ms K Debono (Executive Officer)
Dr S Bain (Category A)
Dr S Fowler (Category A)
Dr H Clarke (Category B)
Dr L Coupland (Category B)
Dr R Meischke (Category C)
Ms A Rhodes (Category C)
Mr M Clayton (Category D)
Dr K Sawczak (Category D)
Mr M Sutton, Animal Technician
Ms K Bowditch, Animal Technician

Advisors to the Committee
Professor B Lidbury, expert on alternatives to animal use

The four categories of membership are laid down in legislation and the Committee must maintain a certain balance of membership. The Categories are:

- **Category A** members are veterinarians.
- **Category B** members are scientists with substantial recent experience in the use of animals for scientific or teaching purposes.
- **Category C** members have demonstrable commitment to, and experience in furthering the welfare of animals and are nominated by animal welfare organisations.
- **Category D** members are independent people not employed by ANU and are often referred to as community representatives.
- Animal Technician, a person responsible for the care of research animals within the ANU. The animal care technician’s role is of great value to the AEEC in providing information on animal welfare at the facility level.

Advisors are non-voting members who provide valuable specialist advice.

Committee Activities
The Committee met 12 times in 2013, 11 were routine meetings and one was a special meeting to address a specific study.

The standard format is for new proposals, amendments, annual review and standard operating procedures to be circulated to members prior to the scheduled meeting; members may subsequently direct questions in writing through the Executive Officer (EO) to the investigator. Replies are collated prior to the monthly meeting and are considered by the
Committee. Questions on proposals may also be raised during meetings. Investigators may be invited to attend the meeting to provide additional information. Many proposals are modified to some extent following the deliberations of the Committee; proposals on occasion are rejected outright. In order to facilitate research the AEEC may also consider minor amendments to protocols out of sessions; approvals are then ratified at the next formal meeting.

In addition to examining proposals the Committee at its meetings also considers any aspects or issues that might affect the welfare of animals held within the University’s approved research and teaching programs.

**Outcome of Proposal Assessments in 2013**
49 new proposals and 121 amendments were considered by the Committee during 2013. Of the new proposals, none were rejected and 46 were in some way modified by the AEEC before approval. Two of the amendments considered were rejected.

A total of 98 annual reviews were considered and the protocols approved for continuation; some after further modification by the Committee.

**Approvals by Primary Research School or Centre**

- Research School of Biological Sciences 19
- John Curtin School of Medical Research 9
- Fenner School of Environment & Society 9
- The Canberra Hospital Research Services Division 5
- Research School of Physics and Engineering 3
- College of Arts and Social Sciences 3
- College of Engineering and Computer Sciences 1
SECTION 2

The Code, ANU and Replacement, Reduction and Refinement
The AEEC continues to investigate ways to Refine techniques, Reduce animal numbers, and Replace the use of animals, collectively known as the 3R’s under the Code.

Refinement:
The ANU AEEC continues to adopted and develop a number of measures to reduce the adverse impact on animals involved in both biomedical and wildlife research. These include:

1. continued use of analgesics pre and post-operatively; along with clinical score sheets to ensure consistent monitoring and humane end points;
2. encouraging pilot studies that guide and inform the investigator and Committee towards implementing the best methods for larger studies involving animals, especially in cases when the research proposed is novel;
3. delivery of appropriate training courses for research and technical personnel;
4. the ongoing revision and development of Standard Operating Procedures promoting best practice technique;
5. the utilisation environmental enrichment inclusion for all captive species;

Reduction:
New imaging equipment (micro CT and optical imager) located in the John Curtin School of Medical Research (JCSMR) have allowed for reduction and refinement to current animal experiments, reducing rodent numbers and the impact on their welfare

Continued cryopreservation of sperm and ova from mice has allowed the preservation of mouse strains that are not currently required for research; this reduces the number of mice held and bred in production colonies when the strain is not currently required for a research project. The ANU Australian Phonemics Facility is the central and leading mouse cryopreservation facility within Australia; storing and cataloguing mouse strains for future research models if required.

Replacement:
These include techniques that totally or partially replace the use of animals for scientific purposes.

Professor Brett Lidbury joined the AEEC as an advisor on alternatives to animal use; Professor Lidbury’s appointment to the AEEC has increased the profile of animal alternatives at the ANU. During 2013 the AEEC requested that a number of investigators consider alternatives to the use of animals with Professor Lidbury's assistance.

Dr Ben Quah of the JCSMR developed a new assay to determine the efficiency of T killer immune cells in killing target cells; this type of assay previously required 200 mice or more but can now be performed using one mouse. Dr Quah was nominated for a 3R’s prize with the National Centre for the Replacement, Refinement and Reduction of Animals in Research.

Animal Ethics Seminars and Training
In late 2012 the AEEC implemented mandatory training for all staff listed on biomedical animal ethics protocols using rodents. Existing staff had until the end of 2013 to complete training relevant to their work with animals and new staff must complete training before they can commence work with animals.

Theoretical and practical training courses are available through ANU Bioscience Services (ABS). The Research Ethics Office provides the material for the theoretical component of the
animal ethics training and the Executive Officer (EO) delivers seminars on a regular basis in conjunction with ABS. The EO also provides one on one training to new investigators required to submit protocols to the AEEC for the first time. Each ANU animal facility conducts in house practical training and assessment.

**Inspection of Animal Facilities**

The annual inspection of all animal facilities by the AEEC took place on October 15 2013. A number of recommendations resulted from the inspection.

The following are animal facilities pertinent to ANU research and teaching programs that were inspected by the Committee in 2013.

- Hugh Ennor Building (temporarily holding Canberra Hospital animals also)
- Containment suites JCSMR
- JCSMR holding rooms
- Wes Whitten Building
- Linnaeus Building rodent Holding
- Research School of Biology (RSB) Wildlife Holding & Aquarium
- Campus Field Station (formerly Native Animal Enclosure)
- Spring Valley Farm (Veterinarian and EO only)

The Veterinarian and Executive Officer undertook formal and informal inspections of animal facilities and some field work on behalf of the AEEC throughout the year. The veterinarian also undertook weekly rounds of the JCSMR rodent facilities and worked with RSB and the Canberra Hospital as required. The EO assisted the rDNA Manager with annual inspections of all PC2 animal holding facilities; this doubled as an extra formal inspection from an animal welfare perspective. A new bird aviary was erected in the Campus Field Station during 2013 to support the research of RSB investigator Dr Pryke. The AEEC was kept informed via the EO throughout the construction process and was able to visit the facility on a number of occasions throughout construction and before occupation.

**Incidents reported to the AEEC and non-compliance with the Code**

In order to ensure that the AEEC operates at the standards of the ACT Animal Welfare Act 1992 and that the Code is met, the AEEC encourages the reporting of animal welfare concerns. Such reports are treated confidentially and sympathetically and are fully discussed at a meeting of the AEEC with appropriate action subsequently taken. There were no cases of non-compliance with the Code during 2013. Reports related to specific animal welfare concerns in 2013 are in listed in appendix A.
SECTION 3

ARIES Animal Ethics Management System
On-line animal ethics application processing is through the ARIES system. The Committee noted that the system has received little attention in the way of updates since its commissioning in 2005. Additional work is required outside the system to ensure legislative compliance. A modified version of the system was considered by the Committee during the year but it was not considered satisfactory. As a consequence a new system will be commissioned during 2014.

ACT Legislation
There have been no changes to the relevant ACT legislation since the ACT Animal Welfare Legislation Bill 2007. A new edition of the Code was released by the NHMRC in July 2013; each state and territory works to its own time line when gazetting the new version into its animal welfare legislation. The EO has responsibility for ensuring, on behalf of the Committee that researchers are aware of different requirements across Australia and of relevant changes. At the end of 2013 the ACT had not yet moved to include the new version of the Code in to the ACT Animal Welfare Act. Upon the release of the new Code the EO mapped changes and listed action that needed to be taken by the ANU to ensure compliance with the new Code, copies were provided to the Deputy Vice-Chancellor (Research), Director and Deputy Director, Research Services Division.

Multi State Licensing and Reporting
The ANU AEEC has concerns regarding its wildlife research, in that it reports to a number of State and Territory Governments (ACT, NSW, QLD, TAS, WA and VIC) each with very different reporting requirements. In the Committee’s opinion this is a significant unnecessary burden on the administrative workload, and is not an accurate reflection of animals used for scientific purposes nationally due to inconsistencies in reporting formats and the failure of some states to publish the data.

In this regard Dr Bain applied in 2012 (and was successful in early 2013) in being awarded a grant from the Australian Animal Welfare Strategy (AAWS) with the objective to present a case for all Australian states and territories to have a common scientific animal use statistical reporting scheme. Dr Bain with the assistance of the EO put together a proposal to standardise research animal use statistics nationally which was submitted to the Department of Agriculture under the AAWS. At the present time the proposal has not been adopted due to the AAWS being dissolved under a new Government, and each state will continue to collect animal use statistics independently.

Animal Usage
A table of the different areas of endeavour in which AEEC approval was current at 31 December 2013 and the areas for which new approvals were given in 2013 are shown in Appendix B. Appendix C details animals used by the University in 2013
APPENDICES

Appendix A- Summary of Incidents reported to the AECC

1. The injury of two mice undergoing insulin resistance testing and their subsequent euthanasia was considered by the Committee with the full co-operation of the principal investigator. As directed by the Committee one staff member from the research group had their animal handling skills re-assessed by the ABS training unit and was deemed competent. The Committee reviewed the data from the experiments and the EO visited the laboratory on behalf of the Committee while the tests were being undertaken; no problems were reported with technique but the EO recommended the fasted mice receive a glucose gel post procedure to help restabilised blood glucose levels quickly.

2. An investigator reported the death of five fish in his study, all post injection. The investigator assumed the cause of death was poor injection technique. He consulted his supervisor and undertook further practice injections before recommencing with live animals. No further deaths were reported.

3. Two captive brushtail possums undergoing feed trial experiments died from coccidiosis; the veterinarian was consulted and a post-mortem was conducted. All remaining possums were treated with a coccidistat and faecal samples were collected intermittently from the remaining animals and were examined by the veterinarian and EO to determine whether the parasite was under control in the colony.

4. The veterinarian reported an incident where rodents where deprived of oxygen during transport, their cage was left in a sealed secondary container and on discovery were unwell and immediately euthansed. The veterinarian undertook a post-mortem and tightened transport procedures to prevent a reoccurrence.

5. An investigator reported frequent deaths of male NOD K mice in the production colony. The veterinarian was monitoring the problem and thought the cause was urethral blockages caused by a genetic problem with the strain which was currently at generation 40. Consideration was given to refreshing the colony to overcome this problem.

6. Some experimental fish tanks became contaminated by an oily film, resulting in some fish deaths. The cause was thought to be old pipes delivering water to the building; the pipes were disturbed during construction work nearby. A system was implemented to flush pipes before using the water to top up tanks.

7. Reports of mice dying post-irradiation and bone marrow transfer were received from a number of investigators in 2013. These were all considered by the Committee and involved considerable veterinary involvement. A category B member and the EO created a Standard Operating Procedure for mouse irradiation and bone marrow transfer but deaths continued to occur sporadically. All parties concerned continue to work on improving the outcome post irradiation.

8. Other incidents included a pin worm infection in the RSB rabbit colony, an increase in birthing difficulties in the RSB rabbit colony, cane toad health and increased fighting in specific mouse strains were all managed appropriately with veterinary advice and the implementation of new procedures.
## Appendix B – Categories of Animal Usage at ANU 2013

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>NEW 2013</th>
<th>TOTAL FOR 2013</th>
</tr>
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<tbody>
<tr>
<td>ANIMAL CARE AND BREEDING</td>
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<tr>
<td>ANIMAL MODELS</td>
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<td>9</td>
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<tr>
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<td>2</td>
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<tr>
<td>BEHAVIOUR</td>
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<td>3</td>
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<td>CANCER RESEARCH</td>
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<tr>
<td>DIABETES RESEARCH</td>
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<td>Virology</td>
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<td>WILDLIFE RESEARCH/FIELD STUDIES</td>
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</table>

**TOTAL**                                  | 49       | 211            |
Appendix C- Animals Used Annually at the ANU Since 2006

These numbers are numbers of animals used for the year, not the number of animals killed. Many species were used in field studies which involve trapping, taking various measurements and are followed by release.

<table>
<thead>
<tr>
<th>SPECIES</th>
<th>2006</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
<th>2013</th>
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<tr>
<td>All Encountered Species (surveys)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>12</td>
<td>925</td>
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<td>6766</td>
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<td>Amphibian</td>
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<td>1,043</td>
<td>888</td>
<td>802</td>
<td>1428</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<td>Bird – Domestic</td>
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<td>65</td>
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<td>Bird – Native</td>
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<td>1,296</td>
<td>1,684</td>
<td>1,012</td>
<td>1019</td>
<td>1191</td>
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<td>Bird – Other (Feral)</td>
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<td>1000</td>
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<td>Chicken</td>
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<td>1,390</td>
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<td>210</td>
<td>120</td>
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<tr>
<td>Dasyurid</td>
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<td>3</td>
<td>151</td>
<td>29</td>
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<tr>
<td>Dingo/wild dog</td>
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<td>4</td>
<td>0</td>
<td>560</td>
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<td>Dog</td>
<td>-</td>
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<td>440</td>
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<td>Fish</td>
<td>177</td>
<td>1,207</td>
<td>14,066</td>
<td>508</td>
<td>5918</td>
<td>24364</td>
<td>6736</td>
<td>2388</td>
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<td>0</td>
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<td>80</td>
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<td>123</td>
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<td>31</td>
<td>5</td>
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<td>82</td>
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<td>Monotreme</td>
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<td>0</td>
<td>30</td>
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<td>5</td>
<td>0</td>
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<td>Mouse</td>
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<td>110,507</td>
<td>90,941</td>
<td>122,607</td>
<td>122028</td>
<td>133542</td>
<td>83519</td>
<td>38670</td>
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<td>Native rat/ Native mouse</td>
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<td>83</td>
<td>92</td>
<td>73</td>
<td>362</td>
<td>52</td>
<td>110</td>
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<td>-</td>
<td>65</td>
<td>0</td>
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<td>380</td>
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<td>Pig</td>
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<td>12</td>
<td>76</td>
<td>0</td>
<td>8</td>
<td>42</td>
<td>34</td>
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<td>Possum/Glider</td>
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<td>59</td>
<td>105</td>
<td>128</td>
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<td>*Non-human primate</td>
<td>-</td>
<td>5</td>
<td>0</td>
<td>10</td>
<td>4</td>
<td>Survey</td>
<td>56</td>
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<tr>
<td>Rabbit</td>
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<td>92</td>
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<td>99</td>
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<td>15</td>
<td>63</td>
<td>44</td>
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<td>0</td>
<td>51</td>
<td>6</td>
<td>0</td>
</tr>
</tbody>
</table>

*Non-human primates are only used in surveys or monitoring of their natural behaviour.
Human Research Ethics Committee

2013 Annual Report to Council

June 2014

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CRICOS Provider No. 00120C
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<tr>
<td>7. Statistics</td>
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1. Introduction

The University’s Human Research Ethics Committee (HREC) considers the ethical implications of research involving human subjects conducted by ANU staff and students. The HREC must comply with the National Health and Medical Research Council’s National Statement on Ethical Conduct in Human Research (2007) (issued jointly with the Australian Vice-Chancellors’ Committee and endorsed by the learned Academies), which applies to all disciplines. It submits an annual report to the NHMRC on its compliance with these national guidelines and with Sections 95 and 95A of the Commonwealth Privacy Act 1988.

2. Committee Operation

The Human Research Ethics Committee (HREC) (then named the Ethics in Human Experimentation Committee) was established by the Vice-Chancellor on 1 October 1986 to consider the ethical implications of research dealing with human experimentation. All members of the University who wish to conduct research involving human subjects are required to submit to the Committee written proposals relating to the intended research. Other University committees dealing with particular aspects of ethics in research are the Animal Experimentation Ethics Committee and the Recombinant DNA Monitoring Committee and these report separately to Council.

The HREC is registered with the Office for Human Research Protections of the US Department of Health and Human Services. This registration is required when ANU researchers are involved in projects involving US Federal Health funding.

3. Committee Membership

The minimum composition of a human research ethics committee constituted under the NHMRC guidelines is a chairperson; at least one layman and one laywoman (i.e. people who are not affiliated with the institution); at least two people with current research experience that is relevant to research proposals regularly considered by the HREC; a person with knowledge of, and current experience in the professional care, counselling or treatment of people; a person who performs a pastoral care role in the community, for example an Aboriginal elder, a minister of religion; and a lawyer Additional members may be appointed to assist with committee deliberations in projects from specific disciplines that it is likely to consider.
In 2013 the membership of the HREC was as follows:

- Professor Lawrence Saha (Chair), School of Sociology, 1 July 2012
- Dr Trevor Breusch, Crawford School of Economics and Government, (Appointed 20 July 2005) – Deputy Chair
- Ms Rieteke Chenoweth, non-ANU; (Appointed 1 June 2002) [laywoman]
- Mr Phillip Constable, non-ANU (Appointed 1 September 2004) [layman]
- Rev. Dr. Sarah Bachelard, non-ANU; (Appointed 1/1/2013) [minister of religion]
- Dr Tom Faunce, Faculty of Law, (Appointed 15 September 2004) [lawyer]
- Mr Mark Russell, (Appointed 1 January 2012) [medical]
- Dr Andrew McWilliam School of Culture History and Language CAP, (Appointed 1 April 2010)
- Ms Inge Kral, Centre for Aboriginal Economic Policy Research (Appointed 1 January 2012)
- Dr Dirk Van Rooy, School of Psychology, (Appointed 1 September 2009) [psychologist]
- Professor Gordon Waddington, non ANU (appointed 1 October 2010) [medical practitioner; person with knowledge and current experience in the professional care, counselling or treatment of people]
- Professor Paul Atkins, Crawford School, (Appointed 1 July 2012) (Chair of Science & Medical DERC)
- Professor Michael Martin, School of Finance & Applied Statistics, (Appointed 1 July 2012) Chair of Humanities & Social Sciences DERC
- Ms Erin Walsh, Student representative, appointed 9/1/2013
- Ms Kim Tiffen, Research Office, (Appointed 20 August 2004) [HREC Secretary]

4. **Annual compliance report to NHMRC**

The HREC is normally required to report annually for the period 1 January to 31 December to the Australian Health Ethics Committee (AHEC) of the National Health and Medical Research Council on its compliance with the NHMRC National Statement on Ethical Conduct in Human Research. All research protocols considered by the HREC must meet the NHMRC guidelines, including issues of consent and confidentiality. The ANU was assessed to be in compliance for the period 1 January 2012 to 31 December 2012.

5. **Meetings in 2013**

- 11 formal HREC meetings were held during 2013
- 23 formal Science/Medical DERC meetings were held during 2013
- 23 formal Humanities/Social Sciences DERC meetings were held during 2013

6. **Outreach, Training & Seminars in 2013**

The following training was offered during 2013

- Weekly training sessions for users of the ARIES on-line ethics application system: approximately 342 people were trained in 2013 either in the weekly training sessions or individual training sessions as required
- The Human Ethics Manager also ran ethics training & education programs in various departments –
RSHA students, CAP Thesis students, CEDAM, Crawford School, Psychology, CPAS, NCEPH students., Australian Demographic and Social Research Institute students, College of Law Honours students, School of Language Studies students, . These training sessions involved Postgraduates and Honours students.

- The Human Ethics Manager provided an information session about Human Ethics for 2 Chinese delegations

All staff and postgraduate students were reminded by e-mail of the need to seek ethical clearance for any research involving human subjects. Annual notifications of this requirement have been formalized as a Committee procedure.

7. **Statistics**

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<th>Applications by outcome</th>
<th>2007</th>
<th>2008</th>
<th>2009</th>
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<th>2011</th>
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<td>485</td>
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<tr>
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<tr>
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<td>548</td>
<td>722</td>
<td>810</td>
<td>839</td>
<td>951</td>
<td>1031</td>
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Recombinant DNA Monitoring Committee

2013 Annual Report to Council

June 2014

Research Services Division
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CRICOS Provider No. 00120C
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1. Introduction

The Gene Technology Act 2000, which came into force on 21 June 2001, resulted in a national scheme for the regulation of genetically modified organisms (GMOs) and established the Office of The Gene Technology Regulator (OGTR). The Act requires each organization working with GMOs to establish an Institutional Biosafety Committee (IBC). The Recombinant DNA Monitoring Committee is the IBC for the ANU and has been involved in ensuring that the University meets all of the OGTR's requirements.

2. Committee operation

The Gene Technology legislation revolves around a system of prohibitions and approvals. Every dealing with a GMO needs to be licensed by the Regulator, unless the dealing is an exempt dealing, a Notifiable Low Risk Dealing (NLRD) or on the Register of GMOs.

An Exempt dealing is one where the Regulator is confident that the dealing involves a very low risk. The class of dealing with the GMO is recorded as exempt (e.g. containing research involving a very well understood process for creating and studying a GMO). This means that no license is required, provided that the activity remains within the specified parameters. Exempt GMOs must not be released into the environment.

NLRDs are dealings with low risk GMOs and may proceed provided that certain conditions spelt out in the regulations are observed. This includes requirements that the specified dealings be undertaken only in contained facilities, overseen by IBCs and, as of 2007, notified to the Regulator in the Annual Report, which goes to the OGTR. These are similar to class licenses and the conditions under which such dealings operate are clearly set out in the regulations. The Gene Technology Act does not allow dealings that involve the intentional release of a GMO into the environment to be classified as an NLRD.

Licensed dealings are dealings with higher risk GMOs which must be licensed by the Regulator. There are two types of licensed dealings: DNIRs - dealings not involving the intentional release of a GMO into the environment; and DIRs – dealings involving the intentional release of a GMO into the environment. The licensing system is based on rigorous scientific risk assessment and involves extensive consultation with expert advisory committees, government agencies and the public for releases of GMOs into the environment.

3. Committee membership

It is a requirement of the Gene Technology Act, under the Guidelines for Accreditation of Organisations, that the members of the IBC are indemnified and that there are appropriate mechanisms in place to address conflicts of interest. The composition of the University Recombinant DNA Monitoring Committee is in accordance with that stipulated for an IBC in the Handbook on the Regulation of Gene Technology in Australia and the Gene Technology Act and is independently monitored by the Regulator to ensure it is operating in accordance with the regulations.
In 2013 the membership of the ANU IBC was as follows:

- A biologist: Dr David Jones (Chair)
- A molecular biologist: Dr David Tscharke (Deputy Chair)
- A lawyer: Ms Judith Jones
- External person: Ms Joanne Keogh
- An engineer: Mr Surender Vasudeva
- A biological risk assessor: Ms Sarah Thornton
- An immunologist: Dr Ben Quah
- A plant molecular biologist: Dr Dean Price
- A parasitologist: Dr Giel van Dooren
- Recombinant DNA Secretary: Ms Kathy Smith

4. Committee Activities

The ANU IBC had two formal meetings in 2013 which were held in July and November. In addition to these meetings, the Committee is in constant contact by email. All proposals are emailed to the Committee as soon as they are received by the Secretary. Replies are collated by the Secretary and reviewed by the Chair. Further consultation with the Committee may result. Direct questions are sent in writing to the investigator. All proposals are modified to some extent following the deliberations of the Committee.

5. Outcome of Proposal Assessments in 2013

In 2013 the IBC reviewed 17 Notifiable Low Risk Dealing (NLRD) applications and 12 Exempt Dealings applications. The IBC also reviewed 1 Dealing Not Involving Release (DNIR) application and requested variations to 1 existing DNIR.

6. Facility Certifications

The IBC made requests to the OGTR for certification of 3 new facilities and a variation of certification of the Controlled Environment Facility in the Robertson building to allow for the installation of new autoclaves. The new facilities included 2 greenhouses and an invertebrate facility at JCSMR. The IBC also made requests to the OGTR for the variation of certification of all existing ANU facilities to bring them all in line with the new certification guidelines. Facilities were assessed against the new guidelines during the 2013 annual facility inspections. All facilities certified under the old guidelines now have certifications under the new guidelines.

7. Annual Inspections of Certified Facilities

In September, October and November 2013, annual inspections were carried out for all PC2 facilities on the ANU campus and in facilities where the ANU’s IBC acts on behalf of Lipotek and the Canberra Hospital. Recommendations for repairs/modifications to infrastructure were made in order to comply with the regulations regarding the condition of the facilities. Recommendations regarding operational procedures and training to cover the behavioural component of the inspections were also made. Institutions are required to have in place basic quality assurance systems to ensure that dealings with GMOs are conducted safely and within the regulatory framework. The total number of PC2 facilities for which the University Recombinant DNA Monitoring Committee is responsible for is 52, comprising 21 laboratories, 14 plant houses, 16 animal houses and 1 invertebrate facility.
8. **OGTR Reporting**

As a condition of accreditation, the Regulator requires the ANU to provide an annual report to the Regulator on NLRDs and licensed dealings undertaken by the organisation. This report was submitted to the OGTR in June 2013.

Researchers are also required to provide an annual report to the IBC providing information on personnel, facilities and storage of GMOs. In January 2013, annual report templates were sent out for all researchers working on NLRDs and DNIRs to complete. Once returned, these were recorded and filed.

9. **Updated OGTR Guidelines for Certification of Physical Containment Level 2 Facilities. Transport, Storage and Disposal Guidelines**

In March 2013, the OGTR released updated Guidelines for PC2 certified facilities. The new Guidelines required all Building/Area Managers to prepare management plans for emergency events.

All Building and Area Managers were requested to assess the risks of GMOs escaping in an emergency event and to establish a risk management plan to assist their area in managing GMOs and minimising the risks of their escape during an emergency event. These plans were made available on School websites and a copy filed with the IBC.

10. **OGTR Forum**

The 5th National Institutional Biosafety Committee Forum was held in Canberra 12 & 13 June. There were sessions on risk communication and future directions of the OGTR as well as talks on compliance, monitoring and DNIR issues.

It emerged from the forum that a number of other IBCs have not yet adopted the strategy implemented by the ANU of future-proofing NLRDs by using a broad IBC approval letter (allowing any trained ANU personnel, any approved ANU facility and all transport events), which is saving ANU researchers from the need to alter their applications as a consequence of changes arising in facilities, personnel or transport activity.

11. **IBC Spot Audit**

A spot inspection of Hugh Ennor Level 2 and 3 waste areas was conducted on the 8th of July. The inspection was in response to the discovery of a mouse in the clean wash area of Level 2 (18 June) and the report of a cage missing a mouse on 21 June.

The following recommendations arose:

- Advise the IBC as soon a mouse is unaccounted for.
- Prepare updated SOPs for the handling of dirty cages and mouse carcasses and ensure that all staff sign-off on these procedures.
- Keep documentation of instructions issued by APF staff to colony supervisors, animal room managers and animal technicians (e.g. minutes of meetings, emails).
- Post signage in cage cleaning areas stating that cages must have lids on until they are emptied.
- Install a door dam on the door connecting the dirty and clean sides.
• Ensure that all areas around the tunnel washer, decontamination chamber and autoclave are closed off.
• Repair the multiple broken surfaces/holes in the walls and ceilings.
• Label cull bags to facilitate tracking of mouse carcasses

12. Gene Technology Newsletter

In January, July and November 2013, newsletters prepared by the Secretary of the Committee in consultation with the Chair were distributed to all staff and students working with genetically modified organisms. The newsletters contained information on audits, training requirements, dealings’ information, as well as transport, storage and disposal requirements.
14 SCHOOL OF MUSIC FOUNDATION CHARTER AMENDMENTS

PURPOSE
To approve the proposed amendments to the Charter of the School of Music Foundation, a Foundation of the Endowment for Excellence.

AUTHOR
Director, Alumni Relations and Philanthropy

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council approve the amendments to the School of Music Foundation Charter. (99/2014).

ACTION REQUIRED
For discussion ☐ For decision ☑ For information ☐

SUPPORTING MATERIAL

The ANU Endowment for Excellence Statute 2012 provides that:

“Foundations

14.(1) A Foundation may be established by the Council approving a charter that sets out:

(a) the name of the Foundation; and

(b) the objects and functions of the Foundation.

(2) A Foundation comes into existence when the Council resolves to approve its charter.

(3) The Council may, on the advice of the Board, approve the dissolution of a Foundation.

(4) If a Foundation dissolved in accordance with subsection (3) has at the time of its dissolution, any surplus assets, those assets are to be dispersed at the direction of the Vice-Chancellor to an area or body most closely related to the objects of the Foundation.

Directors for a Foundation

15.(1) Each Foundation is to have Directors appointed by the Vice-Chancellor.”

Over the course of the year, the Alumni Relations & Philanthropy office has undertaken a systematic review of governance documents relating to the Foundations of the ANU Endowment for Excellence. As part of this review, the Charter of the School of Music Foundation has been considered.

At its meeting on 3 July 2014 the School of Music Foundation Board recommended, for Council approval, the following amendments to the Charter:

- That the Name of the Foundation changed from “Canberra School of Music” to the “ANU School of Music Foundation” by inserting a naming clause (Section 2);
- That the Objects and Functions (Section 3) be updated to more accurately reflect the goals and operations of the Foundation;
- That the Investments clauses (Section 4) be amended to reflect the ownership of funds raised by the Foundation; and
- That the Governing Body clauses (Section 5) be aligned with The Australian National University Endowment for Excellence Statute 2012 and The Australian National University Endowment for Excellence Rules 2012, to provide clear guidance for current and future Directors.
These recommendations were endorsed by the Endowment for Excellence Board of Governors at their meeting on 4 July 2014.

**ATTACHMENT**

CHARTER

Dated 2001

CHARTER

ANU SCHOOL OF MUSIC FOUNDATION

Revised 3 July 2014
Operative Provisions:

1. Interpretation

1.1. In this charter unless the contrary intention appears:

(a) a reference to a clause or schedule is a reference to a clause of or schedule to this charter and references to this charter include any recital or schedule;

(b) a reference or a statute, ordinance, code or other law includes regulations and other instruments under it and consolidations, amendments, re-enactments or replacements of any of them;

(c) the singular includes the plural and vice versa;

(d) the word person includes a firm, a body corporate, an unincorporated association or an authority; and

(e) a reference to a person includes a reference to the person’s executors, administrators, successors, substitutes (including, but not limited to, persons taking by novation) and assigns.

(f) a word or phrase used in this charter that has a defined meaning in the Statute or Rules has the same meaning when used in this charter.

1.2. Headings are inserted for convenience and do not affect the interpretation of this charter.

2. Name

2.1. The name of the Foundation is the ANU School of Music Foundation.

3. Objects and Functions of the Foundation

3.1. The Foundation is established as a Foundation of the University under the Statute and Rules for the purpose of enabling the University to:

(a) support, promote and enhance excellence in the teaching, study and research of music at the ANU School of Music.

(b) support, promote and encourage excellence in the performance of music by the staff and students of the ANU School of Music, Australia and overseas.
(c) to otherwise promote excellence in teaching, study, research and performance of music at the Australian National University and within the broader community.

3.2. The University may apply capital as well as income of the Foundation for the Objects and Functions.

4. Investments

The monies raised by the Foundation may be invested by the University in any investment or manner in which the Council of the University has authorised the investment of the University’s funds, including investing the monies of the Foundation in any endowment, foundation or other fund established under a Statute of the University.

5. Governing body

5.1. In accordance with Section 15 of *The Australian National University Endowment for Excellence Statute 2012*, the Directors of the ANU School of Music Foundation shall be appointed by the Vice-Chancellor.

5.2. The Directors of the ANU School of Music Foundation (Directors) shall comprise:

(a) the Chancellor and Vice-Chancellor (or their nominee(s)) ex officio;
(b) a Chair of the Foundation;
(c) not less than three (3) other Directors; and
(d) the President of the Friends of the School of Music (or their nominee) ex officio.

5.3. Future Directors will be appointed for an initial two (2) year term, which may be renewed for a further two (2) years, subject to the Vice-Chancellor’s approval on advice from the other Directors that they support and recommend the reappointment.

5.4. By virtue of Section 14(2)(e) of *The Australian National University Endowment for Excellence Rules 2012*, the Vice-Chancellor may remove a Director appointed under paragraph 5.3 during their initial or subsequent term, in which case a replacement shall be appointed as soon as practicable.

5.5. The Directors will be responsible for determining their own meeting procedures provided that, in accordance with *The Australian National University Endowment for Excellence Rules 2012*: 
(a) they must meet at least once every 6 months and at other times as determined by them; and

(b) the quorum for any meeting will be half the number of directors, including at least one *ex officio* member or his or her nominee.
C15  Confidential to Council Members
PART 5 – OTHER MATTERS FOR NOTING

C*16 - 17 Confidential to Council Members
18 REVIEW OF CAMPUS PLANNING AND DEVELOPMENT COMMITTEE

PURPOSE
To note the proposed review of the University's Campus Planning and Development Committee (CPDC).

AUTHOR
Executive Director, (Administration and Planning)

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the proposed review of the University's Campus Planning and Development Committee.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

SUPPORTING MATERIAL

The Campus Planning and Development Committee (CPDC) was established in the 1950's and was constituted as a Committee of the ANU Council.

Purpose
The CPDC is a planning and preliminary design approval Committee. It represents a consultative process across the University to support applications made to the National Capital Authority (NCA) to reflect University stakeholder input and participation.

Projects are presented to the CPDC and progressed through early design phases to a mature state for further development when approved. Project funding is not set nor approved at this Committee level.

The Committee is supported by the Campus Advisory Sub-Committee (CASC).

Meetings
Meetings are held quarterly.

Current Status
Membership of the Committee is broad and includes representatives from PARSA and ANUSA, Council nominated personnel, VC appointees, academic representation, external members, co-opted members, as required, and the Chair of the Campus Advisory Sub-Committee.

Actions
As the CPDC has evolved over many decades, it is considered timely for it to be reviewed to determine the following:

- An appropriate governance framework that aligns with the University's business model and overarching governance regime
- Its purpose, membership and reporting, and
- Its Terms of Reference (TOR) to reflect the purpose of the Committee moving forward.

The CASC will also be subject to this review.

The Facilities & Services Division will lead the review. In this context, a process will be developed which will address the parameters applied when assessing projects for consideration, entering, and through, the CPDC along with decision gates and early planning feasibility funding approvals.

This review will be conducted with significant input from the current Chair of the CPDC, Sue Holliday.
Outputs and Timeframe
Review scoping is in progress with commissioning during September 2014. A recommendation paper, complete with draft Terms of Reference and processes, will be submitted for Council approval at its December 2014 meeting.
19 ACADEMIC BOARD REPORT

PURPOSE
To consider the report from the Academic Board.

AUTHOR
Chair, Academic Board

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note the report from the meeting of the Academic Board held on 20 June 2014.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

ATTACHMENT
19.1 Academic Board Report 20 June 2014 (1032/2014).
ACADEMIC BOARD

Meeting No. 3/2014 of the Academic Board was held on Friday 20 June 2014 at 9.30 am in the RC Mills Room, Chancelry.

Present: Professor Glasgow (in the Chair), Professor Young, Professor Harding, Dr Lithander, Professor Baker, Dr Bull, Mr Erickson, Dr Gustavson (Alt), Professor Cuevas, Professor Bottomley, Professor van Leeuwen (Alt), Professor Carver, Professor Coulhon, Professor Pickering, Professor Dovers, Associate Professor Ferris, Professor Elliott; Dr Ashar (Alt), Professor Powers, Professor Ng (Alt), Professor Pitchford, Associate Professor van der Eng, Professor Renz, Associate Professor Strazdins, Associate Professor Gani, Dr Fahrer, Professor Lindesay, Dr Winterberg, Dr Orthia, Professor Ireland, Professor Asplund (Alt), Ms Veness, Ms Apps, Mr Niles, Mr Wilson and Professor Dodson.

By Invitation: Professor the Hon Gareth Evans AC QC

Observers: Ms Gouldthorp, Ms Bourke, Professor Rendell, Ms Hilton, Associate Professor Newitt, Dr Kiley and Dr Dimond.

Apologies: Professor Hughes-Warrington, Professor Corbett, Professor Makkai, Professor Raymer, Professor Faragher, Professor Cribb, Associate Professor Debjani Ganguly And Professor Kewley.

In Attendance: Ms Easton

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements

1.1 Apologies

The apologies recorded above were received.

1.2 Announcements

The Chair welcomed the Chancellor, Professor the Hon Gareth Evans to the meeting.

The Chair reported that all the Board election processes were now complete and then gave an update of the membership changes that have occurred since the last meeting of the Board.
Thanks were expressed for the contributions from the out-going members; Dr Miranda Forsyth, Professor Sharon Friel, Professor Vince Craig, Associate Professor Paula Newitt, Professor Tim Senden and Mr Arjuna Mohottala (PARSA).

Welcome to the new members joining the Board; Professor John Powers, Professor Lorraine Elliott, Dr Aude Fahrer, Dr Lindy Orthia, Professor Trevor Ireland, Professor Lisa Kewley and Mr Edward Benjamin (Ben) Niles.

Thanks for the continuing contribution of the following re-appointed members; Professor Robert Cribb, Professor Janette Lindesay, Dr Markus Winterberg and Professor Michael Dodson.

The Chair reported that the gender balance for the Board is currently 32% female and 68% male. The Chair noted that with the agreement of the Board he may appoint up to 5 additional members and that he intended to add more women to the Board membership. Board members are invited to nominate women who could contribute to the Board. The Chair will review the nominations and make decisions on appointments.

Action

Board members to send nominations for women to join the Board to secretary.academic.board@anu.edu.au.

The Chair expressed congratulations to Professor Robert Cribb who has been appointed as Deputy Chair to the Board. Unfortunately Professor Cribb sends apologies and is on leave for the remainder of meetings this year. The Board agreed to appoint Professor Bottomley as Deputy Chair for the remainder of 2014 meetings.

The Chair invited all present to attend a morning tea with the Chancellor directly after the meeting.

Note: Professor the Hon Gareth Evans AC QC gave his presentation to the Board at this point in the meeting. The details appear under item 8 in these minutes.

Item 2   Conflict of Interest and Duties under the CAC Act

Resolution

The Board resolved to note the information on Confidential Items, Conflict of Interest and Duties under the CAC Act.

Item 3   Starred Items

The starred items were: 1-14, 27 - 30. The unstarred items were dealt with as proposed in the agenda.
Resolution

The Board resolved to approve unstarred items.

Item 4 Minutes

The Board noted that under item 11 which referred to a ‘HDR review’ this is actually a Review of Statistical Research Methods Training and Research Support (including the Statistical Consulting Unit) and the summary recommendations are available at http://about.anu.edu.au/__documents/reviews/scu_reviewrecommendations.pdf.

Resolution

That the Academic Board resolved to confirm the Minutes (809/2014) of meeting 2/2014 of the Academic Board held on 2 May 2014 as a true and accurate record.

Item 5 Matters Arising from the Minutes and Action Items

The Board noted the current action items list (803/2014).

Item 6 Confidential Items

There were no confidential items for discussion.

Item 7 Steering Committee

The Chair invited Board members to consider participating in the Academic Board Steering Committee. Thanks were expressed to Professor Neil Fargher who is stepping down from the Committee and to Associate Professor Denise Ferris and Ms Deborah Venness who are willing to continue on the steering committee. Anyone interested in joining the steering committee is asked to contact secretary.academic.board@anu.edu.au. The outcomes of the process will be reported and formally approved at the next meeting.

Resolution

The Board approved additional members joining the Steering Committee.

Action

Nominations to join the steering committee should be sent to secretary.academic.board@anu.edu.au by 27 June 2014.
Part 2 – Special Presentation by the Chancellor

Item 8 Special item: Chancellor to address the Board

The Academic Board received a report from the Chancellor, Professor the Hon Gareth Evans AC QC.

The Chancellor’s presentation on Academic Governance commented on matters including:

- High on the agenda (at the time) of both the Chancellor and the newly appointed Vice-Chancellor was the re-instatement of an Academic Board that reported directly to Council. This was established in 2012 and the Council has been extremely happy with the way in which the Board, under the Chair of both Professor Wheeler and Professor Glasgow, has been operating.
- Council receives the minutes from each Academic Board meeting, an annual report and the Chair of the Board sits on the Council. There is opportunity for the Council to raise issues to the Board via the Chair. It is rare that Council has debated an item that has been on the Board’s agenda but that opportunity exists.
- ANU Council operates under the ‘Voluntary Code of Best Practice for Australian universities’. The code lists in Principle 2 the nine primary responsibilities of every university council or senate. These can be distilled, into three basic roles: strategic oversight, ensuring effective overall management, and ensuring responsible financial management.
  Strategic Oversight encompasses: approving the mission and strategic direction of the university; ensuring that visions and goals are turned into effective management systems; and monitoring implementation of the strategic plan.
  Ensuring Effective Overall Management encompasses: appointing the VC and monitoring his or her performance; overseeing and reviewing overall management performance; and monitoring the academic activities and performance of the university.
  Ensuring Responsible Financial and Risk Management encompasses: approving the annual budget; approving and monitoring systems of control and accountability; overseeing and monitoring the assessment and management of risk; and ensuring compliance with legal and government policy requirements.
- Academic Board is technically a committee of the Council, but the Council respects the independence of the Board and is not in the practice of second guessing any decisions made by the Board.
- What Makes for Effective Governing Bodies? Membership Basics: Manageable size, Right combination of qualifications and experience, Right combination of old and new blood and Right combination of non-elected and elected members.
- ANU Council has 15 members which functions were effectively. The national average for Council’s is about 22. The normal maximum term of membership is 2 x 4 year terms. The Chancellor has been working as positions become available on Council to ensure effective decision making by Council through a membership that includes the right composition of membership, a mix of qualifications, experience, balance of disciplines, gender balance, geographical balance and the right combination of old and new blood.
An induction process has been developed for new Council members. Over the last four years following each Council meeting the group goes to part of the University to visit a department or area, meet with staff and students and see how that area operates.

The Chancellor then took questions from the Board.

The Board queried whether information gathered when visiting areas of the institution fed back into Council deliberations. The Chancellor reported that the visits are more a process of education about the institution for the members. Budget allocation priorities are important and it is interesting to see how areas are resourced and for the Board to visit areas that believe they are under resourced. The Chancellor noted that the Council had a very interesting tour through the various types of student accommodation and this type of exposure was a very important part of their learning process.

The Board queried the impact that Council has on the business of the institution. The Chancellor noted that the Council has management oversight and budget approval. ANU by 2020 is probably one of the most visible outputs of serious and strategic discussions by the Council. Council membership have a wide range of skills and background and use their influence and contacts to get people outside of the university to support the institution.

The Board queried the formal process for appointment of new Council members. The Chancellor noted that Council comprises both elected and ex-officio members. There is a Nominations Committee of which the Chancellor is a part that makes recommendations on the members appointed by the Minister.

Professor Dodson invited the Chancellor and Council to visit with members of the University involved in indigenous education and the Chancellor agreed to work that into the visit plan for 2015.

**Part 3 – Information Flow**

**Item 9 Report from the Vice-Chancellor**

The Vice-Chancellor provided an update on the federal budget de-regulation debate and reported that discussion had moved away from the pros and cons and onto the details of what might actually go to Senate.

The Vice-Chancellor is participating in a Committee Chaired by John Dewar that will provide advice to government in relation to the de-regulation proposals. The committee will be working through alternative proposals on interest rates, cuts in commonwealth grant scheme, provide advice on what price is paid to government by non-university providers and cuts to the university research schemes.

The Vice-Chancellor reported that the University Council has approved two new major building projects, to house the Research School of Social Sciences, and to bring together the Mathematical Sciences Institute and the ANU College of Engineering and Computer Science.
The new facilities will provide space for work and learning for more than 800 staff and students, and will see the replacement of old demountable buildings on campus.

The new building projects have been made possible by new pooled funding arrangements for capital works, allowing for better long-term investment in facilities.

The new funding structure also allows for the future development of a Physics project and the refurbishment of the Research School of Biology’s Robertson buildings from 2017.

The Board queried what the impact the fee deregulation might have on student recruitment. The Vice-Chancellor advised that the university will be looking to pitch fees that are comparable and that institutions will be competing on both price and quality.

Resolution

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

Item 10  Report from the Deputy Vice-Chancellor (Research)

The Deputy Vice-Chancellor (Research) presented a verbal report, commenting on matters including:

- Congratulations (on behalf of Professor Hughes-Warrington) to Dr Beth Beckmann who has won a National Teaching Fellowship in recognition of her expertise in improving the quality of university teaching.
- The Group of Eight Research Deans met last week.
- The number of future fellows will be reduced to 100.
- There will be number of changes to ARC scheme funding rules and an ARC paper will be released on this topic.
- A sub-committee of URC will be established to provide advice to the Deputy Vice-Chancellor (Research) on the relative priority of research management projects that are recommended for consideration by UICT.
- The July Research newsletter will include an NHMRC Update from Warwick Anderson.
- NCRIS An independent committee of experts to provide advice on future arrangements for NCRIS will be convened in the coming months.

Resolution

The Board resolved to note the report and comments made in discussion.
Item 11  Report from the Chair

The Chair reported that an induction session had been held for new Board members on 19 June and thanked the new members that participated, The Deputy Vice-Chancellor (Research) and the Vice-Chancellor.

Resolution

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

Item 12  Report on Enrolments

The Board queried whether the document could be updated to include headcount figures. Richelle Hilton, Director Planning and Performance Measurement agreed to provide an updated report for the next Board meeting.

The Board discussed the reduction in students from the ACT and surrounds. The Vice-Chancellor noted that the headcount for ACT students actually went up but that the overall proportion on ACT as part of the intake went down, but the Executive does not see this as any cause for concern.

Resolution

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

Action

Updated report on Enrolment to be provided for Academic Board 4/2014.

Item 13  General Question Time

The Board discussed some general questions and it was noted;

- Endorsement for ensuring gender balance and indigenous representatives on the Board. However concern was expressed that there is also encouragement of those not in the mainstream of academic culture to be included.
- There is some concern that employers may not be aware of the PhB program and what it entails. It was noted for Science PhB 80% go on to higher degrees. There is recognition of the program across institutions internationally but agreement that more exploration and promotion needs to be done with the general employment sector. The Registrar, Student Administration noted that an employer representative is being added to the PhB working party. There was also a suggestion that PhB lessons are shared across the disciplines – so others might learn from experience (for example how Science has achieve such significant transfer to higher degrees).
• Digital Recording of lectures. It was reported that the current system had failed on at least eight days this year. There is concern that students are not attending lectures and also not listening to the recordings. It was agreed to refer this discussion to the University Education Committee and invite them to formally consider the issues around digital recording including; the current system and evaluation of the ways in which it is being used. Consider comparison of single file, as opposed to short snippets. Look at the kind of recordings and get some comparisons of best kinds of use.

Resolution

The Board resolved to note the questions raised and comments made in discussion.

Action

University Education Committee to discuss issues relating to Digital Recording of lectures.

Part 4 – Strategy and Planning

Item 14 HOT TOPIC: Ensuring Quality Supervision of HDR Students

The Board discussed ‘Ensuring Quality Supervision of HDR Students’. The Deputy Vice-Chancellor (Research) led the discussions and highlighted the importance of this topic. The University is frequently asked how we demonstrate evidence of quality supervision. Unlike undergraduate coursework there are no metrics that are generally accepted to make conclusions regarding quality in this area. The DVC-R noted that when you discuss the PhD with students both the best and the worst issues that are highlighted include supervision.

Discussion included;

• Feedback from the Dean of Students regarding areas identified by HDR students she has met with in the last year; mismatch in expectations between students and supervisors; supporting supervisors who have a lack of understanding of Australian education system; the need for different approaches to support students from different cultures, students with mental health and other health issues
• The need for clearer policy and communication around eligibility, workloads, record keeping and annual reviews
• The importance of any nominal maximum number of students being supervised not disadvantaging ECRs and the need to ensure they can acquire skills and learn from experienced supervisors
• Panel supervision is effective, but is used in different ways in different disciplines and to enable and support cross-disciplinary research projects
• Discussions regarding "poor" supervision are best held at the local level, but a pathway to assist in resolution of difficult issues above the School is not obvious
• Annual Progress and milestones are not always used effectively to monitor and provide constructive and supportive feedback to HDR students, or to identify issues with supervision; the online milestone system requires significant improvement
Best practice principles 'past supervision experience' may potentially be an issue for early career academic particularly in emerging disciplines.

The Deputy Vice-Chancellor (Research) thanked the Board for their comments and noted that discuss will continue through the Higher Degree Research Committee and the University Education Committee.

Part 5 – Academic Standards and Quality

Item 15 \ Changes to UAC Algorithm

Resolution

The Board resolved to approve the following recommendations:

1. That UAC develop a new algorithm for ANU to assess undergraduate applicant's qualifications in the following way:
   a) Undergraduate Applicants are considered on the basis of one or more FTE year of study (1.0 FTE) from any Australian university or equivalent. This study is assessed using UAC schedule T8032-34 (Appendix 15A). Secondary studies are excluded from the rank.
   b) Applicants with completed Associate Diploma, Diploma, Advanced Diploma, Associate Degree or Graduate Certificate will be assessed on the basis of UAC conversion schedules T8014, T8514, T8024 and T8043 (Appendix 15B). Secondary studies are excluded from the rank except where ANU programs do not accept these schedules.
   c) Applicants with multiple tertiary qualifications would be admitted on the basis of the tertiary qualification with the highest GPA or rank, regardless of AQF level.
   d) Where an applicant is disadvantaged due to ungraded study, the Admissions Office and appropriate ANU College will consider the ATAR, or rank from previous tertiary study, for entry purposes.
   e) Where a student has attempted one or more FTE of tertiary study and achieved a GPA below the required cut-off the applicant must submit a case for special consideration to be considered for entry.

2. that the new algorithm be reviewed by CAAC in mid-2015 to ensure the schedules are working as intended and to revise as required.

Item 16 \ Student Academic Probation

Resolution

The Board resolved to approve the following recommendations:

1. ANUSA and the Manager, Student Experience and Career Development work together to develop academic probation publication materials for students ready for the end of semester 1, 2014 academic progress round;
2. The Manager, Student Experience and Career Development meet with Colleges to develop key principles for the dissemination of information about academic advice options and academic probation policy and procedure and report back to UEC 5/2014;
3. The Manager, Student Experience and Career Development review the current letter...
templates and the nature and timing of probation information and for all student cohorts to be provided with the opportunity to attend the compulsory information seminars ready for the end of semester 1, 2014 academic progress round;

4. The Manager, Student Experience and Career Development develop and implement a university wide early intervention strategy, working with the key principles from Colleges who already have strategies in place and report back to UEC 5/2014;

5. The Registrar (Student Services) to ensure that students are provided with a central list of College contacts and that double degree students are able to be assisted without having to go to both Colleges (if applicable) and report back to UEC 5/2014;

6. That the Director, Planning and Performance Measurement (PPM) monitor numbers of students who progress from probation to exclusion each semester, enabling analysis of the success of intervention strategies being implemented and report back to UEC 5/2014 and bi-annually to UEC from 2015;

7. That the Director, PPM undertake surveys of students on probation every two years to review student experience and allow benchmarking against previous years and report back to UEC 3/2016.

Item 17 Special consideration and special examination working party

Resolution

The Board resolved to approve the following recommendations from the special consideration and special examination working party:

1. The development by the Deputy Registrar, Student Administration of clear, publically accessible and standardised guidelines and business process for the application and assessment of a valid request for special consideration by 25 August 2014;

2. That all requests for special consideration should be submitted centrally in a clear and standardised process from 25 August 2014, preferably including an online form (dependent on resourcing);

3. That scoping work should be undertaken by the Deputy Registrar, Student Administration for the identification and reporting of at risk indicators from special consideration applications to be reported back by ESQC 3/2014;

4. The development by the Deputy Registrar, Student Administration of clear, publicly accessible and standardised guidelines and business process for the application and assessment of a valid request for special examinations by 7 October 2014

5. That all requests for special examinations submitted from 7 October 2014 onwards be submitted centrally in a clear and standardised process, preferably including an online form (dependent on resourcing); and

6. That a special and supplementary examination period following the end-of-semester examinations be agreed and communicated by the Registrar, Student Administration by 31 October 2014 for the 2015 academic semesters.
Item 18  Education Portfolio Operational Plan: Progress Report May 2014

Resolution

The Academic Board:

2. Approved the deletion of strategy 6 under double degrees - ‘develop double bachelor programs with Alliance partners to further strengthen the University’s national profile’.

Item 19  Flexible Double Degree marketing campaign 2014

Resolution

The Academic Board noted the briefing paper on the flexible double degree marketing campaign 2014 and the request to provide feedback (felicity.gouldthorp@anu.edu.au) and ideas on marketing for graduate double degrees by Friday 20 June 2014.

Item 20  PhB Working Party Terms of Reference

Resolution

The Academic Board noted the following recommendations:

1. The proposed PhB working party Terms of Reference (ToR)
2. That the Working Party will report their recommendations back to UEC5/2014.

Part 6 – Policy Development

Item 21  Turnitin: Revisions to Course Outline Template and Student Assessment (Coursework) Policy

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval that the following items be updated in the policy bank from semester 2, 2014:

1. The revisions to the Course Outline Template, noting its use is mandatory from 1 January, 2016; and
2. The revisions to the Student Assessment (Coursework) Policy, to be effective from semester 2, 2014.

The introduction of an Assignment Cover Sheet form.
Item 22    Student Academic Study Load and Progression Policy

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval the revision to clause 22 of the Student Academic Study Load and Progression Policy.

Item 23    Student Assessment (Coursework) Procedure and Glossary: Student Policies and Procedures

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor approval of the following recommendations:

1. the revision to 14.c) of the Student Assessment (Coursework) procedure
2. the new definition for the Glossary: Student Policies and Procedures

Part 7 – Reports from Committees

Item 24    Report from University Education Committee

Resolution

The Academic Board noted the report from University Education Committee meeting no. 3/2014.

Item 25    Report from University Research Committee

Resolution

The Academic Board noted the report from University Research Committee meeting no. 2/2014.

Item 26    Report from University Access and Equity Committee

Resolution

The Academic Board noted the report from University Access and Equity Committee meetings on 19 March and 21 May 2014.
Part 8 – Accreditation

Item 27 Undergraduate Programs

27.1 Vice-Chancellor’s courses; The Joy and Beauty of Computing

Resolution

The Academic Board approved and accredit the new Vice-Chancellors course ‘The Joy and Beauty of Computing’ for 2 years, and conditional on a review of the course being conducted after the first teaching occurrence to further enhance the offering.

Item 27.2 Associate Degree

Resolution

The Academic Board approved the amendment to the Associate Degree.

Item 27.3 Diploma of Computing

Resolution

The Academic Board approve and accredit the Diploma of Computing (897a/2014) subject to additional conditions (as outlined below) being met.

1. Accreditation is until end 2016, with the expectation that Study Group Australia will accredit the Award from 2017 should Commonwealth-supported sub-Bachelor places become available.

2. Agreement of a teaching model between CECS and SGA, including common assessment, is reached and available for consideration by UEC 4/2014 (agenda deadline 29 August 2014).

3. Agreement of a moderation plan consistent with the SGA moderation policy, including findings from moderation of First Semester 2015, is reached and available for consideration by UEC in 2015.

Item 28 Graduate Coursework Programs

Item 28.1 Amendments to Graduate Coursework Awards

Resolution

The Academic Board approve the amendment to the Graduate Certificate of Arts (892/2014).
Item 28.2 Disestablishment of Graduate Coursework Awards

Resolution

The Academic Board approved the disestablishment of the Graduate Certificate in Research Methods (894/2014).

Item 28.3 New Graduate Specialisations

Resolution

The Academic Board approve the Liberal Arts Specialisation (893/2014).

Item 29 Higher Degree Research Programs

Item 29.1 HDR Program reviews

Resolution

The Academic Board approved the HDR program reviews:
1. Review of HDR Law 9031 SJD Doctor of Juridical Science – 4 year accreditation
2. Review of HDR Law 8030 MPhil Law – 4 year accreditation
3. Review of HDR Law 9030 Law – 4 year accreditation

Part 9 – Items of Other Business

Item 30 Any Other Business

On behalf of the Academic Board the Chair thanked the Chancellor for attending the meeting.
20  POWER OF ATTORNEY

PURPOSE To consider a list of documents signed under Power of Attorney by the Investment Manager between 14 May 2014 and 27 June 2014.

AUTHOR Investment Manager

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note that the Investment Manager exercised the Power of Attorney over the attached transactions between 14 May 2014 and 27 June 2014.

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

ATTACHMENT 20.1 List of transactions over which the Investment Manager exercised Power of Attorney between 14 May 2014 and 27 June 2014 (101/2014).
<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Reference</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1115</td>
<td>14/05/2014</td>
<td>200602968</td>
<td>Written Resolution of the Unit Holders of the Eureka Core Property Funds 3A and 3B on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1116</td>
<td>20/05/2014</td>
<td>201211748</td>
<td>Register Removal Request Form – Conversion into underlying shares of Common Stock re the University’s holding of 21st Century Fox shares on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1117</td>
<td>21/05/2014</td>
<td>201211748</td>
<td>Standard Transfer Form re the transfer of 2,312 ordinary shares in BHP Billiton from the Estate of the Late Annie Doris Passmore to the University on behalf of the Endowment Fund (replaced by No. 1123)</td>
</tr>
<tr>
<td>1118</td>
<td>28/05/2014</td>
<td>200712780</td>
<td>Consent to the Issue of New Warrants re the University’s holding in Hydrexia Pty Ltd on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1119</td>
<td>28/05/2014</td>
<td>200811459</td>
<td>Written Resolution of Unit Holders re the University’s holding in Gresham Property Funds No 3 Investment Trust and Development Trust on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1120</td>
<td>28/05/2014</td>
<td>200501874</td>
<td>Proxy Form re equal Share Capital Reduction for Vantage Private Equity Growth Limited on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1121</td>
<td>30/05/2014</td>
<td>201211748</td>
<td>Letter instructing Morgan Stanley Wealth Management to remove Mr Andrew John Digby from the University’s wealth management account and replace him with Mr John Alexander Fleming on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1122</td>
<td>05/06/2014</td>
<td>200711529</td>
<td>Proxy Form re General Meeting of PFM Cornerstone on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1123</td>
<td>06/06/2014</td>
<td>201211748</td>
<td>Standard Transfer Form re the transfer of 2,312 ordinary shares in BHP Billiton Limited from BT Investments (Annie Doris Passmore Estate) to the University on behalf of the Endowment Fund (replaced No. 1117)</td>
</tr>
<tr>
<td>1124</td>
<td>18/06/2014</td>
<td>201211762</td>
<td>Proxy Form appointing the Chairman to vote re the University’s holding in Westfield Retail Trust 2 on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1125</td>
<td>18/06/2014</td>
<td>20120079C</td>
<td>Lease (in duplicate) between The Australian National University and Garry Mark Philpott and John Maurice Davies (Trading as E P Johnson &amp; Davies) over Level 3 52-54 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1126</td>
<td>23/06/2014</td>
<td>200603135</td>
<td>Notice to Redeem under 2014 Redemption Facility re the University’s holding of Valad Core Plus Fund on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1127</td>
<td>25/06/2014</td>
<td>201112698</td>
<td>Services Agreement between The Australian National University (Principal) and Australian Essential Services Maintenance (Contractor) re routine inspection and testing of essential safety measures at 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1128</td>
<td>26/06/2014</td>
<td>201211748</td>
<td>Change of Address Notification re the University’s second holding of Westfield Retail Trust on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1129</td>
<td>26/06/2014</td>
<td>201211748</td>
<td>Request to consolidate Holdings re the University’s two holdings of Westfield Retail Trust on behalf of the Long Term Investment Pool</td>
</tr>
<tr>
<td>1130</td>
<td>27/06/2014</td>
<td>20120079C</td>
<td>Sublease (in triplicate) between The Australian National University (Head Lessor) Horton International Pty Ltd (Sub-Lessee) and Hugh Llewelyn Stubley and Deborah Anne Upton (Guarantors) over part Level 9, 52 Collins St Melbourne on behalf of the Long Term Investment Pool</td>
</tr>
</tbody>
</table>
21 UNIVERSITY SEAL REPORT

PURPOSE To consider uses of the University Seal.

AUTHOR Manager, Vice-Chancellor’s Office

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note that the document to which the University Seal has been affixed since the meeting of Council held on 30 May 2014.

ACTION REQUIRED For discussion ☐ For decision ☐ For information ☑

SUPPORTING MATERIAL

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

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

A list of documents to which the University Seal has been affixed since the meeting of Council held on 30 May 2014 is as follows:

9 July 2014 Deed of Indemnity and Access – Council Member – Matthew King

9 July 2014 Deed of Indemnity and Access – Council Member – Benjamin Miles
22 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

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
22.1 Report of significant visits and events, grants and consultancies (102/2014).
Significant Events from 2 May – 30 June 2014

MAY

VIP Event
ANU College of Law
Friday 2 May 2014
Seminar - Canberra low carbon future
Presented by Mr Simon Corbell MLA, ACT Minister for the Environment and Sustainable Development and Attorney-General for the ACT
Hosted by the ANU College of Law

VIP Event
ANU College of Arts and Social Sciences
Monday 5 May 2014
Celebration of the Day of the Portuguese Language
This event was co-hosted by the Embassies of Brazil, Portugal and Timor Leste. Heads of Diplomatic communities in attendance were Argentina, Colombia, Hungary, Mexico and Spain.
Hosted by the School of Literature, languages and Linguistic

Event
ANU College of Asia and the Pacific
Monday 5 May 2014
Fourth China in the World Annual Lecture - The architecture of education in Canberra and Beijing
Presented by Gerald Szeto, Mo Atelier Szeto Architects
Hosted by the Australian Centre on China in the World

VIP Event
ANU College of Business of Economics
Tuesday 6 May 2014
Unveiling of Fred Gruen Portrait
Fred Gruen as this country's most influential economics and academic giant was acknowledged by the Vice-Chancellor who invited Dr Martin Parkinson, Secretary of the Treasury to speak and unveil the portrait. In attendance were the family of Fred Gruen.
Hosted by the Research School of Economics

VIP Meeting
Vice-Chancellor
Wednesday 7 May 2014
Meeting with the Ambassador of the People’s Republic of China

VIP Event
ANU College of Physical and Mathematical Science
Wednesday 7 May 2014
Launch of the Heavy Ion Accelerator Facility
Hosted by the Research School of Physics and Engineering

VIP event
Canberra Times/ANU Meet the author literary event
Wednesday 7 May 2014
Book launch - Diary of a Foreign Minister
Presented by the Honourable Bob Carr, former Minister for Foreign Affairs and former
Premier of NSW
480 members of the public in attendance

Event
ANU College of Physical and Mathematical Science
Friday 9 May 2014
Mt Stromlo Observatory Public Astronomy Nights
Free star gazing and talks by Professor Matthew Colless, from the ANU Research School of Astronomy and Astrophysics (RSAA)
Hosted by RSAA

VIP Event
ANU College of Arts and Social Sciences
Friday 9 May 2014
School of Art Gallery Exhibition opening – Made in Taiwan
The exhibition was opened by Ms Katharine Siao-Yue Chang representing the Taipei Embassy.
Hosted by the Research School of Humanities and the Arts

VIP Event
ANU College of Asia and the Pacific
Monday 12 May 2014
Book launch - Dangerous Allies: Australia’s role in the Pacific
Presented by the Right Honourable Malcolm Fraser AC CH, 22nd Prime Minister of Australia
Hosted by the Crawford School of Public Policy

VIP Event
ANU College of Asia and the Pacific
Monday 12 May
Policy Workshop – Transnational Crime in the Pacific
Speaker Senator Brett Mason, Parliamentary Secretary for Foreign Affairs.
Hosted by the School of International, Political and Strategic Studies

Seminar
ANU College of Asia and the Pacific
Wednesday 14 May 2014
2014 Aid budget breakfast
Speakers included:
- Professor Stephen Howes, ANU
- Dr Anthony Swan, ANU
- Joanna Lindner, Australian Council for International Development
- Mel Dunn, URS Australia
Hosted by the Crawford School of Public Policy

VIP Event
ANU College of Arts and Social Sciences
Wednesday 14 May 2014
Maruku@ANU Launch
Dr Martin Parkinson, Secretary to the Treasury launched the exhibition of traditional Anangu art.
Hosted by the ANU School of Art Gallery

Event
ANU College of Arts and Social Sciences
Thursday 15 May 2014
Pelé Eterno (Pelé Forever)
Part of the Australian National Centre for Latin American Studies (ANCLAS) Futbol Film Screening
Hosted by ANCLAS

VIP Visit
ANU College of Engineering and Computer Science
Thursday 15 May 2014
Representatives of the University of Kuala Lumpur (UniKL) visited to follow up on discussions with ANU on possible collaborations to send UniKL students to ANU to pursue their Bachelor’s degree in engineering.
Hosted by ANCLAS

VIP Event
ANU College of Asia and the Pacific
Thursday 15 May 2014
The US Embassy and ANU hosted a roundtable discussion and lecture on the outlook for the G20 Summit in Brisbane in mid-November and US expectations for the forum more broadly.
Presented by Mr Matthew Goodman, William E Simon Chair in Political Economy, Center for Strategic and International Studies, United States
Hosted by the Crawford School of Public Policy

VIP Event
John XXIII College
Thursday 15 May 2014
John XXII College Anniversary Dinner
Professor Sandra Harding, Vice-Chancellor James Cook University was the guest speaker at the anniversary dinner.

VIP Event
ANU College of Engineering and Computer Science
Friday 16 May 2014
Tech Girls are super-heroes launch
ANU College of Engineering and Computer Science co-hosted the launch of the Tech Girls are super-heroes event. Senator the Hon Michaelia Cash, Minister Assisting the Prime Minister for Women, Assistant Minister for Immigration and Border Protection presented the keynote address and launched the event.

Event
ANU College of Physical and Mathematical Sciences
Saturday 17 May 2014
ANU Medical School Open Day
The Medical School at Canberra Hospital opened its doors to the public.

VIP Visit
Vice-Chancellor
Tuesday 20 May 2014
Visit to ANU by His Excellency Dr Igor Barths, Ambassador Embassy of the Slovak Republic

VIP Visit
ANU College of Asia and the Pacific
Tuesday 20 May 2014
Roundtable discussion on the autonomy of Papua
Special staff of president of the Republic of Indonesia, Governor Province of Papua and the Indonesian Ambassador to Australia attended the roundtable.
Hosted by the Indonesia Project

VIP Event
Vice-Chancellor
Tuesday 20 May 2014
The Vice-Chancellor hosted Senator Zed Seselja and academics for discussions on social and health and higher education policy over dinner.

VIP Event
ANU College of Arts and Social Sciences
Tuesday 20 May 2014
Australia and Europe in Conversation, 1989-2014: The fall of the Berlin Wall, EU enlargement and the effects on Europe, Australia and the world.
The Vice-Chancellor welcomed ambassadors attending from EU to Australia and New Zealand, Sweden, Germany, Hungary, Italy, Poland and Czech Republic.
Hosted by the Centre for European Studies

VIP Visits
Deputy Vice-Chancellor (Academic)
Tuesday 20 May 2014
Delegation from Lao visited ANU to discuss Australian human resource planning and training, career-study guidance and meet with Laotian students studying here.

Event
ANU College of Physical and Mathematical Sciences
Wednesday 21 May 2014
Public lecture - The Big Bang: Was it the origin of everything?
Presented by Dr Peter Riggs, ANU
480 members of the public in attendance

VIP Seminar
ANU College of Asia and the Pacific
Wednesday 21 May 2014
Advance Policy Lunch Series presented by Professor John Hewson AM.
Senior government executives engaged in discussion about Australian politics and policy.
Hosted by the Crawford School of Public Policy

VIP Lecture
ANU College of Asia and the Pacific
Thursday 22 May 2014
Public Lecture - Strategies for deep decarbonisation of the global energy system
Presented by Professor Jeff Sachs, Director, Sustainable Development Solutions Network and Director, The Earth Institute, Columbia University, USA
Hosted by the Centre for Climate Economics and Policy, Crawford School of Public Policy

Event
Canberra Times/ANU Meet the author literary event
Wednesday 22 May 2014
Camilla Läckberg, Swedish crime writer, in conversation with Emeritus Fellow Colin Steele
300 members of the public in attendance
Event
ANU College of Arts and Social Sciences
Thursday 22 May 2014
Royal Military College Band and ANU Combined Band at lunchtime concert
Hosted by the ANU School of Music

Event
ANU College of Medicine, Biology and Environment
The John Curtin School of Medical Research (JCSMR) Director’s ‘Health through Discovery’ Public Lecture Series- *Deciphering the language of brain cells*
Presented by Associate Professor Ehsan Arabzadeh, ANU
Hosted by JCSMR

Event
ANU College of Medicine, Biology and Environment
Book launch - *The human capacity for transformational change harnessing the collective mind*
Written by Emeritus Professor Val Brown AO, ANU and launched by the Hon. Barry Jones AO, D.Sc. L.D
Host area: Fenner School of Environment and Society

VIP Visit
Tuesday 27 May 2014
University of Exeter
The purpose of this visit was to discuss the possibility of exchanging two bioscience students between ANU and the University of Exeter. ANU already has a university-wide exchange agreement with the University of Exeter.
Hosted by Global Programs and Engagement and ANU Joint Colleges of Science

VIP Visit
ANU College of Arts and Social Sciences
Tuesday 27 May 2014
Peruvian Congress visit
As a request by the International and Community Relations Office, Parliament House of Australia the School of Politics and International Relations hosted a visit of the congress led by Mr Carlos Bruce Montes de Oca, President of the Parliamentary Friendship League Peru-Australia.
Hosted by the School of Politics and International Relations, Research School of Social Sciences

VIP Event
Fenner School of Environment and Society
Tuesday 27 May 2014
Book launch - *The human capacity for transformational change: harnessing the collective mind*
The Hon Cathy McGowan MP, Member for Indi launched the book.

VIP Event
Vice-Chancellor
Wednesday 28 May 2014
Vice-Chancellor hosted dinner with the Hon Andrew Robb AO, Minister for Trade and Investment and academics for discussions over dinner.
VIP Event
ANU College of Asia and the Pacific
Thursday 29 May 2014
Association of South East Asian Nations held roundtable discussion on campus
Hosted by the School of International, Political and Strategic Studies,

VIP Lecture
ANU College of Arts of Social Science
Thursday 29 May 2014
Public lecture – Travelling together in Challenging Times
Presented by His Excellency Haris Dafaranos, Ambassador of Greece to Australia
Hosted by the Centre for European Studies

JUNE

VIP Event
ANU Student Association
Monday 2 June 2014
ANU and University of Canberra (UC) forum on deregulation of student fees
A forum with speakers Professor Ian Young AO, Vice-Chancellor ANU, Professor Stephen Parker, Vice Chancellor University of Canberra, Senator Zed Seselja and Senator Kate Lundy, Senators for ACT.
Hosted by ANU and UC student associations

VIP Event
ANU College of Law
Thursday 5 June 2014
World Environment Day – ICJ Landmark ruling against Japanese whaling program
The Hon Mark Dreyfus QC, MP and Mr Shane Rattenbury MLA, ACT Greens Minister provided insights into the roles of government, activism and academia to the discussion of the Japanese Whaling program.
Hosted by the ANU College of Law

VIP Visit
Friday 6 June 2014
Universidade Estadual Paulista Júlio de Mesquita Filho
Representatives from Universidade Estadual Paulista Júlio de Mesquita Filho, Brazil visited to discuss initiatives that could lead to joint degrees, publications, interdisciplinary research programs and promotion of academic mobility.
Hosted by Global Programs and Engagement

VIP Visit
Wednesday 11 June 2014
Larry Conrad from UC Berkeley visited to discuss ways in which ANU and UC Berkeley could deepen relationship as partners in IARU.
Hosted by Global Programs and Engagement

VIP Event
ANU College of Asia and the Pacific
Monday 16 June 2014
Australian Institute of International Affairs and ANU China in the World Centre co-hosted a lecture presented by Her Excellency Ms Frances Adamson, Ambassador of Australia to China.
VIP Lecture
ANU College of Arts and Social Sciences
Monday 16 June 2014
2014 Schuman lecture – *Indo-Pacific lessons from a European experiment*
Presented by Peter Varghese AO, Secretary of the Department of Foreign Affairs and Trade

VIP Visit
ANU College of Arts and Social Sciences
Tuesday 17 June 2014
Visit by a parliamentary delegation from Poland
The Centre hosted the delegation on request from International and Community Relations Office Parliament House. The delegation was led by HE Mr Bogdan Borusewicz, speaker of the Polish Senate.
Hosted by the Centre for European Studies

VIP Event
ANU College of Asia and the Pacific
Wednesday 18 June 2014
2014 State of the Pacific
The State of the Pacific conference was official opened by The Hon Julie Bishop MP, Minister for Foreign Affairs.
Hosted by the School of International, Political and Strategic Studies

VIP Event
ANU College of Asia and the Pacific
Thursday 19 June 2014
Book Launch - *China’s Foreign Policy*
Written by Emeritus Professor Stuart Harris, ANU
Launched by the Hon Bob Hawke AC, former Prime Minister of Australia.
Hosted by the School of International, Political and Strategic Studies

VIP Visit
Monday 23 June 2014
Tohoku University
Signing of memorandum of understanding with Tohoku University, Japan.
Hosted by Global Programs and Engagement

VIP Event
Office of the Pro Vice-Chancellor (International and Outreach)
Monday 23 June 2014
18th APRU annual presidents meeting welcome dinner
Senator the Hon Scott Ryan, Parliamentary Secretary for Education welcomed international guests to Canberra and ANU

VIP Event
Office of the Pro Vice-Chancellor (International and Outreach)
Tuesday 24 June 2014
18th APRU annual presidents meeting gala dinner
Ms Katy Gallagher MLA, Chief Minister for ACT welcomed the delegates to Canberra.

VIP Event
Office of the Pro Vice-Chancellor (International and Outreach)
Wednesday 24 June 2014
18th APRU annual presidents met with the Minister for Education the Hon Christopher Pyne MP
VIP Visit

Thursday 24 June 2014
University of Hawai’i
A memorandum of understanding was signed with the University of Hawai’i at Mānoa. ANU College of Asia requested the MOU to formalise their research ties as well as to indicate the possibility to set up a student exchange agreement for undergraduate students.
Hosted by Global Programs and Engagement

VIP Event

ANU College of Arts and Social Sciences
Thursday 26 June 2014
Arab world, Iran and the Major Powers: transitions and challenges conference
This conference was officially opened by The Hon Julie Bishop MP, Minister for Foreign Affairs.
Hosted by the Centre for Arab and Islamic Studies

VIP Event

ANU College of Asia and the Pacific
Thursday 26 June 2014
ANU Asia Pacific Week-Ambassador Panel
The Chancellor, Professor Gareth Evans AC, QC hosted a panel with heads of diplomatic missions discussing issues relevant to their countries. Countries represented were Papua New Guinea, Republic of Indonesia, Samoa and Republic of Korea.

VIP Event

ANU College of Arts and Social Sciences
Friday 27 June 2014
The Australia-Mexico dialogue
HE Mr Reina, Ambassador to Mexico and Ambassador Carlos de Icaza, Undersecretary of Foreign Affairs, Mexican Foreign Ministry attended the dialogue.
Hosted by the Australian National Centre for Latin American Studies,

VIP Event – Crawford Australia Leadership Forum

Monday 30 June 2014
Crawford Australia Leadership Forum
Lunchtime speakers – The Hon Malcolm Turnbull MP, Minister for Communications In conversation with Michael Stutchbury, Editor-in-Chief, Australian Financial Review

Forum Dinner keynote address presented by The Hon Julie Bishop MP, Minister for Foreign Affairs

Tuesday 1 July 2014
Lunchtime speaker – The Hon Bill Shorten MP, Leader of the Opposition

Other VIP guests included

- Elizabeth Bryan, Chair, Caltex
- Heather Ridout, Chair, Australian Super
- Huang Yiping, Professor of Economics, Peking University
- Kurt Campbell, Former US Assistant Secretary of State for East Asian and Pacific Affairs
VIP Event
National Computational Infrastructure (NCI)
Monday 30 June 2014
The Hon Malcolm Turnbull MP, Minister for Communications toured the NCI facilities

VIP Event
ANU College of Asia and the Pacific
Monday 30 June 2014
Crawford School Oration 2014 - Crisis averted? Lessons from the Global Financial Crisis
Presented by Professor Joseph Stiglitz, Nobel Laureate
Hosted by Crawford School of Public Policy
Grants and Consultancies
Awarded between 1 March 2014 and 30 April 2014

College of Arts and Social Sciences .............................................................................................................2
College of Asia and the Pacific .....................................................................................................................3
College of Law ..............................................................................................................................................4
College of Medicine, Biology and Environment .............................................................................................5
College of Physical and Mathematical Sciences .............................................................................................7

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>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr John Minns</td>
<td>Australia-Mexico Second Track Dialogue 2014</td>
<td>$60,000</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>Commonwealth Department of Foreign Affairs and Trade, AusAID</td>
<td>Ms Govinda Sharma</td>
<td>Australian Leadership Awards Fellowship - Strengthening Nepalese expertise in human rights (Nepal)</td>
<td>$30,592</td>
</tr>
<tr>
<td>Academy of the Social Sciences in Australia</td>
<td>A/Prof Bingqin Li</td>
<td>Local services and facilities and elderly friendly residential neighbourhoods</td>
<td></td>
</tr>
<tr>
<td>University of Calgary</td>
<td>Ms Jennifer Munro</td>
<td>An Indigenous HIV Prevention and Treatment Strategy for Tanah Papua</td>
<td>$18,008</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Prof Joan Beaumont</td>
<td>DFAT Professional Training, History of Australian Foreign, Trade and Aid Policy</td>
<td>$79,380</td>
</tr>
<tr>
<td>Queensland Government, Department of Agriculture, Fisheries and Forestry</td>
<td>Prof Thomas Kompas</td>
<td>Benefit: Cost Analysis Report on the National four Tropics Weeds Eradication Program</td>
<td>$61,443</td>
</tr>
</tbody>
</table>
### College of Law

<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>Bushfire and Natural Hazards CRC Ltd</td>
<td>Dr Michael Eburn</td>
<td>Policies, institutions and governance of natural hazards.</td>
<td>$311,000</td>
</tr>
<tr>
<td>Nottingham Trent University</td>
<td>Prof Paul Maharg</td>
<td>Consultation on the feasibility of implementing a common entry examination in Hong Kong</td>
<td>$16,510</td>
</tr>
<tr>
<td>Forests Alive Pty Ltd</td>
<td>Mr Andrew Macintosh</td>
<td>Forests Alive - Consulting Services</td>
<td>$15,000</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>Tennant Company</td>
<td>Prof Vincent Craig</td>
<td>Cleaning using nanobubbles</td>
<td>$81,000</td>
</tr>
<tr>
<td>Dept of Industry, Innovation, Climate Change, Science, Research and Tertiary Education (DIICCSRTE)</td>
<td>Mr Peter Young</td>
<td>GHOST</td>
<td></td>
</tr>
<tr>
<td>Commonwealth Department of Defence, Defence Science and Technology Organisation (DSTO)</td>
<td>Dr Nicholas Robins</td>
<td>Research Agreement: Precision Atom Interferometry</td>
<td>$200,000</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>Grains Research and Development Corporation (GRDC)</td>
<td>A/Prof Josette Masle</td>
<td>Molecular tools for the modulation of transpiration efficiency in wheat</td>
<td>$840,000</td>
</tr>
<tr>
<td>Heart Foundation</td>
<td>Dr Emily Banks</td>
<td>Identifying and prioritising points for intervention to reduce cardiovascular disease inequalities in Australia</td>
<td></td>
</tr>
<tr>
<td>ACT Department of Territory and Municipal Services Directorate</td>
<td>Dr Annabel Smith</td>
<td>Pink-tailed Worm-lizard habitat restoration</td>
<td>$8,000</td>
</tr>
<tr>
<td>ANU Australian Primary Health Care Research Institute</td>
<td>A/Prof Kirsty Douglas</td>
<td>Integrated care: organisational process, patient-centred outcome or both? Learning from first generation integrated primary health care centres</td>
<td>$148,661</td>
</tr>
<tr>
<td>Riverina Local Land Services</td>
<td>Prof David Lindenmayer</td>
<td>Biodiversity Collaboration in the Riverina Local Land Services Region</td>
<td>$80,000</td>
</tr>
<tr>
<td>Bushfire and Natural Hazards CRC Ltd</td>
<td>Prof Albert Van Dijk</td>
<td>A1: Mapping Bushfire Hazard and Impacts</td>
<td></td>
</tr>
<tr>
<td>Human Frontier Science Program</td>
<td>Dr Steven Eichten</td>
<td>Beyond genes: discovering how the extended genotype of plants facilitates environmental adaptation</td>
<td>$225,900</td>
</tr>
<tr>
<td>National Geographic Society</td>
<td>Prof Robert Heinsohn</td>
<td>A unique non-human model for the evolution of musical tool use: drumming by the palm cockatoo - National Geographic Society</td>
<td>$21,489</td>
</tr>
<tr>
<td>SA Department of Environment and Natural Resources</td>
<td>Prof Robert Heinsohn</td>
<td>Research into the Vegetation, Soils and Birds of the Diamantina (SA) - Channel Country Wetlands</td>
<td>$200,000</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>Commonwealth Department of Education</td>
<td>Prof Valerie Brown</td>
<td>Environmental and Sustainability Learning and Teaching Academic Standards</td>
<td>$6,000</td>
</tr>
<tr>
<td>ACT Department of Environment and Sustainable Development</td>
<td>Prof Stephen Dovers</td>
<td>Assessment of Outreach Program</td>
<td></td>
</tr>
</tbody>
</table>
Grants and Consultancies Awarded & Recorded in ARIES Summary: 1 March 2014 to 30 April 2014

### Category 1 Research Income: Australian Competitive Grants

<table>
<thead>
<tr>
<th></th>
<th>Total 2013</th>
<th>YTD 2014</th>
<th>1 March 2014 to 30 April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAP</td>
<td>CASS</td>
<td>CBE</td>
</tr>
<tr>
<td><strong>Australian Research Council</strong></td>
<td>68,702,256</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>NHMRC</strong></td>
<td>9,357,433</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td>9,669,647</td>
<td>198,661</td>
<td>-</td>
</tr>
<tr>
<td><strong>Category 1 Total</strong></td>
<td>87,729,336</td>
<td>198,661</td>
<td>-</td>
</tr>
</tbody>
</table>

### Category 2 Research Income: Other Public Sector Income

<table>
<thead>
<tr>
<th></th>
<th>Total 2013</th>
<th>YTD 2014</th>
<th>1 March 2014 to 30 April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAP</td>
<td>CASS</td>
<td>CBE</td>
</tr>
<tr>
<td><strong>Local Government</strong></td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>State Government</strong></td>
<td>1,195,119</td>
<td>561,943</td>
<td>61,443</td>
</tr>
<tr>
<td><strong>Other Australian Government</strong></td>
<td>39,257,886</td>
<td>1,350,342</td>
<td>30,592</td>
</tr>
<tr>
<td><strong>Category 2 Total</strong></td>
<td>40,453,005</td>
<td>1,912,285</td>
<td>92,035</td>
</tr>
</tbody>
</table>

### Category 3 Research Income: Industry and Other Income

<table>
<thead>
<tr>
<th></th>
<th>Total 2013</th>
<th>YTD 2014</th>
<th>1 March 2014 to 30 April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAP</td>
<td>CASS</td>
<td>CBE</td>
</tr>
<tr>
<td><strong>Australian Sources</strong></td>
<td>2,525,981</td>
<td>67,353</td>
<td>-</td>
</tr>
<tr>
<td><strong>International A Sources</strong></td>
<td>1,001,816</td>
<td>225,900</td>
<td>-</td>
</tr>
<tr>
<td><strong>International B Sources</strong></td>
<td>15,654,205</td>
<td>206,899</td>
<td>-</td>
</tr>
<tr>
<td><strong>Category 3 Total</strong></td>
<td>19,182,002</td>
<td>500,152</td>
<td>-</td>
</tr>
</tbody>
</table>

### Category 4 Research Income: Cooperative Research Centres

<table>
<thead>
<tr>
<th></th>
<th>Total 2013</th>
<th>YTD 2014</th>
<th>1 March 2014 to 30 April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAP</td>
<td>CASS</td>
<td>CBE</td>
</tr>
<tr>
<td><strong>Category 4 Total</strong></td>
<td>2,234,700</td>
<td>311,000</td>
<td>-</td>
</tr>
</tbody>
</table>

### HERDC Ineligible

<table>
<thead>
<tr>
<th></th>
<th>Total 2013</th>
<th>YTD 2014</th>
<th>1 March 2014 to 30 April 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CAP</td>
<td>CASS</td>
<td>CBE</td>
</tr>
<tr>
<td><strong>ARC Linkage Infrastructure, Equipment &amp; Facilities</strong></td>
<td>5,935,095</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td><strong>Other Funds</strong></td>
<td>17,889,461</td>
<td>254,082</td>
<td>97,388</td>
</tr>
<tr>
<td><strong>HERDC ineligible Total</strong></td>
<td>23,824,556</td>
<td>254,082</td>
<td>97,388</td>
</tr>
</tbody>
</table>

*Data extracted from ARIES on 01/05/2014*
23 LEGISLATION

PURPOSE
To note legislation approved by the Vice-Chancellor; and a progress report in relation to the 2014 review of Statutes, Rules and Orders.

AUTHOR
Director, Corporate Governance and Risk Office

SPONSOR
Vice-Chancellor

RECOMMENDATIONS
That:

1. The following legislation, made under subsection 9.5 of the Vice-Chancellorship Statute 2013, be noted:
   1.1 Academic and Ceremonial Dress Order 2014 (103/2014)
   1.2 Academic Progress Rules 2014 (104/2014)
   1.3 Assessment Rules 2014 (105/2014)
   1.4 Graduate Coursework Awards Rules 2014 (106/2014)

   And

2. A progress report be noted in relation to the 2014 review of Statutes, Rules and Orders.

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

BACKGROUND

Academic and Ceremonial Dress Order 2014 (made by the Acting Vice-Chancellor, commenced on 1 July 2014):

The Order was amended on the recommendation of the Academic Board. The Board recommended:

- That Schedules 2 and 3 of the Academic and Ceremonial Dress Order 2013 be amended to simplify the range of hood colours for Master and Bachelor Degrees of the University.
- That the amended colours for awards be:

<table>
<thead>
<tr>
<th>College or Discipline</th>
<th>Colour</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Wide</td>
<td>White</td>
</tr>
<tr>
<td>CASS</td>
<td>Blue</td>
</tr>
<tr>
<td>CAP</td>
<td>Terracotta</td>
</tr>
<tr>
<td>CBE</td>
<td>Gold</td>
</tr>
<tr>
<td>CECS</td>
<td>Claret</td>
</tr>
<tr>
<td>CoL</td>
<td>Purple</td>
</tr>
<tr>
<td>CMBE and CPMS</td>
<td>Green</td>
</tr>
<tr>
<td>Medicine and Health Studies</td>
<td>Turquoise</td>
</tr>
</tbody>
</table>

- That the University cease using the British Colour Council colour code as reference colours for the Academic and Ceremonial Dress Order and move to the Pantone colour standard.
- That the new Schedules be implemented for the robing of all graduands and graduates attending a Conferring of Awards Ceremony from July 2014.
• That from July 2014 the wearing of gowns at ceremonies be compulsory for all graduands of all Awards, and compulsory for all staff in the ceremonial processions.
• That the University finalise the tender process for the provision of gowns at graduation, to seek a more affordable outcome for students.”

The eight specified colours for Master, Bachelor and non-degree awards will replace the present 28 different hood colour combinations for the degrees of Bachelor and 70 different hood colour combinations for the degree of Master. The large number of variations has proven to be difficult to manage, expensive for the hiring organisation and accordingly expensive for students.

The use of British Colour Council (BCC) colour codes is no longer feasible as publication of the codes ceased during the 1960s and local suppliers cannot duplicate the colours. The move to the Pantone colour specification will ensure consistency of colours as stocks are replaced.

The new College and discipline colours are based on the four original colours for undergraduate degrees of The Australian National University from 1961 of blue (Arts), gold (Economics), purple (Law) and green (Science). Colours for the following awards remain unchanged:

• Degree of Doctor (Higher Doctorates)
• Doctor of Philosophy;
• Professional doctorates;
• Master of Philosophy; and
• Graduate awards in Military Studies.

The schedules of pre 1 July 2014 academic dress will be available to interested persons by way of a link to the ComLaw website in the new and future versions of the Order.

The wearing of gowns at ceremonies by both graduands and staff in the academic procession will be compulsory in order to maximise the enjoyment of those attending graduation ceremonies and to add to the sense of occasion. This will bring the University into line with the sector standard for graduation ceremonies.

To offset this requirement from a student perspective, the University undertook a tender process. This process has now been finalised, and led to a reduction in gown hire costs for each student of approximately $30.

Academic Progress Rules 2014 (commenced on 1 July 2014)

The Rules were amended to give effect to the Academic Board’s recommendation that academic progress (for coursework awards) be determined at the academic career level. The proposal considered by the Board was:

“Academic Progress
As part of the University’s review of the student life cycle, there are several processes that have been changed from the ‘program’ to ‘career’ level, including Student GPA and time-limits for programs. In discussions with the Double Degree Project Management Group (DDPMG), it was agreed that there would also be benefits in assessing academic progress under the Academic Progress Rules at the ‘career’ level. The benefits are:

1. Consistency in treatment of students, regardless of their program or College.
2. Students would not be able to transfer from program to program to ‘avoid’ being put on academic progress, as currently happens.
3. Consistency in processes across the University such as the GPA and time-limits.

A student’s academic standing would follow them throughout a Career level and not be re-set on program transfer.”

The amendments to the Rules required, generally, the substitution of references to “award program” with references to “coursework” in Rules 10-14 inclusive.
On the recommendation of the Deputy Vice-Chancellor (Academic) the period of exclusion from re-enrolment allowed at paragraph 14(1)(c), which allowed for permanent exclusion, has been limited to 5 years.

**Assessment Rules 2014**

The Academic Board approved in 2013 new arrangements for assessment review and appeals procedures (Rule 10). These were incorporated into the Assessment Rules (No. 4) 2013.

The Division of Student Administration and Services has advised that subrule 10(2) of the Rules required terminological amendment. The 2013 version of the subrule 10(2) read:

“Before formally applying for a review, the student must discuss the disputed result with the Course Convener who must re-examine the relevant work, decide whether to amend the result or not and inform the student accordingly.”

The term “disputed result” is defined in subrule 10(1) as “the final result for a student in a course.” The problem was with the term “relevant work.” A course convener can review only those works that are available for review, such as essays. It is not possible for a course convener to re-examine the work for musical performances, medical practical examinations and the like and subrule 10(2) was therefore amended to read:

“Before formally applying for a review, the student must discuss the disputed result with the Course Convener who must review the result, decide whether to amend the result or not and inform the student accordingly.”

**Graduate Coursework Awards Rules 2014 (commenced on 20 June 2014)**

The Rules were amended to:

- include in the Rules arrangements for the degree of Medicinae ac Chirurgiae Doctoranda (MChD) (rules 3.13 – 3.16) (the degree is to replace the MBBS, and the first cohort of students commenced in semester 1, 2014); and
- substitute the term “credit” for “status” (defined in subrule 1.4(1)).

**Note:** The amendments to legislation put to Council are described in the Background notes. In addition legislation will contain from time to time amendments of a minor nature which are not referred to in the Background notes. Examples of such amendments would be correction of terminological, grammatical, spelling or numbering errors and the like.

**Progress report on 2014 Review of Statutes, Rules and Orders**

At its meeting on 28 March 2014, Council resolved that a comprehensive review of University legislation was both timely and appropriate. The broad aims of the review are to ensure currency and to better align the Statutes as principle-focused instruments, supported by Rules and Orders which articulate the operational processes for implementation.

The Corporate Governance and Risk Office is responsible for the coordination of the review program, in consultation with Legal Office. The review itself is well underway and progress updates as at 30 June 2014 show that:

- 13 instruments will undergo major revision;
- 31 instruments are being reviewed, or have been identified as requiring minor amendment;
- 4 instruments have been identified as not requiring amendment; and
- 2 Statutes (superannuation) are to be repealed.

Most of the legislation requiring significant change concerns students of the University. The provisions of three existing coursework awards Rules will be reviewed, modernised and incorporated into a single set of coursework Rules. The Rules governing research awards are to be extensively updated and rewritten.
It is expected that areas will progressively advise details of changes to particular instruments with drafting of amendments to commence, on a rolling basis, as and when such advice is received by the Corporate Governance and Risk Office.

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

ATTACHMENTS

23.1 Academic and Ceremonial Dress Order 2014 (103/2014)
23.2 Academic Progress Rules 2014 (104/2014)
23.3 Assessment Rules 2014 (105/2014)
23.4 Graduate Coursework Awards Rules 2014 (106/2014)
THE AUSTRALIAN NATIONAL UNIVERSITY

Academic and Ceremonial Dress Statute 2005

ACADEMIC AND CEREMONIAL DRESS ORDER 2014

I, Professor Margaret Harding, Acting Vice-Chancellor of The Australian National University acting in accordance with subsection 50(3) of the Australian National University Act 1991 and subsection 9.5 of the Vice-Chancellorship Statute 2013, make this Order under section 2 of the Academic and Ceremonial Dress Statute 2005.

Date: 16 June 2014

Professor Margaret Harding
ACTING VICE-CHANCELLOR

PART 1: Preliminary

1 Name of Order
1.1 This is the Academic and Ceremonial Dress Order 2014.

2 Commencement
2.1 This Order commences on 1 July 2014.

3 Interpretation
3.1 In this Order:
(a) a reference to silk includes a reference to silk substitute; and
(b) a reference to a Bachelor gown or a Master gown is to be read as a reference to such a gown made of black fabric and of the style as traditionally worn at the University; and
(c) previous Order means the Academic and Ceremonial Dress Order 2013.


3.2 In this Order, a reference to a colour is to be read as a reference to that colour as specified in the following table:
### Table 1: Colours

<table>
<thead>
<tr>
<th>Colour</th>
<th>Pantone Colour Reference*</th>
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### Part 2: Ceremonial Dress

4 **Ceremonial Dress: Chancellor**

4.1 The ceremonial dress of the Chancellor is to be an ankle length robe made from black figured damask, with front facings 105mm wide at the shoulder and 130mm at the hemline and with a collar measuring approximately 340mm wide and 180mm deep at the back.

4.2 The back of the robe is to be pleated into the yoke and is to have a short train with a centre slit to knee height with sleeves that are long and fitted, closed and straight at the lower edge.

4.3 The robe is to be trimmed with gold lace of the oakleaf design as follows:

- the facings, collar, hemline and centre back slit are to be trimmed with gold lace 48mm wide;
- there is to be a diamond shaped pattern in 48mm gold lace at the top of the back slit;
- each armhole is to be a horizontal slit at the elbow with a 250mm vertical slit atop, all trimmed with 20mm gold lace with pointed edges;
- there are to be 11 gold lace bars, each 40mm wide, on each sleeve;
- the sleeve openings are to be trimmed with gold lace 20mm wide.

4.4 With this robe is to be worn either:

(a) a black velvet trencher, the crown being trimmed with gold oakleaf lace 20mm wide and a beehive gold covered button, affixed to the centre of the crown, from which hangs a gold bullion tassel 250mm in length; or

(b) a round black velvet bonnet, the edge of the brim of which is trimmed with gold ornamental braid, and a flat button, covered with gold oakleaf lace, is...
affixed to the centre of the crown, and the bonnet is worn with a gold cord and tassels.

5 Ceremonial dress: Pro-Chancellor

5.1 The ceremonial dress of the Pro-Chancellor is to be a robe of black damask fabric, made in the same style as worn by the Chancellor, also of ankle length, but trimmed with silver lace of the oakleaf design, in the same manner and dimensions as the Chancellor’s robe.

5.2 This robe does not have a train.

5.3 With this robe is to be worn either a black velvet trencher, or a round black velvet bonnet with silver cord and tassels, trimmed the same as for the Chancellor, but in silver.

6 Ceremonial dress: Vice-Chancellor

6.1 The ceremonial dress of the Vice-Chancellor is to be a gown of black damask fabric that is approximately mid calf in length with the back and sleeves of the gown tightly gathered.

6.2 The sleeves of this gown are to have a boot of the same design as the Master gown.

6.3 The gown is to be trimmed on the front and at the back of the neck with gold lace 60mm wide of the oakleaf design and the sleeve openings are also to be trimmed in gold oakleaf lace 20mm wide.

6.4 With this gown is to be worn either:

(a) a black velvet trencher, the crown being trimmed with gold oakleaf lace 20mm wide and a beehive gold covered button, affixed to the centre of the crown, from which hangs a gold bullion tassel 250mm in length; or

(b) a round black velvet bonnet, the edge of the brim of which is trimmed with gold ornamental braid, and a flat button, covered with gold oakleaf lace, is affixed to the centre of the crown, and the bonnet is worn with a gold cord and tassels.

7 Ceremonial dress: Deputy Vice-Chancellor

7.1 The ceremonial dress of the Deputy Vice-Chancellor is to be a gown of black damask fabric, made in the same style as worn by the Vice-Chancellor but trimmed with silver lace of the oakleaf design and in the same manner and dimensions as for the Vice-Chancellor.

7.2 With this gown is to be worn either a black velvet trencher, or a round black velvet bonnet with silver cord and tassels, trimmed the same as for the Vice-Chancellor, but in silver.

8 Ceremonial dress: University Marshal

8.1 The ceremonial dress of the University Marshal is to be a gown of sapphire cloth with gathering at the back yoke and on the sleeves, in the style of a Bachelor gown but with elongated sleeves.

8.2 The 120mm front facings of this gown are in old gold and the inside of the gown and the inside of the elongated sleeves are also fully lined in the same gold.
This gown, which closes at the neckline, is adorned with a special design high collar and is fastened at the neckline with gold ornamentation.

With this gown is to be worn a round black velvet bonnet trimmed with blue and gold cord and tassels.

Ceremonial dress: Deputy Marshal

The ceremonial dress of the Deputy Marshal is to be a Bachelor gown of sapphire cloth with 100mm front facings of old gold which extend around the neckline.

With this gown is to be worn a round black velvet bonnet trimmed with blue and gold cord and tassels.

Ceremonial dress: Esquire Bedel

The ceremonial dress of the Esquire Bedel is to be a Master gown of black corded silk, the sleeve openings of which are trimmed with 45mm gold oak leaf lace.

A collar of black brocade which is edged with 45mm gold oak leaf lace is attached to the back of this gown.

With this gown is to be worn a round black velvet bonnet trimmed with gold cord and tassels, a jabot consisting of 2 tabs on a collar and white wrist length gloves.

Ceremonial dress: members of Council

The ceremonial dress of a member of the Council is to be a Master gown with 115mm of silver silk on the front facings.

The back collar of this gown is faced around all sides with 100mm of the same silver silk.

An embroidered University badge is attached to the left hand front facing of the gown and is positioned 100mm down from the front yoke seam.

A round black velvet bonnet trimmed with silver cord and silver tassels is to be worn.

However, nothing in this clause prevents a member of Council from wearing, as ceremonial dress, any academic dress to which the person may be entitled.

Ceremonial dress: Chancellor’s party

The ceremonial dress of the Dean of each ANU College, directors of faculties, research schools and schools mentioned in rule 3 of the Membership of the Council (Heads of Faculties and Research School) Rules, directors of University Centres, heads of residential Halls and Colleges, and other members of the Chancellor’s party is to be:

(a) a gown of black cloth in the style of the University’s higher doctorate gown with 100mm of silver silk on the front facings extending around the neckline, and with bell shaped sleeves, the lower three-quarters of which faced with silver cloth; and

(b) a round black velvet bonnet trimmed with blue cord and blue tassels.

However, nothing in this clause prevents a member of the Chancellor’s party from wearing, as ceremonial dress, any academic dress to which the person may be entitled.
13 Ceremonial dress: academic staff and invited members of academic procession

13.1 The ceremonial dress of the academic staff and invited members of the academic procession is to be any academic dress to which the person may be entitled, or:

(a) a Master gown with 100mm of blue silk on the front facings or a Master gown with a silver stole 100mm in width; and

(b) a round black velvet bonnet trimmed with blue cord and blue tassels may be worn.

14 Ceremonial dress: guest speakers at conferring ceremonies

14.1 The ceremonial dress of a guest speaker at a conferring of degrees ceremony is to be as for members of the Chancellor's party.

14.2 However, nothing in this clause prevents a guest speaker from wearing, as ceremonial dress, any academic dress to which the person may be entitled.

15 Ceremonial dress: members of general staff

15.1 The ceremonial dress of members of the general staff is to be a Bachelor gown with which a trencher of black cloth with a black tassel may be worn.

15.2 However nothing in this clause prevents a member of the general staff from wearing, as ceremonial dress, any academic dress to which the person may be entitled.

Part 3: Academic Dress

16 Interpretation: Part 3

16.1 To avoid doubt, in this Part, a reference to:

(a) a hood fully lined or faced with a single colour on the inside is a reference to a hood that is fully lined or edged on the posterior side of the hood with the colour of the award; and

(b) a hood fully lined or faced with 2 colours on the inside is a reference to a hood on which the first named colour is innermost with the second colour outermost on the posterior side of the hood; and

(c) a hood fully lined or faced with 3 colours on the inside is a reference to a hood on which the second named colour is between the first and third named colours, the third named colour being outermost on the posterior side of the hood.

17 Academic dress: graduates (higher doctorates)

17.1 The academic dress of a graduate of the University, being awarded or holding a higher doctorate, is to be:

(a) a gown of Union Jack red cloth, of the design and shape as traditionally worn at the University, being heavily gathered on the back and both shoulders with a curved shaped yoke, with plain bell shaped sleeves with 115mm of silk on the front facings as follows:

- for a degree of Doctor of Fine Arts – silver;
- for a degree of Doctor of Laws – purple;
- for a degree of Doctor of Letters – blue;
• for a degree of Doctor of Medicine – turquoise;
• for a degree of Doctor of Music – lilac;
• for a degree of Doctor of Science – green;
• for a degree of Doctor of the University – old gold; and
(b) a hood of Union Jack red cloth of the same shape and style as for a degree of Doctor of Philosophy, and as traditionally worn at the University, each hood being fully lined with colours applicable to the award as set out in paragraph (a); and
(c) a round black velvet bonnet with a gold cord and tassels.

[Note: The degree of Doctor of the University is only awarded as an honorary degree.]

18 Academic dress: graduates (Doctor of Philosophy)

18.1 The academic dress of a graduate of the University being awarded or holding a degree of Doctor of Philosophy is to be:
(a) a gown of black cloth in the same shape and style as worn by Masters of the University with 100mm of blue corded silk on the front facings; and
(b) a hood of the Cambridge design as traditionally worn at the University made from, and fully lined with, blue corded silk fabric; and
(c) a round black velvet bonnet with a blue cord and tassels.

19 Academic dress: graduates (professional doctorates)

19.1 The academic dress of a graduate of the University, being awarded or holding one of the following professional doctorates, namely:
• Doctor of Diplomatic Studies;
• Doctor of Juridical Science;
• Doctor of Policy Administration;
• Doctor of Population Health;
• Doctor of Psychology (Clinical);

is to be:
(a) a gown of black cloth in the same shape and style as worn by Masters of the University with 100mm of blue corded silk on the front facings; and
(b) a hood of the Cambridge design as traditionally worn at the University made from, and fully lined with, blue corded silk fabric and edged on the inside with 25mm of claret corded silk; and
(c) a round black velvet bonnet with a blue cord and tassels.

20 Academic dress: Master of Philosophy, other Master graduates, Medicinae ac Chirurgiae Doctoranda and Juris Doctor graduates

20.1 The academic dress of a graduate of the University, being awarded or holding a degree of Master Philosophy, is to be:
(a) a gown of black cloth as traditionally worn at the University, being heavily gathered on the back and on both shoulders with a curved yoke, with sleeves that are long and closed (being 20cm from the bottom of the gown) with a crescent shaped cut at the bottom and a bound opening for the arm at the elbow; and
(b) a hood of black cloth in the style as traditionally worn at the University and in
the shape known as the Oxford Burgon cut, and that is fully lined on the
inside with blue fabric; and

(c) a trencher of black cloth with a blue tassel.

20.2 The academic dress of a graduate of the University, being awarded or holding a degree
of Master or a degree of Medicinae ac Chirurgiae Doctoranda or Juris Doctor, is to be:

(a) a gown of black cloth as traditionally worn at the University, being heavily
gathered on the back and on both shoulders with a curved yoke, with sleeves
that are long and closed (being 20cm from the bottom of the gown) with a
crescent shaped cut at the bottom and a bound opening for the arm at the
elbow; and

(b) a hood of black cloth in the style as traditionally worn at the University and in
the shape known as the Oxford Burgon cut, and that is fully lined on the
inside with colours applicable to the ANU College or discipline as set out in
the Schedule; and

(c) a trencher of black cloth with a black tassel.

21 Academic dress: Bachelor graduates

21.1 The academic dress of a graduate of the University, being awarded or holding a degree
of Bachelor, is to be:

(a) a gown of black cloth as traditionally worn at the University, being heavily
gathered on the back and on both shoulders with a curved yoke; with sleeves
that are long and pointed (being 20cm from the bottom of the gown) with a
decorative slit on the front seam; and

(b) a hood of black cloth in the style as traditionally worn at the University, in the
shape known as the Oxford Burgon cut, and that is faced on the inside with
100mm of silk with colours applicable to the ANU College or discipline as set
out in the Schedule; and

(c) a trencher of black cloth with a black tassel.

22 Academic dress: non-degree awards

22.1 The academic dress of a person being awarded or holding a non-degree award of the
University is to be:

(a) for a graduate diploma or certificate, a Bachelor gown with a stole of black
cloth 100mm in width faced with 100mm of silk with colours applicable to the
ANU College or discipline as set out in the Schedule, and a trencher of black
cloth with a black tassel; and

(b) for an undergraduate diploma, a Bachelor gown with a stole of black cloth
100mm in width faced with 100mm of silk with colours applicable to the ANU
College or discipline set out in the Schedule, and with which no headgear is
to be worn.

23 Academic dress: associate degree awards

23.1 The academic dress of a person being awarded or holding an associate degree is to be
a Bachelor gown, with a stole of black cloth 100mm in width faced with 100mm of silk
with colours applicable to the ANU College or discipline as set out in the Schedule, and
with which no headgear is to be worn.
24 Academic dress: undergraduates

24.1 The academic dress of undergraduates of the University is to be a gown of black cloth
of a style approved by the Council and with which no headgear is to be worn.

Part 4: Miscellaneous

25 Honorary degrees

25.1 To avoid doubt, the academic dress of a person holding or being awarded an honorary
degree is to be the academic dress prescribed in Part 3 for the corresponding degree.

26 When academic dress to be worn

26.1 A graduand must wear appropriate academic dress.

27 When ceremonial dress to be worn

27.1 A member of the academic staff in a procession at a graduation ceremony must wear
appropriate ceremonial or academic dress.

28 When former academic dress may be worn

28.1 A person who received an award before 1 July 2014 (including, but not limited to
former graduates of the Institute of the Arts) is entitled to wear the academic dress for
the award as specified in the previous Order.

29 Repeal

29.1 The Academic and Ceremonial Dress Order 2013, as amended and in force immediately
before the commencement of this Order, is repealed.

Clause 20, 21, 22 and 23

SCHEDULE OF COLOURS APPLICABLE TO ANU COLLEGES ETC.

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*For descriptions of colours see subclause 3.2
THE AUSTRALIAN NATIONAL UNIVERSITY

Programs and Awards Statute 2013

ACADEMIC PROGRESS RULES 2014

I, Professor Ian Young AO, Vice-Chancellor of The Australian National University acting in accordance with subsection 50(3) of the Australian National University Act 1991 and subsection 9.5 of the Vice-Chancellorship Statute 2013 make these Rules for section 8 of the Programs and Awards Statute 2013.


Professor Ian Young AO
VICE-CHANCELLOR

1 Name of Rules and commencement
1(1) These Rules are the Academic Progress Rules 2014.
(2) These Rules commence on 1 July 2014.

2 Interpretation
2(1) In these Rules:

- **Academic Progress Committee** means a Committee established under rule 13.
- **award** means degree, diploma or certificate offered by the University.
- **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 the production by students of essays or theses or case studies or the attendance and participation by students in seminars or workshops.
- **course code** means the unique alphanumeric code used within the University to identify a particular course.
- **Delegated Authority** means a person appointed under rule 3.
- **enrol** includes re-enrol, and **enrolment** has a corresponding meaning.
- **equivalent course** is any course declared by the relevant Delegated Authority to have a sufficient similarity of content to another course, despite having a different title or different course code.
- **student** means a student who is or was enrolled (as the case requires) in an award program.

(2) A reference in these Rules to a particular course includes a reference to an equivalent course.

[Note: These Rules apply in relation to both graduate coursework and undergraduate awards.]
3 Delegated Authority: appointment etc

3(1) An Associate Dean may appoint a person to be a Delegated Authority for the purposes of these Rules and may delegate all or any of the powers and functions of the Associate Dean in these Rules to the Delegated Authority.

4 Delegated Authority: to apply Rules consistently

4(1) The Delegated Authority must take reasonable steps to ensure that these Rules are applied consistently and fairly within the academic area concerned.

5 Repeated failure in course

5(1) If a student fails a course twice, the student must apply to obtain the approval of the Delegated Authority before re-enrolling in the course.

[Note: Failure includes N, NCN and WN and takes no account of the award program in which the course is taken.]

(2) A Delegated Authority may approve, conditionally approve or refuse to approve a student’s application to re-enrol in a course.

(3) If the Delegated Authority refuses to approve a student’s application to re-enrol in a course, the Delegated Authority must specify the duration of that refusal.

6 Notice

6(1) A student to whom subrule 5(1) applies must be advised of the decision in relation to his or her application and of his or her appeal rights.

(2) Advice under subrule (1) in relation to appeal rights may be given to an individual student or generally and must contain information about to whom the appeal must be made and the address to which the appeal must be sent.

7 Appeal after re-enrolment in course refused

7(1) A student whose application under subrule 5(1) to re-enrol in a course is refused may appeal to the Associate Dean responsible for the course to determine the matter.

[Note: If a student is refused permission to re-enrol in a compulsory component of an award program, that may effectively terminate the student’s participation in the award program.]

(2) An appeal must be in writing and must be lodged with the Associate Dean not later than 20 working days after the date on which the notice of refusal was sent to the student, or within any further period that the Associate Dean allows.

(3) At an appeal, the Associate Dean must consider any statement of the student in relation to the appeal and any other matters that the Associate Dean considers relevant.

(4) An appeal is to be conducted in such manner as the Associate Dean conducting the appeal determines.

(5) The Associate Dean may decide the appeal on the material available to the Associate Dean or after an oral hearing, but if the appeal is to be decided after an oral hearing:

(a) the student is entitled to appear in person at the hearing; and

(b) in default of the appearance of the student at the time and place fixed for the hearing, the hearing may proceed in the absence of the student; and
(c) the student is entitled to present to the hearing oral or written statements
(whether made by the student or another person); and

(d) the student may, in addition to or instead of appearing in person at the appeal,
furnish to the hearing a written statement in relation to the appeal (whether
made by the student or another person); and

(e) the student is entitled to be accompanied at the hearing by another person who
may observe the proceedings but not act as an advocate unless expressly
invited to do so by the Associate Dean.

[NOTE: See rule 16 in relation to enrolment and attending classes pending decision on
appeal.]

(6) The Associate Dean must decide the appeal, and must notify the student of the
decision, within 20 working days after the day on which the appeal is lodged.

8 Grounds for appeal

8(1) The grounds for an appeal are as follows:
(a) severe illness or medical condition (documentary evidence of which must be
lodged with the appeal);
(b) harshness of the effect of refusing to approve the request to re-enrol in the
course;
(c) harshness of a decision to exclude a student from a course, the effect of which
would be to exclude the student from an award program;
(d) special circumstances set out in the appeal.

9 Decision on appeal

9(1) The Associate Dean may uphold the appeal or dismiss the appeal and, if the Associate
Dean upholds the appeal, the Associate Dean may:
(a) permit re-enrolment in the course; or
(b) permit re-enrolment in the course conditionally; or
(c) refuse re-enrolment in the course for a period specified by the Associate Dean.

[Note: If a student is refused permission to re-enrol in a compulsory component of an award
program, that may effectively terminate the student’s participation in the program.]

(2) The decision of the Associate Dean is final.

10 Coursework: failure to maintain satisfactory standard

10(1) A student undertaking graduate or undergraduate coursework who fails more than
50% of the unit value of the courses attempted in a semester (including a session) of
enrolment is considered to have failed to maintain a satisfactory standard of academic
progress in his or her graduate or undergraduate coursework, as the case requires, and is
regarded as being on probation.

[Note: It is intended that, for this rule, First Semester includes courses taken in Summer and
Autumn Sessions and Second Semester includes courses taken in Winter and Spring Sessions.]

(2) A student undertaking graduate or undergraduate coursework who, for a second or
subsequent time, fails more than 50% of the unit value of the courses attempted in a
semester (including a session) of enrolment, or fails to meet any of the conditions imposed by
an Academic Progress Committee under rule 14 is considered to have failed to maintain a
satisfactory standard of academic progress, and may be excluded by the Delegated Authority from enrolling in graduate or undergraduate coursework as the case requires.

(3) However, a student in the ANU Medical School must reach a satisfactory standard (within the meaning of the relevant Order made by the Deputy Vice-Chancellor) in all assessment tasks and courses before being permitted to progress to the next level of study.

(4) A student who is considered to have failed to maintain a satisfactory standard of academic progress in his or her coursework or award program must be notified as soon as practicable, in writing, of that fact.

(5) To avoid 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 semester.

(6) A student, or former student, excluded from graduate or undergraduate coursework under subrule 10(2) or 11(1) or paragraph 14(1)(c) may apply for enrolment to undertake coursework after the expiration of the period of exclusion.

11 Coursework: failure to achieve results at specified level

11(1) A student undertaking graduate or undergraduate coursework who fails to achieve results in the courses in the award program for which he or she has enrolled at the level specified in the Orders for continuation in the award program, is considered to have failed to maintain a satisfactory standard of academic progress in his or her award program and may be excluded from graduate or undergraduate coursework, as the case requires, by the Delegated Authority.

12 Coursework: appeal after exclusion

12(1) If a student is to be excluded from graduate or undergraduate coursework under subrule 10(2) or rule 11 or from an academic program under subrule 10(3), the student must, as soon as practicable, be given written notice of the exclusion.

(2) A notice under this rule must set out the right of the student to whom it is addressed to appeal against the decision in writing to the appropriate Academic Progress Committee and tell the student to whom an appeal must be sent.

(3) The appeal must set out the grounds on which it is made and, in particular, include material demonstrating why the student should be permitted to continue in the coursework or award program, and must be lodged with the person mentioned in subrule (2) not later than 20 working days after the date on which the notification of the exclusion was sent to the student or within such further time that the Academic Progress Committee allows.

(4) On appeal, if requested by an appellant, the Academic Progress Committee may take account of any non-award enrolment completed by the appellant in the semester (including a session) of enrolment to which subrule 10(1) refers.

(5) 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.

(6) If a student appeals to the Academic Progress Committee, the Academic Progress Committee must consider the appeal within 20 working days after the day on which the Academic Progress Committee receives the appeal.
[NOTE: See rule 16 in relation to enrolment and attending classes pending decision on appeal.]

13 Academic Progress Committees
13(1) There is to be an Academic Progress Committee for the University in relation to graduate coursework, and another in relation to undergraduate coursework, each consisting of the Registrar as Chair and a person (not being a person who was involved in a matter referred to the Committee) appointed by the College Dean of each of the ANU Colleges.

14 Coursework: decision on appeal
14(1) An Academic Progress Committee may uphold an appeal or dismiss the appeal and, in so doing, 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 enrolment in coursework for a period determined by the Committee, being a period of not more than 5 years; or
    (d) determine that the student transfer to another award program; or
    (e) determine that the student vary his or her load to take account of the impact of external pressures on his or her academic studies; or
    (f) require the student to take leave of absence from the award program for a period determined by the Committee; or
    (g) refer the student to academic and professional staff for advice and support; or
    (h) determine other strategies as appropriate.

(2) The decision of the Academic Progress Committee in a particular case is final.

15 Appeal on procedural grounds
15(1) A student may, within 20 working days after the relevant decision was notified to the student, appeal against a decision made under subrule 10(2), 10(3), 11(1) or 14(1) to the Deputy Vice-Chancellor on procedural grounds only.

(2) The Deputy Vice-Chancellor may:
    (a) confirm the decision; or
    (b) set aside the original decision and refer the matter back to the decision maker to:
        (i) reconsider the original decision in light of the Deputy Vice-Chancellor’s findings; and
        (ii) make a new decision.

(3) In determining an appeal, the Deputy Vice-Chancellor may inform himself or herself as he or she sees fit.

(4) The decision of the Deputy Vice-Chancellor is final.

16 Enrolment and attending classes pending decision on appeal
16(1) A student who appeals against a decision not to approve re-enrolment in a course or award program, or a decision that the student be excluded from coursework or an award program may apply to the College Dean to re-enrol in the next semester or session in another course or award program pending the outcome of the appeal.
(2) However, if an appeal is lodged under these Rules and the student was enrolled before the decision appealed against was made, the student is entitled to remain enrolled pending the outcome of the appeal.

17 Orders

17(1) The Deputy Vice-Chancellor may make Orders for the purpose of subrules 10(3) and 11(1).

18 Saving

18(1) The Academic Progress Rules 2013 as amended and in force immediately before the commencement of these Rules, continue to apply to a student for a course to which these Rules would otherwise apply if:

(a) before the commencement of these Rules, the student completed work towards that course and elects to be bound by this subrule; and

(b) not to do so would affect the student adversely.

19 Application of amending Rules

19(1) If an amendment is made to these Rules, and that amendment affects a course to which these Rules relate, the amendment does not apply to a student who, before the making of the amendment, has completed any work towards that course unless:

(a) the student elects that the amendment apply to the student; or

(b) the responsible Delegated Authority otherwise determines.

20 Repeal

20(1) The Academic Progress Rules 2013, as amended and in force immediately before the commencement of these Rules, are repealed.
THE AUSTRALIAN NATIONAL UNIVERSITY

Programs and Awards Statute 2013

ASSESSMENT RULES 2014

I, Professor Ian Young AO, Vice-Chancellor of The Australian National University acting in accordance with subsection 50(3) of the Australian National University Act 1991 and subsection 9.5 of the Vice-Chancellorship Statute 2013 make these Rules for section 8 of the Programs and Awards Statute 2013.

Dated: 15 May 2014.

Professor Ian Young AO
VICE-CHANCELLOR

Name of Rules and commencement

1(1) These Rules are the Assessment Rules 2014.

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

Application

2(1) These Rules apply in relation to all undergraduate and graduate coursework programs.

Interpretation

3(1) In these Rules, unless the contrary intention appears:

assessment, in relation to a course, includes any task that is required to be performed by a student for a judgment to be made of the student’s level of performance in that course;

Delegated Authority means a person appointed under subrule 4(1);

examination, in relation to a course, includes any task that is required to be performed by a student for the assessment of the student's performance in that course;

final assessment, for a course, means the final task for the course described in subrule 5(1) that must be performed by a student for the satisfactory completion of the course;

further assessment means an assessment required by a Chair of Examiners for a course under subrule 9(3);
hurdle assessment, for a course, means an assessment task that tests competency or skills or knowledge considered to be fundamental to passing the course or is required by a discipline-specific or other accreditation authority;

special assessment, for a student in relation to a course, means an assessment the student is permitted to take under subrule 11(1) or 12(6);

special assessment arrangements, for a student in relation to an assessment for a course, are arrangements approved under rule 8 for the student;

student means a person undertaking all or part of a program and who is eligible to undertake, or is undertaking, an assessment;

supplementary assessment in relation to a course includes, but is not limited to, assessment by a formal assessment, a practical assessment, a take-home assessment and an essay.

Appointments

4(1) An Associate Dean for an ANU College may appoint a member of the staff of the ANU College to be a Delegated Authority for the purposes of these Rules in relation to a course offered by the ANU College.

Final assessment

5(1) For the definition of final assessment in subrule 3(1), the final assessment for a course is to be in the form of a compulsory examination where the student is required to sit the whole of the examination on a particular day commencing at a particular time, or any other form of assessment, including, but not limited to practical examinations, take-home examinations and essays representing the final task for the course.

Eligibility to be assessed

6(1) A student is eligible to be assessed for a course if the person is enrolled in the course and complies with the requirements of the Rules and Orders applicable to taking that course.

Manner, time and place of assessment

7(1) Notice of the manner, time and place of final assessments to be conducted during University assessment sessions at the end of semester (including session):

(a) for assessments to be administered by the Registrar - must be published on the University's timetable website by the Registrar not less than 3 weeks before the commencement of the assessment session; and

(b) for assessments to be administered by the ANU College offering the course - must be displayed by the Delegated Authority not less than 3 weeks before the commencement of the assessment session in at least one of the following ways:

(i) on a notice board used for the purpose in the ANU College by which the course is offered;

(ii) to students enrolled in the course in class;

(iii) if possible, on the website for the course.
(2) A failure to comply with subrule (1) is not to be taken to affect the validity of an assessment or of anything done in relation to an assessment under these Rules.

(3) In this rule, a reference to a notice board is to be read as a reference to a notice board that is commonly used for displaying notices to students, including an electronic notice board or an appropriate part of the University’s website.

Special assessment arrangements

8(1) A student with a temporary or chronic disability who has dealt with the University’s Disability Services Centre in relation to his or her disability may ask the Centre to determine special assessment arrangements for the student for an assessment, including, but not limited to, additional reading or writing time, the provision of special equipment, separate accommodation or the services of an amanuensis.

(2) Special assessment arrangements for a student referred to in subrule (1) must be approved by the Registrar.

(3) Details of special assessment arrangements are to be sent by the Registrar to the Delegated Authority who may request changes to the arrangements.

(4) The Registrar is to ensure that the Chair of Examiners for a course is informed of the arrangements.

(5) A student with a temporary or chronic disability or other condition to whom subrule (1) does not apply may ask the Delegated Authority to approve special assessment arrangements in relation to the student.

(6) The Delegated Authority may approve special assessment arrangements requested under subrule (5).

(7) The assessments referred to in subrule (2) or (5) are to be conducted in accordance with the arrangements set out in subrule (1).

Examiners

9(1) The Delegated Authority must, at the commencement of the semester (including a session) in which the course is offered, appoint a Chair of Examiners and at least 1 other examiner, for the course.

(2) The Chair of Examiners for a course must:

(a) ensure that the academic performance of each student attempting the course is adequately and fairly assessed; and

(b) ensure that no student is failed in the course unless the student’s performance in assessments in the course has been reviewed by at least 2 of the examiners appointed in relation to the course; and

(c) submit to the examiners’ meeting for the course a written report setting out, for each student examined, the marks and the grade of result that the examiners recommend be awarded to that student.
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.

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.

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.

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.

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.

After the Delegated Authority has approved the results for a course for release, the Delegated Authority must send the results to the Registrar.

The Registrar must cause the results in a course to be published.

To avoid doubt, for the purposes of subrule (9), published includes published electronically in an appropriate part of the University’s website, including a part of the website accessible only to a student whose results are so published.

Review of decisions

10(1) If, after being notified of the final result for a student in a course approved by the Delegated Authority, the student considers that he or she has received an inappropriate or incorrect result in the course, he or she may apply for a review of the result.

Before formally applying for a review, the student must discuss the disputed result with the Course Convener who must review the result, decide whether to amend the result or not and inform the student accordingly.

If, after discussion with the Course Convener, the student believes that the established criteria of assessment or some aspect of the Assessment Rules or relevant policy or procedure has not been followed, he or she may, within 20 working days of being notified under subrule (2) of the Course Convener’s decision (or within such further period as the Associate Dean determines), submit to the College Student Office a formal request for a review to the Associate Dean.
A request for a review under subrule (3) must:

(a) be in writing; and

(b) state clearly the reason why the result is inappropriate or incorrect; and

(c) include any relevant supporting evidence available to the appellant.

The Associate Dean must consider the appeal and may inform himself or herself in any way on any matter relating to the review, including, but not limited to, seeking recommended outcomes from other parties.

The Associate Dean may:

(a) confirm the final result in a course for a student; or

(b) approve marks and the grade of a final result (which may be different from the marks and the grade of result in a course recommended by the Chair of Examiners) for the student.

The decision of the Associate Dean and the reasons for the decision must be sent in writing by the Associate Dean to the student within 20 working days of receipt of the appeal.

The Associate Dean must also send the results to the Registrar.

Subject to subrule (10), the decision of the Associate Dean following a review of a student's marks and grade of result in the course is final.

An appeal against a decision of the Associate Dean made under this rule may be made to the College Dean:

(a) on procedural grounds only;

(b) within 20 working days of the notification of the relevant decision by the Associate Dean to the appellant;

The decision of the College Dean following an appeal under subrule (10) is final and must be given in writing to the applicant within 20 working days of the Dean's receipt of the appeal to the applicant and the Registrar accordingly.

Except with the approval of the Delegated Authority, a student awaiting the outcome of a review of marks and grade of result in a course may not enrol in another course for which the subject course is a prerequisite until the student is awarded a passing result in the course.

However, if a person seeking a review is already enrolled, he or she is entitled to remain enrolled pending the outcome of the review.

An Associate Dean may, for this rule, appoint a nominee to exercise the powers or perform the functions of the Associate Dean, and a person so appointed may exercise those powers or perform those functions as if the person were the Associate Dean concerned.
Special examinations

**11(1)** The Delegated Authority may permit a student who was eligible to take an examination in a course but was unable to attend the examination to take such special examination as the Delegated Authority determines.

**2** A student seeking permission to take a special examination must lodge an application with the Registrar not later than 3 working days after the time fixed for the completion of the examination that the student failed to attend, or within such further time as the Delegated Authority allows.

**3** An application under subrule (2) is to be accompanied by a statement in writing setting out the circumstances that prevented the student from attending the examination and by such evidence as is available to the student in support of that statement.

Special consideration etc.

**12(1)** A student who considers that his or her academic performance in respect of a course has been adversely affected by illness or other cause during the period of studies to which an assessment relates, may furnish a statement of the circumstances in writing to the Delegated Authority in the ANU College offering the course, together with any medical or other evidence, before the assessment is held.

Invigilated examinations

**2** If, during an examination the conduct of which is under the supervision of invigilators:

(a) a student notifies an invigilator that he or she considers that his or her performance in the examination has been adversely affected by illness or other cause in the course of the examination; or

(b) another person present at the examination notifies an invigilator that it appears that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination; or

(c) it otherwise appears to an invigilator that the performance of a student in the examination has been adversely affected by illness or other cause in the course of the examination;

the invigilator must, as soon as possible after the completion of the examination, so inform the Delegated Authority in writing.

Other assessment tasks

**3** If a student considers that the student's performance in an assessment other than an assessment of the kind referred to in subrule (2) has been adversely affected by illness or other cause during the assessment, the student may, before the conclusion of the assessment, so notify the Delegated Authority.

**4** Upon receiving a notification under subrule (1), (2) or (3), the Delegated Authority must report accordingly to the examiners.
(5) The examiners must take the report into account in making their assessment of the performance of the student in the course.

(6) The Delegated Authority may permit a student to whom this rule applies to undertake further assessment in the course.

Eligibility for supplementary assessment

13(1) A student must be offered supplementary assessment for a course if the student achieves a final result for a course of N45%-N49%.

[Note 1: This includes ungraded (CRS) courses.]
[Note 2: For subrule (1), the student must have achieved a result of N45%-N49%, not NCN.]

(2) A student must be offered a supplementary assessment for a course if the student fails the course because of a requirement that a pass in a hurdle assessment is necessary to achieve a pass in the course and the student achieves a final result for the course of not less than N45%.

[Note: For subrule (2), the student must have achieved a result of N45% or above, not NCN.]

Offer of supplementary assessment

14(1) If a student is eligible for supplementary assessment for a course, the student’s Notification of Results must show an interim result of PX for the course.

(2) If a student is notified of an interim result of PX for a course, the notification constitutes an offer by the Delegated Authority of supplementary assessment for the course.

(3) However, subrule (2) does not prevent the Delegated Authority from offering a supplementary assessment in writing or in any other way.

(4) A student must accept or reject the offer by notifying, in writing, the Delegated Authority within 7 working days of the offer being made to the student.

(5) A student who fails a course following supplementary assessment may be eligible to be offered supplementary assessment in another attempt at the same course.

Supplementary assessment

15(1) The Delegated Authority must determine the form a supplementary assessment is to take.

(2) The Delegated Authority must give adequate notice to the student (at the student’s most current address notified to the Registrar) of the form, time and place of the supplementary assessment.

(3) If a student passes a supplementary assessment offered under rule 14, the student is regarded as having passed the course concerned with a result of 50PS.
(4) Except with the approval of the Delegated Authority, a supplementary assessment must be held before the end of the first week of the semester (includes session) next following that to which the assessment relates.

(5) If a student fails the supplementary assessment, the student is regarded as having failed the course concerned with a result of N plus the original mark (for a supplementary assessment mentioned in subrule 13(1)) or (for a supplementary assessment mentioned in subrule 13(2)) a result of NCN.

(6) The Registrar must cause the result in the course in relation to which a supplementary assessment is undertaken to be published.

(7) There is no limit to the supplementary assessments that a student may be offered.

(8) To avoid doubt, for the purposes of subrule (6), published includes published electronically in an appropriate part of the University's website, (including a part of the website accessible only to a student whose results are so published) or otherwise inform the student concerned.

Prerequisite courses

16(1) Except with the approval of the Delegated Authority, a student awaiting the result of a supplementary assessment in a course (the subject course) may not enrol in another course for which the subject course is a prerequisite until the student is awarded a result of 50PS in the subject course.

Repeal

17(1) The Assessment Rules (No. 4) 2013, as amended and in force immediately before the commencement of these Rules, are repealed.
THE AUSTRALIAN NATIONAL UNIVERSITY

Programs and Awards Statute 2013

GRADUATE COURSEWORK AWARDS RULES 2014

I, Professor Ian Young AO, Vice-Chancellor of The Australian National University acting in accordance with subsection 50(3) of the Australian National University Act 1991 and subsection 9.5 of the Vice-Chancellorship Statute 2013 make these Rules for section 8 of the Programs and Awards Statute 2013.

Dated: 18 June 2014.

Professor Ian Young AO
VICE-CHANCELLOR

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PART 1: PRELIMINARY

1.1 Name of Rules
1.1(1) These Rules are the Graduate Coursework Awards Rules 2014.

1.2 Commencement
1.2(1) These Rules commence on the day after they are registered.

WHAT THESE RULES DO

These Rules are intended to set up the platform upon which all of the University’s graduate coursework programs are based.

In these Rules you will find generally applicable information about pursuing a graduate coursework program at the University.

Some parts of these Rules refer only to specific programs. The Rules indicate when this is so.

Other details about specific graduate coursework programs may be found in Orders and in administrative directions and information available from the ANU College concerned.

1.3 Application
1.3(1) These Rules apply in relation to all graduate coursework programs commenced or continued on or after the commencement of these Rules.

1.3(2) Notwithstanding anything else in these Rules, for a student located at the University pursuing a dual or joint program offered by the University in conjunction with another tertiary education institution, these Rules and the Orders apply, in relation to the student and the program together with any additional requirements set out in the arrangement with the other institution.

1.4 Interpretation
1.4(1) In these Rules, unless the contrary intention appears:

approved form means a form approved by the Registrar;
award means a professional doctorate, Master degree, degree of Juris Doctor, degree of Medicinae ac Chirurgiae Doctoranda, or a Graduate Diploma or Graduate Certificate mentioned in the Handbook (and graduate award has a corresponding meaning);
course means a subject of scholarly study taught:
   (a) in a connected series of classes or demonstrations; or
by means of practical work, including the production by students of essays or theses or case studies or the attendance and participation by students in seminars or workshops;

*Course Authority* means a person appointed under subrule 1.7(2) by the Associate Dean or the appropriate Delegated Authority;

*credit* means recognition of a course or other relevant graduate or undergraduate work undertaken at the University or at a similar institution towards a student's program, and includes advanced standing and recognition of prior learning;

*Delegated Authority*, for a program for a student, means a person appointed by an Associate Dean under subrule 1.7(1) for the purpose;


*non-award enrolment* means an enrolment that does not lead to an award;

*Order*, for an award, means an Order referred to in rule 1.6 or 6.3;

*program* means a course of study (or a series of courses of study), or coursework and research, leading to a graduate award, as the case requires;

*program leave of absence* means leave of absence granted under rule 2.19;

*student* means a person admitted to undertake all or part of a program;

*thesis* means original written work that:

(a) incorporates an account of research done during a program and its result; and

(b) if the research is on more than one topic, demonstrates the relation between the topics; and

(c) is required to be provided by a student for the program;

except written work comprising answers to a written examination or tasks required to be performed for the assessment of performance in coursework;

*written work*, for a thesis, includes video recordings, film or other works of visual or sonic arts submitted by a student for examination.

### 1.5 Awards that may be conferred

1.5(1) An award mentioned in the Handbook may be conferred.

### 1.6 Orders

1.6(1) For these Rules:

(a) the appropriate Associate Dean may make Orders about courses; and

(b) the Deputy Vice-Chancellor, with the advice of the appropriate Associate Dean, may make Orders about requirements for participation in or completion of programs.

1.6(2) The Orders must be published in the Handbook and may set out, for each course the University offers:

(a) the course's name; and

(b) the course's identifying code; and

(c) the course's unit value; and

(d) the prerequisites and co-requisites (if any) for taking the course; and

(e) if there are any other courses with which the course is regarded as incompatible, the names of those courses; and

(f) the methods of assessment for the course; and

(g) any other conditions to which taking the course is subject.
1.7 Appointments

1.7(1) An Associate Dean may appoint a member of the staff of the ANU College, or an appropriate person from another part of the University, to be a Delegated Authority for the purposes of these Rules.

1.7(2) An Associate Dean or the appropriate Delegated Authority from the ANU College may appoint a member of the staff of the ANU College to be a Course Authority for the purposes of these Rules.

PART 2: GENERAL

Division 2.1: Application

2.1 Application

2.1(1) This Part applies to programs for graduate coursework awards and to students pursuing those programs.

Division 2.2: Admission

2.2 Admission to program

2.2(1) A person wishing to pursue a program must apply in an approved form to the Registrar to be admitted as a student and must give the Registrar any other information required by the Registrar.

2.2(2) The minimum requirement for admission to a program leading to a professional doctorate by coursework, or coursework and research, is:
   (a) a degree of bachelor with first class honours or upper second class honours of an Australian university; or
   (b) such other qualification (being a qualification that is equivalent or superior to such a degree) as the Delegated Authority determines.

2.2(3) The minimum requirement for admission to a program leading to the award of a degree of Master by coursework or coursework and research, a degree of Juris Doctor, a degree of Medicinae ac Chirurgiae Doctoranda or a Graduate Diploma or Graduate Certificate is:
   (a) a degree of bachelor of an Australian university, or of another tertiary education institution approved by the Delegated Authority for the purposes of this Division, being a degree of a kind that is an adequate qualification for the admission of the person as a student; or
   (b) such other qualification, practical experience or combination of qualifications and practical experience as the Delegated Authority determines.

2.2(4) To avoid doubt, if a person presents or relies on false or misleading information in relation to his or her application for admission, (whether the person has enrolled or not) the Delegated Authority may:
   (a) withhold or withdraw the person’s admission; or
   (b) direct the Registrar to withdraw a notice of admission given under subrule 2.4(1).
2.3 Limit on number of places

2.3(1) The appropriate College Dean may decide how many places are available in any enrolment period for new students for a program.

2.4 Admission by Delegated Authority

2.4(1) A Delegated Authority may admit a person to a program, or to part of a program, under this Division if the person satisfies the minimum requirement for the admission.

2.4(2) The Delegated Authority may:

(a) admit as a full-time student for a program or as a part-time student for the program a person who does not satisfy the prescribed minimum requirement for admission to that program, and may impose such conditions on the person's admission as the Delegated Authority thinks fit;

(b) admit as a full-time or part-time student for a program a person who was, immediately before applying for admission, pursuing another graduate or undergraduate award program in the University or in another tertiary education institution and who intends to continue pursuing that other program, and may impose such conditions on the person's admission as the Delegated Authority thinks fit.

[NOTE: If a student is admitted to a program under paragraph 2.4(2)(b), he or she may be granted credit under Division 2.3 for work performed before that admission for another program referred to in that paragraph.]

2.5 Admission: conditions

2.5(1) In appropriate circumstances, the Delegated Authority may require a student to have relevant professional experience or admit a person to candidature conditionally.

2.5(2) A person must not, at any time after admission, begin to pursue another award program in the University or in another tertiary education institution without the written permission of the Delegated Authority.

2.5(3) A person who indicates in an application for admission that the person does not intend to continue pursuing another award program in the University or in another tertiary education institution must not, at any time after admission, continue to pursue that other award program without the written permission of the Delegated Authority.

2.5(4) Unless the Deputy Vice-Chancellor otherwise determines, an applicant for admission to a program must satisfy any English language requirements determined by the Deputy Vice-Chancellor for the program.

2.6 What courses may be taken?

2.6(1) The courses for the award must be chosen from:

(a) courses offered by the ANU College concerned; and

(b) except for the degree of Medicinae ac Chirurgiae Doctoranda, courses approved by the appropriate Associate Dean that are offered by other ANU Colleges or elsewhere in the University.

2.6(2) The courses offered by an ANU College are the courses set out in the Orders for the College and have the respective unit values set out in those Orders.
[NOTE: For the degree of Medicinae ac Chirurgiae Doctoranda courses are mandatory and are set out in the Orders]

2.6(3) A Delegated Authority may determine:
   (a) courses for which a student may not receive credit if taken with other courses; and
   (b) a maximum number of courses for which a student may receive credit in any year; and
   (c) a maximum number of units for which a student may receive credit for taking specified courses; and
   (d) subject to any other relevant Orders, any other condition to which the taking of a particular course is subject.

[NOTE: The Orders generally mention courses that are incompatible with, or that may not be taken concurrently with, or after completion of, other courses and prerequisites and co-requisites to the taking of particular courses.]

Division 2.3: Credit

2.7 Credit

2.7(1) The Associate Dean may determine the limits within which credit for relevant work performed at the University or elsewhere may be granted in relation to a particular award or course.

2.7(2) Within those limits, the Delegated Authority may determine, in relation to a particular student, conditions on which credit may be granted to the student.

2.7(3) Credit for a program may be granted for not more than half of the program’s requirements or, if the course is relevant to the program concerned and is undertaken at the University, with the approval of the Delegated Authority, for more than half of the program’s requirements.

2.7(4) Subject to subrules 2.7(1), 2.7(2) and 2.7(3), if a student has, within 7 years (or within 10 years for a degree of Juris Doctor) before admission to candidature, performed relevant graduate work (or relevant undergraduate work for a degree of Juris Doctor), whether at the University or at another tertiary education institution approved by the Delegated Authority, the Delegated Authority may grant the student credit for that work towards a student’s program to which this subrule applies.

2.7(5) However, if:
   (a) a student for the degree of Master of Clinical Psychology has, before admission to the program, undertaken supervised clinical experience in a public clinical service; and
   (b) the standard of the experience is equivalent to the standard of experience that would be gained by undertaking a fieldwork placement course as part of the program for the degree;
the Delegated Authority may grant the student credit for the first-mentioned experience towards the program.

2.7(6) Also, if a student has, within 7 years before being admitted to candidature to a program for a degree of Master (other than by research) or a Graduate Diploma or Graduate Certificate, performed, whether at the University or at another tertiary education institution:
(a) relevant advanced undergraduate work (other than honours year undergraduate work), the Delegated Authority may grant the student credit for that work towards the student’s program, being credit not greater than one quarter of the program’s requirements; or
(b) relevant honours year undergraduate work, the Delegated Authority may grant the student credit for that work towards the student’s program, being credit not greater than one half of the program’s requirements.

2.7(7) However, for a program, a student may not be granted credit under both paragraph 2.7(6)(a) and 2.7(6)(b) being credit greater than one half of the program’s requirements.

Division 2.4: Transfer between programs

2.8 Transfer: general
2.8(1) A student seeking to transfer between programs must apply in writing to the Delegated Authority to do so.
2.8(2) The Delegated Authority may permit an applicant under subrule 2.8(1) to transfer between programs.

2.9 Transfer: from professional doctorate to degree of Master etc
2.9(1) A student for a professional doctorate (other than by research) may request transfer to a program for the relevant degree of Master, or other award, by coursework or coursework and research with credit for all work completed if the Delegated Authority has not determined that the student has failed the professional doctorate program.

2.10 Transfer: from degree of Master by coursework to professional doctorate
2.10(1) The Delegated Authority may admit as a student for a professional doctorate (other than by research) a person who, immediately before that admission, was a student for a degree of Master by coursework or coursework and research.

2.11 Transfer: from degree of Master etc to Graduate Diploma or Certificate
2.11(1) The Delegated Authority may, subject to such requirements and on such terms and conditions as the Delegated Authority determines, admit as a student for a Graduate Diploma or Certificate a person who wishes to transfer candidature from a program for a degree of Master or another graduate degree or diploma offered by the University.

Division 2.5: Supervision

2.12 Supervisors: appointment
2.12(1) For a student for a professional doctorate by coursework, a degree of Master by coursework, a Graduate Diploma or a Graduate Certificate, the Delegated Authority must, before the commencement of the program, appoint one or more supervisors for the student for that program.
2.12(2) The Delegated Authority may appoint a member of staff of the University to be the coordinator or director for a program.

2.12(3) The coordinator or director of a program is to be the supervisor of all students in that program.

2.12(4) For a student for a degree of Master by coursework and research, the Delegated Authority must appoint one or more additional supervisors for the student for the research component of the program on or before the date on which the research component of the student’s program begins.

2.12(5) If a sole supervisor is, or is to be, absent from the University or is unable to perform the duties of a supervisor, for more than 4 consecutive weeks, the Delegated Authority must appoint a person to act as the supervisor for the period of the absence.

2.12(6) If the supervisor of a program is, or is about to be, absent from the University for more than 4 consecutive weeks, the Delegated Authority must appoint an acting coordinator or director for that program for the period of the absence.

2.13 Supervisors and supervision

2.13(1) At least 1 supervisor for a student must 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.

2.13(2) Also, a person holding full or adjunct academic status, an Emeritus Professor or Emeritus Fellow of the University, or a person with recognised honorary academic status within the University, may, with the approval of the Delegated Authority, be appointed as a supervisor.

2.13(3) Subject to the direction of the Delegated Authority, a supervisor or a coordinator must supervise the student’s program and the student’s observance of these Rules and enable the student to obtain advice on any matter relevant to the program.

Division 2.6: Other provisions applying to awards

2.14 Duration of standard program

2.14(1) A program may be pursued full-time or part-time.

2.14(2) The duration of a program is as set out in these Rules and in the Orders.

2.15 Program requirements for coursework-based award

2.15(1) To finish the program for an award requiring coursework or coursework and research, a student must:
   (a) pass courses mentioned in subrule 2.15(2) the total value of which (together with the value of any research component) is set out in the Orders in relation to the award; and
   (b) complete the other requirements for the award set out in these Rules and the Orders; and
   (c) comply with any condition imposed by the Delegated Authority on the person’s admission to candidature.

2.15(2) The courses, sequences of courses or combinations of courses that may be included in a program for an award referred to in subrule 2.15(1) are the courses, sequences or
combinations of courses approved by the Associate Dean and set out in the Orders and published in the Handbook.

2.15(3) The Delegated Authority may, in special circumstances, approve a program or variation of a program that does not comply with subrule 2.15(2).

2.15(4) Not more than one quarter of the courses required for a program leading to a degree of Master, or a Graduate Diploma or Graduate Certificate, may be undergraduate courses.

2.15(5) To avoid doubt, more than one quarter of the courses required for a program leading to a degree of Juris Doctor may be undergraduate courses.

2.16 Application of Academic Progress Rules
2.16(1) The Academic Progress Rules apply in relation to each graduate coursework program.

2.17 Attendance at the University
2.17(1) A program must be pursued at the University or at another place approved by the Delegated Authority.

2.17(2) The Associate Dean may make Orders setting out the maximum period or the number or value of courses for which a particular program may be pursued outside the University.

2.17(3) However, approval is not to be given for the completion of courses outside the University unless the Delegated Authority is satisfied that:
   (a) the courses are substantially comparable in quality with equivalent courses offered by the University for the program; or
   (b) the institution concerned has satisfactory facilities for the purposes of the completion of the courses;
   as the case requires.

2.18 Language of instruction
2.18(1) A program is to be conducted in the English language unless the Associate Dean determines otherwise.

2.19 Program leave of absence
2.19(1) The Delegated Authority may grant a student program leave of absence from the student's program for a graduate award for such period as the Delegated Authority thinks fit.

2.19(2) However, no period of program leave of absence may be less than 1 week for a full-time student or 2 weeks for a part-time student.
PART 3: PROGRAM REQUIREMENTS

Division 3.1: Preliminary

3.1 Application
3.1(1) Each Division of this Part applies only in relation to the programs and students to which the Division refers.

Division 3.2: Professional doctorates other than research degrees

3.2 Application of Division
3.2(1) This Division applies to programs, and to students pursuing those programs, leading to a professional doctorate other than a research degree.

3.3 Program content
3.3(1) A program of study to which this Division relates consists of work including coursework, research or clinical or professional practice.

3.3(2) If a program of study to which this Division relates is to contain a research thesis component, the research thesis component is to relate to a topic or topics approved by the Delegated Authority.

3.3(3) However, if more than one topic is permitted under subrule 3.3(2), the topics must have a reasonable relationship with each other.

3.3(4) The minimum standard of coursework that must be attained before a student is granted the award or before the student’s thesis is examined is to be determined by the Deputy Vice-Chancellor and set out in the Orders.

3.3(5) Each determination must be made available to relevant students and must contain a description of the program requirements.

3.3(6) Completion of a program for a professional doctorate requires at least 96 units and, unless otherwise approved by the Deputy Vice-Chancellor, not greater than 192 units.

3.3(7) To complete the requirements of the program satisfactorily, a student must pass the coursework, the research (thesis) component, and any clinical or professional practice that is required, at the standard indicated in the relevant determination.

3.3(8) In computing periods of time for completing units under this rule, periods of program leave of absence do not extend the time available.

3.4 Time limits
3.4(1) The maximum duration of a 192 unit program for a professional doctorate other than by research is 9 years.
Division 3.3: Degrees of Master by Coursework

3.5 Application of Division

3.5(1) This Division applies to programs leading to a degree of Master by coursework mentioned in the Handbook and which require a student to complete the program either by coursework (to which subrule 3.6(2) applies) or a combination of coursework and research (to which subrule 3.6(3) applies).

3.6 Programs

3.6(1) In this Division, a reference to a coursework program is a reference to a program consisting largely or entirely of coursework, and a reference to a coursework and research program is a reference to a program involving less than two-thirds research.

3.6(2) A coursework program can be:
   (a) a degree with an ungraded exit standard of Satisfactory, or
   (b) a degree with a graded exit standard of Distinction, Merit, or Award.

3.6(3) A coursework and research program can be:
   (a) a degree with an ungraded exit standard of Satisfactory, or
   (b) a degree with a graded exit standard of First Class Honours, Second Class Honours, Division A, Second Class Honours, Division B, or Third Class Honours.

3.6(4) The Associate Dean must identify each program to which this Division applies as falling under paragraph 3.6(2)(a) or (b) or 3.6(3)(a) or (b).

3.7 Program content

3.7(1) A program is to consist of coursework or a combination of coursework and research, being research into a topic determined by the Delegated Authority.

[NOTE: See rule 2.15 for general program requirements for coursework-based awards.]

3.7(2) However, if more than one research topic is permitted, the topics are to have a reasonable relationship with each other.

3.7(3) A program of the kind defined in subrule 3.6(3) must contain a research component of at least one quarter of the total requirements for the degree.

3.7(4) A program must contain a coursework component greater than one third of the total requirements for the degree.

3.7(5) Completion of a program for a degree of Master requires:
   (a) at least 48 units and not greater than 96 units; or
   (b) if a different unit value is mentioned in the Orders for the award, that value.

3.8 Time limits

3.8(1) The maximum duration of a program leading to a degree of Master is:
   (a) for a 48 unit program for a degree of Master of Studies, 12 years; and
   (b) for any other 48 unit program, 5 years; and
   (c) for a 60 to 72 unit program, 6 years; and
(d) for a 96 (or more) unit program, 7 years.

3.8(2) In computing periods of time for completing programs under this rule, periods of program leave of absence do not extend the time available.

Division 3.4: Juris Doctor

3.9 Application of Division
3.9(1) This Division applies to programs leading to a degree of Juris Doctor mentioned in the Handbook.

3.10 Programs
3.10(1) In this Division, a reference to a Juris Doctor program is a reference to a program consisting largely or entirely of coursework.

3.10(2) A Juris Doctor program can be a degree with a graded exit standard of First Class Honours, Second Class Honours, Division A, Second Class Honours, Division B or Pass.

3.11 Program content
3.11(1) A program is to consist of coursework set out in the Orders.

[NOTE: See rule 2.15 for general program requirements for coursework-based awards.]

3.11(2) Completion of a program for a degree of Juris Doctor requires:
   (a) at least 144 units; or
   (b) if a different unit value is mentioned in the Orders for the award, that value.

3.12 Time limits
3.12(1) The duration of a program leading to a degree of Juris Doctor is not less than 3 or more than 10 years.

3.12(2) In computing periods of time for completing programs under this rule, periods of program leave of absence do not extend the time available.

Division 3.5: Medicinae ac Chirurgiae Doctoranda

3.13 Application of Division
3.13(1) This Division applies to programs leading to a degree of Medicinae ac Chirurgiae Doctoranda mentioned in the Handbook.

3.14 Programs
3.14(1) In this Division, a reference to a Medicinae ac Chirurgiae Doctoranda program is a reference to a program consisting largely or entirely of coursework.
3.14(2) A Medicinae ac Chirurgiae Doctoranda program can be a degree with a graded exit standard of *with Distinction* or *Pass*.

### 3.15 Program content

3.15(1) A program is to consist of coursework set out in the Orders.

[NOTE: See rule 2.15 for general program requirements for coursework-based awards.]

3.15(2) Completion of a program for a degree of Medicinae ac Chirurgiae Doctoranda requires:
   
   (a) at least 192 units; or
   
   (b) if a different unit value is mentioned in the Orders for the award, that value.

3.15(3) The performance of a student in a course for the degree of Medicinae ac Chirurgiae Doctoranda must be classified as higher level performance, course requirements satisfied or fail.

### 3.16 Time limits

3.16(1) The duration of a program leading to a degree of Medicinae ac Chirurgiae Doctoranda is not less than 4 or more than 10 years.

3.16(2) In computing periods of time for completing programs under this rule, periods of program leave of absence do not extend the time available.

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**Division 3.6: Graduate Diplomas**

### 3.17 Application of Division

3.17(1) This Division applies to programs for Graduate Diplomas mentioned in the Handbook.

### 3.18 Program content

3.18(1) A program for a Graduate Diploma consists of such work as is set out in the Orders.

[NOTE: See rule 2.15 for general program requirements for coursework-based awards.]

3.18(2) Completion of a program leading to a Graduate Diploma requires at least 36 units and not more than 48 units.

### 3.19 Classification of performance of student

3.19(1) A student who has complied with these Rules and the Orders, and who has reached a standard satisfactory to the Delegated Authority in the courses of the student’s program and any other work that he or she is required to perform, may be granted a Graduate Diploma at the level determined by the Delegated Authority.

3.19(2) A Graduate Diploma must be classified *Awarded the Diploma with Distinction*, or *Awarded the Diploma with Merit* or *Awarded the Diploma*.

3.19(3) A Graduate Diploma may only be classified as *Awarded with Distinction* if the student has achieved a standard equivalent to First Class Honours.
3.19(4) A Graduate Diploma may only be classified as Awarded with Merit if the student has achieved a standard equivalent to Second Class Honours, Division A.

3.20 Time limits
3.20(1) The maximum duration of a program for a Graduate Diploma is 5 years.
3.20(2) In computing periods of time for completing programs under this rule, periods of program leave of absence do not extend the time available.

Division 3.7 Graduate Certificates

3.21 Application of Division
3.21(1) This Division applies to programs for Graduate Certificates mentioned in the Handbook.

3.22 Program content
3.22(1) A program for a Graduate Certificate consists of such work as is set out in the Orders.
[NOTE: See rule 2.15 for general program requirements for coursework-based awards.]
3.22(2) Completion of a program leading to a Graduate Certificate requires at least 24 units.

3.23 Classification of student's performance
3.23(1) A student who has complied with these Rules and the Orders, and who has reached a standard satisfactory to the Delegated Authority in the courses of the student's program and any other work that he or she is required to perform, may be granted a Graduate Certificate.
3.23(2) A Graduate Certificate must be awarded as an ungraded Pass.

3.24 Time limits
3.24(1) The maximum duration of a program for a Graduate Certificate is 3 years.
3.24(2) In computing periods of time for completing programs under this rule, periods of program leave of absence do not extend the time available.

Division 3.8: Combined programs

3.25 Combined programs
3.25(1) With the permission of the Delegated Authorities concerned, a student may undertake the programs for 2 awards as a combined program.
[NOTE: The University offers the combined programs mentioned in the Handbook.]
3.26 Combined program: requirements
3.26(1) The requirements for a combined program are as set out in the Orders.
3.26(2) Rules and Orders that apply to a component program of a combined program apply, except where they are inconsistent with Orders made under this rule, to that component of the combined program.

PART 4: ASSESSMENTS

4.1 Application of Part
4.1(1) This Part applies to the assessment of students for graduate coursework awards.

4.2 How may a student be assessed?
4.2(1) A student undertaking a program must undertake assessments or assessment in the courses of the program as required by the Delegated Authority concerned.
4.2(2) A student may only be admitted to assessment or given other assessment in any of the courses of a program if he or she has attended the classes, and carried out work in the courses of the program, to the satisfaction of the Course Authority concerned.
4.2(3) However, a student must not be refused an assessment by reason only of the fact that the student failed to attend a class or carry out work if the student was not given reasonable notice that he or she was required to attend the class or carry out the work.
4.2(4) Coursework is to be assessed in accordance with the Assessment Rules.
4.2(5) Assessments are to be written and conducted in the English language unless the Deputy Vice-Chancellor, acting on the recommendation of the Delegated Authority, determines otherwise.

4.3 Methods of examination: theses
4.3(1) If a program requires the submission of a thesis in addition to other coursework components, the thesis is to be examined in accordance with this Part.
4.3(2) Theses are to be written and conducted in the English language, unless the Deputy Vice-Chancellor, on the recommendation of the Delegated Authority, otherwise determines.
4.3(3) Subject to these Rules, the Associate Dean may determine the requirements for an examination of a thesis.

4.4 Methods of assessment: clinical or professional practice, etc.
4.4(1) However, for a program of study requiring clinical or professional practice, assessment of the clinical or professional practice component of the program may be by written or oral examination following the completion of the component, or by assessment reports on an internship or other form of professional practice.
4.4(2) A reference in this rule to a written examination includes a reference:
   (a) to the assessment of a student by reports by the student’s supervisors about the student’s performance during:
    (i) internships; or
(ii) other form of professional practice; and

(b) in relation to a program offered by the School of Art or the School of Music in the ANU College of Arts and Social Sciences, to the assessment of:

(i) an exhibition; or

(ii) a performance; or

(iii) a folio of original works.

4.5 Theses

4.5(1) If a student is required to submit a thesis, the student must submit a thesis in a form approved by the Delegated Authority in accordance with the Orders.

4.6 Examination of theses

4.6(1) A thesis must incorporate an account of research done during the program and its result and, if the research is on more than 1 topic, must demonstrate the relationship between the topics.

4.6(2) A thesis based upon research conducted jointly with another person must clearly indicate the nature and extent of the student's contribution to the research.

4.6(3) A student must clearly mark in the thesis, material which has been previously submitted by the student for the purpose of obtaining a degree of any university or other tertiary education institution.

4.6(4) A thesis must not be accepted for examination unless, in the opinion of the Delegated Authority, it consists preponderantly of material not previously so submitted.

4.6(5) A thesis that has been published may be submitted in published form, subject to the approval of the Delegated Authority.

4.7 Examiners of thesis

4.7(1) The Delegated Authority may appoint examiners for a thesis.

4.7(2) Marking or moderation is to involve one person who may be chosen from within the University, or from outside the University, but who is not associated with the program.

4.8 Decision about results

4.8(1) A student who has complied with the Orders and these Rules and who has reached a standard satisfactory to the Delegated Authority in the courses of the student's program and in the research thesis (if the student is required to submit a thesis), may be granted the award at the level determined by the Delegated Authority.

4.8(2) If a student who is required to submit a research thesis fails the examination, the Delegated Authority may require the student to be re-examined by resubmission of the thesis.

4.8(3) If a student who is required to submit a research thesis fails the examination and any subsequent resubmission and re-examination of the thesis, the student is to be graded Fail for the program.

[NOTE: Rule 17 of the Discipline Rules provides for withholding of awards where obligations to the University have not been met.]
4.8(4) If a student is graded *Fail* for a program, the Delegated Authority must notify the student in writing of the decision, and must include in the notice:

(a) a statement to the effect that, subject to these Rules, the student is entitled to appeal against the decision; and

(b) a statement setting out the procedure for lodging an appeal.

4.8(5) The validity of a decision made under subrule 4.8(3) is not affected by a failure to include in a notice, statements in accordance with paragraph 4.8(4)(a) or 4.8(4)(b).

**PART 5- REVIEW OF DECISIONS**

5.1 **Student's right of appeal**

5.1(1) The hearing and determination of an appeal against a decision to fail a student for a program is to be conducted in accordance with the Academic Progress Rules.

5.2 **Review of Admission Decisions**

5.2(1) A person may apply for a review of a decision not to admit the person to a program.

5.2(2) A request for review of a decision referred to in subrule 5.2(1) must be in writing and must be lodged with the Registrar within the period of 20 working days commencing on the date of advice of the outcome of the person's application for admission.

5.2(3) The review must be conducted under procedures published by the relevant Associate Dean.

5.2(4) On the basis of the material included in the application for a review, the Associate Dean may decide to:

(a) confirm the original decision not to admit the person to the program concerned;

or

(b) set aside the original decision and admit the person to the program.

5.2(5) A decision under subrule 5.2(4) of the Associate Dean, and the reasons for the decision, must be given in writing to the applicant within 7 working days of the decision.

5.2(6) However, if:

(a) a request for a review of a decision referred to in subrule 5.2(1) relates to a direction that admission be withdrawn; and

(b) the person is already enrolled under these Rules;

the person is entitled to remain enrolled pending the outcome of the review and any subsequent appeal.

5.2(7) An Associate Dean may, for this rule, appoint a nominee to exercise the powers or perform the functions of the Associate Dean, and a person so appointed may exercise those powers or perform those functions as if the person were the Associate Dean concerned.

5.3 **Review of other decisions**

5.3(1) If an Associate Dean or a Delegated Authority makes any other decision affecting a student under these Rules, the Associate Dean or Delegated Authority must tell the student, in writing, about his or her rights to a review of the decision.
5.3(2) A student may seek a review of a decision made by an Associate Dean or a Delegated Authority under these Rules, except a decision classifying the student’s performance in accordance with rule 3.6, 3.10, 3.15, 3.19, and 4.8.

5.3(3) Application for a review of a decision must initially be made, in writing, to the Associate Dean concerned within 20 working days commencing on the date of advice of the decision concerned.

5.3(4) If an Associate Dean receives an application for a review, he or she must review the decision and make a fresh decision as if he or she were making the original decision.

5.3(5) The decision of the Associate Dean and the reasons for the decision must be given in writing to the applicant by the Associate Dean within 7 working days of the decision.

5.3(6) However, if a person seeking a review of a decision under subrule 5.3(2) is already enrolled under these Rules, he or she is entitled to remain enrolled pending the outcome of the review.

5.3(7) An Associate Dean may, for this rule, appoint a nominee to exercise the powers or perform the functions of the Associate Dean, and a person so appointed may exercise those powers or perform those functions as if the person were the Associate Dean concerned.

5.4 Appeals

5.4(1) A person may appeal to the Deputy Vice-Chancellor on procedural grounds only against a decision made under subrule 5.2(4) or 5.3(4).

5.4(2) An appeal mentioned in subrule 5.4(1) must:
   (a) be in writing; and
   (b) be lodged with the Deputy Vice-Chancellor within 20 working days commencing on the date the advice of the decision was given to the applicant, unless the Deputy Vice-Chancellor extends the date for submission on special grounds; and
   (c) be accompanied by appropriate information and documentation; and
   (d) state clearly the grounds on which the application is based.

5.4(3) An appeal must be conducted under procedures established by the Deputy Vice-Chancellor who may inform himself or herself as he or she sees fit.

5.4(4) At a hearing, if any, for an appeal, the appellant is entitled to be accompanied by another person who may observe the proceedings but not act as an advocate unless expressly invited by the Deputy Vice-Chancellor to do so.

5.4(5) However, if an appellant under subrule 5.4(1) is already enrolled under these Rules, he or she is entitled to remain enrolled pending the outcome of the appeal.

5.4(6) On the basis of the material included in the application, the Deputy Vice-Chancellor may:
   (a) confirm the decision; or
   (b) set aside the original decision and refer the matter to the Associate Dean to:
      (i) reconsider the original decision in light of the Deputy Vice-Chancellor’s findings; and
      (ii) make a new decision.

5.4(7) The decision of the Deputy Vice-Chancellor and the reasons for the decision must be given in writing to the applicant within 7 working days of the decision.
5.4(8) The decision of the Deputy Vice-Chancellor is final.

**PART 6: MISCELLANEOUS**

6.1 **Non-award enrolment**

6.1(1) The Delegated Authority may admit to a non-award enrolment a student not proceeding to an award.

6.1(2) A student admitted to a non-award enrolment must pursue their enrolment under the direction of the Delegated Authority approving the admission for such period and under such conditions as the Delegated Authority determines.

6.2 **Adjustment of time limits**

6.2(1) If these Rules fix, or authorise the fixing of, time limits for anything required to be done, the Delegated Authority may from time to time extend or abridge the time limits in any case if it is just and reasonable to do so, and may do so retrospectively.

6.3 **Orders and administrative requirements**

6.3(1) The Deputy Vice-Chancellor may make Orders (other than Orders referred to in rule 1.6), not inconsistent with these Rules, setting out procedures to be followed in applying for admission for particular programs, for transferring between programs and otherwise for giving effect to these Rules.

6.3(2) The Associate Dean or a Delegated Authority may publish information about administrative matters to assist in giving effect to these Rules.

6.3(3) If rule 9 of the Coursework Handbook Rules applies to an Order, the Order must be published in the Handbook before it takes effect.

6.3(4) However, if rule 9 of the Coursework Handbook Rules does not apply to an Order, the Order does not come into operation until after it is registered under the *Legislative Instruments Act 2003*.

6.4 **Transitional**

6.4(1) The Delegated Authority must permit the continued application of all or any part of the repealed Graduate Awards Rules to a program for a student if that student:

(a) has completed work towards that program; and

(b) not to do so might disadvantage that student.

6.5 **Application of amending rules**

6.5(1) If an amendment is made to these Rules and that amendment affects a program to which these Rules relate, then, unless the contrary intention appears, the amendment does not apply to a student who, before the making of the amendment, has completed any work towards a program unless:

(a) the student elects that the amendment apply to the student and submits to the Delegated Authority proposed alterations to the student's program and the Delegated Authority approves those alterations; or

(b) the Delegated Authority otherwise determines.
6.5(2) To avoid doubt, the Academic Progress Rules apply in relation to a course or program to which these Rules apply and, in particular, rules 18 and 19 of the Academic Progress Rules take precedence over rule 6.4 and subrule 6.5(1).

6.6 **Savings**

6.6(1) The Graduate Coursework Awards Rules (No. 2) 2013 as amended and in force immediately before the commencement of these Rules continue to apply in relation to any decision taken, or proceeding commenced and not concluded, under those Rules before the commencement of these Rules.

6.7 **Repeal**

6.7(1) The Graduate Coursework Awards Rules (No. 2) 2013, as amended and in force immediately before the commencement of these Rules, are repealed.
24  PGPA ACT 2013 S19 NOTIFICATION TO MINISTER – ACQUISITION OF SOCIAL RESEARCH CENTRE PTY LTD (SRC) BY ANU ENTERPRISES PTY LIMITED

PURPOSE
To note the Vice-Chancellor’s letter notifying the Minister about the acquisition of the Social Research Centre Pty Ltd by ANU Enterprises Pty Limited.

AUTHOR
Corporate Governance and Risk Office

SPONSOR
Vice-Chancellor

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

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

BACKGROUND
At its meeting on 30 May 2014, Council approved the acquisition of The Social Research Centre Pty Ltd (‘SRC’) by its wholly owned subsidiary, ANU Enterprise Pty Limited.

Implementation of Council’s decision is underway and on 1 July 2014 ANU Enterprise entered into a Share Purchase Agreement to purchase shares (100%) in SRC. Subject to certain conditions precedent being satisfied, the transaction will settle on 31 July 2014.

Pursuant to section 19 of the Public Governance, Performance and Accountability Act (Cth), the accountable authority of the Australian National University (‘the University’) must inform the Minister for Education of the activities of any subsidiaries of the University.

Council is asked to note the attached letter from the Vice-Chancellor to the Minister providing such notification, on behalf of Council.

ATTACHMENT
24.1 Vice-Chancellor’s letter to the Minister for Education: SRC Pty Ltd Acquisition by ANU Enterprises Pty Limited (113/2014).
11 July 2014

The Hon Christopher Pyne MP
Minister for Education
Parliament House
CANBERRA ACT 2600

Dear Minister

Notice pursuant to Section 19 of the PGPA Act – ANU Enterprise Pty Limited – Social Research Centre Pty Ltd

Pursuant to section 19 of the Public Governance, Performance and Accountability Act (Cth), the accountable authority of the Australian National University ('the University') must inform you of the activities of any subsidiaries of the University.

Accordingly I am writing on behalf of the Council of the University to inform you that on 30 May 2014 the Council approved the acquisition of The Social Research Centre Pty Ltd ('SRC') by its wholly owned subsidiary, ANU Enterprise Pty Limited. On 1 July 2014 ANU Enterprise entered into a Share Purchase Agreement to purchase shares (100%) in SRC. Subject to certain conditions precedent being satisfied, the transaction will settle on 31 July 2014.

SRC is a leading Australian social survey fieldwork company and service research agency. They provide the Australian social science research community (in government, industry and academia) with access to world class survey research services and a full range of survey design, data management, analytical and qualitative skills.

The University's objective is to create and develop a strong mutually beneficial synergistic research relationship between University and SRC. University research, in particular Social Science and Population Health research, could leverage SRC's strength in applied social research methodology and their expertise in collecting, processing and interpreting qualitative and quantitative data. There is also the on-going potential to utilise longitudinal data collection in social fields that could provide highly valuable input to policy development.

If you wish to discuss any aspect of this arrangement please do not hesitate to contact me.

Yours faithfully

[Signature]

Professor Ian Young AO
Vice-Chancellor and President

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Professor Ian Young AO
Vice-Chancellor and President

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1 | The Australian National University
PART 6 – OTHER BUSINESS

* 25 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 ☐
26 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 ☐
27  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 3 October 2014.

ACTION REQUIRED
  For discussion ☐  For decision ☐  For information ☑