COUNCIL

The 454th meeting of the Council will be held at 2.00pm on Thursday 3 October 2019 in the Board Room of the Charles Darwin University, Darwin, Northern Territory. Any additional information will be available at the meeting.

All enquiries should be directed to the Secretary on 0416-277-014, or (02) 6125 2113, or by email: chris.reid@anu.edu.au.

Chris Reid
Secretary – ANU Council
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 (ie. the Council Secretary), or other appropriate officer of the Council when in doubt.

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

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

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

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

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

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

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

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

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

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

AGENDA ON THE INTERNET
The agenda and minutes for meetings of Council are available on the Internet at:
http://www.anu.edu.au/about/governance/council

GLOSSARY
A glossary of common terms and acronyms used in the University has been provided in the Attachment section of this agenda.
PART 1 – PROCEDURAL ITEMS

1. ANNOUNCEMENTS AND APOLOGIES

The Minister for Education, the Hon Dan Tehan, was advised on 30 July 2019 that Council had appointed the Hon Julie Bishop as the next ANU Chancellor, from 1 January 2020 until 31 December 2022. The University made a public announcement in respect of this appointment on 1 August 2019.

Dr Doug McTaggart is an apology for this meeting, leave having been granted on account of the meeting date change resulting in a clash with a pre-existing international commitment.

Mrs Claire Shrewsbury is an apology for this meeting, leave having been granted while she is on Long Service Leave from the University.

Mr Mike Baird is also an apology for this meeting, leave having been granted on account of a business commitment arranged prior to becoming a Council member, on 1 August 2019.

Council welcomes the new postgraduate student member, Mr Utsav Gupta, who was elected to serve for 12 months, until 2 September 2020. Mr Gupta succeeds Mr Zyl Hovenga-Wauchope.

This will be the final meeting for Ms Eden Lim, whose 12 month term as the undergraduate student representative ends on 30 November 2019.

Council also notes the arrival of Mr Paul Duldig as the University’s new Chief Operating Officer, having succeeded Mr Chris Grange on 2 September 2019.

The University’s Annual Report for 2018 was approved for tabling in Parliament by Minister Tehan on 30 August 2019 and tabled on 18 September 2019.

The University’s Socially Responsible Investment (SRI) revised policy, as approved by Council on 26 July 2019, was published on the ANU Policy Library on 20 August 2019.

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

4. ARRANGEMENT OF AGENDA

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstarred items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Part 6, Other Business.
5. The Chair will ask if there are any agenda items that need to be re-sequenced.

C5. MINUTES

RECOMMENDATION That Council approve the minutes of the meeting held on 26 July 2019 (75/2019).
THE AUSTRALIAN NATIONAL UNIVERSITY

COUNCIL MINUTES

The 453rd meeting of the Council was held at 9.15am on Friday 26 July 2019 in the R C Mills Room, Chancery.

Confidential until confirmed by Council
PART 2 – KEY BUSINESS ITEMS

C6 - 7. Confidential to Council Members
8. CHANCELLOR’S REPORT – COUNCIL SELF EVALUATION 2019

PURPOSE
To consider the Chancellor’s report on Council’s self-evaluation of its performance and effectiveness following one-on-one consultations with Council members.

PREPARED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION

ACTION REQUIRED
☑ For discussion  ☐ For decision  ☑ For information

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

The report that accompanies this agenda item follows from consultation with all Council members held during June and July 2019.

BACKGROUND
The Voluntary Code of Best Practice for the Governance of Australian Universities, adopted by Council in September 2011, includes a provision that “at least once each two years, the governing body should assess its performance, the performance of its members and the performance of its committees. The Chancellor should have responsibility for organising the assessment process, drawing on external sources if required.”

The practice adopted in conducting this evaluation in recent years – March 2011, February 2013, February 2016 and February 2017 and now again in June-July 2019 – has been for the Chancellor to have one-on-one confidential conversations with Council members with the aim of giving and receiving feedback on individual performance, getting a sense of members’ degree of comfort or otherwise with present Council structure and process, and discussing any other issue of concern or interest relating to the strategic direction of ANU, and then summarizing those views – not attributing anything to particular individuals – in a report to Council. This report gives Council the opportunity, should it wish, to have a collective debate at regular intervals on its effectiveness.

There still appears to be general comfort with the fairly informal biennial consultative process, but it remains for Council to decide whether it wants to adopt some more formal annual review system, or at least to mix the present system with occasional external reviews.

SUMMARY OF ISSUES
The report confirms Council’s confidence in the fundamentals of the University’s governance arrangements and the discharge of its duties, and also makes valuable observations.

The report focusses on the following:

General role of Council
- Distinction between Council and Management
- Value of the Planning Day
- Balancing strategic and operational issues
- Value of communicating Council outcomes.
Structure and Membership

- Size and Composition
- Induction and development
- Remuneration of Council members
- Chancellor’s role
- Collegiality.

Council Meetings

- Length of meetings
- Papers
- Conduct of meetings
- Staff presentations
- Council Committees.

ATTACHMENT
8.1 Chancellor’s Report on Council’s Self-Evaluation 2019

COMMUNICATION
☐ For public release ☐ For internal release ☑ Not for release
PART 3 – STRATEGIC ISSUES

9. PHILANTHROPIC PRESENTATION – INDIGENOUS JUSTICE PARTNERSHIPS WITH ANU

PURPOSE For Council members to receive a philanthropic presentation (a ‘pitch’) on Indigenous justice partnerships with the ANU.

PREPARED BY Development Manager, ANU Advancement, Director (Campaign), ANU Advancement

REVIEWED BY Vice-President (Advancement)

APPROVED BY Vice-President (Advancement)

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the philanthropic presentation on Indigenous justice partnerships.

ACTION REQUIRED ☑ For discussion ☑ For decision ☑ For information

BACKGROUND

During 2018, the ANU Council received a series of presentations on projects that have strong philanthropic potential. This is also a 15-minute opportunity for academics to inform, and receive feedback from, Council.

The first philanthropic presentation on the Sustainable Farms Initiative was delivered by Professor David Lindenmayer on 6 April 2018. The second presentation was on the ANU Humanitarian Health Hub, presented by Dr Kamalini Lokuge and Professor Emily Banks on 25 May 2018. The third presentation was on the National Scholars program, presented by the Deputy Vice-Chancellor (Academic), Professor Marnie Hughes-Warrington and current ANU student and scholarship recipient, Lachlan Arthur, on 20 July 2018. The fourth presentation was on the 3A Institute, presented by Professor Genevieve Bell on 5 October 2018 and the final meeting of the year was on Clear Vision research presented by Dr Riccardo Natoli.

In 2019, the 29 March Council meeting was presented a case for supporting the Centre for Personalised Immunology, and then in April, the Mayi Kuwayu study was presented by Professor Ray Lovett, an epidemiologist and Wongaibon man from western NSW. Feedback was that Professor Lovett’s Mayi Kuwayu pitch has been the most compelling to date.

ANU Advancement also provides the opportunity to ‘test’ presentations in front of Advancement staff at their weekly skills and information sessions. A comprehensive training program for researchers similar to the ANU media training run by SCAPA is also under development.

SUMMARY– INDIGENOUS JUSTICE PARTNERSHIPS AT ANU LAW

Presenter: Dr Anthony Hopkins, Senior Lecturer and Director of Clinical and Internship Courses at the ANU College of Law.

*Injustice runs deep for First Nations peoples in Australia. Entrenched social, economic and political challenges intersect with law to disadvantage and silence Indigenous peoples. Overcoming these challenges requires deep listening and true partnership.*
The ANU College of Law is Australia’s national law school, and is committed to partnering for justice with Indigenous Australia. We believe in connecting student capability and passion for social justice with the justice priorities of First Nations peoples.

Two unique partnerships between ANU Law and community legal services – the Kimberley Community Legal Services (KCLS) and the North Australian Aboriginal Justice Agency (NAAJA) – create an extraordinary opportunity to deliver impact through culturally competent and culturally responsive legal education.

The Kimberley Aboriginal Justice Clinic has created a valuable matrix of academic and law student support for essential service provision, advocacy and policy work in this region. Since 2017, thousands of student paralegal hours have been devoted to creating the full-time back office for a remote area legal service in Australia, with 85% Aboriginal clientele.

Building on the success of this partnership, a new partnership with NAAJA will enable ANU to deliver a ground-breaking new intensive course, Legal Education for True Justice, on Anangu Country at Uluru. Co-designed by ANU, NAAJA and the Wikikiku Rrumbangi Indigenous Lawyers, this exemplar course will be taught by Indigenous leaders and experts and will encourage listening and reflection. It aims to equip students with a critical and meaningful understanding of Indigenous perspectives on, and experiences of, law, justice and legal systems.

With your support, ANU Law’s Indigenous justice partnerships will help to deliver real justice outcomes for First Nations peoples and give students a formative experience of the law that is one of service to, and collaboration with, Indigenous Australia.

Dr Anthony Hopkins is a Senior Lecturer and Director of Clinical and Internship Courses at the ANU Law School, having joined ANU in 2015.

In 2018, Anthony received a Vice-Chancellor’s citation for outstanding contribution to student learning, in recognition of his innovative teaching approaches designed to take students as close as possible to the coalface of legal practice. Anthony began his career as a criminal defence lawyer in Alice Springs at the Central Australian Aboriginal Legal Aid Service. He continues to practice as a barrister with a focus on sentencing and appellate criminal cases.

Anthony’s research, and his work in legal policy, is focused on reforms to the criminal justice system that promote equality and reduce incarceration. He has a particular focus on the experiences of Aboriginal and Torres Strait Islander peoples in the criminal justice system.

Council members are encouraged to provide further feedback following each presentation directly to barbara.miles@anu.edu.au

ATTACHMENT
9.1 Case for Support: Indigenous justice partnerships at ANU College of Law

COMMUNICATION
☐ For public release    ☐ For internal release    ☒ Not for release
10. INTERNATIONAL STRATEGY - PRESENTATION

PURPOSE
To provide Council with the proposed draft of the ANU International Strategy

PREPARED BY
Pro Vice-Chancellor (International Strategy)

REVIEWED BY
Vice-President (Engagement & Global Relations)

APPROVED BY
ANU Senior Management Group

SPONSOR
Pro Vice-Chancellor (International Strategy)

RECOMMENDATIONS
That Council note the International Strategy.

ACTION REQUIRED
For discussion ☑️ For decision ☑️ For information ☐

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

The International Strategy was endorsed by the Senior Management Group on 19 September 2019.

BACKGROUND
The International Strategy is the international realisation of the ANU Strategic Plan, developed to drive a shared and focused approach to the University's international engagement across the full breadth of its activities.

The presentation will be delivered by the Pro Vice-Chancellor (International Strategy).

ATTACHMENT
10.1 International Strategy Presentation

COMMUNICATION
☐ For public release ☑️ For internal release ☐ Not for release
PART 4 – OTHER MATTERS FOR DECISION

11. MODEL CODE – FREEDOM OF SPEECH AND ACADEMIC FREEDOM

PURPOSE
To receive an update on University deliberations concerning the Model Code.

PREPARED BY Council Secretary
REVIEWED BY Chancellor
APPROVED BY Chancellor
SPONSOR Chancellor

RECOMMENDATION That, given Academic Board endorsement of the broad objects of the Model Code, Council approve in-principle the Model Code for adoption by the University.

ACTION REQUIRED
☑ For discussion ☑ For decision ☐ For information

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

BACKGROUND

At the meeting, the Chancellor informed Council that the University Chancellors Council (UCC) had established a Working Group consisting of Mr French (who is also the Chancellor of the University of Western Australia), Mr Peter Varghese (Chancellor, University of Queensland) and the ANU Chancellor, Professor Evans, to review the text and suggest recommendations to further develop the Model Code. When finalised, the Chancellor would then submit the Model Code to Council for consideration.

Following this process, the revised Model Code was considered by Council at its meeting of 26 July 2019. At the meeting, Council determined that the views of the University, and particularly Academic Board, should be understood prior to Council’s approval being sought to adopt the Model Code. At that time, Council also amended the text in Principle 2 of the Code.

At its meeting of 27 August 2019, the Model Code was considered by Academic Board at which time its broad objects were endorsed.

At this meeting, Academic Board also:

1. Recommended the development of a specific ANU Statement on Freedom of Speech that is informed by the Model Code;

2. Supported the holding of one or more Town Hall meeting(s) to enable the wider university community to contribute to a statement/policy through discussion about freedom of expression and academic freedom on the ANU campus;

3. Agreed that rights to, and responsibilities for, Academic Freedom and Freedom of Expression should be supported by the new ANU Code of Conduct; and
4. Agreed that the relevant policies and procedures of the University should align with the ANU Statement on Academic Freedom (as resolved by Academic Board on 3 July 2018) and an ANU Statement on Freedom of Expression.

ATTACHMENT

11.1 Model Code (as amended by Council on 26 July and considered by Academic Board on 27 August 2019).

COMMUNICATION

☐ For public release  ☐ For internal release  ☑ Not for release
12. ACADEMIC GOVERNANCE REVIEW REPORT – UNIVERSITY RESPONSE

PURPOSE
To provide Council with a consolidated response to the Academic Governance Review Report 2019 (Winchester Report).

PREPARED BY
Associate Director, Corporate Governance and Risk Office

REVIEWED BY
Council Secretary and Director, Corporate Governance and Risk Office

APPROVED BY
Provost

SPONSOR
Provost

RECOMMENDATION
That Council:

1. Accept the consolidated University response to the Winchester Report as provided by the Academic Board and Senior Management Group.

2. Note that the Provost will lead implementation of the accepted recommendations, with a progress report to be provided at the Council meeting of April 2020.

ACTION REQUIRED
For discussion ☑️ For decision ☑️ For information ☐

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

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

BACKGROUND
In late 2018, external governance consultant Professor Hilary Winchester conducted a review of ANU academic governance, as measured against the requirements of the Higher Education Standards Framework (HESF).

The review itself, and subsequent report, provided an important opportunity for the University to reflect on its academic governance structures and processes.

At the Council meeting of 24 May 2019, Council:

1. Noted the Winchester Report, including the action taken by the Academic Board and SMG.

2. Requested that a co-ordinated progress report concerning the Report recommendations be submitted to the Council meeting in October 2019.
SUMMARY

Academic Board

- At its meeting of 30 April 2019, Academic Board received the Winchester Report for discussion and agreed to establish a Working Group to consider the recommendations made in the report, and to submit its own report to Academic Board at its meeting of 27 August 2019.

- At this meeting, the Board considered its Working Group’s report, titled: Academic Board Working Group - Response to Recommendations. (See the report at Attachment 12.1).

- Following some amendments to resolution 9, Academic Board approved the Working Group report, as amended, for transmission to the Provost, who provided it to the Senior Management Group for consideration.

Senior Management Group (SMG)

- At its meeting of 5 September 2019, SMG considered the report from Academic Board, and matched it against initial SMG responses from May 2019 (see Attachment 12.2).

Outcome

- Academic Board and SMG held the same (or similar) views in respect of 18 of the 20 recommendations made in the Winchester Report, as explained in the following table:

<table>
<thead>
<tr>
<th>Rec</th>
<th>Issue</th>
<th>Initial SMG View (May 2019)</th>
<th>Academic Board view (27 August)</th>
<th>Consolidated ANU view (5 Sept)</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Understanding and support of Academic Governance.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>2</td>
<td>Chair of Academic Board: Partially agree (ie. c, d and e)</td>
<td>a. Not agree</td>
<td>a. Not agree</td>
<td>Seated at Council table, but not member.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>a. To become a member of Council, rather than an observer;</td>
<td>b. Not agree</td>
<td>b. Not agree</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. To be elected by/from the Professoriate, rather than appointed by Council on the recommendation of the Vice-Chancellor;</td>
<td>c. Agree</td>
<td>c. Agree</td>
<td>For Provost consideration</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c. To increase the workload allocation to a fraction greater than 0.5 FTE;</td>
<td>d. Agree</td>
<td>d. Agree</td>
<td>For Provost consideration</td>
<td></td>
</tr>
<tr>
<td></td>
<td>d. To provide targeted executive support; and</td>
<td>e. Agree</td>
<td>e. Agree</td>
<td>For CGRO to prepare</td>
<td></td>
</tr>
<tr>
<td></td>
<td>e. Codify number of terms a Chair may serve.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Academic Board more clear oversight of academic quality.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>----</td>
<td>---------------------------------------------------------</td>
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<td>---------</td>
</tr>
<tr>
<td>4</td>
<td>Status of the Academic Board:</td>
<td>Partially agree</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>a. To be a sub-committee of Council, rather than having a reporting relationship only;</td>
<td>a. Not agree</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>b. To be the delegated authority for academic governance, rather than the Vice-Chancellor.</td>
<td>b. Agree*</td>
<td></td>
<td></td>
<td>*While agreeing, AB noted much investment is required to implement this recommendation. With Provost/VC.</td>
</tr>
<tr>
<td>5</td>
<td>Amending AQAC and TLDC TORs</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>6</td>
<td>Remove the Student Experience Committee (SEC) as sub-committee of Academic Board.</td>
<td>Agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Already done</td>
</tr>
<tr>
<td>7</td>
<td>ANU amend the TOR of URC to include research integrity and oversight.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>8</td>
<td>Establish the HDRC as a sub-committee of Academic Board.</td>
<td>Not agree</td>
<td>Not agree</td>
<td>Not Agree</td>
<td>6 month reports to AB instead</td>
</tr>
<tr>
<td>9</td>
<td>Include elected members of staff on sub-committees of AB.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>10</td>
<td>Amend the TOR of sub-committees, so that they are consistent in their requirements in relation to the oversight of quality of their respective areas.</td>
<td>Agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>11</td>
<td>Develop a benchmarking policy and that the setting and monitoring of benchmarks.</td>
<td>Partially agree</td>
<td>Not agree</td>
<td>Not agree</td>
<td>Benchmarking already takes place.</td>
</tr>
<tr>
<td>12</td>
<td>Improve communication between Academic Board and Council.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing</td>
</tr>
<tr>
<td>13</td>
<td>Further delegation of approval of academic and research policy/procedure.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
<td>Ongoing (as per 4b)</td>
</tr>
</tbody>
</table>

**PART 4 – OTHER MATTERS FOR DECISION**
<p>| | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>Address overdue policy reviews and include a schedule of policy reviews in Academic Board work plans etc.</td>
<td>Partially agree</td>
<td>Agree</td>
<td>Agree</td>
</tr>
<tr>
<td>15</td>
<td>A comprehensive revision and restructuring of the Research Awards Rule (RAR) 2017 in 2019.</td>
<td>Partially agree</td>
<td>Noted</td>
<td>Noted</td>
</tr>
<tr>
<td>16</td>
<td>Audit and update Delegations of Authority Policy etc.</td>
<td>Agree</td>
<td>Noted</td>
<td>Noted</td>
</tr>
<tr>
<td>17</td>
<td>Clarify the process for the approval of new HDR programs.</td>
<td>Agree</td>
<td>Noted</td>
<td>Noted</td>
</tr>
<tr>
<td>18</td>
<td>In its revisions of the policy, procedure and forms for program and course accreditation, take fully into account all the requirements of program review listed in HES 5.3.</td>
<td>Agree</td>
<td>Noted</td>
<td>Noted</td>
</tr>
<tr>
<td>19</td>
<td>Streamline and consolidate its approach to research integrity policy, procedure and reporting.</td>
<td>Partially agree</td>
<td>Noted</td>
<td>Noted</td>
</tr>
<tr>
<td>20</td>
<td>Revise and update Risk Management Framework to ensure that academic risk is fully incorporated, evaluated annually, and academic risks identified in internal audit schedule.</td>
<td>Not agree</td>
<td>Agree*</td>
<td>Not agree*</td>
</tr>
</tbody>
</table>

- Should Council accept the University's response, the Provost will lead the implementation of the relevant recommendations and finalise the two items (concerning 4b and 20) where inconsistency between Academic Board and SMG remains.
- A progress report is proposed to be submitted to Council at its April meeting in 2020.

**ATTACHMENTS**

12.1 Academic Board Working Group – Response to Recommendations (endorsed by Academic Board on 27 August 2019)
12.2 Senior Management Group – Initial Response to Recommendations
12.3 Academic Governance Review Report 2019 (Winchester Report)

**COMMUNICATION**

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

PART 4 – OTHER MATTERS FOR DECISION
C13. Confidential to Council Members
14. STUDENT SERVICES AND AMENITIES FEE (SSAF) 2020

PURPOSE
To seek Council’s approval of a process for consulting students on the expenditure of Student Services and Amenities Fee (SSAF) funds.

PREPARED BY
Pro-Vice-Chancellor, University Experience

REVIEWED BY
Acting Vice-Chancellor

APPROVED BY
Acting Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council approve a process for consulting students on the expenditure of Student Services and Amenities Fee (SSAF) funds for 2020.

ACTION REQUIRED
☐ For discussion ☐ For decision ☒ For information

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

The proposed consultation process has been agreed with student associations.

COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION
☐ Finance ☐ Audit & Risk Management ☐ Campus Planning ☒ Not Applicable
☐ Major Projects ☐ Honorary Degrees ☐ Nominations ☐ Academic Board

BACKGROUND
The Higher Education Legislation Amendment (Student Services and Amenities) Act 2011 (the Act) allows the universities to charge students a fee to support the provision to students of amenities and services not of an academic nature. This fee, known as the Student Services Amenities Fee or SSAF, may be spent on items such as sporting and recreational activities, employment and career advice, child care, financial and legal advice and food services.

The Student Services, Amenities, Representation and Advocacy Guidelines (the Guidelines) govern the administration of SSAF revenue. These Guidelines were revised in March 2014 and Item 3.2.5 of the revised Guidelines requires that

In relation to decisions regarding the specific uses of the proceeds from any compulsory SSAF, HEPs [Higher Education Providers] must establish and maintain a clearly defined and effective process by which students enrolled at the HEP are consulted that is reviewed and approved annually by the governing body of the HEP.

Council’s approval of the process outlined at attachment 1 and approved by the Provost is now sought.

Item 3.2.2 of the previous version of the Guidelines required HEPs to ‘... publish the details of the mechanisms approved by the governing body of the HEP by which enrolled students are consulted and able to participate in the decision making processes of the HEP.’ At its meeting of 2 December 2011, Council was advised by the Vice-Chancellor that consultations were being undertaken with student organisations as required by the legislation.

The Guidelines were reviewed in 2013 and the requirement for a consultation process with students approved annually by the HEP’s governing body was included following the review. Advice from the Department of Education indicates that the Guidelines were amended with the overall intention of...
ensuring that they operate in ‘a manner that is clear in intent and purpose, transparent in process; visible; and consultative.’

Since the passage of the Act in 2011 the University has undertaken extensive annual negotiations with the four student associations (the ANU Students’ Association, the Postgraduate and Research Students’ Association, the ANU Sport and Recreation Association and ANU Student Media) on their budgets and expenditure on services and works which benefit all students. In 2017 another party was added to the negotiations. ANU Observer a new student media organisation that publishes entirely online was added after meeting governance requirements set by ANU’s Corporate Governance and Risk Office. Draft expenditure is posted annually on the University’s website and all students invited by e-mail to comment on the draft before funding is finalised. We believe this has been a sound process of consultation which gives all students an opportunity to express their views on how SSAF revenue should be expended.

SUMMARY OF ISSUES

The consultation process and timetable at Attachment A has been approved by the acting Vice-Chancellor, and agreed with student associations (the ANU Students Association, the Postgraduate and Research Students Association, ANU Sport, ANU Observer and ANU Student Media).

Approving the proposed consultation process and timetable will enable the University to meet its obligations under the Guidelines.

ATTACHMENTS

14.1 Student Services Amenities Fee 2020: allocations and process for consultation with students

COMMUNICATION

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

PART 4 – OTHER MATTERS FOR DECISION
15. COUNCIL MEETING DATES AND FORWARD AGENDA PLAN 2020

PURPOSE
For Council to consider the proposed meeting dates and forward agenda plan for 2020.

PREPARED BY
Council Secretary and Director, Corporate Governance and Risk Office

REVIEWED BY
Council Secretary and Director, Corporate Governance and Risk Office

APPROVED BY
Chancellor, Vice-Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council:

1. Approve the proposed meeting dates and forward agenda plan for 2020; and
2. Endorse the expected acquittal of governance responsibilities for 2020.

ACTION REQUIRED
☑ For discussion ☑ For decision ☐ For information

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

*The in-coming Chancellor and the Vice-Chancellor have been consulted. Proposed Council meeting dates also align with 2020 meeting dates for Council Committees.*

BACKGROUND
Each year Council is asked to approve its proposed meeting dates and forward agenda plan.

<table>
<thead>
<tr>
<th>Meeting Dates 2020</th>
<th>Strategic Discussion Topic</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Friday 14 February (ANU, Canberra)</td>
<td>Council Planning Day (Full day)</td>
<td>Council dinner and guests on Thursday 13 February. Council meeting from 9.15am Council Planning Day from 11.30am.</td>
</tr>
<tr>
<td>Friday 3 April</td>
<td>Academic Plan</td>
<td></td>
</tr>
<tr>
<td>Friday 29 May</td>
<td>University Experience Plan</td>
<td>Afternoon program to complement National Reconciliation Week.</td>
</tr>
<tr>
<td>31 July</td>
<td>Societal Transformation</td>
<td>Graduations in July.</td>
</tr>
</tbody>
</table>
### 2020 EXPECTED ACQUITTAL OF GOVERNANCE RESPONSIBILITIES

The Corporate Governance and Risk Office has prepared the attached ‘Expected acquittal of governance responsibilities 2020’ to demonstrate that the proposed forward agenda plan for 2020 meets the Council’s responsibilities as the governing authority of the University.

### ATTACHMENTS

15.1 Council forward agenda plan 2020
15.2 Expected acquittal of governance responsibilities 2020

### COMMUNICATION

- For public release  □
- For internal release  □
- Not for release  ☑
16. COUNCIL COMMITTEE MEMBERSHIP - UPDATE

PURPOSE
To provide Council with an update about Council and Committee memberships, and the Chair, Academic Board.

PREPARED BY
Associate Director, Corporate Governance and Risk Office

REVIEWED BY
Council Secretary and Director, Corporate Governance and Risk Office

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council:

1. **Note** the update on Council and Committee memberships, and the Chair, Academic Board.

2. **Approve** the appointment to Finance Committee of Mr Andrew Dyer in the category of: up to five other members, appointed by the Council, who have appropriate expertise, at least four of whom are neither students nor employees of the University.

ACTION REQUIRED
☑ For discussion ☐ For decision ☒ For information

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

BACKGROUND
All Committees of Council are governed by their respective Charter, as approved by Council. The Charters provide for, among other things, the membership of each Committee.

A summary of key Council and Council Committee membership issues follows (each being addressed by the University as part of its standard planning and succession process):

Council

- The 4-year terms of three of the seven members appointed by the Minister on the recommendation of the Nominations Committee of Council are due to end on 30 June 2020. The Nominations Committee is continuing its planning work in this area, and will advise Council of progress being made at the next Council meeting, on 6 December 2019.

- The 2-year terms of the four elected staff positions and 1-year terms for the two student members will end during 2020, a part of the usual election cycle, planning for which has commenced.

- The Vice-Chancellor’s existing term ends on 31 December 2019.

**Note**: should the new ANU Bill be enacted during 2020, Council membership will decrease from 15 to 14, with appropriate transitional arrangements to be made.

PART 4 – OTHER MATTERS FOR DECISION
Finance Committee

- The Chair of Finance Committee must be appointed by the Council from among its members, who may not be a student or employee of the University. The Chair is Council member, Dr Doug McTaggart, whose term on Council (and therefore on Finance Committee) ends on 30 June 2020.

- The 2-year terms for four members (each external) appointed by Council will end on 30 June 2020. These are in the category of **up to five other members, appointed by the Council, who have appropriate expertise, at least four of whom are neither students nor employees of the University.** Consideration of this membership matter has commenced.

There is one vacancy in this category. Finance Committee, at its meeting of 13 September 2019, endorsed - subject to due diligence being undertaken by the University (since completed by the Corporate Governance and Risk Office) - a recommendation presented by the Chair for Council to appoint **Mr Andrew Dyer** in this category.

Mr Dyer is a highly experienced global leader and long standing executive with the Boston Consulting Group. His CV is attached.

Audit & Risk Management Committee

- The Chair of ARMC must be appointed by Council (and may be a member of Council). Current Chair, Mr Geoff Knuckey (not a member of Council), concludes his term on the ARMC on 30 June 2020.

- There remains one vacancy in the category of **up to two members of Council, appointed by the Council, who may not be a student or an employee of the University.**

- The 2-year terms of three independent members appointed by Council will end on 30 June 2020. There is also an opportunity for a fourth appointment to be made in this category.

Campus Planning Committee

- The chair of CPC must be appointed by Council from among its members, who may not be a student or employee of the University. Current Chair is the Chancellor, Professor the Hon Gareth Evans AC QC, whose term on Council (and therefore on CPC) ends on 31 December 2019.

- There is one current vacancy in the category of **two external members, with relevant skills appointed by the Committee.**

- There is one member whose term in the category of **three other Council members, appointed by the Council** ends in May 2020.

Honorary Degree Committee

- The terms of all three members in the category of **three other members of Council, appointed by the Council, who may not be a student or an employee of the University** end on 30 June 2020.

- The terms of two academic staff representatives end in September 2020.

Nominations Committee

- The terms of the **three other persons, appointed by the Chancellor** end on 30 June 2020.

- The term of one member in the category of **one member of the academic staff, who is a College Executive Committee member of an ANU College,** ends on 30 June 2020.
Chair, Academic Board

Pursuant to the Academic Board Rule 2017, the Chair of the Academic Board is appointed by the Council, on the recommendation of the Vice-Chancellor. The current Chair, Professor Jaqueline Lo, will complete her second two-term on 23 March 2020.

ATTACHMENTS

16.1 Summary of Council and Council Committee membership highlighting terms expiring in 2019 and 2020

16.2 Andrew Dyer: Curriculum Vitae

COMMUNICATION

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

17. UNIVERSITY RANKINGS - REPORT

PURPOSE To receive a report on the University’s most recent ranking performance, and the ongoing work to explore the underlying drivers, and how this can inform ANU’s general strategic development.

PREPARED BY Associate Director, University Performance (Planning and Performance Measurement)

REVIEWED BY Director, Planning and Performance Measurement

APPROVED BY Provost

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the University Rankings report.

ACTION REQUIRED ☑ For discussion ☐ For decision ☑ For information

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

COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION ☐ Finance ☐ Audit & Risk Management ☐ Campus Planning ☑ Not Applicable

☐ Major Projects ☐ Honorary Degrees ☐ Nominations ☐ Academic Board

BACKGROUND

The University’s performance in the most common rankings is generally declining. This does not necessarily mean that the University’s research and teaching performance is declining but rather that its relative position to universities worldwide is declining.

The world of international rankings is an increasingly competitive environment where the difference in performance of the top ranked institutions is narrowing. There has been a rapid rise up the rankings of Asian Universities (and to a lesser degree South American Universities) while the proportion of highly ranked institutions from North America and the United Kingdom is shrinking. ANU is expected to continue declining in the global rankings relative to other institutions, without some careful consideration and strategic alignment of resources and effort.

The attached paper summarises the University’s ranking performance across seven of the most frequently cited global rankings, focusing on what can be learnt about our relative position in Research, Reputation, Education and Internationalisation.

SUMMARY OF ISSUES

Research

Publication indicators show a generally consistent pattern with the university’s ranking declining slightly over the past five years. If current trends continue with no significant changes to key indicators, then ANU should see a relatively stable performance in its publication rankings. However in those rankings that use a short, more recent data window, or where it is focused on science disciplines, ANU could see slight declines in ranking performance.
The citation indicators suggest that our most recent ranking performance is being bolstered by our past success and that we can expect a slight decline in the rankings over the next few years.

HiCi indicators show a generally consistent pattern with the majority of the university’s ranking indicators improving slightly over the past five years and this is likely to continue in the majority of the rankings. The exceptions being Leiden, ARWU and NTU high-impact journal indicators due to shorter data windows and more science focused data.

**Reputation**

Generally the university's ranking performance in reputational indicators has been declining and this is expected to continue if there are no changes to key variables.

When looking across THE and QS reputation survey results we learn that:

- ANU generally has a stronger reputation rank than citation rank, which may represent a concern for the future.
- ANU has a lower national profile than its key Australian comparators but a stronger profile in some Asian countries.
- The subjects making the most contribution to our votes are Arts & Humanities, Social Sciences, Business & Economics, and Physical Sciences, which is in line with the university’s largest subject areas by academic staff volume.
- Some of our subject areas, such as Clinical, Pre-clinical and Health (Medicine), have high citations but do not yet have a strong research reputation.
- ANU has an older profile of voters than key comparator institutions which is a concern for the future.

**Education**

Generally ANU is declining slightly on all education indicators, with the exception of the staff/student ratio where our rank has declined significantly, particularly for the QS.

Our ranking performance decline is largely the result of a notable increase in student load with only a fractional increase in academic staff. Based on the current load plans and staffing levels, it is expected that the staff/student ratio will reach its lowest levels in 2019 (2022 rank release year), and then start to gradually improve slightly. If others such as Melbourne continue to improve their ranking performance in this variable, even with the projected improvement in the ANU staff/student ratio, ANU will likely drop slightly or stay the same in the Faculty/Student Indicator ranks.

**Internationalisation**

Our rank in the proportion of international students has been improving notably, whilst our rank in the proportion of international staff has been declining slightly. This reflects the actual changes in our student load and staff FTE in recent years. If current trends continue then ANU should continue to see improvement in its ranks for the proportion of international student but decline in its ranks for the proportion of international staff.

Generally the university’s rank on international collaborations (co-authored publications) is improving slightly. If current trends continue then ANU should see improvements in future rankings.

**Next Steps**

What the trends in this report mean for ANU, and how they can inform our strategy development, will require more in-depth discussion and analysis before detailed recommendations can be made. However the following areas have been identified by the University Executive for initial exploration:

- Exploring the underlying drivers of the Research indicators as part of the ANU Research Strategy development. Responsible Officer – DVCR
- Embedding the underlying drivers of the Reputation indicators as part of the ANU Story rebranding and repositioning project and implementation. Responsible Officer – VP E&GR
- Considering the underlying drivers for the Staff/Student ratio as part of the University’s workforce and load planning, including doctoral students. Responsible Officer – Provost and COO

PART 5 – OTHER MATTERS FOR NOTING
• Reflecting on the underlying drivers in relation to our international partnerships. Responsible Officer – PVC I and VP E&GR
• Reviewing the process for ranking data submissions in light of the long term trends. Responsible Officer – Provost

ATTACHMENTS
17.1 ANU Rankings: Year in Review 2018/19
17.2 Further information – ranking related documents (available on the Secure Server)

COMMUNICATION
☐ For public release ☐ For internal release ☑ Not for release
C18 -22.  Confidential to Council Members
ITEM 2.1 CHAIR’S REPORT

The report summarised major items considered by Council at its meeting on 26 July 2019.

The Committee resolved to re-name this item to: Update on Decisions and Deliberations of Council.

Resolved:
The Committee noted the report and re-named this agenda item to: Update on Decisions and Deliberations of Council.

ITEM 2.2 VICE-CHANCELLOR’S REPORT

The Provost, as Acting Vice-Chancellor, spoke to the Vice-Chancellor’s report and highlighted the following topics:

- University leadership
- Data breach
- Political landscape
- Academic rankings
- National Institutes Grant (NIG)

In discussion, the Committee considered the Admissions, Scholarship and Accommodation (ASA) uptake and the status of international student enrolments, including the associated delay in preparing the University’s 2020 budget for Council. This is now scheduled to be considered by Council on 6 December 2019.

Resolved:
The Committee noted the Vice-Chancellor’s report.

PART 5 – OTHER MATTERS FOR NOTING
ITEM 2.3 CYBER SECURITY UPDATE

The Chief Information Security Officer (CISO) provided status update on cyber security at the University.

Resolved:
The Committee noted the update, and requested that this update become a standing item at all future ARMC meetings until otherwise determined.

ITEM 3.1 INTERNAL AUDIT ON THE ANNUAL PERFORMANCE STATEMENT

EY presented the internal audit report on the Annual Performance Statement. In discussion, the Committee noted that:

- The Director, Planning and Performance Measurement (PPM), will immediately assume responsibility for the performance reporting component of the Annual Report.
- The Strategy Dot Zero software is expected to enable more accurate, timely and transparent management of the performance reporting cycle.
- Before the next meeting, members of the Committee will work with the University to develop a performance reporting plan.

Resolved:
The Committee noted:
1. The report and accepted the management responses.
2. That a meeting consisting of members of the Committee and the Director, PPM will take place before the next ARMC meeting to develop a performance reporting plan.

ITEM 3.2 SUPPLEMENTARY AUDIT ON PURCHASE CARDS

Resolved:
The Committee:

- Noted the report.
- Requested that further investigation be undertaken between the University and EY in respect of the volume and nature of all transactions involved in the audit on Purchase Cards, and to advise the Committee of the outcomes of this investigation at the next meeting. This will assist the Committee to determine, and provide advice to the accountable authority, about the extent to which the matters raised in the audit are reportable to the responsible Minister under s19 of the PGPA Act.

ITEM 3.3 PROGRESS UPDATE ON ACTION PLAN FOR PURCHASE CARD AUDIT

The Deputy Chief Financial Officer (DCFO) presented an update on the Action Plan concerning the recommendations made in the Purchase Card audit.

In discussion, the Committee noted the following progress being made in relation to:

- Finalising purchase card policy.
- Strengthening of internal controls, including automated reports to prompt the de-activation of cards concerning terminated/departing employees.
- Building robust analytics into the Concur purchase card system.

Resolved:
The Committee noted the update.

PART 5 – OTHER MATTERS FOR NOTING
ITEM 3.4 MIR – STUDENT MANAGED FUND

The Director, Research School of Finance, Actuarial Studies and Statistics provided an update about the recommendations contained in the management initiated review report on Student Managed Fund.

Resolved:
The Committee noted the report and accepted the management responses.

ITEM 4.1 BUDGET AND REPORTING FRAMEWORK UPDATE

The Program Director, Budget Reporting Framework (BRF) updated the Committee about this project. In discussion, the Committee noted:

- That, overall, the program of activity is progressing as planned.
- Positive engagement across the University.
- Reference groups have been established to guide policy work.

Resolved:
The Committee noted the report.

ITEM 4.2 FINANCIAL STATEMENT PREPARATION PLAN

Resolved:
The Committee noted the update.

ITEM 4.3 KEY ACCOUNTING POLICIES UPDATE

Resolved:
The Committee noted the update.

ITEM 4.4 UNIVERSITY 2019 FINANCIAL PROJECTION

Resolved:
The Committee noted the update.

ITEM 4.5 PROGRESS UPDATE ON DELOITTEE REPORT ON HINDMARSH ISSUES

Deputy CFO updated the Committee on the Deloitte Report concerning the Hindmarsh issues. The Committee noted that the majority of the recommendations have been implemented.

Resolved:
The Committee noted the update.

ITEM 4.6 STATUS UPDATE ON OVERDUE AUDIT RECOMMENDATIONS

Resolved:
In considering the status update, the Committee queried the overdue recommendation concerning Mobile Device Data Protection (that is, since November 2012), noting a commitment made to completing a part of the work by Q3 2019 and a request by ITS to close a separate part of the recommendation.

The Committee requested that a further update about this item be provided at its February 2020 meeting.

PART 5 – OTHER MATTERS FOR NOTING
ITEM 4.7 AUDIT REPORT ON THE UNIVERSITY’S 2018 HERDC RETURN
Resolved:
The Committee noted the update.

ITEM 4.8 ANAO AUDIT ACTIVITY REPORT
Resolved:
The Committee noted the update.

ITEM 4.11 ARMC CHARTER AND PGPA RESPONSIBILITIES FOR 2019
Resolved:
The Committee noted the update.

ITEM 4.12 INTERNAL AUDIT WORK PLAN PROGRESS REPORT
Resolved:
The Committee noted the report

ITEM 4.13 LEGISLATION UPDATE
Resolved:
The Committee noted the update.

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

PART 5 – OTHER MATTERS FOR NOTING
24. CAMPUS PLANNING COMMITTEE – EXECUTIVE SUMMARY

PURPOSE
To note the summary of major items considered by the Campus Planning Committee at its meeting of 16 September 2019.

PREPARED BY
Associate Director, Corporate Governance and Policy

REVIEWED BY
Council Secretary and Director, Corporate Governance and Risk Office

APPROVED BY
Council Secretary and Director, Corporate Governance and Risk Office

SPONSOR
Chancellor

RECOMMENDATION
That Council note the summary of major items considered by the Committee at its meeting of 16 September 2019.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

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

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

SUMMARY

*C6. ANU COLLEGE OF ARTS AND SOCIAL SCIENCES, RESEARCH SCHOOL OF HUMANITIES AND THE ARTS

Mr Barnaby Hartford-Davis presented the final detailed design for the ANU College of Arts and Social Sciences, Research School of Humanities and the Arts Building.

➢ In response to feedback being provided by the Committee at the 16 July 2019 meeting, the upper façade ‘flourishes’ have been revisited and simplified.

➢ Dark mortar is to be used for the lower façade brickwork.

➢ Improvements to the landscape integration with the future Ellery walk are planned.

➢ The design provided options for a flat panel, a half-flute panel and a full-flute option. Following discussion, the Committee chose the half-flute panel design.

Resolved:
The Committee approved the final detailed design for the ANU College of Arts and Social Sciences, Research School of Humanities and the Arts, and progress to a submission to the National Capital Authority for works approval.

PART 5 – OTHER MATTERS FOR NOTING
C7. REIMAGINE: ANU COLLEGE OF ENGINEERING & COMPUTER SCIENCE - BIRCH REFURBISHMENT

Mr Mark Roehrs (from Hassell Studio) made the following points during his presentation about the ANU CECS Birch Building Refurbishment:

- The building is not on the Commonwealth Heritage List, but as a place of significant heritage value the building is to be retained and refurbished.
- This work integrates well with the Master Plan.
- The building will be home to two new teaching and research Schools: Research School of Aerospace, Mechanical & Environment Engineering (RSAMEE) and Research School of Design Engineering (RSDE).
- Adaptive re-use of the exterior will see the existing copper fascia and the existing façade retained. A new roof-top plant room is also required.

Resolved:
The Committee approved the Birch Building refurbishment design to progress the submission to the National Capital Authority for works approval.

C8. KIOLOA CAMPUS – MESS HALL

Mr Vahan Hekimian (from CCJ Architects) made the following points during his presentation about the plans for the Kioloa Mess Hall:

- This project involves the construction of a multi-use communal facility to replace the current facility (Walkers Mess Hall).
- The New Mess hall will have the ability to cater for large groups and will include a commercial kitchen, self-catered kitchen, new laundry and linen facility, and washrooms.
- Rather than large trestle tables, the design incorporates small café style seating that can be flexibly moved around.
- The Kioloa Advisory Board has endorsed the design concepts.

Resolved:
The Committee approved the Kioloa Mess Hall Design, and to progress the project to implementation and works approvals with the Shoalhaven City Council.

C9. PROPOSED NEW MULTI-STOREY CAR PARKING STATUS UPDATE

The Director, Property Development, Mr Geoff McDonald, presented this item and highlighted the following:

- The Master Plan identified preferred sites for structured carparks.
- Preliminary concept designs and yield studies have been undertaken for four of the preferred perimeter sites.
- Site 1 – the Kingsley Parking Station is likely to require a knock-down and rebuild approach.
- Site 2 – the Fulton Muir option – it impacts on Daley Road and requires far more work (estimated to be six to twelve months in terms of design development and costing).
Site 11 – the Dickson Road structure allows for one additional level to be built. Further investigation is taking place to determine the potential to reinforce the existing structure to allow the construction of further levels within planning.

Site 6 – the area between Burton and Garran and Wright Hall has been identified as the best starting site with which to proceed.

Resolved:
The Committee:
1. Noted the status of work on the concepts for future parking on campus, and
2. Approved the site between Burton and Garran Hall and Wright Hall as the first to be developed.

PART 3 – OTHER MATTERS FOR DECISION OR NOTING

*C10. SOUTH OVAL PAVILION*

The Director Facilities and Services, Ms Nicki Middleton, introduced this item and noted that two design elements required further investigation with respect to:

- The roof design, overhang and sports event spectator shade. ANU sport have reviewed the shading studies and confirmed they meet the need of summer sport needs.
- The sub-base wall treatment - options of brick, render and sandstone have now been provided and being considered at this meeting.

The Committee reviewed the designs and agreed that:

- Provision of shade is suitable.
- Brick should be used as the façade option - Light coloured and textured (similar to Kambri).

Resolved:
Having provided design guidance, the Committee approved the final external materials for use on the proposed new South Oval Pavilion.

*C11. ACTON CAMPUS WAYFINDING PROJECT*

Ms Middleton presented this item. The following main points were made during the presentation and discussion:

- A number of digital signage concepts have been included in this package, including large digital sign boards at key campus entry points and interactive touch screen kiosks which will also incorporate security assistance.
- QR codes will be added to signs and a new App is under development.
- Mock-ups at full size will be trialled in various locations to ensure that the scale is appropriate and easily visible. Facilities and Services will undertake this trial and proceed, should the tests be successful.

Resolved:
The Committee approved the detailed wayfinding design and progress to a submission to the National Capital Authority for works approval.

PART 5 – OTHER MATTERS FOR NOTING
**C12. BURGMANN COLLEGE - UPDATE**

Ms Middleton provided the Committee with an update about the dispute with Burgmann College.

**Resolved:**
The Committee noted the status of the dispute with Burgmann College and the risk posed to the SA8 development.

**C13. ANU CITY WEST INTEGRATION PRECINCT - THE ANU EXCHANGE PRECINCT UPDATE**

**Resolved:**
The Committee noted the current arrangements underway concerning the ANU Exchange Precinct.

**C14. THERAPEUTIC GOODS ADMINISTRATION (TGA) LEASE REQUEST FOR PROPOSAL**

**Resolved:**
The Committee noted the work underway to inform the Therapeutic Goods Administration Lease Request for Proposal.

**C15. STUDENT ACCOMMODATION SA8 UPDATE**

Mr McDonald provided an update on SA8 and noted that there had been delays resulting from ongoing discussions around the location of a potential Emergency Services Centre, as well as the escalating issue with Burgmann College.

Therefore, the project is about three months behind schedule at this stage. A works acceleration program is currently under review by Richard Crookes Construction (RCC) and Integrated Property Services Group (IPSG).

**Resolved:**
The Committee note the current status of the SA8 project.

**C16. ACTON CAMPUS MASTER PLAN**

The Committee noted that the Master Plan had only recently been approved by Council (on 26 July 2019).

**Resolved:**
The Committee noted the update about the implementation of the Acton Campus Master Plan.

**C17. CAPITAL WORKS PROJECTS – PROJECTS UNDERWAY – STATUS UPDATE**

**Resolved:**
The Committee noted the update about all major projects currently progressing at the University.

**C18. UPDATE ON DECISIONS AND DELIBERATIONS OF COUNCIL**

**Resolved:**
The Committee noted the summary of relevant items considered by Council at its meeting of 26 July 2019.

**COMMUNICATION**

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

PART 5 – OTHER MATTERS FOR NOTING
25. **ACADEMIC BOARD – EXECUTIVE SUMMARY**

**PURPOSE** To note a summary of the major items considered at its meeting of 27 August 2019.

**PREPARED BY** Secretary, Academic Board

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

**APPROVED BY** Chair, Academic Board

**SPONSOR** Chair, Academic Board

**RECOMMENDATION** That Council note the summary of major items considered by the Academic Board at its meeting held on 27 August 2019.

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

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

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

**MEETING – 27 AUGUST 2019**

**CHAIR’S SUMMARY**

Public debate about freedom of expression on campus, and concerns around the quality of international education and the risks of foreign intervention were raised at the meeting. These issues require monitoring and better communication between the Executive and Academic Board.

Board was pleased to welcome Professor Tony Foley as interim PVC (University Experience) noting the leadership gap in this portfolio has impacted on the progress of the Student Partnership Agreement amongst other key student-focused initiatives.

UP Academy in Kambri remains a concern and challenges efforts to promote academic integrity. The company targets international students and appears to suggest that it is endorsed by the ANU.

Professor Bob Williamson resigned as Deputy Chair of the Academic Board, effective Tuesday 3 September 2019 at 5.00pm. The Chair called for nominations for the position of Deputy Chair, with the nomination period to close on Tuesday 3 September 2019 at 5.00pm. The Board will appoint a Deputy Chair from its membership at its 22 October 2019 meeting.

Board also considered the following key items.

**Item 7 Report from the Vice-Chancellor**

The Provost spoke to the report provided and highlighted a number of issues including;
The Senior Management Group met for its mid-year residential retreat in Wollongong on 6-7 August, at which time it considered many of the University’s strategic priorities such as the University budget (including matters concerning government funding and international students), and the performance management system.

The review of the School of Legal Practice has determined that the School no longer matches the University’s strategic objectives. The University will, as an outcome, be managing its closure over a two year period.

Part 3 – Strategic Items

Item 16  Academic Governance Review Report

In accepting and endorsing the Working Group’s Report, the following key points were made during discussion:

- Overall, the Academic Board at the ANU has limited powers and some of the recommendations (for example, recommendation 4 concerning Academic Board becoming the delegated authority for academic governance, rather than the Vice-Chancellor) would create a more substantial role for the Board, noting that such a change would require further capacity building in the Academic Board membership and resourcing to support an enhanced policy function.

- Electing, rather than appointing, members to subcommittees may not identify suitably experienced and diverse candidates (Recommendation 9). While Academic Board concurred with the Working Group, it agreed to add the following words (in bold) to this resolution:

  Resolution 9:
  The Working Group agrees with the recommendation, noting also the importance of diversity and expertise in the membership of sub-committees.

- The connection between Academic Board and the Executive is important and should be consultative.

- While recommendation 2a - concerning the Chair of the Academic Board becoming a member of the University Council - was not supported by the Working Group or the Academic Board, members noted that the Chair should become an active participant at each Council meeting (including by sitting at the Council table itself). Academic Board also noted that, currently, three of its members are also members of the 15 person ANU Council (a number that is expected to become 14 should the proposed Australian National University Bill be introduced and passed by the Parliament).

- The Senior Management Group is separately conducting a similar exercise to develop its response, which thus far appears consistent with many of those resolved by Working Group and the Academic Board.

Item 17  Model Code for the Protection of Freedom of Speech and Academic Freedom

Accompanying the March 2019 Report of the Independent Review of Freedom of Speech in Australian Higher Education Providers by the Hon Mr Robert French was a proposed draft Model Code for the protection of freedom of speech and academic freedom.

Academic Board endorsed the broad objects of the Model Code for the Protection of Freedom of Speech and Academic Freedom in Australian Higher Education Providers.

Academic Board also:

1. Recommended the development of a specific ANU Statement on Freedom of Speech that is informed by the Model Code;

2. Supported the holding of one or more Town Hall meeting(s) to enable the wider university community to contribute to a statement/policy through discussion about freedom of expression and academic freedom on the ANU campus;
3. Agreed that rights to, and responsibilities for, Academic Freedom and Freedom of Expression should be supported by the new ANU Code of Conduct; and
4. Agreed that the relevant policies and procedures of the University should align with the ANU Statement on Academic Freedom (as resolved by Academic Board on 3 July 2018) and an ANU Statement on Freedom of Expression.

Item 18 Hot Topic: International Student Education
The Chair introduced the item and explained that this was the first opportunity for members to consider a holistic view International Education at the University.

ANUSA representatives made the following main points as part of the discussion:

- Every international student at the ANU is an ANU student, whose welfare remains the responsibility of the University.
- A greater office presence, beyond that provided by PARSA and ANUSA, would also greatly assist international students (especially so in instances where international students may be reluctant to seek advice or assistance). Members noted that support provisions for international students are being considered by the Senior Management Group (SMG).
- The ANU College English-language courses for new international students have been particularly well received, and a helpful introduction to a new environment and friends.
- The University should consider extended and compulsory induction programs for international students, similar to models used in the United States.
- The Student Partnership Agreement for next year should focus on these matters.

The meeting also noted that:
- From next year, all international students will need to meet the University's English language requirements when their application is assessed. English language admission requirements are set by the Academic Board. ANU College will, however, commence offering free English language tutoring of up to 48 hours, intended to support international students integrate into the University.
- The University now has data showing which cohorts of students across the Colleges require significant Academic Skills support. This should inform admission and curriculum development.

Items 20-22 Reports from Sub-Committees
Board noted the summary of major items considered by the following sub-committees;

- Academic Quality Assurance Committee
- Teaching and Learning Development Committee
- University Research Committee

Other matters approved/endorsed/noted by the Board
- Reports from senior Executives
- College Presentation - College of Asia and the Pacific (CAP)
- Dean of Students Annual Report 2018
- Coursework Courses Grades Distribution Analysis Report, Semester 2 2018
- Review and Amendments to Undergraduate and Graduate awards and specialisations
- Academic incidents
- Policy documents for VC approval
- Higher Education Support Amendment (Cost Recovery) Bill 2019
- Academic Integrity Incidents Report
- National Code of Practice for Providers of Education and Training to Overseas Students Compliance Annual Review

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

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

**PREPARED BY**
Communications Officer (Special Events)
Research Services Division

**REVIEWED BY**
Vice-Chancellor

**APPROVED BY**
Vice-Chancellor

**SPONSOR**
Vice-Chancellor

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

**ACTION REQUIRED**
- [ ] For discussion
- [ ] For decision
- [x] For information

**ATTACHMENTS**
- 26.1 Significant Events Register
- 26.2 Grants and Consultancies Report

**COMMUNICATION**
- [ ] For public release
- [ ] For internal release
- [x] Not for release
27. POWER OF ATTORNEY

PURPOSE
For Council to note any transactions signed under Power of Attorney by the Investment Manager since the last meeting of Council.

PREPARED BY
Investment Manager

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note any transactions over which the Investment Manager exercised Power of Attorney since the last Council meeting, on 26 July 2019.

ACTION REQUIRED
☐ For discussion  ☐ For decision  ☑ For information

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

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

There were no transactions signed under Power of Attorney by the Investment Manager since the last meeting of Council, on 26 July 2019.

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
28. LEGISLATION

PURPOSE For Council to note any legislation approved by the Vice-Chancellor since the last meeting of Council.

PREPARED BY Associate Director, Corporate Governance and Policy

REVIEWED BY Council Secretary

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note any legislation approved by the Vice-Chancellor since the last meeting of Council, on 26 July 2019.

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

BACKGROUND
Section 9.6 of the Vice-Chancellorship Statute 2013 requires that if the Vice-Chancellor exercises his power to make a Rule or Order, it must be reported to the Council at the next meeting of the Council after the Rule or Order concerned was made.

This report confirms that no legislation has been approved by the Vice-Chancellor since the last meeting of Council on 26 July 2019.

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

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

PREPARED BY
Executive Assistant, Office of the Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note any documents to which the University Seal was affixed since the last meeting of Council, on 26 July 2019.

ACTION REQUIRED
For discussion ☐ For decision ☐ For information ☑

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

BACKGROUND AND SUMMARY OF ISSUES

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

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

This report confirms that there were no instances of the University Seal being used since 26 July 2019.

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑
PART 6 – OTHER BUSINESS

30. OTHER BUSINESS

PURPOSE
For Council members to raise any other business for the consideration at the meeting.

SPONSOR
Chancellor

RECOMMENDATION
That the Council consider any other business raised.

ACTION REQUIRED
☑ For discussion ☐ For decision ☐ For information
31. NEXT MEETING

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

SPONSOR Chancellor

RECOMMENDATION That Council note that its next meeting is scheduled to be held on 6 December 2019.

ACTION REQUIRED

☐ For discussion  ☐ For decision  ☑ For information
ATTACHMENTS
# Glossary of ANU Terms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Explanation</th>
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<tbody>
<tr>
<td>AB</td>
<td>Academic Board</td>
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<tr>
<td>AQAC</td>
<td>Academic Quality Assurance Committee</td>
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<td>AHEGS</td>
<td>Australian Higher Education Graduation Statement</td>
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<td>ANIP</td>
<td>Australian National Internships Program</td>
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<td>ANU</td>
<td>Australian National University</td>
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<td>ANUE</td>
<td>ANU Enterprise</td>
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<td>AOU</td>
<td>Academic Organisational Unit</td>
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<td>AQF</td>
<td>Australian Qualifications Framework</td>
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<td>ARC</td>
<td>Australian Research Council</td>
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<tr>
<td>ARMC</td>
<td>Audit and Risk Management Committee</td>
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<tr>
<td>ARP</td>
<td>Alumni Relations &amp; Philanthropy Division</td>
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<tr>
<td>CAP</td>
<td>ANU College of Asia &amp; the Pacific</td>
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<tr>
<td>CASS</td>
<td>ANU College of Arts &amp; Social Sciences</td>
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<tr>
<td>CBE</td>
<td>ANU College of Business &amp; Economics</td>
</tr>
<tr>
<td>CECS</td>
<td>ANU College of Engineering &amp; Computer Science</td>
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<tr>
<td>CFO</td>
<td>Chief Financial Officer</td>
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<tr>
<td>CGRO</td>
<td>Corporate Governance and Risk Office</td>
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<tr>
<td>CHELT</td>
<td>Centre for Higher Education, Learning &amp; Teaching</td>
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<tr>
<td>CHM</td>
<td>ANU College of Health and Medicine</td>
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<tr>
<td>CoL</td>
<td>ANU College of Law</td>
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<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
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<tr>
<td>CoS</td>
<td>ANU College of Science</td>
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<tr>
<td>CPC</td>
<td>Campus Planning Committee</td>
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<tr>
<td>CRICOS</td>
<td>Commonwealth Register of Institutions and Courses for Overseas Students</td>
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<td>CSP</td>
<td>Commonwealth Supported Place</td>
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<tr>
<td>CSS</td>
<td>Commonwealth Support Student</td>
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<td>DET</td>
<td>Commonwealth Department of Education and Training</td>
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<tr>
<td>DSA</td>
<td>Division of Student Administration</td>
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<tr>
<td>Acronym</td>
<td>Explanation</td>
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<tr>
<td>DSL</td>
<td>Division of Student Life</td>
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<tr>
<td>DTF</td>
<td>Domestic Tuition Fees</td>
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<tr>
<td>DVC(A)</td>
<td>Deputy Vice-Chancellor (Academic)</td>
</tr>
<tr>
<td>DVC(GE)</td>
<td>Deputy Vice-Chancellor (Global Engagement)</td>
</tr>
<tr>
<td>DVC(RI)</td>
<td>Deputy Vice-Chancellor (Research and Innovation)</td>
</tr>
<tr>
<td>EFT</td>
<td>Equivalent Full Time</td>
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<tr>
<td>EFTSL</td>
<td>Equivalent Full Time Student Load</td>
</tr>
<tr>
<td>ERMC</td>
<td>Electronic Records Management System</td>
</tr>
<tr>
<td>ESOS</td>
<td>Educational Services for Overseas Students Act 2000</td>
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<tr>
<td>F&amp;B</td>
<td>Finance and Business Services Division</td>
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<tr>
<td>F&amp;S</td>
<td>Facilities and Services Division</td>
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<tr>
<td>FBT Act</td>
<td>Fringe Benefits Tax Assessment Act 1986</td>
</tr>
<tr>
<td>FC</td>
<td>Finance Committee</td>
</tr>
<tr>
<td>FOI</td>
<td>Freedom of Information</td>
</tr>
<tr>
<td>GMSDD</td>
<td>College General Managers and Service Division Directors (group)</td>
</tr>
<tr>
<td>Go8</td>
<td>Group of Eight</td>
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<tr>
<td>HDC</td>
<td>Honorary Degrees Committee</td>
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<tr>
<td>HDR</td>
<td>Higher Degree Research</td>
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<tr>
<td>HECS</td>
<td>Higher Education Contribution Scheme</td>
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<tr>
<td>HELP</td>
<td>Higher Education Loan Program</td>
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<tr>
<td>HESA</td>
<td>Higher Education Support Act 2003</td>
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<td>HRD</td>
<td>Human Resources Division</td>
</tr>
<tr>
<td>ISF</td>
<td>International Student Fees</td>
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<tr>
<td>ISP</td>
<td>International Strategy &amp; Partnerships</td>
</tr>
<tr>
<td>ITS</td>
<td>Information Technology Services Division</td>
</tr>
<tr>
<td>LO</td>
<td>University Legal Office</td>
</tr>
<tr>
<td>MSRD</td>
<td>Marketing &amp; Student Recruitment Division</td>
</tr>
<tr>
<td>MPJSC</td>
<td>Major Projects Joint Sub-Committee</td>
</tr>
<tr>
<td>NC</td>
<td>Nominations Committee</td>
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<tr>
<td>NCIS</td>
<td>National Centre for Indigenous Studies</td>
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<tr>
<td>Acronym</td>
<td>Explanation</td>
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<tr>
<td>NHMRC</td>
<td>National Health and Medical Research Council</td>
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<tr>
<td>OVC</td>
<td>Office of the Vice-Chancellor</td>
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<tr>
<td>PG</td>
<td>Postgraduate</td>
</tr>
<tr>
<td>PGPA</td>
<td>Public Governance, Performance &amp; Accountability Act 2013</td>
</tr>
<tr>
<td>PID</td>
<td>Public Interest Disclosure</td>
</tr>
<tr>
<td>PPM</td>
<td>Planning &amp; Performance Measurement Division</td>
</tr>
<tr>
<td>PVC(E)</td>
<td>Pro Vice-Chancellor (Education)</td>
</tr>
<tr>
<td>PVC(I)</td>
<td>Pro Vice-Chancellor (Innovation)</td>
</tr>
<tr>
<td>PVC(UE)</td>
<td>Pro Vice-Chancellor (University Experience)</td>
</tr>
<tr>
<td>RC</td>
<td>Remuneration Committee</td>
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<td>RSD</td>
<td>Research Services Division</td>
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<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
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<tr>
<td>SCAPA</td>
<td>Strategic Communications &amp; Public Affairs</td>
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<tr>
<td>SIG</td>
<td>Service Improvement Group</td>
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<tr>
<td>SIS</td>
<td>Scholarly Information Services Division</td>
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<tr>
<td>SMG</td>
<td>Senior Management Group</td>
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<tr>
<td>TEQSA</td>
<td>Tertiary Education Quality and Standards Agency</td>
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<tr>
<td>Tjabal</td>
<td>Tjabal Indigenous Higher Education Centre</td>
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<tr>
<td>TLDC</td>
<td>Teaching and Learning Development Committee</td>
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<tr>
<td>TTO</td>
<td>Technology Transfer Office</td>
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<tr>
<td>UA</td>
<td>Universities Australia</td>
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<tr>
<td>UAC</td>
<td>University Admissions Centre (for NSW and ACT)</td>
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<tr>
<td>UG</td>
<td>Undergraduate</td>
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<tr>
<td>URC</td>
<td>University Research Committee</td>
</tr>
<tr>
<td>VC</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>VP(A)</td>
<td>Vice-President (Advancement)</td>
</tr>
<tr>
<td>VP(E&amp;CA)</td>
<td>Vice-President (Engagement &amp; Corporate Affairs)</td>
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COUNCIL PERFORMANCE: CHANCELLOR’S CONSULTATIONS WITH COUNCIL MEMBERS, JUNE – JULY 2019

Consultation Objectives and Process

1. The Voluntary Code of Best Practice for the Governance of Australian Universities, adopted by Council in September 2011, includes a provision that “at least once each two years, the governing body should assess its performance, the performance of its members and the performance of its committees. The Chancellor should have responsibility for organising the assessment process, drawing on external sources if required.”

2. The practice adopted in conducting this evaluation in recent years – March 2011, February 2013, February 2016 and February 2017 and now again in June-July 2019 – has been for the Chancellor to have one-on-one confidential conversations with Council members with the aim of giving and receiving feedback on individual performance, getting a sense of members’ degree of comfort or otherwise with present Council structure and process, and discussing any other issue of concern or interest relating to the strategic direction of ANU, and then summarizing those views – not attributing anything to particular individuals – in a report to Council. This report gives Council the opportunity, should it wish, to have a collective debate at regular intervals on its effectiveness.

3. Following is a brief summary of the major issues and themes discussed in my consultations – over coffee or by telephone – with members in June and July 2019.

General Role of Council

4. Council members continued to show a clear understanding, and ready acceptance, of the fundamental distinction between a board’s directorial and strategic oversight role and management’s operational role. There was a general sense that the right issues were coming to Council for discussion and decision, and that Council members were not being excluded or inhibited from engagement on all significant strategic issues.

5. Members attached particular importance to the annual Planning Day, with the extended discussions there seen as of real utility. As to regular Council meetings, although a number of members felt the time being devoted to major strategic issues, as distinct from lesser operational ones, was about right, the majority wanted to spend more time on them, particularly in the context of regular review of the implementation of the Strategic Plan. Views were divided, however, as to how that could best be done. There was some support for a second ‘planning day’ being held mid-year; some others wanted longer Council meetings; and others wanted, within the existing time frame, less time spent on non-strategic issues (with, e.g., health and safety reports being addressed only every second meeting). While keeping this under review, the least disruptive solution in the first instance may be to plan for a full 4-hour Council meeting – from 9.15-1.15 – starting any afternoon visits or other supplementary program a little later as a result.
6. As to non-strategic issues, general satisfaction was expressed with time and attention being given to these at each meeting, including the quality of financial reporting. Members were appreciative of the detailed overviews of current issues in the Vice-Chancellor’s report, and a clear majority wanted to retain the opportunity to consider at each meeting all existing routine agenda items, including on health and safety, albeit spending less time on them than strategic issues.

7. On the question of the visibility and acceptability of the Council within the wider University community, while some Council members felt that lack of knowledge of our existence or role was not something over which we should lose sleep, the majority felt this was important, and the staff and student members generally felt that our visibility was gradually increasing. Several internal members emphasised the importance of the post-meeting Chancellor’s report getting out on the website as soon as possible, while acknowledging that the number of confidential matters we dealt with meant that this report would often not be very informative. The practice of regular site visits following Council meetings was thought to be contributing significantly in this respect – as well as adding very usefully to members’ knowledge of what was going on, and their capacity to make effective input into strategic planning decisions – and there was clear majority support for those visits continuing.

8. Support was expressed for the new practice of producing and distributing to staff and students as soon as possible after each Council meeting a brief account of what had been discussed and decided – with the drafting paying close attention to messaging, i.e. the main story-lines we wanted to get out. Some concern was expressed as to whether this report was in fact getting to all intended recipients.

Structure and Membership

9. **Size and Composition.** The general sense was that the present size of Council – either the present 15, or 14 if the new Act is ever passed – was about right, and that there was a good spread of expertise and experience. Staff and student input was highly valued by other members, and there was no mood to change the internal-external balance. On questions of gender balance, regional balance, relevant-experience balance and Indigenous representation, the sense was that these were all important to get right, and were being appropriately addressed in the current Succession Plan. But attention was also drawn to the importance of trying to get more cultural diversity on the Council as well, while acknowledging that this would not be easy with the limited number and turnover of the ministerial appointments. On the question of Academic Board representation on Council, the most common view was that the Chair of the Board should sit at the main table and participate fully in Council discussions, but not be a formal member.

10. **Induction and Development.** Much appreciation was expressed for the induction program for new members now being implemented by the Governance office. There was also support, particularly from staff and student members, for the opportunity to attend, before commencing or very early in their terms, relevant external short courses. The newly constructed Australian Institute of Company Directors’ program, specially designed for university governance with much input from the University Chancellors Council, was given rave reviews by those...
Council members who had attended, and is strongly recommended for all new members.

11. Remuneration of Council Members. The great majority of members expressed no desire to reopen this issue, other than in the context of some special provision being made for the Chancellor because of the workload involved. The view was expressed that this issue could be revisited in future if felt desirable, taking into account any clear direction that might emerge in Go8 practice.

12. Chancellor’s Role. General support was expressed (at least to his face…) for the Chancellor’s performance of his presiding, ceremonial and representational roles, with the occasional additional comment to the effect that advanced age, and accompanying infrastructure decay, seemed to be having a mildly mellowing effect.

13. Overall Sense of Collegiality. This remains very strong: there was a generally evident sense of high mutual respect among Council members, with a recognition that all colleagues had something useful to contribute, and a real commitment to the welfare and advancement of the University.

14. Several members emphasized the great importance, in getting to know each other and work together better, of informal interaction away from the Council table. The pre-Council dinners – and coffee breaks of reasonable length – were seen as particularly useful in this respect. While unstructured social interaction was seen as a particularly attractive feature of the dinners, there was also support for at least some time in the evening continuing to be devoted to informal collective discussion of major current issues.

Council Meetings

15. Length of Meetings. While as noted in para 5, there was widespread feeling that more time needed to be devoted at each meeting to major strategic issues, there was no unanimity on how this could best be achieved. As also earlier noted, the best solution for the immediate future seems to be to have a guaranteed full 4-hour meeting, with afternoon programs pushed back accordingly, with most (if not all members) not needing to depart until 4 pm. It was acknowledged that even with a full four hours available, discussion of some items would need to be abridged: the most common candidate for abridgement (or outright deletion from the agenda) was the philanthropic presentations, though some members saw these as continuing to be valuable both for participating staff training and Council information purposes. Some saw the VC’s report as sometimes a little too granular and time consuming, but there was unanimous appreciation of the time and effort that went into its preparation, and for the sense that Council’s need for information was being fully respected.

16. Papers. Council members generally felt that they were now getting the material they needed to perform their roles effectively. While the papers were often formidable bulkily, the efforts that had been made to make navigation easier – with clearer executive summaries, clearer cross-referencing, clearer badging of primary as distinct from supportive material (and easy electronic navigation back to main items from the attachments), and clearer descriptions of the nature of the Council attention required for each paper – were all seen as working well.
17. **Conduct of Meetings.** General satisfaction was expressed with the way Council meetings were currently being conducted, with all members expressing the view that a reasonable balance had been achieved between on the one hand keeping meetings focused and disciplined, and on the other hand giving members – including new ones – full encouragement and opportunity to express their own views. There was a general feeling that the right balance was being struck between formality and informality.

18. **Staff Presentations.** These were seen as important and necessary elements in Council meeting, and were generally well received, with the continuing improved clarity in financial and budgetary reporting in recent years being particularly appreciated. Some concern was expressed about the variable quality of the presentations on major strategic issues given at each meeting: these needed not just to be informative about present practice, but to include so far as possible sharply defined conclusions and recommendations appropriate for Council debate. As noted above, there were mixed views about the utility of the philanthropic presentations, with the most common view being that they should generally continue, except when the main agenda was particularly heavy.

19. **Council Committees.** There was general comfort with the way in which committee reports were coming to Council, but with the need emphasised for continued close attention to be paid to clear executive summaries and general clarity of presentation to assist navigating through what was often a mass of material, and continued clear identification of what required decision as distinct from noting. Some feeling was expressed that a little too much major finance and audit material was being nodded through – because of the confidence felt in the relevant Committees – and more full Council time should be allocated to discussion of the Summary documents. Some felt that this could best be achieved by bringing the Committee reports to the front of the Agenda, after the VC’s report, but there was no majority for any change to the agenda as currently formally ordered. The most generally acceptable solution may be to keep these reports where they now are, but with Committee chairs being required to specifically identify important issues not addressed elsewhere on the Council agenda, with an accompanying opportunity for general discussion.

For information and discussion.

GARETH EVANS  
Chancellor  
August 2019
PARTNERING FOR INDIGENOUS JUSTICE

ANU College of Law

Injustice runs deep for First Nations peoples in Australia. Entrenched social, economic and political challenges intersect with law to disadvantage and silence Indigenous peoples. Overcoming these challenges requires deep listening and true partnership.

The ANU College of Law is Australia’s national law school, and is committed to partnering for justice with Indigenous Australia. We believe in connecting student capability and passion for social justice with the aspirations, priorities and demands for justice of First Nations peoples. With your support, ANU Law’s Indigenous justice partnerships will help to deliver real justice outcomes for First Nations peoples, empower our Indigenous students and educate future allies for Indigenous justice.
**Working together**

Two unique partnerships between ANU Law and community legal services – the Kimberley Community Legal Services (KCLS) and the North Australian Aboriginal Justice Agency (NAAJA) – create an extraordinary opportunity to deliver culturally competent and culturally responsive legal education.

With your support, these partnerships will lead the nation in providing students with a formative experience of the law that is one of service and collaboration with Indigenous Australia.

**Kimberley Aboriginal Justice Clinic**

In 2017, ANU Vice-Chancellor, Professor Brian Schmidt, and Senator Patrick Dodson launched a ground-breaking partnership between the ANU College of Law and the Kimberley Community Legal Services (KCLS).

This has created a matrix of academic and law student support, including the first full-time back office for a remote area legal service in Australia. It is the first partnership of its kind between an Australian university law school and a remote, non-profit community legal centre, and one of our most extensive student-driven achievements to date.

Over 85 per cent of KCLS clients are Aboriginal people struggling with complex legal challenges. Every day, across vast distances, KCLS partners with Aboriginal people to face these injustices. KCLS lawyers and Aboriginal outreach workers provide free legal help in areas of the law central to basic human rights and dignity: from housing, safety, social security and tenancy, to employment, consumer protection, discrimination and compensation; from giving voice to people in their own languages, to advocating for systemic change to address structural and intergenerational challenges.
Your impact

The work of KCLS is case work at its most challenging. It is policy work at the cutting edge, undertaken by legal professionals stretched beyond measure.

Your support will help to expand this multi-faceted program into a formal clinic, the Kimberley Aboriginal Justice Clinic, as part of ANU Law’s Clinical Legal Education Program.

The impact will reach beyond the lives of people in the Kimberley to the lives, careers and values of our students. Your support will help to provide:

> breakthrough resources for legal help for Aboriginal people in the Kimberley;
> sustained, systemic advocacy for human rights and legal rights, powered by collaborative student research and service; and
> outstanding learning outcomes for ANU students.

Clinical legal education programs have a transformative impact on law students as it places them at the coalface of the justice system, where they witness the law in action, in all its complexity. Such programs require strong leadership and quality supervision to ensure communities receive maximum benefit.

Your support will help the clinic secure a senior Indigenous lawyer – the Kimberley Aboriginal Justice Clinic Manager based in Broome – to lead the program and maximise the justice impact for Aboriginal people in the Kimberley.

Legal education for true justice

Building on the success of our partnership with KCLS, the ANU College of Law has partnered with the North Australian Aboriginal Justice Agency (NAAJA), an Aboriginal-led legal service representing Indigenous people in the Northern Territory for 40 years.

We share a commitment to developing cultural competency through legal education, taught on-country, for law students and those working in the law, as a foundation for true justice.

Truly understanding the law and its impact in Australia requires us to listen deeply to First Nations voices. ANU and NAAJA are developing new opportunities for law students to listen and respond to First Nations lawyers, elders, traditional owners, interpreters and academics. This capacity to listen is central to cultural competence in the legal professions.

The first outcome of this partnership will be delivered in 2020 on Anangu Country at Uluru through an innovative and intensive course, Legal Education for True Justice: Indigenous Perspectives and Deep Listening on Country. Uluru has profound resonance for Indigenous-led explorations of the legal, political and social dimensions of justice.
Co-designed by ANU, NAAJA and the Winkiku Rumbangi Indigenous Lawyers, with ANU leadership from Professor Asmi Wood, this exemplar course will be taught by Indigenous experts and will encourage listening and reflection. It aims to equip students with a critical and meaningful understanding of Indigenous perspectives on, and experiences with, law, justice and legal systems.

Deep listening means being open to learning. Respecting our knowledge and our ways is the precondition for true justice.

Braedyn Edwards
National President, Union of Aboriginal and Torres Strait Islander students; current ANU Arts/Law (Hons) student

Your impact

Your support will help to establish and grow this innovative program of on-country education, and ensure that students – both Indigenous and non-Indigenous – can travel and participate regardless of their financial circumstances.

This pilot course aspires to set a new standard for cultural competency in legal education and professional development, and has the potential to be delivered more broadly to lawyers, judges and academics.

With your support, we can deliver a multi-year program of on-country education, and make a sustainable commitment to our students, staff and partners. It will strengthen our evaluation processes, build our capacity to skilfully engage with Indigenous perspectives on law and justice, and embed these within our legal curriculum.
We seek philanthropic partners to join us in delivering our vital national responsibilities to Indigenous Australia.


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Images  
Cover  

Photo, page 2  
ANU Law students and KCLS interns, from left to right, Alexandra Ross, Erica Weatherley and Lauren Reed.

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CRICOS Provider No. 00120C
OUR INTERNATIONAL VISION

The Australian National University (ANU) was founded in 1946 to play a critical role in the post-war development of the nation. We were founded to nurture Australia’s intellectual leaders and give this country research capabilities and outcomes that would enable it to take its place amongst the great nations of the world.

The ANU Strategic Plan opens with the ambition that ANU will sit among the great universities of the world. This Strategy is the international realisation of our Strategic Plan.

ANU is currently one of the world’s most international universities and the most international in Australia. This international character is central to our identity and our founding mission. As Australia’s national university, we carry a responsibility that is unique amongst Australian universities; the core of our mission is to take Australia to the world and bring the world to Australia.

The challenges confronting Australia today are far removed from those that confronted it in the aftermath of WW2. Just as ANU played a critical role in the post-war development of Australia, the national university has a critical role to play in shaping contemporary Australia and its contribution to our region and the world.

Our ambition is to advance modern Australia by producing and nurturing intellectual leaders of national, regional and global standing.

While our focus is Australia, our horizons are global. The legacy of our long-standing international engagement and expertise has delivered us unrivalled impact beyond our borders, particularly throughout Asia and the Pacific. We contribute to the global advancement of Australia through excellence in research, in education and in societal transformation.
OUR INTERNATIONAL STRATEGY

This Strategy outlines how we will capitalise on our international expertise, reputation and outlook to advance and strengthen our contribution to the nation and world so that we can realise our contemporary ambition as Australia’s national university and a university with global standing and impact.

This Strategy provides an overarching guide to the University’s global engagement priorities. It supports alignment with and between the University’s seven academic Colleges, provides a focused approach and draws on university-wide initiatives to support the highest quality partnerships, research collaboration, societal transformation and student experience. It needs to be underpinned by appropriate investment.

Four core ambitions lie at the heart of the ANU International Strategy:

1) Advance Australia’s contribution to the world through our globally engaged research, education and public policy impact
2) Nurture global intellectual leaders by giving our students a distinctively international education
3) Deepen our longstanding engagement with Asia and the Pacific
4) Raise our global profile and reputation

This International Strategy focuses on expanding our global impact, creating the highest quality research and education collaborations and mobility opportunities for ANU staff and students through targeted regional plans with a special emphasis on Asia and the Pacific. We will build on our founding mission by continuing to nurture our engagement with the Asia-Pacific across all disciplines, working closely with our partners in the region.

As a university-wide initiative, the International Strategy articulates shared responsibilities across both academic and professional areas. All international activity occurs within an evolving geopolitical and geo-economic landscape and must remain responsive to the changing needs of the University, of our governmental stakeholders and of wider society. Our supporting frameworks and regional plans will evolve and change to address emerging priorities.
The ANU international strategy is a collective effort and the views and participation of our community and our partners are key to its success.

**ANU Community**
- Academic and Professional Staff
- Students
- Senior Management Group
- International Strategy & Partnerships office
- International Liaison Offices
- Global Programs
- Marketing and Student Recruitment
- Advancement

**Our partners**
- Partner universities and research institutes
- Australian Government
- Other national governments
- International Organisations
- Industry
- NGOs, Think tanks
- Alumni and Donors
The ANU International Strategy is guided by four core ambitions, which reflect the priorities and values of our current Strategic Plan. These four ambitions form the basis for strategic decision-making on international engagement and ensure that our activities reflect the University’s international aspirations.

1. **Advance Australia’s contribution to the world through our globally engaged research, education and public policy impact**

As the national university, ANU has a unique responsibility to make a substantial global contribution on behalf of Australia through our research, education and input on public policy development. Through harnessing our unique relationships with governmental entities, along with non-government and industry partnerships, ANU will build on our reputation for excellence to contribute solutions to global challenges. We will be an important and leading voice for Australia in the region and across the world as we draw on our strategic partnerships and projects and our network of international offices.

2. **Nurture global intellectual leaders through a distinctively international education**

ANU seeks to be distinctive among the world’s universities by providing our students with an unrivalled educational experience, providing an enriched global experience on our campus in Canberra along with international study, internship and research experiences open to all of our students. Central to our identity and international reputation is our commitment to excellence and diversity. The University seeks a cohort of students who reflect the diversity of our nation and region; students whose educational experience is enhanced by being surrounded by classmates from many different backgrounds, countries, life experiences and perspectives.

The ANU student experience is shaped by a relatively small student cohort and a high proportion of postgraduate students. To deliver on its goal of a transformative campus experience, ANU will maintain its unique enrolment size and will focus its energies on developing student and alumni cohorts characterised by excellence, diversity, equity and opportunity.

3. **Deepen engagement with Asia and the Pacific**

Since our inception in 1946, we have nurtured deep and enduring connections to governments and communities in Asia and the Pacific across cultural, political, economic and social issues. Engagement and partnership with our neighbours remains central to our mission, and we will continue to build upon our deep ties in the region - strengthening links with Asia-Pacific universities, research centres, civil society and governments in Asia and the Pacific. We will nurture intellectual leaders and innovative thinkers. We will foster deeper Australian understanding of the region and actively contribute to it through major project work conducted at ANU and at institutions across Asia and the Pacific. We will continue to deepen our partnerships with institutions across the region.

We will seek to create and collaborate on new research and education opportunities, serving as both a partner to countries located in those regions and as an essential resource for those interested in the Asia and the Pacific. ANU will produce graduates that are literate in the opportunities and challenges that these societies face and that they afford Australia.

4. **Raise our global profile and reputation**

ANU is committed to raising our global profile and reputation for excellence in research and innovation, education and public policy as we build on the advantage conferred by our history and our existing reputation. We will achieve meaningful impact through deep engagement with our region and the world. By focusing on deepening and developing new partnerships with a select group of peer institution across the world, the University will increase its capacity for high-quality research collaboration, and a distinctively international student and staff experience. It is through these deep, holistic partnerships and positive, high-quality engagement, that ANU will invest in its international reputation, in turn attracting the best staff and student talent from across the globe.

The University will continue to support academic excellence by identifying, supporting and shepherding international collaborative research projects, which will both diversify the sources of our research income and expand our research scope. We will provide substantial and active support for our relationships and partnerships. Through these, ANU will increase its ability to attract significant and diversified international funding for its world-class research collaborations.
As a community, we have articulated a set of values as central to our identity. These values are set out in our Strategic Plan as a basis of all that we do:

- We bring a distinctive excellence to our work and have the confidence to pursue original ideas.
- We are inclusive, open and respectful, reflecting the diversity of our nation.
- We are committed to integrity and ethical behaviour.
- We value, enable, reward and celebrate collegiality.
- We embrace informed risk-taking in pursuit of our objectives.
- We are committed to better outcomes for our community, the environment, our nation and the world.

In our international activity, we will embody the founding principles of ANU through:

- Academic excellence and the pursuit of innovative research and solutions
- Academic freedom and free enquiry
- Inclusivity and equality of opportunity
- Collegiality and co-creation
- Sustainability and long-term thinking
- Non-exploitation of people or land
- Better outcomes for our community, the environment, our nation and the world
We will invest in our International Strategy and build the capacity to realise our global ambitions, providing the university community with what it needs to succeed through an enabling ecosystem, highly professional support, robust policy and systems, focused initiatives and partnerships across Colleges and portfolios.

Deeper Strategic Partnerships

Deeper strategic partnerships with peer universities provide the foundation for ANU to cultivate new global research and educational opportunities, as well as enhance the University’s profile, reputation and global impact. We will undertake these with a limited number of peer universities globally while establishing new channels of collaboration with government, non-government and industry partners, as well as with the ANU alumni network. While deepening these selective strategic partnerships, ANU will also review and consolidate its existing international partnerships to ensure that they reflect current research and education priorities.

We will place substantial investment in two comprehensive partnerships with peer institutions with whom we share common values and priorities. These global partners will be identified by detailed analysis and consultation with the ANU community and our broader community. These comprehensive partnerships will be across all disciplines and structured to support collaborative endeavours including jointly developed and delivered programmes at all levels, joint appointments, research collaboration, and student mobility programs.

ANU will also deepen its focused partnerships with institutions that mirror our research and education interests in areas of strength, and deepen our relationships in our geographical region. These existing relationships include those facilitated by the University’s membership of networks such as the International Alliance of Research Universities (IARU), the Association of Pacific Rim Universities (APRU) and the U7 Alliance.

To support and reinforce our commitment to Indigenous and First Nations peoples in Australia and across the world, ANU will establish a global network of universities with similar interests, which will seek to celebrate and support these cultures. Through partnering with these Indigenous communities at universities across the world, we will focus on creating global education opportunities for our students, and sharing international knowledge and expertise on Indigenous issues to develop and support the next generation of Indigenous leaders.

Initiatives

- Identify and Invest in up to two comprehensive partnerships.
- Deepen focused partnerships with a small group of peer institutions.
- Review and consolidate existing partnerships.
- Pursue global relationships that connect ANU staff and students with industry and government research and training opportunities.
- Establish an international Indigenous network with universities in USA, Canada, Norway and New Zealand that is committed to advancing the position and lives of Indigenous and First Nation peoples.
- Deepen relations with ANU Alumni.
Research excellence is at the centre of all that ANU does. Supported by the National Institutes Grant, we are charged with a responsibility to make a difference to our nation and world. Our Vision, expressed in the Strategic Plan, is that we will be renowned for the excellence of our research, which will be international in scope and quality, measured against the best in the world.

ANU will contribute to global wellbeing by pursuing strategic, interdisciplinary research projects that address the complex challenges facing Australia, our region and the world. Where appropriate, we will seek to codesign these projects with our international partners and collaborators.

We are investing strongly in strategic programs of research and innovation that deliver transformative change and engagement. We have done this by establishing ANU Innovation Institutes and running a Grand Challenges scheme that invites academics at ANU to address important global issues through an interdisciplinary lens.

Our research aligns with eight broad themes, all of which are underpinned by a deep understanding of our national role, an interdisciplinary approach, and a commitment to contributing to significant public policy discussions and development.

- Our regional & global context
- Indigeneity
- Culture, creativity & societies
- Poverty & development
- Better health outcomes
- Environment & sustainability
- Future security
- Science & innovative technology

ANU will create a more visible global footprint to support our collaborative research partnerships, establishing an office in Europe to complement our existing International Liaison Offices in North America, Southeast Asia and China.

Our strategic partnerships and liaison offices will be harnessed to create more opportunity and support for our researchers while also diversifying the University’s revenue streams and growing its Category 3 income. ANU will expand its collaboration with international industry. Building on current collaborations which include research links and student internships, the University will seek to develop deeper partnerships with industry globally, in order to generate potential collaboration opportunities such as knowledge exchange and technology transfer, as well as creating industry-sponsored PhDs and joint research.

Education

We were founded with a mission to draw Australia closer to Asia and the Pacific. Our student cohort has always been international. We count international leaders in government, academia and civil society amongst our alumni.

The University is committed to building a cohort of students who reflect the diversity of our nation and our region. To foster this diversity across nationality, ethnicity, gender and economic capacity, we will provide targeted scholarship schemes and pathways and enriched student mobility programs. We will support this with the establishment of additional overseas recruitment offices in Indonesia and on the West Coast of the USA, and with a more co-ordinated approach to managing recruitment activities in India in order to aid future and current student engagement.

With the Colleges, we will establish Vice- Chancellor’s International Student Excellence Award scholarships to support a diverse cohort of international students and to provide greater opportunities for individual students. We will provide additional financial support to students sponsored by their national governments.

We will establish a new inbound study abroad program to enrich our students’ experience and to provide international students with a unique and positive ANU experience in Australia, which will in turn provide an opportunity for the University to create long-lasting relationships and foster goodwill with future ANU alumni across the globe.

We will continue to offer outbound pathways to our students and grow international opportunities for our students. Through our strategic partnerships and existing government funding schemes such as the New Colombo Plan, the University will continue to support and enable all students to have an enriched internationalised experience.

Initiatives

- Build a student cohort renowned for its diversity and excellence.
- Invest in international mobility programmes.
- Establish new recruitment offices in Indonesia, in India and on the west coast of the USA.
- Establish Vice-Chancellor’s International Student Excellence Award scholarships to support short-term visits for international students.
- Provide additional financial support to students awarded overseas government scholarships.
- Develop an enriched inbound study abroad programme.
- Ensure education and wellbeing support for international students on campus.

Innovate research collaboration opportunities through strategic partnerships.

Establish a European Liaison Office.

Support access to international research funding opportunities.

Co-design research endeavours and structures with international collaborators.

Foster deeper research and impact relationships with industry internationally.
### Public Policy

From its location in the national capital and with its unrivalled connections to government, ANU is exceptionally well placed to influence public debate and advance public policy development in both Australia and globally. We will translate our research to make it more accessible to policy makers in governments and in civil society across our region and the world. We will build on the successful vehicles for policy discussion and knowledge exchange that already exist across the University such as the ANU Crawford Leadership Forum, by creating structures that enable our staff to provide timely, accessible, evidence-based input into policy discussions on a global scale. We will continue to strengthen the capabilities of our staff and students to bring ANU expertise into the public policy sphere, in Australia and overseas.

We will draw on our strategic partnerships to advance these aims and deliver significant public policy impact. We will also seek to establish a Visiting Policy Fellows Programme for public servants and civil society actors based overseas to spend time with staff at ANU examining potential policy inputs.

### Initiatives

- Establish a Visiting Policy Fellows Programme.
- Contribute to the public debate and development of public policy in Australia, our region and the world.

### Staff

ANU is distinctive for the diversity of its staff, and includes one of the highest proportions of international staff amongst world universities. We will continue to recruit the very best academic and professional staff from around the world. We are committed to fostering a culture of inclusion, collegiality and partnership for all ANU staff, students and visitors regardless of their ethnicity or nationality.

The creation of new opportunities for our staff in research collaboration, education delivery opportunities, international exchange and funding will be central to our approach to supporting strategic partnerships. We will also seek to draw on the expertise of our International Liaison Offices to identify opportunities for in-country staff engagement and collaboration.

We will establish a university-wide Vice-Chancellor’s International Fellows Programme to attract outstanding academics and early-career researchers from diverse disciplines and backgrounds. The program will provide Fellows with an ANU experience second to none, with opportunities for collaboration, engagement, teaching and comprehensive on-campus support. In addition to this inbound International Fellows scheme, the ANU International Strategy will create outbound opportunities for current staff, facilitated by the development of new international partnerships.

### Initiatives

- Establish a VC International Fellows Programme. Identify and create opportunities for outbound staff through our existing and proposed International Liaison Offices.
- Foster joint appointments, outbound staff opportunities, and more collaborative research efforts through strategic partnerships.
The areas of geographic focus

The International Strategy will develop operational plans for key geographic areas, noting that areas of the University will already have their own strategic initiatives in these and other regions. These regional plans will be reviewed annually.

The areas of geographic focus are:

1. Increased high-quality joint and dual degree programmes with key international partners from Undergraduate to Higher Degree Research.
2. Increased number and citations of joint publications between ANU and international researchers.
3. Increased number of joint academic staff appointments with global partners of high standing.
4. Increased participation by international researchers in ANU projects.
5. Increased participation by ANU researchers in overseas funding schemes (for example, US and Canadian, UK, EU and member state national schemes, OECD countries, along with Singapore and other emerging research funders) along with increased participation in large-scale, multi- and inter-disciplinary projects.
6. Increase in diversity of sources of income.
7. Increase in diversity of international students and academic staff.
8. Increased inbound and outbound mobility for ANU staff and students.
9. Increased number of off-shore co-created research presences in the Asia and the Pacific.
10. Increased acknowledgment of the University’s public policy impact.
11. Increased engagement with internationally-based ANU alumni.
12. Sustained growth in philanthropic support from global alumni and friends of ANU.
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CRICOS Provider #00120C
A Model Code for the Protection of Freedom of Speech and Academic Freedom in Australian Higher Education Providers

Objects

The objects of the Code are:

(1) To ensure that the freedom of lawful speech of staff and students of the university and visitors to the university is treated as a paramount value and therefore is not restricted nor its exercise unnecessarily burdened by restrictions or burdens other than those imposed by law and set out in the Principles of the Code.

(2) To ensure that academic freedom is treated as a defining value by the university and therefore not restricted nor its exercise unnecessarily burdened by restrictions or burdens other than those imposed by law and set out in the Principles of the Code.

(3) To affirm the importance of the university’s institutional autonomy under law in the regulation of its affairs, including in the protection of freedom of speech and academic freedom.

Application

(1) The Code applies to the governing body of the university, its officers and employees and its decision-making organs, including those involved in academic governance.

(2) The Code also applies to student representative bodies to the extent that they have policies and rules which are capable of being applied to restrict or burden the freedom of speech of anyone, or academic freedom.

Definitions

‘academic freedom’ for the purposes of this Code comprises the following elements:

• the freedom of academic staff to teach, discuss, and research and to disseminate and publish the results of their research;
• the freedom of academic staff and students to engage in intellectual inquiry, to express their opinions and beliefs, and to contribute to public debate, in relation to their subjects of study and research;

• the freedom of academic staff and students to express their opinions in relation to the higher education provider in which they work or are enrolled;

• the freedom of academic staff, without constraint imposed by reason of their employment by the university, to make lawful public comment on any issue in their personal capacities;

• the freedom of academic staff to participate in professional or representative academic bodies;

• the freedom of students to participate in student societies and associations.

• the autonomy of the higher education provider in relation to the choice of academic courses and offerings, the ways in which they are taught and the choices of research activities and the ways in which they are conducted.

‘academic staff’ all those who are employed by the university to teach and/or carry out research and extends to those who provide, whether on an honorary basis or otherwise, teaching services and/or conduct research at the university.

‘external visiting speaker’ any person who is not an invited visiting speaker and for whom permission is sought to speak on the university’s land or facilities.

‘imposed by law’ in relation to restrictions or burdens or conditions on a freedom include restrictions or burdens or conditions imposed by statute law, the common law (including the law of defamation), duties of confidentiality, restrictions deriving from intellectual property law and restrictions imposed by contract.

‘invited visiting speaker’ any person who has been invited by the university to speak on the university’s land or facilities. For the purposes of this definition, ‘the university’ includes its decision-making organs and officers; its student representative bodies, undergraduate and post-graduate; any clubs, societies and associations recognized by its decision-making organs or
student representative bodies; and any entities controlled by the university.

Note: The definition of ‘university’ which limits this class of visitor.

‘non-statutory policies and rules’ means any non-statutory policies, rules, guidelines, principles, codes or charters or similar instruments.

‘speech’ extends to all forms of expressive conduct including oral speech and written, artistic, musical and performing works and activity and communication using social media; the word ‘speak’ has a corresponding meaning.

‘staff’ for the purposes of this Code ‘staff’ includes all employees of the university whether fulltime or part-time and whether or not academic staff.

‘the duty to foster the wellbeing of staff and students’;

• includes the duty to ensure that no member of staff and no student suffers unfair disadvantage or unfair adverse discrimination on any basis recognised at law including race, gender, sexuality, religion and political belief;

• includes the duty to ensure that no member of staff and no student is subject to threatening or intimidating behaviour by another person or persons on account of anything they have said or proposed to say in exercising their freedom of speech;

• supports reasonable and proportionate measures to prevent any person from using lawful speech which a reasonable person would regard, in the circumstances, as likely to humiliate or intimidate other persons and which is intended to have either or both of those effects;

• does not extend to a duty to protect any person from feeling offended or shocked or insulted by the lawful speech of another.

‘the university’ means the university as an entity and includes its decision-making organs and officers, its student representative bodies, undergraduate and post-graduate, and any entities controlled by the university.

‘unlawful’ means in contravention of a prohibition or restriction or condition imposed by law.
Operation

(1) The university shall have regard to the Principles of this Code in the drafting, review or amendment of any non-statutory policies or rules and in the drafting, review or amendment of delegated legislation pursuant to any delegated law-making powers.

(2) Non-statutory policies and rules of the university shall be interpreted and applied, so far as is reasonably practicable, in accordance with the Principles of this Code.

(3) Any power or discretion under a non-statutory policy or rule of the university shall be exercised in accordance with the Principles in this Code.

(4) This Code prevails, to the extent of any inconsistency, over any non-statutory policy or rules of the university.

(5) Any power or discretion conferred on the university by a law made by the university in the exercise of its delegated law-making powers shall be exercised, so far as that law allows, in accordance with the Principles of this Code.

(6) Any power or discretion conferred on the university under any contract or workplace agreement shall be exercised, so far as it is consistent with the terms of that contact or workplace agreement, in accordance with the Principles of this Code.

Principles of the Code

(1) Every member of the staff and every student at the university enjoys freedom of speech exercised on university land or in connection with the university subject only to restraints or burdens imposed by:

• law;
• the reasonable and proportionate regulation of conduct necessary to the discharge of the university’s teaching and research activities;
the right and freedom of others to express themselves and to hear and receive information and opinions;

• the reasonable and proportionate regulation of conduct to enable the university to fulfil its duty to foster the wellbeing of students and staff;

• the reasonable and proportionate regulation of conduct necessary to enable the university to give effect to its legal duties including its duties to visitors to the university.

(2) Subject to reasonable and proportionate regulation of the kind referred to in the previous Principle, a staff or student member of the University’s lawful speech on the university’s land or in or in connection with a university activity shall not constitute misconduct nor attract any penalty or other adverse action by reference only to its content; nor shall the freedom of academic staff to make lawful public comment on any issue in their personal capacities be subject to constraint imposed by reason of their employment by the university.

(3) Every member of the academic staff and every student enjoys academic freedom subject only to prohibitions, restrictions or conditions:

• imposed by law;

• imposed by the reasonable and proportionate regulation necessary to the discharge of the university’s teaching and research activities;

• imposed by the reasonable and proportionate regulation necessary to discharge the university’s duty to foster the wellbeing of students and staff;

• imposed by the reasonable and proportionate regulation to enable the university to give effect to its legal duties;

• imposed by the university by way of its reasonable requirements as to the courses to be delivered and the content and means of their delivery.

(4) The exercise by a member of the academic staff or of a student of academic freedom, subject to the above limitations, shall not constitute misconduct nor attract any penalty or other adverse action.

(5) In entering into affiliation, collaborative or contractual arrangements with third parties and in accepting donations from third parties subject to
conditions, the university shall take all reasonable steps to minimise the restrictions or burdens imposed by such arrangements or conditions on the freedom of speech or academic freedom of any member of the academic staff or students carrying on research or study under such arrangements or subject to such conditions.

(6) The university has the right and responsibility to determine the terms and conditions upon which it shall permit external visiting speakers and invited visiting speakers to speak on university land and use university facilities and in so doing may:

(a) require the person or persons organising the event to comply with the university’s booking procedures and to provide information relevant to the conduct of any event, and any public safety and security issues;

(b) distinguish between invited visiting speakers and external visiting speakers in framing any such requirements and conditions;

(c) refuse permission to any invited visiting speaker or external visiting speaker to speak on university land or at university facilities where the content of the speech is or is likely to:

(i) be unlawful; or

(ii) prejudice the fulfilment by the university of its duty to foster the wellbeing of staff and students;

(iii) involve the advancement of theories or propositions which purport to be based on scholarship or research but which fall below scholarly standards to such an extent as to be detrimental to the university’s character as an institution of higher learning;

(d) refuse permission to any external visiting speaker to speak on university land or at university facilities where the content
of the speech is or is likely to involve the advancement of theories or propositions which purport to be based on scholarship or research but which fall below scholarly standards to such an extent as to be detrimental to the university's character as an institution of higher learning.

(e) require a person or persons seeking permission for the use of university land or facilities for any external visiting speaker to contribute in whole or in part to the cost of providing security and other measures in the interests of public safety and order in connection with the event at which the external visiting speaker visitor is to speak.

(7) Subject to the preceding Principles the university shall not refuse permission for the use of its land or facilities by an external visiting speaker visitor or invited visiting speaker visitor nor attach conditions to its permission, solely on the basis of the content of the proposed speech by the visitor.

(8) Consistently with this Code the university may take reasonable and proportionate steps to ensure that all prospective students in any of its courses have an opportunity to be fully informed of the content of those courses. Academic staff must comply with any policies and rules supportive of the university’s duty to foster the wellbeing of staff and students. They are not precluded from including content solely on the ground that it may offend or shock any student or class of students.
Review of Academic Governance Report

Academic Board Working Group - Response to Recommendations

August 2019
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Background

In 2018, the Chair of the Academic Board, Professor Jacqueline Lo, commissioned Professor Hilary Winchester to conduct a review of Academic Governance at the ANU. This review was measured against the requirements of the Higher Education Standards Framework (HESF).

The Winchester Report was received by the University in February 2019, and first considered by the Academic Board on 30 April, the Senior Management Group (SMG) on 2 May and the University Council on 24 May.

Academic Board established this Working Group on 30 April to consider the recommendations made in the Report, and to submit its own report to the Board by 27 August. SMG is continuing its consideration of the Report. Council, on 24 May, requested that it receive a consolidated University response at its 3 October meeting.

Working Group Membership

1. Professor Jacqueline Lo - Chair;
2. Professor Robert Williamson - Deputy Chair;
3. Professor Anthony Connolly - College of Law;
4. Dr Douglas Craig - College of Arts & Social Sciences;
5. Professor Jodie Bradby - College of Science;
6. Professor Kate Reynolds - College of Health & Medicine;
7. Ms Eden Lim - ANUSA President; and
8. Mr Chris Reid - Council Secretary & Director, Corporate Governance and Risk Office (CGRO).

Secretary: Ms Aroosa Mehreen - CGRO

Terms of Reference

The Working Group, led by Professor Lo, was tasked with the following deliverables:

- Review the Winchester Report and consider each of the recommendations;
- Continue to consult and update Academic Board as work progresses;
- Liaise with the Senior Management Group through the Provost; and
- Draft a response to the Report for the Board to consider for transmission to Council.

Meetings

Meeting 1: Thursday, 20 June 2019 9.30 am - 10.30 am
Meeting 2: Monday, 22 July 2019 11.00 am - 12.30 pm
Meeting 3: Wednesday, 14 August 2019 2.00 pm - 3.30 pm
Introduction

Overall, ANU governance arrangements at the highest levels, including at the Academic Board, have remained robust and respected, especially from a reputational and accreditation point of view. This was confirmed by the national regulator - the Tertiary Education Quality and Standards Agency (TEQSA) – offering in 2018 to automatically extend the ANU’s registration as a University by three years beyond the normal registration period.

Nevertheless, the Review provided an excellent opportunity for the University to reflect on its academic governance structures and processes, and also its commitment to continuous improvement. The Winchester Report makes 20 recommendations and offers valuable insights designed to enhance academic governance at the University, including by raising the status of the Academic Board and strengthening its place as the central voice of the academic community at the ANU.

Academic Governance is defined by TEQSA as follows:

*Academic governance is the framework of policies, structures, relationships, systems and processes that collectively provide leadership to and oversight of a higher education provider’s academic activities (teaching, learning and scholarship, and research and research training if applicable) at an institutional level (TEQSA Guidance Note, 2017).*

The Report presupposes a particular model of academic governance and the split between matters of governance and management. This supposition is an effective interpretation of the TEQSA requirements around implementation of the HESF. However, it is not a definitive interpretation. The nature of ANU, with extensive autonomy for academic matters being devolved, is robust and effective, noting the unique academic culture of the organisation.

The Working Group recognises that the HESF does not specify any particular form or structure for academic governance (e.g. by specifying an Academic Board), but rather the focus is placed on academic governance outcomes. Academic leadership at the University is provided by the Vice-Chancellor, the Provost, the responsible Deputy Vice-Chancellor and Pro Vice-Chancellor, College Deans and specifically appointed academic staff, with significant expert support also provided by the Academic Standard and Quality Office (ASQO), CGRO and the University Legal Office. The Academic Board and its sub-committees provide strategic oversight and advice about all academic matters, and bring significant academic expertise to its membership.

The Working Group acknowledges that the Winchester Report covers many important topics and agrees with several of the recommendations in part or in whole, but not all. It has also queried some of the commentary in the document which is sometimes inaccurate or misinterpreted (for example, on pages 10, 14 and 39), and which could have been addressed during the draft report stage. The Working Group was also unsure of the relevance to academic governance of some of the latter recommendations, namely 15 to 19. These have simply been noted. Finally, some recommendations (for instance, recommendations 5, 7 and 10, and also 4 and 13) are similar in substance and could have been presented as one.
Response to Recommendations

Recommendation 1

It is recommended that ANU enhance the understanding of and support for academic governance, currently offered through CGRO, including updating all relevant documents pertaining to Academic Board and its committees on the University website, with dates and version numbers as appropriate.

The Working Group agrees that enhancing the understanding of and support for academic governance, including governance and administration generally, is an existing and ongoing task at the University.

That said, CGRO provides dedicated and expert secretariat services in support of the Academic Board and two of its sub-committees, as well as the University's highest level governing authority, the ANU Council, and its committees.

The provision of advice, monitoring and compliance concerning the Higher Education Standards Framework (HESF) - against which this report was produced - is not aligned to CGRO’s responsibilities or resourcing (see p10 of the Report). Discussion in this regard may be more appropriately directed towards a dedicated academic governance area such as the Academic Standards and Quality Office (ASQO).

Resolution

The Working Group agrees with the recommendation as being an existing and perpetual task.

The Working Group also queries the commentary concerning CGRO.

Recommendation 2

It is recommended that ANU reconsider the role and appointment of the Chair of Academic Board:

a. To become a member of Council, rather than an observer;

b. To be elected by and from the Professoriate, rather than appointed by Council on the recommendation of the Vice-Chancellor;

c. To increase the workload allocation to a fraction greater than 0.5 FTE;

d. To provide targeted executive support; and

e. To codify the number of terms a Chair may serve.

This Working Group invested much time in consideration of this recommendation, especially 2a. It concluded that the independence of the Chair is an essential component of Academic Governance at the ANU, and therefore becoming a voting member of the Council is not supported. However, a speaking role at the Council table itself at each meeting is proposed as an alternative.
With regard to 2b, there is no distinct Professoriate cohort in organisational terms, at the ANU. The current arrangement, with the Chair being nominated by the Vice-Chancellor and appointed by the Council, has worked well and allows for any serious issues of performance and/or competence to quickly come to the attention of the Board and Council. Academic Board should provide advice to the Vice-Chancellor – however it chooses to do so - in selecting an appropriate Chair with established academic governance credentials.

With regard to 2c, 2d and 2e, the Working Group agrees that the role of Chair, Academic Board can be demanding and distinct from other positions at the University. In consultation with Academic Board legislation and the Charter, a formal position description outlining the role of the Chair should be created, listing also the maximum number of terms to be served and also clarifying the provision of administrative support and the budget to be made available.

Resolution

The Working Group:

a. Does not agree to the Chair, Academic Board becoming a member of Council

   Alternative: The Working Group proposes that the Chair, Academic Board be an active participant (sitting) at the Council table at each meeting, but not vote.

b. Does not agree that the Chair, Academic Board be elected. Rather, the Working Group proposes that the Board provide advice to the Vice-Chancellor – however it chooses to do so - in support of the Vice-Chancellor making a recommendation to Council.

c/d. Agrees with the recommendation to recognise the workload allocation for the Chair, Academic Board to a fraction greater than 0.5 FTE and to provide executive support for the Chair.

   The Working Group notes that it is not in the capacity of, or in the Academic Board Charter, for CGRO to provide Executive/Administrative staff for the Chair.

e. Agrees with the recommendation to codify the number of terms a Chair may serve (and also to create a position description for the role).

Recommendation 3

It is recommended that ANU focus its Academic Board more clearly on oversight of academic quality, including:

a. Redeveloping its reporting timetable and work plan;

b. Requesting appropriate reports from PPM, including KPIs;

c. Considering which reports should come directly to Academic Board for institutional oversight; and

d. Reducing duplication in agendas between governance and management committees.
Reporting lines are not always straightforward, with some reports, for example, going to the Senior Management group (SMG) directly, and others direct to another body, such as Academic Board. Several reports, however, necessarily cover both management and governance matters, hence duplication at times.

Work is also well underway by PPM to further enhance reporting and by CGRO to develop the Academic Board work-plan for 2020.

Resolution

The Working Group agrees with the recommendation, and notes that this range of work is already underway.

Recommendation 4

It is recommended that ANU reconsider the status of the Academic Board:

a. To be a sub-committee of Council, rather than having a reporting relationship only;

b. To be the delegated authority for academic governance, rather than the Vice-Chancellor.

The Working Group considers that sub-committee status will reduce the standing of Academic Board because all other governance groups established by Council (Finance, Audit and Risk, Campus Planning etc.) are full committees of Council. The Working Group also notes that the proposed ANU Governance Statute automatically creates an Academic Board.

In terms of delegating authority for academic governance to the Academic Board, rather than the Vice-Chancellor, the Working Group notes:

- Accreditation of courses, and matters relating to the establishment and disestablishment of awards, and the variation of programs/courses is the only academic delegation currently held by Academic Board.

- The Vice-Chancellor currently holds delegation to approve Academic policies, and exercises this authority following the endorsement of the Academic Board (which itself receives proposed academic policies from the responsible Academic Board sub-committee – the Academic Quality Assurance Committee - AQAC, in consultation with ASQO and the Colleges).

- Where delegations are concerned, the Provost position is new (since March 2018) and evolving in the policy space.

- Full engagement by Academic Board would be essential if it was to become the approving authority for policy, and that academic governance expertise on the Board continues to evolve.

- The membership of the Academic Board, including its size and Executive participation.

- The SMG and the Provost are also considering each recommendation, and will be interested in their views.
Resolution

The Working Group:

a. **Does not agree** that Academic Board should become a sub-committee of Council.

b. **Agrees** that Academic Board could become the delegated authority for academic governance in principle. However, it acknowledges that considerable investment would be required with respect to Board’s engagement and capacity to assume full responsibility for academic governance matters. The Working Group also noted that SMG’s view is still to be confirmed, and should be taken into account as part of the University presenting its consolidated view to Council.

Recommendation 5

It is recommended that ANU consider an amendment to the TOR of AQAC and TLDC:

a. To move educational policy from the remit of AQAC to TLDC; and

b. To include matters of educational quality within the TOR of TLDC.

The Working Group agrees that TLDC should examine educational policy, distinct from the academic policies related to compliance matters, and focus on teaching standards, innovation and quality. Continuous liaison between subcommittees of the Academic Board is an essential component of good academic governance.

Resolution

The Working Group **agrees** with the recommendation.

Recommendation 6

It is recommended that ANU remove the Student Experience Committee (SEC) from its status as a sub-committee of Academic Board, reconsider its role and reallocate its reporting relationships.

Resolution

The restructure of the University Experience Portfolio has dissolved SEC. This recommendation is **no longer applicable**.

Recommendation 7

It is recommended that ANU amend the TOR of URC to include:

a. Specific mention of matters of research integrity; and

b. Oversight of research performance,

With appropriate reporting to Academic Board and Council.
Research integrity is not formally within the remit of URC and consequently may benefit from being included, in addition to existing Executive oversight and reporting about these areas of research.

Resolution
The Working Group agrees with the recommendation.

Recommendation 8
It is recommended that ANU establish the HDRC as a sub-committee of Academic Board, reporting directly to the Board rather than through URC, and make appropriate changes to its membership and TOR reflecting the recent establishment of a Graduate Research Office.

The Working Group agrees that URC should be directly engaged with HDR and that the current arrangement is satisfactory.

An alternative proposal, however, is for the Dean HDR to present a standing, periodic report to the Board for enhancing the visibility of research training.

Resolution
The Working Group does not agree with the recommendation.

Alternative: Rather, the Dean HDR should present a periodic report – suggested to be at 6 month intervals – to Academic Board.

Recommendation 9
It is recommended that ANU include elected members of staff on sub-committees of Academic Board.

The Working Group agrees that having elected members of staff on sub-committees would be beneficial, noting that it can be difficult to identify available, engaged and experienced candidates to serve consistently in this capacity.

Resolution
The Working Group agrees with the recommendation, noting also the importance of diversity and expertise in the membership of sub-committees.

Recommendation 10
It is recommended that ANU amend the TOR of its sub-committees, so that they are consistent in their requirements in relation to the oversight of quality of their respective areas of influence.

The Working Group agrees, as per similar recommendations 5 and 7.

Resolution
The Working Group agrees with the recommendation, consistent with its agreement to recommendations 5 and 7.
Recommendation 11

It is recommended that ANU develop a benchmarking policy and that the setting and monitoring of benchmarks be included in the TOR of either or both of the Academic Board or its sub-committees.

Benchmarking is extensively used in a range of policy contexts. ANU participates in many collective benchmarking exercises, such as the Group of Eight Quality Verification System (QVS) which is a process of external, discipline-led, academic peer review of final year undergraduate student outcomes. The primary focus of such activities is to assist Go8 Universities to maintain and improve their academic standards. Therefore, this recommendation is not supported. It may, however, be applicable to benchmarking specific courses.

Resolution

The Working Group does not agree with the recommendation.

Recommendation 12

It is recommended that ANU plan to improve the communication between Academic Board and Council, through mechanisms, which could include:

- Enhanced two-way reporting;
- Cross-attendance;
- Referrals from Council to Academic Board; and
- More independent advice from Academic Board to Council.

The Working Group supports enhanced communication between the Board and Council and notes that cross attendance/membership already occurs across a range of committees/Board/Council.

Reporting and references to/from Board to Council and vice-versa are always possible and should, of course, be enhanced at every opportunity. The Working Group suggests sharing Council News and Council meeting summaries to the Board as part of agenda papers or separately.

(Note: these steps have already been taken, effective July 2019)

Resolution

The Working Group agrees with the recommendation, noting comments above.

Recommendation 13

It is recommended that ANU consider the further delegation of approval of academic and research policy, and/or related academic procedures and guidelines to the Academic Board.

The Working Group observes the overlap between this and recommendation 4b, to which it provides measured support.
Separately, the Working Group also notes that procedures and guidelines may - in fact - be approved by senior officers other than the Vice-Chancellor (see commentary on p39 of the Report).

**Resolution**
The Working Group **agrees** with the recommendation as per recommendation 4b, including the same qualifying remarks.

**Recommendation 14**

It is recommended that ANU act urgently to address overdue policy reviews and include a schedule of policy reviews in Academic Board work plans and its sub-committees to provide greater visibility to policy review.

The Working Group notes that ASQO currently provides to each AQAC meeting the **ANU Education Policy Review Schedule**, and agrees that this could usefully be expanded to ensure that Academic Board is fully aware of the status of all academic policy reviews.

ASQO and Research Services Division (RSD) may be ideally placed to further enhance this already established practice.

**Resolution**
The Working Group **agrees** with the recommendation and **also proposes** to immediately create a standing item on the Academic Board (and each sub-committee) agenda called **policy reviews – status report** (or similar) for each meeting.

**Recommendation 15**

It is recommended that ANU undertake a comprehensive revision and restructuring of the Research Awards Rule (RAR) 2017 in 2019, and consider, at minimum:

a. Simplification of phrasing;

b. Elimination of duplication and contradictions;

c. Splitting into sections related to the student life-cycle; and

d. Appropriate authorities and delegations.

The Working Group appreciates the issues raised in the Report, but queries its place in the review.

Reviewing the RAR forms part of a significant HDR project, one taking place under Executive leadership, and expected to continue well into 2020 (that is, well beyond 2019 as proposed in the recommendation).

**Resolution**
The Working Group **notes** the recommendation.
Recommendation 16

It is recommended that ANU audit and update its Delegations of Authority Policy, Delegations of Authority Procedure and Delegations Register and in that review:

a. Amend the Procedure to include an evaluation of academic delegations by the Academic Board at least annually; and

b. Amend the Register to include appropriate delegations to the Provost and Dean, HDR to reflect their new roles.

The Delegations Framework is never static and perpetually evolving in response to structural or operational developments, including the introduction of the position of Provost in March 2018. The Framework is designed to reflect the University’s organisational structure and provide a mechanism to assign authorities which originate from legislation, policy and procedures. Any amendments to associated academic legislation and policy documents are endorsed by the Board prior to adoption.

Resolution

The Working Group notes the recommendation.

Recommendation 17

It is recommended that ANU clarify the process for the approval of new HDR programs and for coursework elements within HDR programs.

The Working Group is aware that HDR is currently the subject of extensive review by the University, and under Executive leadership (DVC R&I and Dean HDR). HDR changes would automatically be presented to existing governance bodies: URC and Academic Board, for example.

Resolution

The Working Group notes the recommendation.

Recommendation 18

It is recommended that ANU, in its revisions of the policy, procedure and forms for program and course accreditation, take fully into account all the requirements of program review listed in HES 5.3.

The Working Group notes that ASQO already undertakes this task as part of program and courses accreditation, and that any reviews at a school level would remain within the responsibility of the Executive and Deans.

Resolution

The Working Group notes the recommendation.
Recommendation 19

It is recommended that ANU streamline and consolidate its approach to research integrity policy, procedure and reporting.

The Working Group observes this recommendation to be similar to recommendation 7 (that is, where research integrity is connected to URC, and through this, to policy), and that the University Executive works in collaboration with College and Service Divisions (such as Research Services), and with Academic Board and its sub-committees.

Resolution

The Working Group notes the recommendation.

Recommendation 20

It is recommended that ANU revise and update its Risk Management Framework, Risk Management Policy and Risk Management Procedure and in that review:

a. Ensure academic risk is fully incorporated, including Academic Board as a stakeholder and treatment owner;

b. Include an evaluation of academic risks by the Academic Board at least annually;

c. Use identified academic risks for revision of the internal audit schedule.

The Working Group notes that significant work is underway to revise and implement the Risk Management Framework, including the continuous review and updating of University Strategic Risk Register, the Risk Champions network and the new Strategy Dot Zero software to support business planning and reporting.

Academic Board has also formed a Working Group led by the DVC (Academic), and supported in parts by CGRO, to develop an Academic Risk Register for consideration and will review the Register on an annual basis.

Academic risks are also considered as part of the scheduling of the annual Internal Audit Work Plan.

Resolution

The Working Group:

a. Agrees with the recommendation to revise and update the Risk Management Framework, Risk Management Policy and Risk Management Procedure, and notes that this work is already well underway.

b. Agrees with the recommendation to include academic risk in the University Risk Management Framework and to consult academic risk as part of the annual Internal Audit Work Plan scheduling, and notes that this work is already well underway.
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<td>1</td>
<td>Partially agree</td>
<td>The recommendation reflects that the understanding and support for academic governance could be enhanced, but notes CGRO as provider, which is not wholly correct. Understanding of and support for academic governance is substantially provided by the Deputy Vice-Chancellor (Academic) portfolio, and the Academic Standards &amp; Quality Office (ASQO). ASQO expertise directly aligns to the Higher Education Standards Framework, against which the Report was produced, and not the Corporate Governance and Risk Office (CGRO) (p10). CGRO provides secretariat support services to Academic Board and two of its sub-committees.</td>
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**Recommendation 2**: ANU reconsider the role and appointment of the Chair of Academic Board:

a) to become a member of Council, rather than an observer;
b) to be elected by and from the Professoriate, rather than appointed by Council on the recommendation of the Vice-Chancellor;
c) to increase the workload allocation to a fraction greater than 0.5 FTE;
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| 2   | Partially agree | a) This is a matter for Council to consider.  
b) This is a matter for Council to consider, but consideration needs be given to there being (under the current 1991 ANU Act) four elected staff members on the Council, including two academic staff, and the Vice-Chancellor *ex officio*. Alignment of the terms of Chair, Academic Board to Council terms would allow the chair to stand for election under current rules.  
c) This should be negotiated with the Chair upon appointment – recognising that the Chair should have the capacity to remain research-active, consistent with the University’s academic culture.  
d) A business case would need to be prepared by the Chair, Academic Board for additional staffing support.  
e) This is a matter for the Vice-Chancellor and Provost to consider. |        |      |        |

**Recommendation 3:** ANU focus its Academic Board more clearly on oversight of academic quality, including:

- a) redeveloping its reporting timetable and work plan;
- b) requesting appropriate reports from PPM, including KPIs;
- c) considering which reports should come directly to Academic Board for institutional oversight; and
- d) reducing duplication in agendas between governance and management committees.

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<td>Partially agree</td>
<td>a) This is an operational matter for Academic Board to consider. At the early 2019 planning workshop the range of data and reports available were presented to</td>
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<td>Academic Board. A forward agenda for Academic Board is being developed by CGRO.</td>
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<td>b) This is an operational matter for Academic Board and the Executive to consider. At the early 2019 planning workshop the range of data and reports available were presented to Academic Board.</td>
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<td>c) Reports to governance committees tend to be discussed at management committees and endorsed by members of the University’s Senior Management Group. Academic Board may wish to request that certain matters are discussed with the Board directly, and these requests will be considered.</td>
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<td>d) A review of Academic Board and Senior Management Group agendas shows very little overlap at present.</td>
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**Recommendation 4:** ANU reconsider the status of the Academic Board:

a) to be a sub-committee of Council, rather than having a reporting relationship only; and

b) to be the delegated authority for academic governance rather than the Vice-Chancellor.

4 | Partially agree | a) This is a matter for Council to consider, noting that TEQSA Guidance Notes of 2017 (appearing on P1 of the Report) advance the notion that Academic Governance and Corporate Governance are quite distinct. |        |      |        |
<p>|   |             | b) While academic governance is usually, it need not be through a single body as long as appropriate outcomes are met. Academic Board is presently responsible for the bulk of academic governance including: |        |      |        |</p>
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**Recommendation 5:** It is recommended that ANU consider an amendment to the TOR of AQAC and TLDC:

a) to move educational policy from the remit of AQAC to TLDC; and

b) to include matters of educational quality within the TOR of TLDC.

| 5   | Partially agree | a) These are operational matters for Academic Board to consider. Academic Board should have regular reviews of its sub-committees at which modifications of TORs are considered. This could occur 5-yearly. |        |     |        |

**Recommendation 6:** It is recommended that ANU remove the SEC from its status as a sub-committee of Academic Board, reconsider its role and reallocate its reporting relationships.

| 6   | Agree | With the move of the PVC (UE) portfolio into the Academic portfolio, there is an opportunity to reconsider responsibilities and reporting. It is important that Academic Board receives reports on student experience through some avenue. |        |     |        |

**Recommendation 7:** ANU amend the TOR of URC to include:

a) specific mention of matters of research integrity; and

b) oversight of research performance,

with appropriate reporting to Academic Board and Council.
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<td>7</td>
<td>Partially agree</td>
<td>DVC (RI) to examine the remit and business of URC to determine whether a change to the TORs is needed or whether other appropriate reporting of these matters is already achieved.</td>
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</table>

**Recommendation 8:** ANU establish the HDRC as a sub-committee of Academic Board, reporting directly to the Board rather than through URC, and make appropriate changes to its membership and TOR reflecting the recent establishment of a Graduate Research Office.

<table>
<thead>
<tr>
<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
<th>Starts</th>
<th>Ends</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>Do not agree</td>
<td>A white paper on HDR currently under consideration. But, given that the Dean HDR reports through the DVC (RI) it would seem appropriate that HDR matters receive a full discussion at URC meetings.</td>
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</table>

**Recommendation 9:** ANU include elected members of staff on sub-committees of Academic Board.

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<th>Rec</th>
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<th>Key considerations/steps to be taken</th>
<th>Starts</th>
<th>Ends</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>9</td>
<td>Partially agree</td>
<td>This could be an option for the elected members.</td>
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</table>

**Recommendation 10:** ANU amend the TOR of its sub-committees, so that they are consistent in their requirements in relation to the oversight of quality of their respective areas of influence.

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<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
<th>Starts</th>
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<th>Status</th>
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<tbody>
<tr>
<td>10</td>
<td>Agree</td>
<td>Academic Board should have regular reviews of its sub-committees at which modifications of TORs are considered. This could occur 5-yearly.</td>
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**Recommendation 11:** ANU develop a benchmarking policy and that the setting and monitoring of benchmarks be included in the TOR of either or both of the Academic Board or its sub-committees.

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<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
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<th>Status</th>
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<tbody>
<tr>
<td>11</td>
<td>Partially agree</td>
<td>Academic Board should have regular reviews of its sub-committees at which modifications of TORs are considered. This could occur 5-yearly.</td>
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<td>Rec</td>
<td>Response</td>
<td>Key considerations/steps to be taken</td>
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<td><strong>Recommendation 12:</strong> ANU plan to improve the communication between Academic Board and Council, through mechanisms, which could include:</td>
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<td></td>
<td>• Enhanced two-way reporting;</td>
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<td></td>
<td>• Cross-attendance;</td>
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<td></td>
<td>• Referrals from Council to Academic Board; and</td>
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<td></td>
<td>• More independent advice from Academic Board to Council.</td>
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<tr>
<td>12</td>
<td>Partially agree</td>
<td>The Chair of Academic Board has observer status at Council, and has been invited to present to the Council. The Chancellor has likewise presented to Academic Board. Council and Academic Board may determine at any time to increase/change the manner in which they communicate.</td>
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<td></td>
<td><strong>Recommendation 13:</strong> ANU consider the further delegation of approval of academic and research policy, and/or related academic procedures and guidelines to the Academic Board.</td>
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<tr>
<td>13</td>
<td>Partially agree</td>
<td>This would require a straightforward review of the ANU Policy Framework. A subset of policy approvals relating to academic standards could be delegated to Academic Board. Note p39 of the Report: Procedures and guidelines do not need VC approval (but DVC/COO/Director level).</td>
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<td></td>
<td><strong>Recommendation 14:</strong> ANU act urgently to address overdue policy reviews and include a schedule of policy reviews in Academic Board workplans and its sub-committees to provide greater visibility to policy review.</td>
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<tr>
<td>14</td>
<td>Partially agree</td>
<td>ASQO maintains an Academic Policy Register, and has a schedule for review CGRO collates overdue policy review data and (now) reports this to COO/Directors at six monthly intervals.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Business owners should address any overdue matters.

**Recommendation 15:** ANU undertake a comprehensive revision and restructuring of the RAR (*Research Awards Rule*) in 2019, and consider, at minimum:

a) Simplification of phrasing;
b) Elimination of duplication and contradictions;
c) Splitting into sections related to the student life-cycle; and
d) Appropriate authorities and delegations.

15 Partially agree  
A white paper on HDR currently under consideration.

**Recommendation 16:** ANU audit and update its Delegations of Authority Policy, Delegations of Authority Procedure and Delegations Register and in that review:

a) Amend the Procedure to include an evaluation of academic delegations by the Academic Board at least annually; and
b) Amend the Register to include appropriate delegations to the Provost and Dean, HDR to reflect their new roles.

16 Agree  
The Delegations Framework is dynamic, monitored and evolving.  
All Statutes, Rules and Orders are made by, or reported to, Council.

**Recommendation 17:** ANU clarify the process for the approval of new HDR programs and for coursework elements within HDR programs.

17 Agree  
A white paper on HDR is currently under consideration.

**Recommendation 18:** ANU, in its revisions of the policy, procedure and forms for program and course accreditation, take fully into account all the requirements of program review listed in HES 5.3.
<table>
<thead>
<tr>
<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
<th>Starts</th>
<th>Ends</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>18</td>
<td>Agree</td>
<td>This is a function of ASQO.</td>
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</tbody>
</table>

**Recommendation 19:** ANU streamline and consolidate its approach to research integrity policy, procedure and reporting.

<table>
<thead>
<tr>
<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
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<tbody>
<tr>
<td>19</td>
<td>Partially agree</td>
<td>For Director, RSD to discuss with DVC (RI), then Academic Board.</td>
</tr>
</tbody>
</table>

**Recommendation 20:** ANU revise and update its Risk Management Framework, Risk Management Policy and Risk Management Procedure and in that review:

a) Ensure academic risk is fully incorporated, including Academic Board as a stakeholder and treatment owner;
b) include an evaluation of academic risks by the Academic Board at least annually; and
c) Use identified academic risks for revision of the internal audit schedule.

<table>
<thead>
<tr>
<th>Rec</th>
<th>Response</th>
<th>Key considerations/steps to be taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>Do not agree</td>
<td>This recommendation is outside of the TOR of this review. Nevertheless, it is important is that Academic Board receives either directly or through its sub-committees regular reports and data on academic matters that could identify risks. There is a danger of establishing a parallel systems of risk management and reporting which could lead to duplication or conflicting controls, such as those provided by the University’s Audit &amp; Risk Management committee.</td>
</tr>
</tbody>
</table>

**Legend**
Within Tolerance
Projects and activities associated with the delivery of this initiative in supporting operational plans are tracking as planned with progress continuing as anticipated.

Complete
Projects and activities associated with the delivery of this initiative in supporting operational plans have been successfully completed.

Not Started
Projects and activities associated with the delivery of this initiative in supporting operational plans have not yet commenced.
The Australian National University
Review of Academic Governance

February 2019

Hilary Winchester
Higher Education
Quality Assurance
# List of Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABAS</td>
<td>Academic Board Accreditation Subcommittee (cessation 1/1/18)</td>
</tr>
<tr>
<td>ACRCR</td>
<td>Australian Code for the Responsible Conduct of Research</td>
</tr>
<tr>
<td>ANU</td>
<td>Australian National University</td>
</tr>
<tr>
<td>ANU Act</td>
<td><em>Australian National University Act 1991</em></td>
</tr>
<tr>
<td>AQAC</td>
<td>Academic Quality Assurance Committee</td>
</tr>
<tr>
<td>ARMC</td>
<td>Audit and Risk Management Committee</td>
</tr>
<tr>
<td>ASA</td>
<td>Admission, Scholarship and Accommodation (project)</td>
</tr>
<tr>
<td>CFO</td>
<td>Chief Finance Officer</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>CAS</td>
<td>College of Arts &amp; Social Sciences</td>
</tr>
<tr>
<td>CAP</td>
<td>College of Asia &amp; the Pacific</td>
</tr>
<tr>
<td>CBE</td>
<td>College of Business &amp; Economics</td>
</tr>
<tr>
<td>CECS</td>
<td>College of Engineering &amp; Computer Science</td>
</tr>
<tr>
<td>CHM</td>
<td>College of Health &amp; Medicine</td>
</tr>
<tr>
<td>CL</td>
<td>College of Law</td>
</tr>
<tr>
<td>CS</td>
<td>College of Science</td>
</tr>
<tr>
<td>CGRO</td>
<td>Corporate Governance &amp; Risk Office</td>
</tr>
<tr>
<td>Dean, HDR</td>
<td>Dean, Higher Degree Research</td>
</tr>
<tr>
<td>DSA</td>
<td>Division of Student Administration</td>
</tr>
<tr>
<td>DVC</td>
<td>Deputy Vice-Chancellor</td>
</tr>
<tr>
<td>DVC(A)</td>
<td>Deputy Vice-Chancellor (Academic)</td>
</tr>
<tr>
<td>DVC(R&amp;I)</td>
<td>Deputy Vice-Chancellor (Research and Innovation)</td>
</tr>
<tr>
<td>Go8</td>
<td>Group of Eight</td>
</tr>
<tr>
<td>HDR</td>
<td>Higher Degree Research (student)</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>Description</td>
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<td>--------------</td>
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<tr>
<td>HDRC</td>
<td>Higher Degree Research Committee</td>
</tr>
<tr>
<td>HES</td>
<td>Higher Education Standard(s) (Threshold Standards)</td>
</tr>
<tr>
<td>HESF</td>
<td>Higher Education Standards Framework (Threshold Standards) 2015</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
</tr>
<tr>
<td>MPhil</td>
<td>Master of Philosophy</td>
</tr>
<tr>
<td>PPM</td>
<td>Planning and Performance Measure Division</td>
</tr>
<tr>
<td>PVC</td>
<td>Pro Vice-Chancellor</td>
</tr>
<tr>
<td>PVC(E)</td>
<td>Pro Vice-Chancellor (Education)</td>
</tr>
<tr>
<td>PVC(I)</td>
<td>Pro Vice-Chancellor (Innovation)</td>
</tr>
<tr>
<td>PVC(UE)</td>
<td>Pro Vice-Chancellor (University Experience)</td>
</tr>
<tr>
<td>RAR</td>
<td>Research Awards Rule</td>
</tr>
<tr>
<td>RMF</td>
<td>Risk Management Framework</td>
</tr>
<tr>
<td>RO</td>
<td>Responsible Officer</td>
</tr>
<tr>
<td>SEC</td>
<td>Student Experience Committee</td>
</tr>
<tr>
<td>SMG</td>
<td>Senior Management Group</td>
</tr>
<tr>
<td>TEQSA</td>
<td>Tertiary Education Quality and Standards Agency</td>
</tr>
<tr>
<td>TLDC</td>
<td>Teaching and Learning Development Committee</td>
</tr>
<tr>
<td>TOR</td>
<td>Terms of Reference</td>
</tr>
<tr>
<td>UEC</td>
<td>University Education Committee (cessation 1/1/18)</td>
</tr>
<tr>
<td>URC</td>
<td>University Research Committee</td>
</tr>
<tr>
<td>VC</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>VP</td>
<td>Vice-President</td>
</tr>
</tbody>
</table>
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4.3 Student Experience Committee (SEC) Functions of SEC Membership of SEC Operation of SEC

4.4 University Research Committee (URC) Functions of URC Membership of URC Operation of URC

4.5 Higher Degree Research Committee (HDRC) Functions of HDRC Membership of HDRC Operation of HDRC

4.6 Committees of Academic Board

5 Processes of Academic Governance

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Executive Summary and Lists of Commendations and Recommendations

Executive Summary

The review was commissioned to evaluate academic governance structures and processes of the Australian National University (ANU) against the requirements of the Higher Education Standards Framework (HESF). This review is required to demonstrate compliance with the need for an external review of academic governance every seven years (HESF 6.1.3d). The Tertiary Education Quality and Standards Agency (TEQSA) has demonstrated its confidence in the ANU by its offer in 2018 to extend ANU’s registration as a University by three years beyond the normal registration period. Accordingly, this review aims to provide recommendations for the future.

Section 1 of this report sets out the context and methodology of the review. Section 2 provides a summary of the academic governance structures at The Australian National University. Section 3 covers the Academic Board, its functions, membership, chairing and operations. A similar approach is used in Section 4 for the sub-committees of the Academic Board. Section 5 considers the processes of academic governance, mirroring the structure of HESF 6.3 including: benchmarking; academic leadership; advising the corporate body; academic policy; delegations of academic authority; program accreditation and review; academic and research integrity; educational innovation; and student participation. The report contains commendations to recognise good practice and recommendations to guide improvement, which are consolidated in the List of Commendations and List of Recommendations at the end of this Executive Summary.

The Academic Board at ANU has undergone a chequered history after a period of disestablishment 2010-2012. The Academic Board has moved a significant way to re-establish its functions and activities and in late 2017 Council approved a new Academic Board Statute and the Academic Board established a revised range of sub-committees. However, the enduring legacy of the early 2010s is an Academic Board which has low status and few powers compared to its peer institutions within the sector.

The 2017-18 revision of the Academic Board Statute and associated Academic Board Rule did not take into account the requirements of the HESF, particularly Standard 6.3 on Academic Governance. Accordingly, there are a number of specific requirements of academic governance which are not being achieved through academic governance processes, although some are being achieved by either corporate governance or executive processes. Those which are predominantly corporate governance processes concern delegations and risk, managed primarily though the Corporate Governance and Risk Office (CGRO) and the Council’s Audit and Risk Management Committee. In both cases, considerations of academic delegations and academic risk are in early stages of development and Academic Board is not part of the management frameworks. Although
Academic Board has started work on academic risk, it has never reviewed academic delegations. Processes which are managed executively rather than through academic governance include the oversight of academic quality, and the setting and monitoring of benchmarks for academic performance outcomes and improvement. The CGRO needs to be more cognisant of and up to date with the legislated regulatory requirements for academic governance in order to provide appropriate expert support to the Academic Board and Council.

At present, Academic Board has only one delegated authority, in relation to the approval of programs. It does not approve academic policy or even procedures and guidelines, whereas the sector norm is for Academic Board to have a delegation of academic governance and at least some approval powers in relation to policy. There is a significant backlog in review of some policy areas, including the Risk Management Framework and the Delegations Framework (both due for review in 2016), although these are the responsibility of CGRO. Various academic and research policies, including those related to research misconduct, are also overdue for review. Research misconduct policies are spread over a number of policy areas (including Fraud and corruption control), and other areas of policy appear similarly complicated, in some cases being overly prescriptive rather than principle-based.

Academic Board has made some notable improvements to its operations and has some commendable practice, for example, in designating hot topics for discussion. It has produced a particularly timely statement on academic freedom which pre-dated the 2018 national debate within the sector. It has made effective use of working groups and has a positive if intangible impact on a culture of collegiality, transparency and inclusiveness. Its student members are few in number, but they make a valued and informed contribution and have their voice heard.

Academic Board made improvements to its sub-committees in 2018 which are working better than previously. In particular the restructuring of the educational sub-committees gives greater prominence to accreditation processes and to educational innovation by each being the prime focus of a sub-committee reporting directly to Academic Board. On the research side, this review recommends a similar development for Higher Degree by Research matters, so that a sub-committee reports directly to Academic Board rather than being subsumed in wider research considerations. The final sub-committee of Academic Board, the Student Experience Committee, appears anomalous; this review recommends that its functions and reporting line are moved elsewhere.

The reviewer concludes that the processes undertaken within the ANU academic governance structures at present meet, in full or in part, about half of the requirements of the HESF 6.3, but do not meet the other half. To address this situation, recommendations are made not only about the activities and structures of the Academic Board and its sub-committees, but also importantly to raise the status of Academic Board through its relationship with Council, its support from CGRO and enhancement to the position of the Chair. The ANU is requested to consider this report, develop an action plan and as a consequence of those actions in due course undertake a further
revision of the Academic Board Charter, Academic Board Rule, responsibilities and memberships, and those of the sub-committees.

More detail of areas for improvement and compliance are included in the recommendations of this report, which are summarised below for clarity. The report also contains commendations on areas of good practice.

**List of Commendations**

<table>
<thead>
<tr>
<th>Commendation</th>
<th>ANU is commended for inclusion of matters of strategic and cultural significance in the Terms of Reference and functioning of Academic Board, such as information flow, academic freedom and academic strategy.</th>
<th>Page 10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commendation 2</td>
<td>ANU is commended for aspects of the operation of the Academic Board, including: a) The efficient, effective and inclusive running of the meetings by the Chair; b) An effective induction process by the Chair and CGRO; c) The inclusion of hot topics on matters of contemporary sector significance; d) The establishment of working groups for focused work on key issues; and e) The inclusion of a reminder about governance requirements for members at each meeting.</td>
<td>Page 18</td>
</tr>
<tr>
<td>Commendation 3</td>
<td>ANU is commended for the operation of AQAC, which has brought renewed focus and transparency to course accreditation processes.</td>
<td>Page 22</td>
</tr>
<tr>
<td>Commendation 4</td>
<td>ANU is commended for the focus on educational innovation achieved through TLDC.</td>
<td>Page 23</td>
</tr>
<tr>
<td>Commendation 5</td>
<td>ANU is commended for the positive approach to student participation in academic governance processes.</td>
<td>Page 49</td>
</tr>
</tbody>
</table>

**List of Recommendations**

<p>| Recommendation 1 | It is recommended that ANU enhance the understanding of and support for academic governance, currently offered through CGRO, including updating all relevant documents pertaining to Academic Board and its committees on the University website, with dates and version numbers as appropriate. | Page 10 |</p>
<table>
<thead>
<tr>
<th>Recommendation</th>
<th>It is recommended that ANU reconsider the role and appointment of the Chair of Academic Board:</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>a) to become a member of Council, rather than an observer;</td>
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<td></td>
<td>b) to be elected by and from the Professoriate, rather than appointed by Council on the recommendation of the Vice-Chancellor;</td>
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<td></td>
<td>c) to increase the workload allocation to a fraction greater than 0.5 FTE;</td>
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<td></td>
<td>d) to provide targeted executive support; and</td>
</tr>
<tr>
<td></td>
<td>e) to codify the number of terms a Chair may serve.</td>
</tr>
<tr>
<td></td>
<td>Page 13</td>
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<tr>
<td>Recommendation</td>
<td>It is recommended that ANU focus its Academic Board more clearly on oversight of academic quality, including:</td>
</tr>
<tr>
<td>3</td>
<td>a) redeveloping its reporting timetable and work plan;</td>
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<td></td>
<td>b) requesting appropriate reports from PPM, including KPIs;</td>
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<tr>
<td></td>
<td>c) considering which reports should come directly to Academic Board for institutional oversight; and</td>
</tr>
<tr>
<td></td>
<td>d) reducing duplication in agendas between governance and management committees.</td>
</tr>
<tr>
<td></td>
<td>Page 16</td>
</tr>
<tr>
<td>Recommendation</td>
<td>It is recommended that ANU reconsider the status of the Academic Board:</td>
</tr>
<tr>
<td>4</td>
<td>a) to be a sub-committee of Council, rather than having a reporting relationship only; and</td>
</tr>
<tr>
<td></td>
<td>b) to be the delegated authority for academic governance rather than the Vice-Chancellor.</td>
</tr>
<tr>
<td></td>
<td>Page 19</td>
</tr>
<tr>
<td>Recommendation</td>
<td>It is recommended that ANU consider an amendment to the TOR of AQAC and TLDC:</td>
</tr>
<tr>
<td>5</td>
<td>a) to move educational policy from the remit of AQAC to TLDC; and</td>
</tr>
<tr>
<td></td>
<td>b) to include matters of educational quality within the TOR of TLDC.</td>
</tr>
<tr>
<td></td>
<td>Page 24</td>
</tr>
<tr>
<td>Recommendation</td>
<td>It is recommended that ANU remove the SEC from its status as a sub-committee of Academic Board, reconsider its role and reallocate its reporting relationships.</td>
</tr>
<tr>
<td>6</td>
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<tr>
<td></td>
<td>Page 27</td>
</tr>
<tr>
<td>Recommendation</td>
<td>It is recommended that ANU amend the TOR of URC to include:</td>
</tr>
<tr>
<td>7</td>
<td>a) specific mention of matters of research integrity; and</td>
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<td></td>
<td>b) oversight of research performance,</td>
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<td></td>
<td>with appropriate reporting to Academic Board and Council.</td>
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<tr>
<td></td>
<td>Page 30</td>
</tr>
<tr>
<td><strong>Recommendation</strong></td>
<td><strong>Description</strong></td>
</tr>
<tr>
<td>-------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>8</td>
<td>It is recommended that ANU establish the HDRC as a sub-committee of Academic Board, reporting directly to the Board rather than through URC, and make appropriate changes to its membership and TOR reflecting the recent establishment of a Graduate Research Office.</td>
</tr>
<tr>
<td>9</td>
<td>It is recommended that ANU include elected members of staff on sub-committees of Academic Board.</td>
</tr>
<tr>
<td>10</td>
<td>It is recommended that ANU amend the TOR of its sub-committees, so that they are consistent in their requirements in relation to the oversight of quality of their respective areas of influence.</td>
</tr>
<tr>
<td>11</td>
<td>It is recommended that ANU develop a benchmarking policy and that the setting and monitoring of benchmarks be included in the TOR of either or both of the Academic Board or its sub-committees.</td>
</tr>
<tr>
<td>12</td>
<td>It is recommended that ANU plan to improve the communication between Academic Board and Council, through mechanisms, which could include:</td>
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<td></td>
<td>• Enhanced two-way reporting;</td>
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<td></td>
<td>• Cross-attendance;</td>
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<td>• Referrals from Council to Academic Board; and</td>
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<td></td>
<td>• More independent advice from Academic Board to Council.</td>
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<tr>
<td>13</td>
<td>It is recommended that ANU consider the further delegation of approval of academic and research policy, and/or related academic procedures and guidelines to the Academic Board.</td>
</tr>
<tr>
<td>14</td>
<td>It is recommended that ANU act urgently to address overdue policy reviews and include a schedule of policy reviews in Academic Board workplans and its sub-committees to provide greater visibility to policy review.</td>
</tr>
<tr>
<td>15</td>
<td>It is recommended that ANU undertake a comprehensive revision and restructuring of the RAR in 2019, and consider, at minimum:</td>
</tr>
<tr>
<td></td>
<td>a) Simplification of phrasing;</td>
</tr>
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<td></td>
<td>b) Elimination of duplication and contradictions;</td>
</tr>
<tr>
<td></td>
<td>c) Splitting into sections related to the student life-cycle; and</td>
</tr>
<tr>
<td></td>
<td>d) Appropriate authorities and delegations.</td>
</tr>
<tr>
<td>Recommendation</td>
<td>Recommendation</td>
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</tbody>
</table>
| **16** | It is recommended that ANU audit and update its *Delegations of Authority Policy, Delegations of Authority Procedure and Delegations Register* and in that review:  
   a) Amend the Procedure to include an evaluation of academic delegations by the Academic Board at least annually; and  
   b) Amend the Register to include appropriate delegations to the Provost and Dean, HDR to reflect their new roles. | 43 |
| **17** | It is recommended that ANU clarify the process for the approval of new HDR programs and for coursework elements within HDR programs. | 44 |
| **18** | It is recommended that ANU, in its revisions of the policy, procedure and forms for program and course accreditation, take fully into account all the requirements of program review listed in HES 5.3. | 45 |
| **19** | It is recommended that ANU streamline and consolidate its approach to research integrity policy, procedure and reporting. | 46 |
| **20** | It is recommended that ANU revise and update its *Risk Management Framework, Risk Management Policy and Risk Management Procedure* and in that review:  
   a) Ensure academic risk is fully incorporated, including Academic Board as a stakeholder and treatment owner;  
   b) include an evaluation of academic risks by the Academic Board at least annually; and  
   c) Use identified academic risks for revision of the internal audit schedule. | 48 |
Acknowledgements

The reviewer wishes to acknowledge the valuable support given to this review by the staff of The Australian National University (ANU). Professor Jacqueline Lo, Chair of the Academic Board and Mr Troy Larkins, outgoing Secretary and Ms Megan Easton, incoming secretary to the Academic Board, provided useful documentary evidence and arranged a schedule of interviews, although the change in personnel resulted in some difficulty in obtaining requested information in a timely fashion.

Information in the form of a range of agendas, papers and policies, as well as additional documents and reports were supplied. Interviewees from among the Council, Executive Leadership Team, Academic Board, staff and student bodies were open and helpful in their responses to questions about academic governance, the quality framework and standards, their aspirations and ideas for the future and how improved processes and structures of academic governance could be best implemented across the University.
1 Introduction and Context

1.1 Academic Governance - Requirements of the Higher Education Standards Framework

Academic Governance is defined by the national regulator, the Tertiary Education Quality and Standards Agency (TEQSA) in the following way:

"Academic governance is the framework of policies, structures, relationships, systems and processes that collectively provide leadership to and oversight of a higher education provider’s academic activities (teaching, learning and scholarship, and research and research training if applicable) at an institutional level."

TEQSA Guidance Note – Academic Governance (2017)

Although TEQSA states that academic governance is usually exercised through a single body, such as an Academic Board or Academic Senate, the form of this is not mandated with the focus being on outcomes rather than on processes and structures. Furthermore, TEQSA emphasises that academic governance is a function separate from and independent of operational aspects of an institution:

"Traditional functions of academic governance include rigorous scrutiny and peer review of academic activities, carried out independently and separately from the staff who are directly involved in those activities."

TEQSA Guidance Note – Academic Governance (2017)

In addition, academic governance is seen as distinct from corporate governance and from executive management, although the three elements are interdependent and complementary.

The overall intent of the Higher Education Standards Framework (HESF) 2015 regarding academic governance is to ensure that institutions:

"establish a system of academic governance that will provide competent academic oversight and monitoring of all academic activities at the institutional level."

TEQSA Guidance Note – Academic Governance (2017)

1 Items in text boxes are quoted directly from official documents, such as TOR for Committees, or as in this case, from the TEQSA Guidance Note – Academic Governance (2017).
There are seven Domains in the Higher Education Standards (HES or Threshold Standards) in the HESF 2015, with the major requirements for academic governance contained in Standard 6.3 in Part A of the HESF, which is reproduced below:

### HES 6.3 Academic Governance

1. Processes and structures are established and responsibilities are assigned that collectively:
   - a. achieve effective academic oversight of the quality of teaching, learning, research and research training
   - b. set and monitor institutional benchmarks for academic quality and outcomes
   - c. establish and maintain academic leadership at an institutional level, consistent with the types and levels of higher education offered, and
   - d. provide competent advice to the corporate governing body and management on academic matters, including advice on academic outcomes, policies and practices.

2. Academic oversight assures the quality of teaching, learning, research and research training effectively, including by:
   - a. developing, monitoring and reviewing academic policies and their effectiveness
   - b. confirming that delegations of academic authority are implemented
   - c. critically scrutinising, approving and, if authority to self-accredit is held, accrediting or advising on approving and accrediting, courses of study and their associated qualifications
   - d. maintaining oversight of academic and research integrity, including monitoring of potential risks
   - e. monitoring and initiating action to improve performance against institutional benchmarks for academic quality and outcomes
   - f. critically evaluating the quality and effectiveness of educational innovations or proposals for innovations
   - g. evaluating the effectiveness of institutional monitoring, review and improvement of academic activities, and
   - h. monitoring and reporting to the corporate governing body on the quality of teaching, learning, research and research training.

3. Students have opportunities to participate in academic governance.

Higher Education Standards Framework (Threshold Standards) 2015


Among the remaining HES are several others that are relevant to academic governance that are referenced in this report. These include HES 5.1-5.4 addressing institutional quality assurance systems and academic monitoring at an overarching level, notably HES 5.1 course (program) approval and accreditation and HES 5.3 Monitoring, Review
and Improvement. Some reference is also made to other standards such as HES 6.1 Corporate Governance and HES 6.2 Corporate Monitoring and Accountability where there is some overlap with Academic Governance, and HES 4 referring to research and research training.

1.2 Scope and Methodology of Independent External Review

In 2018, the Australian National University (ANU) requested an independent external review of its academic governance structures and processes, and in particular of the Academic Board, the principal body for academic governance.

The methodology for this review is based on gathering and triangulating evidence of the effectiveness of academic governance processes through examination of University documents including Terms of Reference (TOR), agendas, minutes and relevant business papers and reports, the policy framework and individual policies, and evidence of their implementation. Observations made on the basis of the documentation were verified and validated through interviews with relevant staff and students (interviewees) and by comparison of the stated objectives, documented activity and members’ views of these committees with the requirements of the HESF.

Interviews were held at the University from 3-5 December 2018, in conjunction with a meeting of the Academic Board on 4 December, which the reviewer attended. The reviewer spoke with 40 academic and professional staff, including interviewees from the Council, the Academic Board, the Senior Management Group, members of committees, and staff from central units associated with governance-related functions. In addition, three student representatives were interviewed.

Section 2 of this review report outlines the corporate, executive and academic governance structures of the University. Section 3 examines the Academic Board, as the peak body of ANU’s academic governance; while Section 4 discusses the sub-committees. Section 5 focuses on the processes of academic governance to identify strengths, opportunities for improvement and key risks. This report includes both Commendations for good practice and Recommendations for improvement and compliance.

The draft report was forwarded to the University for correction of any errors of fact or interpretation before the report was finalised in February 2019.
2 Overview of Governance Structures at ANU

HES 6.3 Academic Governance requires that “processes and structures are established and responsibilities assigned” so that collectively these achieve academic oversight and quality assurance of teaching and learning, research and research training.

The governance structures of the Australian National University (ANU) include corporate structures under Council; management structures under the Vice-Chancellor; and academic governance structures under the Academic Board. These structures are now outlined.

2.1 Corporate Structure

The University was established by an Act of the Federal Parliament in 1946. Its founding mission was to be of enduring significance in the postwar life of the nation, to support the development of national unity and identity, to improve Australia’s understanding of itself and its neighbours, and to contribute to economic development and social cohesion.

ANU is governed under the auspices of the Australian National University Act 1991 (the ANU Act) and the Public Governance, Performance & Accountability Act 2013. ANU’s governance also conforms to the requirements of the Voluntary Code of Best Practice for the Governance of Australian Universities, published in 2018 jointly by Universities Australia and the Universities Chancellors Council, which is mainly concerned with corporate governance and its relationship with management.

The Council is established under section 8 of the ANU Act as the governing authority of the University. Powers are conferred upon Council to control and manage the entire University under section 9 of the ANU Act. The ANU Act includes mention of “overseeing and monitoring the academic governance and activities of the University”. However, save for matters that the ANU Act prescribes cannot be delegated, management control of the University is delegated to the Vice-Chancellor. Unusually in the sector, the founding responsibilities of Council are to: provide strategic oversight, including the University’s mission, strategic direction and monitoring the implementation of the Strategic Plan; appoint the Vice-Chancellor; ensure effective overall management; and ensure responsible financial and risk management.

The Council comprises 15 members who hold membership by virtue of either appointment, election or their office. Membership of the Council comprises the Chancellor and Vice-Chancellor (both appointed by Council), seven external members appointed by the Minister, four elected staff members, and two elected student
members (one undergraduate and one postgraduate). The Chair of the Academic Board is not a member of Council, which is a legacy of there being no requirement for an Academic Board in the ANU Act. This matter is discussed further in Section 3.

The ANU Act has undergone a redrafting process throughout 2018 with minor amendments, but the timing of the passage of this legislation is uncertain and unlikely to be imminent. The proposed draft reduces the size of Council by one. In discussions, members of Council considered it possible, but unlikely, that further changes could be made to the revised draft before it is approved.

The draft ANU Act includes the responsibility for the Council to oversee and monitor academic activities and performance of the University.

### 2.2 University Executive Management

The Vice-Chancellor (VC) is the President and Chief Executive Officer of ANU. The VC guides strategy and day-to-day leadership for the University and is a member of the Council. The VC convenes a range of committees and other groups to advise him including: a senior executive group, consisting of the VC with the Deputy Vice-Chancellors (DVCs) and Chief Operating Officer (COO); the ANU Executive Leadership Team, generally referred to as “the Executive”, which includes in addition to the senior executive group, three Pro Vice-Chancellors (PVCs), two Vice-Presidents (VPs) and the Chief Financial Officer (CFO). A further group, known as the Senior Management Group (SMG), includes the Deans and meets on alternate weeks. The role of these groups is to develop and implement strategies, policies and procedures to support ANU to meet its strategic goals and operational needs.

The ANU Act Section 7, establishes the Institute of Advanced Studies and the Faculties. The academic management structure of ANU is currently based on seven academic colleges that house a number of schools and research centres that specialise in a range of disciplines, each headed by a Dean:

- the ANU College of Arts & Social Science (CAS);
- the ANU College of Asia & the Pacific (CAP);
- the ANU College of Business & Economics (CBE);
- the ANU College of Engineering & Computer Science (CECS);
- the ANU College of Law (CL);
- the ANU College of Health & Medicine (CHM);
- the ANU College of Science (CS);

and the National Centre for Indigenous Studies.

Each College has a number of Schools; the management structures within the Schools and Colleges are variable.
2.3 Academic Governance

Academic Governance arrangements are unusual at ANU in that the Academic Board is not mentioned in the ANU Act, and the structures have changed considerably in what the Chancellor has described as a “chequered history”, including a period of disestablishment. The changes are well summarised in the 2014 Walker Review of Governance:

<table>
<thead>
<tr>
<th>The academic governance arrangements at ANU have changed several times in recent years. Before 2001, academic governance was the responsibility of two boards – the Board of the Institute of Advanced Studies and the Board of the Faculties – which reflected the then organisational structure of the University. In 2001, a single Academic Board was established; in 2006 policy sub-committees were established. In 2010 ANU’s Academic Board was disestablished and its responsibilities assigned to the policy sub-committees with provision for the sub-committees to meet as a joint committee to advise the Vice-Chancellor on major issues of University-wide strategy or significance. In 2012 the Academic Board was re-established.</th>
</tr>
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<tbody>
<tr>
<td>Walker Review 2014, p.38</td>
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</table>

In this review, Walker goes on to comment: “The frequency of changes affecting the academic governance arrangements at ANU may explain why there appears to have been some confusion regarding the status of the Academic Board with some documents describing or categorising it as a Council Committee.”

Since 2012, the Academic Board has undergone more changes. The current structure has been in place essentially for 2018 only.

Authority

The establishment of Academic Board is governed by the *ANU (Academic Board) Statute 2017*.

Operation of Academic Board is governed by the *ANU Academic Board Rule 2017*. This Rule is made by the Council, with the current version coming into effect on 1 January 2018. It establishes the overarching structure and parameters of the Academic Board, including defining its reporting relationship with Council.

The *Academic Board Charter* is drawn from the broad guidance of the Rule. Its purpose is to provide operational level guidance on the workings of the Board. The current Charter was approved by resolution of the Council in October 2018.

At present, while Academic Board has a reporting relationship to Council, it is not a sub-committee of Council and does not have a formal delegation of academic governance.
Four sub-committees are accountable to the Academic Board:

- Academic Quality Assurance Committee (AQAC);
- Teaching and Learning Development Committee (TLDC);
- University Research Committee (URC); and
- Student Experience Committee (SEC).

As at January 2019, only three of these four sub-committees are listed as formal committees of Academic Board on the University website.

**Support to Academic Governance Committees**

The Academic Board and other academic governance committees are supported by the Corporate Governance and Risk Office (CGRO), which uses the *ANU Governance Handbook* to guide its work. Among its tasks, the CGRO conducts elections and ensures currency of membership, administers self-reviews, facilitates induction processes, and coordinates program accreditation processes. The CGRO maintains the list of standing items for inclusion on the agendas of the Academic Board and the Committees it services and is responsible for ensuring that referrals occur as appropriate between the various Committees.

Support for Academic Board has been discontinuous over the last two years and there have been four secretaries to the Board in the last 15 months. At the time of the site visit for this review, the Secretary to Academic Board had moved to another role within the University and the new incumbent had not taken up appointment. This caused some delay and difficulty in provision of the material requested by the reviewer; for example, no reviews were provided (e.g. the Walker Review, but the reviewer found this through the website); similarly, reports of Academic Board to Council and extracts of Council minutes in relation to these were not provided in advance, but only provided by CGRO on further request at the on-site visit. Academic governance processes and support were described as a “poor relation” to their corporate governance equivalents, and it is noted that the new appointee to the role of Academic Board Secretary is a lower level appointment than previously.

**Governance Reviews**

There has not been a previous external review of the Academic Board because of the many changes that have occurred since 2001. Aspects of the Academic Board membership functions and relationship with Council were included in the Walker Review of Governance 2014.
3 Academic Board

3.1 Functions and Powers of Academic Board

The Academic Board Charter sets out the Board’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements. It contains the most recent statement of responsibilities.

The standing responsibilities (or functions) of the Academic Board are as follows:

<table>
<thead>
<tr>
<th>Responsibilities of the Academic Board:</th>
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<tbody>
<tr>
<td>a. accrediting and reaccrediting academic programs and changes to existing academic programs;</td>
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<tr>
<td>b. ensuring the maintenance of the highest standards in teaching, scholarship and research within the University;</td>
</tr>
<tr>
<td>c. approving degrees and other awards;</td>
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<tr>
<td>d. discussing and developing policy recommendations in relation to academic matters;</td>
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<tr>
<td>e. maintaining an effective overview of the academic activities of the University, and advising on them and assisting in their coordination;</td>
</tr>
<tr>
<td>f. advising on the academic aspects and content of the University’s strategic plan;</td>
</tr>
<tr>
<td>g. developing and promoting principles pertaining to academic freedom within the ANU and of its staff, students and official visitors;</td>
</tr>
<tr>
<td>h. advising the Vice-Chancellor and Council on the safeguarding and implementation of ANU academic freedom policy in general terms and in particular cases, as they arise.</td>
</tr>
<tr>
<td>i. providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community;</td>
</tr>
<tr>
<td>j. reporting to the Council on the exercise of its functions, at the times, and in the way, required by the Council; and</td>
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<tr>
<td>k. undertaking any other functions given to it by this instrument.</td>
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</tbody>
</table>

The Academic Board Charter 2018

The functions of the Academic Board are couched in general terms. Two of the functions are general oversight: these are “(b) ensuring the maintenance of the highest standards in teaching, scholarship and research within the University”; and “(e) maintaining an effective overview of the academic activities of the University, and advising on them and assisting in their coordination”. These two clauses do not necessarily get to the heart of
"effective academic oversight of the quality of teaching, learning, research and research training" (HES 6.3.1a) or “monitoring and initiating action to improve performance against institutional benchmarks for academic quality and outcomes” (HES 6.3.2e). This matter of oversight of quality is further considered in Section 3.3.

There are four specified functions that relate directly to the requirements of HES 6.3, which are: “(a) accrediting and reaccrediting academic programs and changes to existing academic programs”; “(c) approving degrees and other awards”; “(d) discussing and developing policy recommendations in relation to academic matters”; and “(j) reporting to the Council on the exercise of its functions, at the times, and in the way, required by the Council”. Otherwise, the requirements for maintaining standards and effective oversight do not specify the ways in which these are to be carried out and the matters to be considered to enable these functions to occur. For example, there are no specific reference to matters such as academic risk, academic delegations, or the setting and monitoring of benchmarks. The reviewer’s discussions with TEQSA have highlighted that the regulatory authority prefers more specific TOR as it is easier for the Chair and the secretariat to demonstrate compliance with the relevant Standards and for the regulator to observe and check. Suggestions for changes to these TOR are discussed in later sections of this report.

The functions of the Academic Board also include two general functions: “(f) advising on the academic aspects and content of the University’s strategic plan”; and “(i) providing a forum to facilitate information flow and debate within the University and between the senior executive officers of the University and the wider academic community”. These functions are not specifically mandated in the HESF, but contribute to the understanding and discussion of wider academic matters and elements of strategic importance to the University as well as to the intangibles of a culture of collegiality and transparency.

The responsibilities listed in the October 2018 Charter also include two new responsibilities relating to academic freedom, at (g) and (h), which has become a contentious and politicised issue in recent months. The Academic Board established the Academic Freedom Working Group in 2017 to deliver a draft statement at the second meeting of 2018. The Academic Board engaged the ANU academic community in February 2018 on the “hot topic” of academic freedom, and published the agreed statement mid-year. It is noteworthy therefore that these discussions commenced well before the issue came to national prominence. The Academic Board website has a link to the ANU Statement on Academic Freedom, which quotes the ANU’s inaugural Vice-Chancellor, Sir Douglas Copeland. This statement is a result of the Working Group’s collegial activities and discussions, and was approved for release in July 2018 (Executive Summary to Council July 2018), although the statement itself is undated, without version control or approval information:
The statement on academic freedom has met with general approval and has been effective in helping address what Emeritus Professor Glyn Davis terms the “confected calamity” about academic freedom in Australian universities.

Commendation 1. ANU is commended for inclusion of matters of strategic and cultural significance in the Terms of Reference and functioning of Academic Board, such as information flow, academic freedom and academic strategy.

The revised Academic Board Rule, adopted in October 2018, does not appear to have taken into account the specific requirements of the HESF, especially HES 6.3, and interviewees agreed that the process had not included such considerations, but had been predominantly internally-focussed, drawing mainly from the ANU Act. Council made one change to the Academic Board Statute and one to the Academic Board Rule at its December 2017 meeting, to remove reference to direction from the Vice-Chancellor, noting that the reporting relationship is to Council. As at December 2018, the revised Rule had not been published on the University website.

While CGRO supports the meetings through agendas and minutes, there is no support directly to the Chair of Academic Board, who does not have administrative assistance or budget for the performance of her duties. Neither does CGRO appear to have kept abreast of the requirements of the HESF, as these were not considered in the redrafting of the Charter and the Act in 2018, although they had been in force since 1 January 2017. Academic governance is a very particular requirement of higher education and is distinct from, but related to, corporate governance. There are some serious lacunae particularly in the areas of academic risk and academic delegations (discussed in Sections 5.5 and 5.7), which have not been brought into the university-wide frameworks and where policy reviews are significantly overdue. Recommendations 16 and 20 about risk and delegations are included in these sections. These are areas where ANU is currently non-compliant but CGRO has not provided appropriate advice on these matters to either the Academic Board or to Council. Elements of academic risk discussed at Academic Board have not been channeled to the relevant Council subcommittee, despite the fact that the secretary has been a member of CGRO, and this is part of their responsibilities under the Risk Management Framework. Furthermore, the limited and belated secretariat support to this review and the patchy updating of the website and inconsistency between documents indicate a lack of attention to academic governance which needs rectification and resourcing.

Recommendation 1. It is recommended that ANU enhance the understanding of and support for academic governance and compliance with the requirements of the Higher Education Standards Framework (2015), currently offered through CGRO, including updating all relevant documents pertaining to Academic Board and its committees on the University website, with dates and version numbers as appropriate.
3.2 Membership of Academic Board

Membership of the Academic Board is as follows:

Academic Board membership

(1) The Academic Board consists of the following members:
   (a) the Chair, appointed under section 11 (Chair and Deputy Chair);
   (b) the Vice-Chancellor;
   (c) the Provost;
   (d) the Deputy Vice-Chancellors;
   (e) the Pro Vice-Chancellors;
   (f) the Registrars;
   (g) the Dean of each ANU College;
   (h) the Dean of Students;
   (i) the Dean, Higher Degree Research;
   (j) the University Librarian;
   (k) 4 members of the College Executive Committees, who are not College
       Deans, elected by the members of the College Executive Committees;
   (l) 3 members of the academic staff of the ANU College of Arts and Social
       Sciences elected by the members of the academic staff of the college;
   (m) 3 members of the academic staff of the ANU College of Asia and the
       Pacific elected by the members of the academic staff of the college;
   (n) 3 members of the academic staff of the ANU College of Business and
       Economics elected by the members of the academic staff of the college;
   (o) 2 members of the academic staff of the ANU College of Engineering and
       Computer Science elected by the members of the academic staff of the college;
   (p) 3 members of the academic staff of the ANU College of Health and
       Medicine elected by the members of the academic staff of the college;
   (q) 2 members of the academic staff of the ANU College of Law elected by the
       members of the academic staff of the college;
   (r) 3 members of the academic staff of the ANU College of Science elected by
       the members of the academic staff of the college;
   (s) 2 members of the professional staff elected by the members of the
       professional staff;
   (t) 2 postgraduate students appointed, in writing, by the Vice-Chancellor, after
       consulting with the President of the postgraduate student association;
   (u) 2 undergraduate students appointed, in writing, by the Vice-Chancellor,
       after consulting with the President of the undergraduate student association;
   (v) any members appointed under subsections (2) and (3).

(2) If there is no Indigenous person holding a position on the Board, the Vice-
   Chancellor must, in writing, appoint a member of the academic staff who is an
   Indigenous person as a member of the Board, after consulting with the Tjabal
   Indigenous Higher Education Centre.

(3) With the agreement of the Board, the Chair may, in writing, appoint up to 5
   additional members to provide a diversity of views if the Chair believes the
   current membership of the Board does not reflect the academic and cultural
   diversity of the University.

ANU Academic Board Rule 2017 Part 3--Membership
The Academic Board has a mixture of ex-officio and elected members. There are around 50 members of the Academic Board, with a small majority of elected members, including students. The size of the Academic Board is quite large, but most members felt it to be manageable and appropriate for the size of the institution. The full membership list is maintained on the Board web site: http://www.anu.edu.au/about/governance/committees/academic-board.

The composition of the Academic Board at ANU in general aligns with higher education sector norms and expectations, with a majority of elected members; the national average is two elected members to one ex-officio and at ANU the ratio is 60:40.

**Role of the VC/Executive**

The VC is a member of Council and a member of the Academic Board, and is responsible for executive management and leadership of the University. All the academic members of the Senior Management Group are ex-officio members of the Academic Board. The March 2018 meeting of Academic Board considered the role of the Provost in relation to other members of Academic Board and structural changes resulting from this appointment. Reports are given by the Senior Executive with the report from the VC being starred. It is welcomed by members as a source of information and as an opportunity for questioning.

**Chairperson of Academic Board**

The common Australia-wide practice is for the Chairperson of the Academic Board to be a member of the Professoriate either elected by the academic staff as a whole or by the Professoriate. At ANU, the Chair is appointed by Council on the recommendation of the Vice-Chancellor (Section 1, Academic Board Rule).

In December 2015, Council appointed Professor Jacqueline Lo as Chair commencing in April 2016. Professor Lo is now serving her second two-year term as Chair, which was announced at the Academic Board meeting of March 2018. The Deputy Chair is a member of the Board appointed by the Board (Section 11(4) Academic Board Rule).

Recommendation 7 from the 2014 Walker Review of Governance considered the membership of the Council and stated that “at least three and up to six members would be appointed by Council”, and continues “If Council were to decide that there should be staff or student members, they must be appointed or elected ad personam with the exception of the Chair of the Academic Board who may be appointed by virtue of her or his office.” The Walker Review goes on to comment that “the Chair of the Academic Board attends Council meetings as an observer” and that “ANU has not always had an Academic Board; we do not want to lock this structure in to the legislation. Furthermore, the Academic Board is still finding its place in the University governance framework; we consider it better to provide flexibility regarding if, and when, the Chair becomes a

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member of Council. Accordingly, we have provided that the Chair of the Academic Board may be appointed, by virtue of her or his office, as a Council appointed member. This maximises the flexibility for the Council.”

The 2014 Walker Review recommended that “in due course, consideration be given to the Chair of the Academic Board being elected by all academic staff or by the professoriate”. As it is now five years since the Walker Review and in that period the requirements of academic governance have been substantially formalised in the HESF 2015, it is timely for Council to review both the mode of selection of the Chair of Academic Board and her/his membership of Council. There is a half-way house between open election by academic staff and nomination by Council, which is a process of selection as a result of a call for Expressions of Interest.

As mentioned in Section 2.3, the Chair of Academic Board does not have executive officer or secretariat support. Her role is designated as 0.4 FTE, which is at the lower end of the sector norms and is widely seen as insufficient, especially given her active and valued role not only in the Board meetings themselves and attendance at Council, but also in induction, retreats, working groups, such as on academic freedom and academic integrity, and mentoring of new members. Members of Academic Board were unanimous in praise of Professor Lo’s work as Chair, commenting that it was a “big job”, which she undertakes with unwavering commitment, especially in the process of rebuilding the Board’s status and function after its time “in the wilderness”, particularly through constant communication with members. It would seem appropriate for the University to recognise the scale and scope of the tasks involved in allocation of executive support and workload to the Chair.

A further issue that needs clarification is the number of terms a Chair may serve. The Chair serves for a term of two years, but the Rule is silent on how many terms she or he may serve. Presumably under the current system of appointment, one Chair could serve multiple terms. The sector norm is for either two or three terms. On enquiring from CGRO about the number of terms, the reviewer was informed that a December 2017 minute of Council “endorsed establishing a practice whereby a person will be ordinarily appointed as Chair of the Academic Board for two terms of two years (four years total)”. It would be helpful for this Council decision to be included in a revised Rule, rather than obscured in minutes of Council, which are not generally accessible and could escape the corporate memory.

Recommendation 2. It is recommended that ANU reconsider the role and appointment of the Chair of Academic Board:

a) to become a member of Council, rather than an observer;
b) to be elected by and from the Professoriate, rather than appointed by Council on the recommendation of the Vice-Chancellor;
c) to increase the workload allocation to a fraction greater than 0.5 FTE;
d) to provide targeted executive support; and
e) to codify the number of terms a Chair may serve.
Terms of Office

The elected members of Academic Board are elected for terms of two years but may be re-elected. Other members appointed for the purposes of academic and cultural diversity are appointed for terms of two years. As mentioned in the previous section, the Chair also has a term of two years. The Rule is silent on the number of terms a Chair or an Indigenous appointed member may serve and on how many times an elected member may be re-elected. The number of terms for the Chair has been addressed in Recommendation 2, and the University may wish to consider these more minor related matters at the same time.

The postgraduate and undergraduate student members, mentioned in subsections (1)(t) and (u), are appointed for terms of one year. Some other universities, including members of the Group of Eight (Go8), have moved to longer terms of office for student members as well as larger numbers of students.

3.3 Operation of Academic Board

Induction

The CGRO maintains a program of induction for Academic Board members to assist them to meet their Board responsibilities. The Academic Board induction is undertaken by the Chair and the Director CGRO or the secretary to the Board, who is a member of the CGRO. Members of the Academic Board receive the Academic Board Members Handbook, which outlines the governance systems and processes of ANU, as well as the role and responsibilities of Academic Board and its members and information about its meetings. All staff welcomed the induction and commented that it was beneficial. The 2018 edition of the Handbook will need to be updated for 2019 to take account of changes made to the Charter and to sub-committees.

Agendas

The Academic Board is required to meet at least six times per year, and in 2018 met six times. The CGRO is responsible for preparing agendas and papers for the Academic Board (refer Section 2.3). The CGRO aims to ensure the agenda and supporting papers for each meeting are circulated (via the Board’s Alliance site) after approval from the Academic Board Chair and at least 7 days before the meeting. Members commented that the 7-day notice period was generally well observed.

Papers are comprehensive and professionally presented. The agenda is about 100 pages, with links to supporting documents and papers. Some members found the agendas confusing as they are written in the past tense. Others indicated a preference for a single .pdf file to download rather than having to follow multiple links to the Alliance site or would welcome the option to have either, but apparently such requests have thus far been refused by CGRO.
The agenda follows a standard pattern of sections relating to procedural items, reporting, strategic items, reports from committees, accreditation, academic standards, policy, student lifecycle and other business.

Meetings are run efficiently and inclusively, although with sufficient flexibility to accommodate changes to the agenda, for example, as a consequence of members’ commitments at particular times.

**Oversight of the Quality of Teaching, Learning, Research and Research Training**

As indicated in Section 3.1, the TOR in relation to the oversight of quality, the setting and monitoring of academic standards, and initiating action to improve academic performance and outcomes are couched in very general terms. It is notable that the agendas of the Academic Board do not include reports of quality using the indicators or key performance indicators (KPIs) that would be expected to assess and provide oversight of quality. The Planning and Performance Measurement Division (PPM) produces many reports, but most of those in relation to quantitative indicators of quality are provided to the Executive or SMG and they do not form part of the agenda of Academic Board. Such reports include, but are not limited to:

- International Student Barometer Report;
- Ranking Report;
- Student Experience Survey Report;
- Key Performance Indicator Report; and
- Enrolment Dashboard.

While it is to be expected that Executive Management will receive these reports, as they have to manage staff and performance processes, the lack of academic governance attention means that there is not the effective oversight by independent peers that is required by HES 6.3. PPM indicated that Academic Board has never or rarely requested reports on matters of interest or in relation to academic or research standards. It was described, rather unkindly, by a long-established member as a “data-free zone”. For example, a key requirement of HES 1.3.5 is that “trends in rates of retention, progression and completion of student cohorts through courses of study are monitored to enable review and improvement”. Such reports are standard fare at most university Academic Boards, as are reports on KPIs in teaching and learning, research and research training that come for academic oversight, questions and requests for action, before being moved on to Council.

This reviewer was provided with an annual reporting timetable for 2013 and an annual report to Council dated 2014-15. If these are the most relevant documents that could be provided, then it would be overdue to recommend a re-working of the annual reporting timetable and workplan of the Academic Board, in order for it to request and receive appropriate reports to enable it to achieve its core function of academic quality oversight. Care would need to be taken to prevent duplication between committees and to distinguish those reports that could come directly to Academic Board without being filtered through sub-committees. It would be useful for ANU to benchmark its processes.
and structures with other similar universities, some of which have clear reporting and workplans for their Academic Board, and many of which have also streamlined their committee structures to remove duplication between management and governance committees, while clearly distinguishing those functions on their agendas. The lack of performance reporting and data at Academic Board is a major lacuna in compliance with the HESF that should be remedied in 2019.

**Recommendation 3.** It is recommended that ANU focus its Academic Board more clearly on oversight of academic quality, including:

a) redeveloping its reporting timetable and work plan in relation to requirements of the HESF;
b) requesting appropriate reports from PPM, including KPIs;
c) considering which reports should come directly to Academic Board for institutional oversight; and
d) reducing duplication in agendas between governance and management committees.

**The Academic Board Steering Committee**

The Academic Board Chair called for nominations for the Steering Committee in May 2018. The Steering Committee is a small committee comprised of the Chair plus four members of the Academic Board, which includes the Deputy Chair, a student member and other members to ensure that diverse perspectives, e.g. from both humanities/arts disciplines and from the sciences, have a voice. The minutes of the May 2018 meeting noted that the committee “is critical to ensuring Board retains both a long term plan of action, and addresses topical issues”. The Steering Committee is formed from a general call to members, and essentially works on the development of the agenda especially in relation to hot topics. For example, it develops the poll questions for hot topics, and it discussed the statement on Academic Freedom before taking it to a full discussion at Academic Board in the first half of 2018. It is an informal committee that does not have TOR or formal records. It appears to work effectively.

**Hot Topics**

Academic Board has a unique capacity to examine issues from the perspective of research, education, and student views, as well as bringing cross-College viewpoints to bear. A 2012 Academic Board Working Party recommended that “to ensure Academic Board plays a significant and active role, it needs to discuss, on a regular basis, major issues - which may be difficult or controversial in nature - bearing upon the University’s academic mission, and the values and ethos by which that mission is pursued.”

To facilitate such discussions, each meeting the Academic Board discusses a hot topic. These topics are additional to the Board’s program accreditation role and its oversight of academic standards and quality, and associated policy development.
Hot topics can be suggested by any Board member. Their success relies on finding a champion of the issue, who is willing to prepare a short paper and to lead collegiate discussion. The choice of topic is made by a poll of Academic Board members on a list of topics put together by the Steering Committee, which is sent out approximately a week before papers are due for the Board meeting.

Past hot topics have included:

- Strengthening Student Engagement;
- Academic Freedom;
- Academic promotions policy and procedures;
- National discussion on University funding;
- Ensuring quality supervision of HDR students; and
- Indigenous engagement.

Hot topics have been generally welcomed by members of the Academic Board, although a few members commented that, perhaps inevitably, some are more successful than others. The way the hot topics are decided has increased the engagement of members of the Academic Board, and elected members appreciate the opportunity to initiate discussion with the Executive. One senior member of the Academic Board described the poll as a "great initiative" that has improved communication.

Working Groups

The Academic Board also established the following two working parties comprised of Board members and other academics from various areas of ANU:

- Academic Freedom Working Party; and
- Academic Integrity Working Party.

The Academic Freedom Working Party was instrumental in producing the ANU Statement discussed in Section 3.1, while the Academic Integrity Working Party made some recommendations in July 2018 and is still working through policy issues (Section 5.7). The working party approach is useful in addressing and researching significant issues such as these, and these working groups would welcome the resourcing and support that could be given to them by an Executive Officer to the Chair (Recommendation 2).

Governance Expectations of Members

Members of the Academic Board and its sub-committees are expected to understand and observe the legal requirements of the ANU Act, the Public Governance, Performance and Accountability Act 2013 and University legislation. Members are also expected to:

- act in the interests of the University as a whole;
- contribute the time needed to study and understand the papers provided; and
• apply good analytical skills, objectivity and good judgment.

A reminder about these responsibilities is included as a preamble to the agenda of each Academic Board meeting, which focuses on some key requirements of governance. Members thought this was a helpful reminder, especially as there are frequent alternates in attendance at meetings. This is a matter of good practice, which is a useful example for other universities to emulate. A minor matter which could be considered is for ANU to consistently use the term “member” rather than “representative” as all members of the Academic Board are to act in the interests of the University as a whole and not any one constituency.

Commendation 2. ANU is commended for aspects of the operation of the Academic Board, including:

a) The efficient, effective and inclusive running of the meetings by the Chair;
b) An effective induction process by the Chair and CGRO;
c) The inclusion of hot topics on matters of contemporary sector significance;
d) The establishment of working groups for focused work on key issues; and
e) The inclusion of a reminder about governance requirements for members at each meeting.

3.4 Status of the Academic Board

The status of the Academic Board at ANU appears lower than is the case in most Australian universities. This appears to be as a result of the institutional history of the ANU, commencing with the omission of the Academic Board from the ANU Act from its inception, and continuing through a period of disestablishment 2010-2012 when it was replaced by executive authority advised by policy committees. The reviewer was informed that the current 2018 draft revision of the ANU Act still does not mention the Academic Board, and that this matter has not been considered in its redrafting. While the HESF 2015 does not specify the structures for academic governance, TEQSA expects that the peak academic governance structure is distinct both from corporate governance and executive management, and that scrutiny and peer review is carried out independently from the staff who are directly involved in or managing those activities (outlined in Section 1.1).

Academic Board at ANU has had a period of re-establishing its position and function since 2012 and is clearly meant to be the peak body for academic governance. However, at present its powers are limited as a legacy of its past. It has no delegation of academic governance, and the Vice-Chancellor has been able to exert considerable power over both membership and functioning (Item (k) in the responsibilities of the Academic Board until the most recent change, included “undertaking any other functions given to it by this instrument or that the Vice-Chancellor from time to time directs”). Indeed, the only delegation to Academic Board is the power to establish and
diseestablish awards and associated changes. It has no delegation to approve academic policy or even guidelines and procedures, all of which are approved by the Vice-Chancellor. This matter of policy is further considered in Section 5.4. As discussed above, it is not receiving the reports it needs to play a key role in effective academic oversight.

A further issue for clarification is the status of Academic Board as a sub-committee of Council. The Walker Review stated quite clearly that Academic Board is not a sub-committee of Council but has a reporting relationship (Section 2.3). ANU documents, even from CGRO, are still internally contradictory on this, as they were in 2014. It is possible that establishment of Academic Board as a formal sub-committee of Council would embed the Academic Board more firmly within Council proceedings and support structures, and benefit the status and visibility of the Board to Council, as seems to be the case with the revised sub-committees of Academic Board itself (Section 5). Senior members of the Board felt that a change of status of the Board, and of the Chair of the Board (as recommended in Recommendation 2) would send an “important signal” from the Council about the importance of the core mission of teaching and research in the University.

Recommendation 4. It is recommended that ANU reconsider the status of the Academic Board:

a) to be a sub-committee of Council, rather than having a reporting relationship only; and
b) to be the delegated authority for academic governance rather than the Vice-Chancellor.

See also Recommendation 13 (Section 5.4).
4 Other Academic Governance Structures

- Sub-Committees of Academic Board

This section considers the role, functions and membership of the four sub-committees accountable to the Academic Board, namely the Academic Quality Assurance Committee (AQAC), Student Experience Committee (SEC), Teaching and Learning Development Committee (TLDC) and University Research Committee (URC). This structure of sub-committees came into effect in 2018, following the disestablishment of the University Education Committee (UEC) and the Academic Board Accreditation Sub-Committee (ABAS). Accreditation processes and educational innovation are given higher profile and standing as sub-committee reporting directly to Academic Board, rather than being a level down in the hierarchy of committees.

4.1 Academic Quality Assurance Committee (AQAC)

The Academic Quality Assurance Committee (AQAC) came into being in 2018 to monitor, advise and provide assurance to the Academic Board on the quality of the educational programs and activities of the University. The operations of the Committee are set out in the Academic Quality Assurance Committee Charter.

Functions of AQAC

AQAC monitors and advises the Academic Board on accreditation, academic policy and standards:

Responsibilities of AQAC

The Committee's responsibilities are to:

- Make recommendations to the Academic Board on accrediting and reaccrediting programs and University wide courses,
- develop, monitor and coordinate University policies, procedures and guidelines on load planning, admissions, pathways, credit, programs and courses,
- monitor best practice initiatives and evidence based research to drive innovation through an accreditation and standards framework,
- monitor and coordinate the University's entry standards for onshore and offshore applicants, including recommendations to the Academic Board on English-language proficiency and articulation and entry agreements,
- advise the Academic Board and the University Executive on the higher education standards environment, and
- consider and report on any matter referred to it by the Academic Board or the University Executive.
Membership of AQAC

**AQAC membership**
- the Deputy Vice-Chancellor (Academic), as Chair of the Committee
- One representative from each ANU College nominated by the College Dean, who is the Chair of the College Education Committee; a member of the College Education Committee; a Distinguished Educator; or an Associate Dean.
- An academic staff member from the School of Regulation and Global Governance, as nominated by the Director, School of Regulation and Global Governance
- An ANU College General Manager, nominated by the General Managers
- One member of the professional staff appointed by the Chair
- the President of the Postgraduate and Research Students Association Inc, or their nominee
- the President of ANU Students’ Association Inc, or their nominee

Ex-officio members:
- Registrar, Student Administration
- Dean of Students
- University Librarian
- Director, Tjabal Indigenous Higher Education Centre
- Director, Planning and Performance Measurement.

Appointed members, other than student members, serve a term of two years and are eligible for re-appointment. The student members of the Committee are appointed for one year and are eligible for re-appointment.

The members of AQAC are all either ex-officio or are appointed by the Chair on the nomination of a Dean or other senior manager. There are no elected members, which means there is limited opportunity for staff who are interested in obtaining experience of university-wide academic governance to participate, although they may be able to gain such experience at College or School level. Most of the nominated members are Associate Deans or senior academics and managers.

**Operation of AQAC**

The AQAC is mandated to meet a minimum of six times each year, and it fulfilled this requirement. Its first meeting in 2018 took Principles of Corporate Governance as a starting point for its discussions, although it did not appear to consider the requirements of the HESF in relation to course approval, monitoring and review (particularly HES 5.1 and 5.3), nor the requirements of Academic Governance (HES 6.3). Its first meeting in February 2018 considered the curriculum accreditation process, which it described as “ad hoc”. Comments in that meeting in relation to the review process for courses indicated that the policy is likely to be completed in Semester 2, 2018. However, this process has been delayed; as of January 2019, work had not yet commenced on approval forms for new programs and articulation agreements. There is still a lack of
clarity about some aspects of the course accreditation and review processes, and further comments about these are included in Section 5.6.

AQAC has a significant workload in dealing with matters of accreditation, admission requirements and entry standards, and articulation and pathways. It was described as a “workhorse committee” and one that “does the hard yards”, which is unsurprising. While the bulk of its work consists of the approval of courses, AQAC has also in 2018 considered issues such as English Language Support, zero-enrolled courses (and disestablishment), and grade distributions for purposes of comparison over time and between cohorts (e.g. failure rates in Law). Its October 2018 meeting also considered accepting students who have undertaken English preparation studies from providers other than Study Group Australia (SGA), which runs ANU College. While there is no specific committee that has oversight of international partnerships, AQAC comes close to performing that function. It also noted some of the risks associated with partnership pathway providers.

Interviewees agreed that the new structure and status of AQAC is working well and is an improvement on previous arrangements.

Commendation 3. ANU is commended for the operation of AQAC, which has brought renewed focus and transparency to course accreditation processes.

4.2 Teaching and Learning Development Committee (TLDC)

The objective of the TLDC is to monitor and advise the Academic Board on the development of teaching and learning within the University. The operations of the Committee are set out in the Teaching and Learning Development Committee Charter.

Functions of TLDC

The Teaching and Learning Development Committee (TLDC) monitors and advises the Academic Board on the development of teaching and learning within the University and is particularly focused on educational innovation:

<table>
<thead>
<tr>
<th>Responsibilities of TLDC</th>
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<tbody>
<tr>
<td>The Committee’s responsibilities are to:</td>
</tr>
<tr>
<td>• monitor best practice initiatives and evidence based research to drive innovation in educational practice,</td>
</tr>
<tr>
<td>• ensure the realisation of the University’s strategy in relation to education innovation, quality and experience,</td>
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</table>
TLDC has an ambitious mandate, described in the March 2018 meeting of Academic Board as “to help think differently about our teaching and learning to surprise and challenge traditional thinking”. It therefore meets very clearly the requirement of HES 6.3.2f of “critically evaluating the quality and effectiveness of educational innovations or proposals for innovations”, and as such is distinctive within the sector.

Commendation 4. ANU is commended for the focus on educational innovation achieved through TLDC.

Membership of TLDC

TLDC membership
- Chair – Pro Vice-Chancellor (Education)
- Seven ANU college representatives
- the President of the Postgraduate and Research Students Association Inc, or their nominee
- the President of ANU Students’ Association Inc, or their nominee

Ex-officio members:
- Director – Centre for Higher Education Teaching and Learning
- Associate Director Learning Environments
- General Manager of an ANU College
- Director - Tjabal Indigenous Higher Education Centre
- Director - Planning and Performance Measurement
- Director - Information Technology Services
- Two members appointed for their expertise

Appointed members, other than student members, serve a term of two years and are eligible for re-appointment. The student members of the Committee are appointed for one year and are eligible for re-appointment. As with other committees of Academic Board, all members are appointed or ex-officio, with no elected members.
Operation of TLDC

The TLDC is required to meet a minimum of six times each year, and in 2018 met this requirement, enabling it to mesh its schedule to coordinate with Academic Board. TLDC initiated a video agenda and report, partly as a symbolic gesture to its innovation remit, although this has not proved particularly effective for members and is likely to cease. It shows, however, a willingness to innovate with technology and an acceptance of a level of risk.

The development of a new course in International Relations was cited as a good example of educational innovation by several members. The coordinator of this postgraduate course wished to have a co-designed curriculum, bringing to life the “students as partners” mantra. In order to allow this to occur, a waiver was granted from adherence to the University’s Course Design Principles, which were relaxed to enable this proposal to gain approval.

TLDC has also focussed on educational practice and improvement, through the identification of “champions” and of courses with large numbers requiring improvement. The focus of TLDC on educational practice as distinct from policy is unusual. However, some members felt that separation of the practice of teaching and learning from the policy context did not work well. For example, it is hard to consider and implement revised innovative assessment practices if the policy is very constraining and has detailed specifics such as a certain proportion of assessment to be completed by a particular week in the semester. Some members considered that as AQAC is dominated by the weight and immediacy of accreditation processes, that both committees would benefit from a realignment of relevant academic policy from the TOR of AQAC (currently “develop, monitor and coordinate University policies, procedures and guidelines on load planning, admissions, pathways, credit, programs and courses”) to the TOR of TLDC, which is silent on academic policy.

Neither of the two committees focused on teaching and learning have within their TOR the oversight of quality, looking at key measures such as attrition, progress and completion by course and cohort, although AQAC has discussed some measures of quality e.g. grade distributions and zero-enrolled courses (Section 4.1). It is suggested that, given the heavy and time-constrained requirements of accreditation matters at AQAC, that TLDC be refocused on matters of quality as well as policy and innovation, and would receive quantitative reports to enable it to fulfil this important function.

Recommendation 5. It is recommended that ANU consider an amendment to the TOR of AQAC and TLDC:

a) to move educational policy from the remit of AQAC to TLDC; and
b) to include matters of educational quality within the TOR of TLDC.
4.3 Student Experience Committee (SEC)

Functions of SEC

The Student Experience Committee (SEC) develops programs and projects designed to enhance the student experience, monitors issues affecting the student experience and advises the Academic Board. Its Terms of Reference are as follows:

<table>
<thead>
<tr>
<th>Terms of Reference SEC</th>
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<tbody>
<tr>
<td>Develop, monitor and review University programs and projects designed to enhance the student experience.</td>
</tr>
<tr>
<td>Monitor issues affecting the student experience and make recommendations to address them.</td>
</tr>
<tr>
<td>Advise University Education Committee and Academic Board and the Vice-Chancellor on national and international developments in the enhancement of the student experience.</td>
</tr>
<tr>
<td>Liaise with College Committees to coordinate enhancements to the student experience.</td>
</tr>
<tr>
<td>Consider and report on any matter referred to it by the University Education Committee or the Deputy Vice-Chancellor (Academic).</td>
</tr>
</tbody>
</table>

http://www.anu.edu.au/about/governance/committees/student-experience-committee#acton-tabs-link--tabs-committee_tabs-middle-1

The TOR of SEC (in textbox above) still include advice to and referrals from the UEC, which reflects that, until 2018, it reported to the now-disbanded UEC. SEC now reports directly as a sub-committee to Academic Board, although it is not listed in the same category as URC, TLDC and AQAC on the ANU governance website but as a sub-committee of one of the major committees (January 2019). Recommendation 1 is pertinent here as various parts of the governance website and the committee’s TOR provide conflicting and outdated information.

The TOR of the SEC, apart from being out-of-date, are also quite distinct from the TOR of the Academic Board, which has no mention of student experience, although there is a standing section on the Academic Board agenda related to the student life-cycle. The marginal status of SEC is emphasised by the fact that its papers are not available on the governance Alliance site, but are circulated separately through Sharepoint.
Membership of SEC

The membership of SEC is as follows:

<table>
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<tr>
<th>SEC membership</th>
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<tbody>
<tr>
<td>Chair – Pro Vice-Chancellor (Student Experience) Ex-officio</td>
</tr>
<tr>
<td>Deputy Chair – Registrar Student Life Ex-officio</td>
</tr>
<tr>
<td>Dean of Students Ex-officio</td>
</tr>
<tr>
<td>One academic staff member and one alternate who may be either an academic or</td>
</tr>
<tr>
<td>general staff member, with expertise in the area, from each ANU College</td>
</tr>
<tr>
<td>nominated by the ANU College Dean/Director appointed by the Chair of UEC</td>
</tr>
<tr>
<td>Two members appointed by the Chair, UEC, for their expertise</td>
</tr>
<tr>
<td>President, ANUSA (or nominee) Ex-officio</td>
</tr>
<tr>
<td>President, PARSA (or nominee) Ex-officio</td>
</tr>
<tr>
<td>Director, Residential and Campus Communities</td>
</tr>
<tr>
<td>Director, Tjabal Indigenous Higher Education Centre</td>
</tr>
<tr>
<td>Project Officer, Student Enrichment Ex-officio</td>
</tr>
<tr>
<td>Representative from Planning and Performance Measurement</td>
</tr>
<tr>
<td>President, ANU Sport and Recreation Council, or nominee Ex-officio</td>
</tr>
</tbody>
</table>

All members of SEC are appointed or ex-officio, so there is no formal opportunity for staff to express interest in this committee’s operations.

Operation of SEC

Members commented that there has been overlap between the remit of SEC and that of the University Access and Equity Committee, which reported to SMG and the Executive. The SEC was described by some of its members as ‘more of a networking meeting’ than a formal committee, which deals with highly operational matters, projects and programs. For example, its October 2018 meeting considered matters including peer mentoring, the radio station, the safety plan and airport pickup for new arrivals, and included a verbal rather than a formal written report from the Chair.

In discussions there was a sense that two major initiatives had supplanted or reduced the contribution of the SEC, although this may be an unfair or partial interpretation. The Interactive Learning Project (iLeap), a multipronged governance framework, drawn from the work of the TLDC on ANU’s Teaching and Learning Vision, emphasises the importance of classroom strategies to engage a diverse student group. The SEC has been involved primarily in discussions of student classroom experience. The iLEAP project has been allocated significant funding and a recent document states that its

http://www.anu.edu.au/about/governance/committees/student-experience-committee#acton-tabs-link--tabs-committee_tabs-middle-1
A second major initiative is the Admission, Scholarship and Accommodation (ASA) Project, focused on groups which have traditionally suffered disadvantage in access to ANU. ASA brings together the offer of admission with an offer of accommodation and scholarships that will take into account wider factors such as school background and family circumstances, and as such, also crosses academic portfolios and heavily involves Student Administration and Student Life. ASA has been driven by the former DVC(A) largely though SMG, but with the support of Academic Board and limited involvement by SEC. The first student cohorts of the ASA Project will receive offers in 2019 and will commence studies in 2020. The new Kambri building will house relocated groups of Student Administration, Student Life and the Student organisations from February 2019.

While student experience is broader than student equity, student matters at ANU are further complicated by the administrative structures with two divisions of Student Life and Student Administration and two registrars, as well as roles of Dean of Students, PVC (University Experience) (PVC(UE)), PVC (Education) (PVC(E)), Deputy Vice-Chancellor (Academic) (DVC(A)), and Provost with some overlap between portfolios. While these structures are beyond the scope of this review, it seems that SEC is dealing with predominantly operational matters which essentially sit within the administrative divisions.

While student experience is of growing importance in the sector, and ANU’s student partnership agreement was the first in Australia, the student experience is only indirectly related to academic governance and the linkages between SEC’s activities and the other functions of the Board are not clear. The SEC meets four times a year and so reports are not available at every Board meeting, and when they are on the Academic Board agenda, have been unstarred. The members of SEC described it as being of low priority, both for themselves as members and for Academic Board. At present, the SEC does not appear to be fulfilling a useful high-level purpose, and the ambiguity of its status is exacerbated by overlapping committees, roles and portfolios. It would be appropriate for its role and positioning within operational and governance structures to be reconceptualised, as at present it appears to be misplaced as a sub-committee of Academic Board. Its function and reporting line should be clarified for the future.

Recommendation 6. It is recommended that ANU remove the SEC from its status as a sub-committee of Academic Board, reconsider its role and reallocate its reporting relationships.
4.4 University Research Committee (URC)

The objective of the University Research Committee (URC) is to monitor, advise and provide assurance to the Academic Board on the quality of the research programs and activities of the University. The operations of the URC are set out in the *University Research Committee Charter*.

**Functions of URC**

The URC monitors, advises and provides assurance to the Academic Board on the quality of the research programs and activities of the University.

The URC is the only one of the sub-committees of Academic Board whose status and function remained essentially unchanged in the 2018 reorganisation. It has a broad remit across research matters in the University but lacks detailed TOR that reflect the requirements of HES 6.3 and 4.1 (Research) and 4.2 (Research Training). There is, however, a clause in the TOR about monitoring the quality of the University’s research activities.

### Responsibilities of URC

The Committee’s responsibilities are to advise the Academic Board or the Vice-Chancellor:

- a. on matters relating to research and research training at the University; and
- b. on major issues relevant to the University’s strategic plans and overarching policy; and
- c. on any matter referred to the Committee by the Academic Board, the Vice-Chancellor, the Chair of the Committee, or a member of the University Executive with portfolio responsibility for research.

In carrying out its role, the Committee is to:

- a. monitor the development of the University’s policies and plans in relation to research; and
- b. advise on the coordination of the University’s research effort; and
- c. monitor the quality of the University’s research activities.
## Membership of URC

**URC membership**

- Deputy Vice-Chancellor (Research & Innovation), Chair Ex-officio
- Pro Vice-Chancellor (Innovation) Ex-officio
- Dean, Higher Degree Research Ex-officio
- Director of Division Research Services Ex-officio
- Registrar, Student Administration Ex-officio
- Deans of each ANU College (or Dean’s nominee) (7)
- One academic staff member from each ANU College, nominated by the Dean and appointed by the Chair (7)
- Chairs of the University’s Ethics Committees (3) Ex-officio
- University Librarian Ex-officio
- One postgraduate student appointed by the Chair of the Committee in consultation with the President, Postgraduate and Research Students’ Association (PARSA)
- One undergraduate student appointed by the Chair of the Committee in consultation with the President, ANU Students’ Association (ANUSA)
- Senior academic researcher appointed by the Chair
- Director, National Centre for Indigenous Studies Ex-officio
- Professional staff member appointed by the Chair
- Early career researcher appointed by the Chair
- Additional appointed members (2)

The membership of the URC, as with the other committees of Academic Board, consists of either ex-officio members or members appointed by the Chair. There are no elected members and therefore no formal opportunity for staff members to express their interest in serving on this major governance forum. Members of URC commented that the committee lacks members from the “coal face”, that there is an imbalance towards managers and administrators, and that both members from each College could be (and in some cases, are) managers or administrators rather than active researchers.

## Operation of URC

The URC is mandated to meet a minimum of five times each year but may meet more frequently if required. Reports from URC are regularly tabled and discussed at Academic Board. URC performs an important function in a research-intensive University and deals with matters of strategic significance, such as the research ‘Grand Challenges’ and research infrastructure as well as matters of policy. For example, its February 2018 meeting considered ERA 2018, Strategic Research Funding, and the Costing and Pricing Policy and Procedure, which included discussions about incentivising research and providing returns back to individual academics. Strategic matters are described by members as essentially “top-down” initiatives that are sent to Colleges for comment, but with little filtering up. Members described themselves as essentially reactive rather than proactive and other members felt there was a lack of
engagement in the meetings and limited debate. One long-standing member could not recall any policy ever being sent back.

The agendas of URC reveal some surprising omissions. The most significant omission from URC is the discussion of research quality and performance using KPIs. This reflects broader issues with Academic Board overall outlined in Section 3.3. PPM does produce reports on the KPIs, but these are discussed by Executive and Council and do not operate through the academic governance structure. Oversight of quality against institutional benchmarks requires discussion of performance informed by verified data. The lack of performance data means that the URC is essentially toothless in providing oversight to monitor and improve outcomes.

A second omission from URC is that the agendas do not contain issues of research integrity, and members could not recall ever receiving a report on research integrity or misconduct. The policies relating to this are complex and are discussed further in Section 5.7. The reviewer was informed that research integrity reports go from Research Services Division to Council rather than through URC and Academic Board to Council. This means, however, that the academic governance and oversight of research integrity is lacking, and Council cannot be expected to give such reports the detailed attention that a lower-level committee can provide.

Recommendation 7. It is recommended that ANU amend the TOR of URC to include:

a) specific mention of matters of research integrity; and
b) oversight of research performance,

with appropriate reporting to Academic Board and Council.

URC has an important sub-committee, which is the Higher Degree Research Committee (HDRC). This sub-committee is considered below.

4.5 Higher Degree Research Committee (HDRC)

The Higher Degree Research Committee (HDRC) is a sub-committee of the URC. It is responsible for the provision of information and advice to the Deputy Vice-Chancellor (Research and Innovation) and the Pro Vice-Chancellor (Innovation) on matters relating to research training.
**Functions of HDRC**

The HDRC monitors, advises and provides assurance to the URC and the Academic Board on the quality of the research programs and activities of the University.

<table>
<thead>
<tr>
<th>Terms of Reference HDRC</th>
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<tbody>
<tr>
<td>Specifically the role of the committee is to:</td>
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<tr>
<td>• advise the Chair, Deputy Vice-Chancellor (Research) and the University Research Committee on all matters relating to the University's Higher Degree Research programs</td>
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<tr>
<td>• foster excellence in research training programs by monitoring the quality and academic standards of research training</td>
</tr>
<tr>
<td>◦ monitoring the quality and academic standards of research training</td>
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<tr>
<td>◦ evaluating and reporting on matters including supervision, administration, physical infrastructure and facilities, information infrastructure and financing of scholarships and training.</td>
</tr>
<tr>
<td>• evaluate recommendations on policy for the strategic development of research training in the context of the University and College strategic plans</td>
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<tr>
<td>• monitor external developments relating to research training and provide advice to the University Research Committee on appropriate strategic responses</td>
</tr>
<tr>
<td>• regularly review all rules, policies and procedures related to higher degree research; recommend revision to the University Research Committee and oversee implementation.</td>
</tr>
<tr>
<td><a href="http://www.anu.edu.au/about/governance/committees/higher-degree-research-committee">http://www.anu.edu.au/about/governance/committees/higher-degree-research-committee</a></td>
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**Membership of HDRC**

<table>
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<th>HDRC membership</th>
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<tr>
<td>• Chair, Dean, Higher Degree Research Ex-officio</td>
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<tr>
<td>• Deputy Chair, Deputy Vice-Chancellor (Research) Ex-officio</td>
</tr>
<tr>
<td>• Registrar, Student Administration Ex-officio</td>
</tr>
<tr>
<td>• Director, Division of Student Recruitment, Admissions Ex-officio</td>
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<tr>
<td>• Senior Project Officer (Higher Degree Research) Ex-officio</td>
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<tr>
<td>• Director, Research Skills and Training Ex-officio</td>
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<tr>
<td>• One academic staff member from each ANU College, nominated by the Dean and appointed by the Chair (7) Ex-officio</td>
</tr>
<tr>
<td>• President, Postgraduate and Research Students' Association (PARSA).</td>
</tr>
</tbody>
</table>

The membership of HDRC is more focused than that of URC, although some people are members of both committees, especially if a College does not have separate roles of Associate Dean (Research) and Associate Dean (Research Training). It is not yet known whether the formation of a Graduate Research Office, as agreed at the
December meeting of Academic Board, will require change in the committee membership.

**Operation of HDRC**

The HDRC is mandated to meet a minimum of four times each year and has met this requirement. HDRC reports to URC, but members of both committees felt that HDR matters are ‘lost’ in the wider agenda and that its reports and minutes receive only cursory attention, despite the large numbers of research students and their significance in the overall research enterprise.

HDR matters have some significant anomalies. One of these is the lack of clarity about the approval of new HDR programs and of coursework elements in those programs, as outlined in Section 5.6. Another is that research misconduct rules do not encompass HDR students (Section 5.7). A clear issue relates to delegations and the lack of delegations to the Dean, Higher Degree Research (outlined in Section 5.5). A further issue is the *Research Award Rule* (RAR), which provides a framework in relation to the undertaking of programs of study leading to the award of research awards of the University, are over 100 pages in length, Byzantine in complexity and contain many specifics that require constant change. The RAR needs significant work, as even a cursory reading can identify inconsistencies within it, and between it and other policy documents, for example in relation to the composition of supervisory panels (Section 5.4).

These inconsistencies in HDR matters suggest that they have been somewhat of an ‘orphan’, neither considered as student matters or as research. Members of both committees consider that the HDRC could be a separate committee reporting directly to Academic Board. Its remit is very much academic governance of the quality of research training and research degrees. As with other research-intensive universities, at ANU a direct reporting relationship to Academic Board, as well as appropriate changes to membership and delegations, would raise the status and visibility of HDR matters and reduce the pressure on the URC agenda.

**Recommendation 8.** It is recommended that ANU establish the HDRC as a sub-committee of Academic Board, reporting directly to the Board rather than through URC, and make appropriate changes to its membership and TOR reflecting the recent establishment of a Graduate Research Office.

### 4.6 Committees of Academic Board

Overall, the general view is that the new sub-committee structure is working “more efficiently” than previously, but there is more work to be done. Commendations 3 and 4 reflect the improvements in operation during 2018. This review is suggesting that one of the current committees reporting to Academic Board (SEC) should no longer do so, but that on the other hand that HDRC should be elevated from its current status to a one which reports directly to Academic Board. In relation to all the sub-committees of
Academic Board, it is recommended that they should include some elected staff members to balance the preponderance of managers and administrators and to provide opportunities for interested academic staff to experience institution-wide academic governance. It is also necessary for their TOR and membership to be updated on the ANU website in a timely fashion and it would be helpful for members if all papers were available on the same platform.

**Recommendation 9.** It is recommended that ANU include elected members of staff on sub-committees of Academic Board.

Comment has been made previously about the limited oversight of academic quality and the lack of quantitative reports considered by Academic Board. Neither of the educational committees, AQAC or TLDC, have a clause in their TOR related to oversight of quality of educational activities, whereas both URC and HDRC do so. Recommendation 3 in relation to oversight of academic quality (Section 3.3) at the Academic Board level is relevant here, as ANU will need to decide which reports of quality go direct to Academic Board and which are filtered through the sub-committees.

**Recommendation 10.** It is recommended that ANU amend the TOR of its sub-committees, so that they are consistent in their requirements in relation to the oversight of quality of their respective areas of influence.
5 Processes of Academic Governance

This Section examines the specific processes of academic governance, as defined in HES 6.3. The requirement of each Standard is included in boxed form under the heading.

5.1 Benchmarking and Standards

HES 6.3

6.3.1 Processes and structures are established and responsibilities are assigned that collectively:

... (b) Set and monitor institutional benchmarks for academic quality and outcomes ...

6.3.2. Academic oversight assures the quality of teaching, learning, research and research training... by ...

... (e) monitoring and initiating action to improve performance against institutional benchmarks for academic quality and outcomes ...

... (g) evaluating the effectiveness of institutional monitoring, review and improvement of academic activities ...

Standards

A key role of academic governance is to set and monitor institutional benchmarks for academic quality and outcomes. ANU explicitly sets its benchmarks as excellence “the objective of the Board is to ensure the highest standards in teaching, scholarship and research” (Academic Board Charter, Section 3). The ANU Council website http://www.anu.edu.au/about/governance/council states that “the academic standards, management and administration of the University are the responsibility of the Vice-Chancellor, in accordance with the Vice-Chancellorship Statute 2013 and subject to any resolution of the Council”. This is in line with the heavy executive leadership of ANU, but is not consistent with the requirement of the HESF for academic governance structures and processes to “set and monitor institutional benchmarks for academic quality and outcomes”. At present the requirements of the Academic Board Charter and the Vice-Chancellorship Statute 2013 are not entirely congruent, and it is not clear how the Academic Board has the ability or support to “ensure the highest standards” as required by legislation.

Academic Board has a minor role in setting standards, for example in relation to admissions requirements (December 2017 meeting), or University medals (March 2018 meeting). The former UEC expressed concerns about academic progress and English language capability (March 2018 meeting of Academic Board), with a discussion referencing implicit standards that the University would and would not accept.
The setting of University standards is implicit in a number of policies. For example, the *Academic Programs and Courses Accreditation Policy* requires a review of a program on a shorter cycle than normal if:

- commencing EFTSL are under 5; or
- student retention rates are under 80%; and
- a majority of courses within the program have an agreement rate of less than 50% for overall satisfaction in SELT over the previous three years; or
- Graduate Certificates and Graduate Diplomas do not yield sufficient pathway students (as defined in the policy).

These are standards set within the policy for ANU’s programs.

However, at the institutional level, standards as reflected in KPIs, are set executively and currently do not have governance oversight through the Academic Board. Recommendation 3 in Section 3.3 goes some way to enabling ANU Academic Board to fulfil this function.

**Benchmarking**

Benchmarking is a form of external referencing used mainly “on comparisons of courses or units of study and of student achievement to inform improvements” (*TEQSA Guidance Note: External Referencing (including Benchmarking) V 2.2, October 2017*). The TEQSA Guidance Note also indicates that “Monitoring, review and improvement processes can and should encompass review against comparators, both internal to the provider and external” and that “The different forms of external referencing used in a provider should be grounded in the provider’s policy framework”.

ANU does not have a benchmarking policy, nor is the setting and monitoring of benchmarks included in the TOR of either the Academic Board or its sub-committees.

There is evidence of some benchmarking processes in teaching and student outcomes. The December 2018 meeting of Academic Board included an item on ANU’s participation in the Go8’s Quality Verification System. This is a process for maintaining and improving academic standards which focusses on benchmarking of grades in final year subjects in undergraduate programs. In 2018, ANU is participating in eight discipline reviews. Similarly, the May 2018 meeting of Academic Board considered ANU’s results in the Graduate Outcomes Survey, for example in relation to employability, salaries and satisfaction with their undergraduate program; these were benchmarked against the Go8 as a peer group, and the University of Canberra as a local competitor.

It is understood that the University’s research performance is benchmarked both nationally through the Go8 and internationally through established ranking systems, but at present these processes and reports are managed through the executive.
Without a benchmarking policy, it is not clear what types of benchmarking the University does, how it chooses its comparator institutions, and whether the benchmarking is undertaken systematically with measurable follow-through.

**Recommendation 11.** It is recommended that ANU develop a benchmarking policy and that the setting and monitoring of benchmarks be included in the TOR of either or both of the Academic Board or its sub-committees.

### 5.2 Academic Leadership

**HES 6.3**

6.3.1 Processes and structures are established and responsibilities are assigned that collectively:

… (c) establish and maintain academic leadership at an institutional level, consistent with the types and levels of higher education offered…

There is no explicit mention of academic leadership in the *Academic Board Charter*, Rule or functions, although elements required in leadership have been discussed at the Academic Board in relation to criteria for promotion.

The ANU SMG, the Chair and many senior experienced members of the Academic Board provide academic leadership. The qualifications and experience of the academic leadership team in management, administration, teaching and research is outstanding. Nevertheless, the academic leadership team and indeed the Council has failed to address the requirements of the HESF 2015 even in the 2018 reviews of the ANU Act, and the *Academic Board Statute* and *Rule*. These reviews have been predominantly inwardly-focused and have been either unaware of or have not considered the external legislative requirements of the HESF, nor have they been guided in this by CGRO.

It is difficult to make a practical recommendation here that can be effectively implemented. It is possible that the successful induction program for members of Academic Board could be adapted to a more external focus on legislative compliance rather than the existing TOR. Members of CGRO, Academic Board and Council need to be fully aware of the requirements of HESF 2015, especially Standard 6. One suggestion proposed by a member of the Academic Board is that the requirements of HES 6.3 (Academic Governance) be included as an appendix to the *Academic Board Statute*. While this review does not make a formal recommendation in this regard, ANU needs to be as focused on external legislative requirements as well as on its own history, success and internal operations.
5.3 Advising the Corporate Governing Body

The Academic Board Charter, Section 16, requires the Board to report to the ANU Council on its operation and activities regularly, but at least once a year.

“The report includes:

- a summary of the work performed to fully discharge its responsibilities during the preceding year;
- details of meetings, including the number of meetings held during the relevant period, and the number of meetings each member attended.”

The Walker Review suggested that “reports from all Council Committees and the Academic Board should take the form of a report regarding each meeting held since the last report to Council. In addition to identifying any recommendations for Council, the report should summarise ‘significant items considered’ and list, in bullet dot form, ‘other items considered’, rather than including the full minutes.” (p.52).

The reports to Council consist of an Executive Summary for each meeting, and the Council is asked to note the summary of major items discussed at each Academic Board meeting. During 2018, the summary was generally noted rather than discussed by Council, although Council, at its July 2018 meeting, commended the Academic Board on its work on academic freedom. The Chair of Academic Board and Director, CGRO are considering reinstating the Annual Work Plan and Annual Report to Council. An annual workplan and report is an effective way of keeping committees on track in relation to their TOR and to compliance with the HESF, and this review supports this initiative.

There appears to be an error in Section 17 of the Academic Board Charter, where it says the Board, may at any time, report to the Academic Board on any other matter it deems of sufficient importance to do so, but which should presumably be to Council.
The communication between Academic Board and Council is not strong and was described by a Council member as “underdone”. This reflects: the general status of the Academic Board at ANU; that it has only one area of delegation (program approvals) on which to report; that approvals of academic policy occur executively; and that the academic voice tends to be filtered through the Executive.

The Chair of Academic Board provided a report to Academic Board about a discussion with Council held in March 2018. At this meeting, the Chair discussed matters such as: academic risk in relation to corporate risk; the need for alignment between corporate governance, academic governance and the Executive; the desire for better communication between Council and Academic Board; and an expressed need for Council to clearly articulate its vision for Academic Board.

An improvement in the communication could be a summary of the report to Council and discussions there. Academic Board could also make sure in its reports that it offers a distinctive voice, e.g. on academic aspects of the Strategic Plan, or views on matters of sector-wide importance, such as the major reviews currently underway into the Higher Education Provider Standards and the Australian Qualifications Framework. Council, noting that it is required to obtain and use academic advice, could increase their engagement with Academic Board by referring matters to it, which could be either institution-specific or sector-wide. Examples of such referrals at other universities have included questions over the continued value of the Honours year; the role of professional doctorates; requests for a comprehensive but nuanced response to issues of attrition; and the place of micro-credentials in a suite of offerings.

Other ways of improving communication are to have more regular cross-attendance. A number of members of Academic Board valued the presence of the Chancellor at the December 2018 meeting and expressed a desire for this to occur more regularly, perhaps annually. Recommendation 2 has already been made about the Chair of Academic Board becoming a member rather than an observer at Council.

Recommendation 12. It is recommended that ANU plan to improve the communication between Academic Board and Council, through mechanisms, which could include:

- Enhanced two-way reporting;
- Cross-attendance;
- Referrals from Council to Academic Board; and
- More independent advice from Academic Board to Council.
5.4 Academic Policy

The Academic Board has, as one of its functions, “discussing and developing policy recommendations in relation to academic matters”. The Academic Board is active in endorsing new or revised policy, particularly in relation to students and learning and teaching matters. For example, the December 2018 meeting of Academic Board endorsed revised English Language Requirements for Admission and policy and procedure relating to Student Refunds and Late Withdrawals.

The Academic Board does not have delegated authority to approve academic policy but recommends policy to the Vice-Chancellor. The Delegations Framework delegates to the VC the power to “determine and authorise the release of University policy”, a power which has been effective since 1946.

Most members of Academic Board assume that it has the authority to approve policy and are not aware that a further step in the process occurs after the Academic Board’s endorsement. As policy is also reviewed through SMG and the Executive, some felt that this final approval was an unnecessary bureaucratic step and could be removed for efficiency. The VC’s approval is required even for Procedures and Guidelines, which is a very high level of approval. No member could recall an incidence of the Vice-Chancellor refusing to approve or amend a policy, procedure or guidelines after having undergone such a thorough consultative process.

The sector norm is for Academic Board to approve academic and research policy and for it to note procedures and guidelines, which allows changes to be made quickly and efficiently. Further delegation of the approval of academic and research policy, and/or procedures and guidelines to the Academic Board would be a useful streamlining of process, which is worthy of consideration. A first step in this might be the delegation of approval of procedures, guidelines and forms.

Recommendation 13. It is recommended that ANU consider the further delegation of approval of academic and research policy, and/or related academic procedures and guidelines to the Academic Board.

The Policy Governance Policy states that all policies are classified into one of only three categories, which are governance, academic and administrative. Policies are searchable in the website directory by a number of dimensions, including audience, function and topic. Each policy is the responsibility of an allocated area with a
responsible officer (RO). Most student policies are allocated to the Division of Student Administration (DSA), with relatively few allocated to the DVC(A) and none to the Provost. Research and research training policies are allocated mainly to Research Services, research conduct to the PVC Innovation (PVC(I)) and HDR policies to the Dean, HDR, with none allocated to the Deputy Vice-Chancellor (Research and Innovation) (DVC(R&I)).

URC and AQAC have within their TOR the requirement to provide advice on policies relevant to their portfolios; a recommendation to this in relation to the sub-committees of Academic Board is included in Section 4.2.

**Policy Review**

No comprehensive policy review schedule is available, but several interviewees commented that ANU had an extremely large number of policies, of which a fair proportion, especially forms, were beyond their review date. A website scan of those ANU policies defined by topic as teaching and learning policies revealed three of eight that are past their review date, which are:

- *Structure and Wording of Coursework Award Requirements* (Program Orders), (due for review in December 2016);
- *Timetable Policy* (July 2018); and

DSA is the contact area for these policies.

Similarly, six of ten policies categorised by topic as research are beyond their review date:

- *Conflicts of Interest and Commitment* (March 2014);
- *Open Access* (July 2017);
- *Paid Outside Work – the 52 Day Rule* (April 2018);
- *Costing and Pricing of Externally Funded Research Projects, University Consultancies and Commercial Services* (April 2018);
- *Code of Research Conduct* (June 2018); and
- *Responsible Conduct of Research* (June 2018).

The ROs for these policies include the Director CGRO, the University Librarian & Director Scholarly Information Services, the PVC(I), and Research Services. The large number of policies overdue for review across various organisational units appears to provide evidence that Section 7 of the *Policy Governance Policy*, which requires the RO to ensure “that all policy documents that fall within their responsibility are subject to a major review at least every three years” is not generally being observed.
Recommendation 14. It is recommended that ANU act urgently to address overdue policy reviews and include a schedule of policy reviews in Academic Board workplans and its sub-committees to provide greater visibility to policy review.

**HDR Policies**

Only one of five HDR policies is beyond its review date, the Joint and Dual Award PhD Degree Policy, which was due for review in May 2018. The other HDR policies related to the student lifecycle will be due for review in 2019.

HDR policies are governed by the Research Awards Rule (RAR) 2017, which sits above all the HDR framework of policies, procedures and guidelines. Minor amendments to the RAR were agreed at the December 2018 meeting of Academic Board, which relate to the maximum periods of completion and an increase in delegation levels in relation to program leave and program extension. The RAR is an extensive rule covering the life cycle of the HDR process including examination and supervision. Members of URC and HDRC expressed frustration with the RAR, which they said had “the worst of all worlds”, managing to combine length and wordiness with imprecision and contradictions. It includes requirements for qualifications of supervisors in accordance with HES 4.2. Section 50(3) of the RAR states that candidates for the Master of Philosophy (MPhil) “must have a primary supervisor and at least one associate supervisor”. However, the Higher Degrees by Research - Supervision Policy Section 2 states that the “supervisory panel” “comprises at least three people for a PhD or professional doctorate or at least one person for an MPhil”. This is a discrepancy between the Rule and the Policy; the general practice is for a supervisory panel of more than one. A more manageable approach might be to divide the RAR into several sections, as is the case in a number of other universities.

More importantly, the RAR allocates almost all responsibility for decisions on research awards to the Associate Dean of the College in which the student is enrolled. The Rule, and related delegations, therefore do not take into account the relatively new position of Dean, Higher Degrees Research, who has a Job Description to oversee HDR activity throughout the University but who has no role in decisions, including reviews. There is scope for review of reviewable or appealable decisions by the DVC or Registrar: the DVC may delegate this authority. This matter is considered further in the following section on delegations of academic authority. The 2019 revision of the RAR will need to be comprehensive and take into account the issues outlined above.

Recommendation 15. It is recommended that ANU undertake a comprehensive revision and restructuring of the RAR in 2019, and consider, at minimum:

a) Simplification of phrasing;
b) Elimination of duplication and contradictions;
c) Splitting into sections related to the student life-cycle; and
d) Appropriate authorities and delegations.
5.5 Delegations of Academic Authority

ANU has a *Delegations of Authority Policy* and *Delegations of Authority Procedure*, both effective 2013, with review dates in 2016. They are therefore considerably overdue for review.

The *Delegations of Authority Policy* states that it “is focussed primarily on matters which relate to financial transactions or to contractual or legislated arrangements with staff, students, and persons and organisations outside the University.” Delegations are predominantly, but not exclusively, assigned to positions rather than Committees. For example, the DVC(A) has delegations for setting fees and ATARs. As mentioned in the previous section, there are no delegations to the relatively new positions of the Dean, HDR or the Provost.

The *Delegations of Authority Procedure* allows for new or revised delegations to be proposed to the Delegations Administrator who will make a recommendation to the Vice-Chancellor, and for the Vice-Chancellor and Council to seek written assurance from senior delegates that the processes and policies have been followed. There is no mention in the procedures of the role of academic governance in “confirming that delegations of academic authority are implemented” as this occurs from the Executive to the Audit and Risk Management Committee (ARMC) of Council. This is a governance process, but of corporate governance rather than academic governance.

Academic Board has never reviewed the academic delegations in the Delegations Register. It is suggested that Academic Board could meet the requirements of HES 6.3.2 by including a review of academic delegations in its annual work schedule and moving this through to ARMC. It is further suggested that the overdue review of the *Delegations of Authority Policy* and *Delegations of Authority Procedure* should include a revision of the procedure to include the Academic Board, and a substantive review of delegations to the Provost and the Dean, HDR to reflect their roles. The 2019 Internal Audit Work Plan includes as a possibility (on its B list) audit of the *Delegations Framework*, which is proposed to integrate the assignment of delegations with position management. The legislative requirement of HESF 2015 in relation to academic delegations indicates that this proposed review should be moved up the priority list.
Recommendation 16. It is recommended that ANU audit and update its Delegations of Authority Policy, Delegations of Authority Procedure and Delegations Register and in that review:

a) Amend the Procedure to include an evaluation of academic delegations by the Academic Board at least annually; and

b) Amend the Register to include appropriate delegations to the Provost and Dean, HDR to reflect their new roles.

Within the Delegations Framework, Academic Board has delegated authority to:

“Determine matters relating to the establishment and disestablishment of awards, and the variation of programs and courses, including pre-requisites, co-requisites, assessment methods and requirements for completion of programs.”

It has no other delegations. This delegation reflects the approval responsibility of the Academic Board listed in its TOR. There are also limited delegations to the Academic Progress Committee (“determine appeals against exclusion from undergraduate or postgraduate coursework for coursework students”) and the Appeals Committee (“determine the outcome of an appeal”, and “determine penalty for failure to meet the terms of student undertaking”) but no other delegations for the sub-committees of Academic Board.

The Delegations Framework is a dense document: it would be useful to have a key included with higher visibility. Recommendation 4 (Section 3.4) in relation to delegation of academic governance to the Academic Board and Recommendation 13 (Section 5.4) in relation to delegation of approval of academic policy to the Academic Board are relevant here.

5.6 Program Accreditation and Review

HES 6.3

6.3.2. Academic oversight assures the quality of teaching, learning, research and research training … by …

… (c) critically scrutinising, approving and, if authority to self-accredit is held, accrediting or advising on approving and accrediting, courses of study and their associated qualifications

Program Approvals

The Academic Board is responsible for approving new academic programs, reviews of and amendments to existing programs, and also the disestablishment of programs. For undergraduate and graduate coursework programs, accreditation recommendations come to the Board from the Colleges through AQAC. In some cases, these will have been worked through School and College committees as well as AQAC, and some members appealed for removal of at least one layer of committees from the process.
This review has not been able to look at program approvals in great depth, but there may be merit in such a proposal.

The Higher Degree by Research programs that may currently be awarded by ANU are specified in Section 3 of the Programs and Awards Statutes 2013, which are the PhD, MPhil, and three Professional Doctorates. Some members of Academic Board, URC and HRDC are confused by the policy silence on the approval of further HDR programs, as it is not clear how a new HDR program could be recommended or approved, although such recommendations under the current committee structure would presumably come from URC via HDRC as part of their remit to provide advice on research programs and research matters.

Program accreditation is governed by the Policy: Academic programs and courses accreditation, which describes the standards that underpin the University’s introduction, modification, review and disestablishment of academic programs and courses. ANU programs must conform to the University’s Program Design Principles. The Policy: Academic Programs and Courses Accreditation states that the UEC (now, presumably TLDC) may approve an exception to the Design Principles. This policy is, however, silent on the more general question of approval of a new HDR program and on the related question of approval of coursework elements within HDR programs. Interviewees in this review were unable to articulate the appropriate process within ANU for the approval of new HDR programs.

**Recommendation 17.** It is recommended that ANU clarify the process for the approval of new HDR programs and for coursework elements within HDR programs.

The Academic Board receives numerous standing reports related to program accreditation. While professional accreditation is the responsibility of the relevant College, Academic Board received reports on these; for example, in May 2018, the Academic Board considered external accreditation of the ANU Medical School.

**Program Changes**

The delegations for approval of changes to programs, courses or constituents of a study program are clearly laid out within the Policy: Academic programs and courses accreditation. Amendments to minors, majors and specialisations are made by Colleges.

**Program Review**

Program review processes are governed by the Policy: Academic programs and courses accreditation. Program reviews are conducted on a five-year cycle according to a schedule, which is managed by AQAC, so that 20% of programs are reviewed each year. AQAC may initiate a review on a shorter cycle if there are questions about viability, quality assurance or student outcomes or experience, as noted in Section 5.1.
The related Procedure: Academic programs and courses accreditation does not include the procedures for review but indicates the existence of an academic program review proforma that is completed and sent to AQAC. This proforma is under review; it will be essential that any new version incorporates all the requirements of HES 5.3 (Monitoring, Review and Improvement) including the results of regular interim monitoring, external referencing, student feedback and teaching evaluations. It would also be helpful for Academic Board to consider how to ensure follow-up and “closing the loop” on reviews of programs (and indeed, Schools).

**Recommendation 18.** It is recommended that ANU, in its revisions of the policy, procedure and forms for program and course accreditation, take fully into account all the requirements of program review listed in HES 5.3.

### 5.7 Academic and Research Integrity Including Risk Monitoring

#### HES 6.3

6.3.2. Academic oversight assures the quality of teaching, learning, research and research training...by...

... (d) maintaining oversight of academic and research integrity, including monitoring of potential risks

The monitoring of academic and research integrity is not mentioned within the TOR of the Academic Board or its sub-committees. ANU Academic Board is aware of a variety of academic risks, although this is a work in progress.

**Academic Integrity, Misconduct and Appeals**

Academic Board has had numerous discussions about academic integrity, including ghost writing in December 2017 and a discussion of an annual report on academic misconduct in March 2018. Academic Board established an Academic Integrity Implementation Working Group which reported to Academic Board in July 2018. The
Working Group supported the creation of mandatory modules for students while supporting staff to improve their understanding of academic integrity issues and recommended a review of policy to refine the ANU position.

The current policy is included in the Academic Misconduct Rule, which has a graduated series of offences and penalties.

**Research Integrity and Misconduct**

While Academic Board has a good handle on academic integrity related to teaching, learning and coursework students, the approach to research integrity is less clear and more diffuse with the policies being fragmented and the reporting bypassing Academic Board, URC and HDRC.

The Responsible conduct of research policy applies across the University to both staff and students. However, the Research misconduct and serious research misconduct procedure applies to staff but not to HDR students. Elements of research-based misconduct are also to be found in the Fraud and corruption control procedure. Reports on research integrity go to Council and not to Academic Board or URC. This unconsolidated approach is likely to constitute a risk in a research-intensive university.

**Recommendation 19.** It is recommended that ANU streamline and consolidate its approach to research integrity policy, procedure and reporting.

**Academic Risk**

ANU Council has ultimate responsibility for risk management, primarily assisted by the Audit and Risk Management Committee.

A formal Entity-wide Risk Management Framework (RMF) has been established, which recognises three levels of risk: strategic, operational and day-to-day. The Risk Management Policy and the Risk Management Procedure are both overdue for review (review date 2016), while the RMF is undated without a version number or review date. The ANU Risk Register is described as “relatively new” and developing as practicable and manageable; some senior staff felt that university-wide understanding of the risk register and risk framework is not yet well-developed. It is noted that the RMF refers to the Academic Board as a Committee of Council despite the warnings of the Walker Review outlined in Section 2.3.

The RMF identifies ROs but is silent on any role of academic governance structures in monitoring academic risks, including oversight of academic and research integrity. The annual cycle of strategic and operational risk management does not include reference to Academic Board, nor are breaches of academic and research integrity included as a risk or potential cause of risk. Academic risks have a low profile in the ANU Strategic Risk Register. While reputational risks include “breaches of legislative or regulatory
compliance”, which may include failure to include TEQSA re-registration, this is not isolated as a risk, presumably as it is viewed as low likelihood despite its potentially catastrophic impact. Similarly, the risks of third-party operations, either at home or overseas, are not included except as an enterprise risk of over-dependence on particular markets.

The University’s Strategic Risk Register 2018 includes the risk that the University’s culture of excellence has been compromised; the treatments include the review of Go8 performance standards with a view to introducing them to ANU, with the responsible officer being the DVC(A), and articulation of performance expectations to achieve a culture of excellence, allocated to the Provost. The Academic Board is not a treatment owner in any risk category despite its legislated role in setting standards and monitoring academic performance.

The Executive Summary of the Board of August 2018 to Council included an identification of the risks posed by Study Group Australia, operating as ANU College, noting they had exceeded their allowable intake under CRICOS rules and considering the viability of the future relationship. This is an example of an academic risk that may give rise to a reputational risk, which has been flagged but has not been incorporated into the University-wide risk register. It is likely that the academic risks identified by Academic Board will provide new insights for the University from those derived from elsewhere. It is therefore desirable that ANU include greater consideration of academic risk in its Risk Management Framework, Processes and Register, incorporating the insights obtained by Academic Board and the Academic Risk Register into the University’s overall Risk Management Framework.

One of the mechanisms to mitigate risk is internal audit of areas and functions. The 2019 Internal Audit Work Plan was developed by CGRO in consultation with Ernst and Young, the University’s outsourced provider, taken together with survey results from the Administrative Services survey, findings from previous audits and discussions with University Executive and key stakeholders. The academic areas scheduled for audit in 2019 include Paid Outside Work, Management of Grading Processes, Management of Scholarships and Prizes, HDR Examination, and Research Integrity (to include the policy and its alignment with the Australian Code for the Responsible Conduct of Research (ACRCR) 2018. From Academic Board’s discussion in relation to ANU College, it is possible that third party provision may be a higher risk area appropriate for internal audit than some of the other topics scheduled for 2019, such as Grading Processes. Recommendation 19 above (in this section) supports the requirement for internal audit and review of Research Integrity.

The Academic Board has begun work on developing an Academic Risk Register. Throughout 2018, it has often discussed academic risk but in passing or in relation to a particular identified issue such as academic integrity or third party provision, rather than as a scheduled agenda item in its own right. Until now, those identified risks have not been passed to the relevant risk committee as required by the RMF, despite the fact
that the secretarial support to the Academic Board has been provided by a member of CGRO and that this is a requirement of the CGRO function.

**Recommendation 20.** It is recommended that ANU revise and update its *Risk Management Framework, Risk Management Policy* and *Risk Management Procedure* and in that review:

a) Ensure academic risk is fully incorporated, including Academic Board as a stakeholder and treatment owner;

b) include an evaluation of academic risks by the Academic Board at least annually; and

c) Use identified academic risks for revision of the internal audit schedule.

### 5.8 Educational Innovation

**HES 6.3**

6.3.2. Academic oversight assures the quality of teaching, learning, research and research training…by…

… (f) critically evaluating the quality and effectiveness of educational innovations or proposals for innovations

Processes of educational innovation have been discussed under Section 4.2 (TLDC) and are not considered further in this report.

### 5.9 Student Participation

**HES 6.3**

6.3.3. Students have opportunities to participate in academic governance

Students are members of all the key governance committees, including the Council. The student membership of these committees is listed in Table 1.

While there are not large numbers of students involved in any one committee, members and students feel they have a voice and that their views are taken seriously. Students are articulate, informed and unintimidated and make a genuine contribution to the Academic Board. Students are not allocated a formal mentor but appreciated their induction and the availability of the Chair of Academic Board and other staff to discuss matters informally. The Student Partnership Agreement has been relevant in including students and having an ethos of openness and respect.

Some other universities have been enhancing participation by students by increasing student numbers on the Academic Board, providing mentors and pre-meetings, and
increasing the length of terms of student members, there was no pressure or appetite for such developments at ANU.

Table 1. Number of student members in academic governance bodies

<table>
<thead>
<tr>
<th>Committee</th>
<th>U/G</th>
<th>P/G</th>
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<tbody>
<tr>
<td>University Council</td>
<td>1</td>
<td>1</td>
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<tr>
<td>Academic Board</td>
<td>2</td>
<td>2</td>
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<tr>
<td>Academic Quality Assurance Committee</td>
<td>1</td>
<td>1</td>
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<tr>
<td>Teaching and Learning Development Committee</td>
<td>1</td>
<td>1</td>
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<tr>
<td>University Research Committee</td>
<td>1</td>
<td>1</td>
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<tr>
<td>Higher Degrees Research Committee</td>
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<td>2</td>
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</tbody>
</table>

Commendation 5. ANU is commended for the positive approach to student participation in academic governance processes.

5.10 Conclusion

ANU’s Academic Board has undergone a period of disestablishment, followed by rebuilding. At present, its status is low, and it has few powers. It does not effectively perform its key role of academic oversight of academic quality as it does not clearly set standards and receive appropriate reports to monitor them. There are also key elements of HES 6.3 that the Academic Board needs to address or address more fully, including academic risk, academic delegations and research integrity.

Work is in train on academic risk, academic integrity and student participation, while long-established activity such as program approval and development of academic policy is reasonably effective, although complex and with a backlog of policy review.

The recommendations contained in this review are directed to a future focus and include recommendations about activities, some of which have implications well beyond the Academic Board but also for Council and for other areas such as CGRO in the management of the risk framework.

Recommendations are also directed towards improving the status of the Board and its communications and relationship with Council.
Recommendations are also made about the structure of the Academic Board sub-committees to enable them to be more effective and to address some of the issues of quality and risk which will be more important than ever in a volatile external environment.

This review includes commendations for some of the operations of the Academic Board, for its new focus on educational innovation and elevation of the importance of accreditation and for its ethos of student participation.

Considerations arising from this review will need to form the basis of an action plan, which will inevitably result in a further revision of the Academic Board Charter, Academic Board Rule, responsibilities and memberships, and those of the sub-committees.
Appendix 1

Standard 6.3 Academic Governance: HESF 2015

6.3.1. Processes and structures are established and responsibilities are assigned that collectively:

a. achieve effective academic oversight of the quality of teaching, learning, research and research training
b. set and monitor institutional benchmarks for academic quality and outcomes
c. establish and maintain academic leadership at an institutional level, consistent with the types and levels of higher education offered, and
d. provide competent advice to the corporate governing body and management on academic matters, including advice on academic outcomes, policies and practices.

6.3.2. Academic oversight assures the quality of teaching, learning, research and research training effectively, including by:

a. developing, monitoring and reviewing academic policies and their effectiveness
b. confirming that delegations of academic authority are implemented
c. critically scrutinising, approving and, if authority to self-accredit is held, accrediting or advising on approving and accrediting, courses of study and their associated qualifications
d. maintaining oversight of academic and research integrity, including monitoring of potential risks
e. monitoring and initiating action to improve performance against institutional benchmarks for academic quality and outcomes
f. critically evaluating the quality and effectiveness of educational innovations or proposals for innovations
g. evaluating the effectiveness of institutional monitoring, review and improvement of academic activities, and
h. monitoring and reporting to the corporate governing body on the quality of teaching, learning, research and research training.

6.3.3. Students have opportunities to participate in academic governance.
MEMO

SUBJECT _allocations of student services amenities fee funds to student associations in 2020_

TO  Professor Brian Schmidt, Vice-Chancellor

FROM  Professor Tony Foley, Interim Pro Vice-Chancellor (University Experience)

DATE  20th August, 2019

Vice-Chancellor

Item 3.2.5 of the Student Services, Amenities, Representation and Advocacy Guidelines requires that in relation to decisions regarding the specific uses of the proceeds from any compulsory SSAF, HEPs must establish and maintain a clearly defined and effective process by which students enrolled at the HEP are consulted that is reviewed and approved annually by the governing body of the HEP.

Our funding agreements with the student associations set out a broad timeline and process for consulting students on the use of the proceeds raised from compulsory SSAF at ANU. The detailed timeline for 2019 allocations is as follows.

<table>
<thead>
<tr>
<th>Indicative Date</th>
<th>Event</th>
<th>Responsibility</th>
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</thead>
<tbody>
<tr>
<td>Wed 14th August</td>
<td>Brief meeting of all parties to outline the 2020 SSAF Grant Program process and discuss priorities for 2020</td>
<td>PVCUE; SSAF Grant proponents</td>
</tr>
<tr>
<td>Friday 20th September</td>
<td>Applications to the 2020 SSAF Grant Program due</td>
<td>SSAF Grant proponents</td>
</tr>
<tr>
<td>Mon 24th September</td>
<td>2020 Grant applications available for comment by proponents on the 2020 SSAF Sharepoint site</td>
<td>EO PVCUE</td>
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<tr>
<td>Monday 30th September</td>
<td>Proponents submit questions on other bids for response to <a href="mailto:eo.pvcue@anu.edu.au">eo.pvcue@anu.edu.au</a></td>
<td>SSAF Grant proponents /EO PVCUE</td>
</tr>
<tr>
<td>Monday 7th October</td>
<td>Proponents provide their responses to questions to <a href="mailto:eo.pvcue@anu.edu.au">eo.pvcue@anu.edu.au</a></td>
<td>Student Associations/ EO PVCUE</td>
</tr>
<tr>
<td>Wed 9th October</td>
<td>Collated proponent proposal questions and responses posted to the Sharepoint site and provided to the 2020 SSAF Grant Program panel</td>
<td>PVCUE; associations/DSL</td>
</tr>
<tr>
<td>Mon 21st October</td>
<td>2020 SSAF Grant Program panel finalises proposal rankings and allocations</td>
<td>SSAF Panel</td>
</tr>
<tr>
<td>Mon 28th October</td>
<td>Proponents advised of draft allocations as per the recommendations to VC and posted to ANU SSAF website</td>
<td>PVCUE; associations/DSL</td>
</tr>
<tr>
<td>Mon 28th October – Tues 26th November</td>
<td>Student body invited to comment on draft allocations as posted on ANU SSAF website</td>
<td>EO; associations/DSL</td>
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<tr>
<td>Tues 26th November</td>
<td>Closing date for student body comments</td>
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<tr>
<td>Mon 2nd December</td>
<td>Proponents respond to comments by the student body</td>
<td>Associations/DSL</td>
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<tr>
<td>Friday 6th December</td>
<td>Allocations approved by delegate and proponents notified</td>
<td>VC; SMG; PVCUE; EO PVCUE</td>
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</tbody>
</table>
Recommendation:

That you approve these arrangements for determining SSAF recommended allocations for the 2020 SSAF Grant Program.

Consistent with the requirements of the Student Services, Amenities, Representation and Advocacy Guidelines, I will ask Mr Reid to include your approval in the Council papers for noting.
# ANU Council

## 2020 Forward Agenda Plan

(@ 19 September 2019)

<table>
<thead>
<tr>
<th>Council meeting date</th>
<th>Key Agenda Items</th>
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</thead>
<tbody>
<tr>
<td><strong>Meeting 1</strong></td>
<td></td>
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<tr>
<td>13 February (Dinner)</td>
<td>- Vice-Chancellorship</td>
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<td></td>
<td>- Vice-Chancellor’s report</td>
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<td></td>
<td>- ANU Strategic &amp; Executive Plan Review – End of 2019 report (part of Planning Day)</td>
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<td>- ANU Melbourne office – 2019 report</td>
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<td>- Remuneration Committee and Executive Remuneration – 2019 report</td>
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<td></td>
<td>- Nominations Committee – meeting update, if appropriate/available</td>
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<td>- Council membership – Noting nominations to the Minister</td>
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<td>- Innovation Hub - update (TBC)</td>
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<td>- Strategic Plan 2017-21 (to also be the Corporate Plan 2020)</td>
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<td>- AHRC Report on Sexual Assault and Harassment – ANU Response</td>
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<td>- New ANU Act progress report, as applicable</td>
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<td>- Cyber Security – update (or Planning Day)</td>
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<td>- Strategic Risk Register 2020 (1st update) (Next: July)</td>
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<td>- Voice Survey 2018 – Action Plan (update)</td>
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<td>- Academic Leadership and Management Program – or Dec 2019</td>
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<td>- Honorary Degrees - Nominations</td>
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<td>- Declarations of Interest – Annual Disclosures 2019</td>
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<td>- Workers Compensation Self-insurance–progress report</td>
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<td>- Student Safety Report</td>
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<td>- Work Health and Safety – 2019 report (including 2020 KPIs)</td>
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<td>- ANU Emeritus Faculty – 2019 report</td>
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<td>- Academic Board – Executive Summary</td>
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<td>- Finance Committee – Executive Summary</td>
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<td>- Audit and Risk Management Committee – Executive Summary</td>
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<td>- Campus Planning Committee – Executive Summary</td>
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<td>- Power of Attorney report</td>
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<td>- University Seal report</td>
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<td>- Report of Significant Visits and Events, Grants and Consultancies</td>
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<td>- Legislation</td>
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<td><strong>Planning day: Strategic Items</strong></td>
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<td><strong>Meeting 2</strong></td>
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<tr>
<td>3 April</td>
<td>- Vice-Chancellorship</td>
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<tr>
<td></td>
<td>- Vice-Chancellor’s report</td>
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<td></td>
<td>- 2019 Annual Financial Statements, including subsidiaries and ANAO Audit</td>
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<td>Clearance Statement</td>
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<td>- 2019 Annual report of Audit and Risk Management Committee activities and</td>
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<td>acquittal of Internal Audit Charter responsibilities</td>
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<td>- 2019 ANU annual report, including NIG report to Minister</td>
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<td>- Investment Strategy and Socially Responsible Investment Policy compliance</td>
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<td>report (or July)</td>
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<td>- Strategic Financial Forecast (TBC)</td>
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<td>- Council Committees – memberships</td>
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<td>- Reconciliation Action Plan Implementation-Progress Report (or May)</td>
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<td>- Philanthropy – presentation</td>
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<td>- New ANU Act progress report, as applicable</td>
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<td></td>
<td>- AHRC Report on Sexual Assault &amp; Harassment - Response - update</td>
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<tr>
<td>Council meeting date</td>
<td>Key Agenda Items</td>
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<tr>
<td></td>
<td>Student enrolments - progress report: Sem 1, 2020 <strong>(Next: Oct)</strong></td>
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<td>ANU 75th Anniversary Project – update</td>
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<td>Emeritus Professors and Emeritus Fellows appointments report</td>
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<td>National Centre for Indigenous Genomics - Annual Report 2019</td>
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<td>Work Health and Safety – report</td>
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<td>Student Safety Report</td>
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<td>Academic Board – Executive Summary</td>
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<td>Finance Committee – Executive Summary</td>
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<td>Audit and Risk Management Committee – Executive Summary</td>
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<td>Campus Planning Committee – Executive Summary</td>
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<td>Legislation</td>
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**Strategic topic: Academic Plan**

**Meeting 3**

29 May

- Vice-Chancellorship
- Vice-Chancellor’s report (Incl Fed Budget)
- VC Expenditure – over $10m report (per 2016 Resolution)
- CECS Re-imagine – update
- Projected 2020 Financial Results and KPIs
- ANU Enterprise Business Plan – Implementation update
- New ANU Act progress report, as applicable
- AHRC Report on Sexual Assault & Harassment - Response - update
- Philanthropy – presentation
- Socially Responsible Investment Report 2020
- Domestic Equities Mandate
- Digital Strategy update
- Digital Strategy – COO priority
- Council Committee membership - appointments
- Honorary Degrees nominations
- Investment Strategy and Socially Responsible Investment Policy - compliance report (or April)
- Work Health and Safety - report
- Student Safety Report
- Reconciliation Action Plan Implementation-Progress Report (or Apr)
- Academic Board Executive Summary
- Finance Committee – Executive Summary
- Audit and Risk Management Committee – Executive Summary
- Campus Planning Committee – Executive Summary
- Power of Attorney report
- University Seal report
- Report of Significant Visits and Events, Grants and Consultancies
- Legislation

**Strategic topic: University Experience Plan**

**Meeting 4**

31 July

- Vice-Chancellorship
- Vice-Chancellor’s report, including VC expenditure over $10 million
- ANU Executive Plans – Mid Year report
- CECS Re-imagine - progress report (implementation)
- Cyber Security – update (2nd for 2020)
- New ANU Act progress report, as applicable
- Philanthropy – presentation
- ANU Enterprise Business Plan – Implementation update
- AHRC Report on Sexual Assault & Harassment - Response - update
<table>
<thead>
<tr>
<th>Council meeting date</th>
<th>Key Agenda Items</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Crawford Leadership Forum 2020 – report</td>
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<td></td>
<td>Strategic Risk Register 2020 (2nd update) <em>(Next: Feb)</em></td>
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<tr>
<td></td>
<td>Campus Master Plan – Annual Report (per 26 July 2019 Council paper)</td>
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<td>National Institutes Grant Framework – Implementation Report (Annual)</td>
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<td>Capital Management Plan 2020 (incl Capital Bids, if required)</td>
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<td>Constitution changes – student organisations (Annual – as required)</td>
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<td>Work Health and Safety – report</td>
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<td>Student Safety Report</td>
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<td>Administrative Reform – update</td>
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<td>Advancement: Campaign Planning - Progress – update</td>
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<td>Student Safety Report</td>
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<td>Ethics Committees - Annual Reports 2019</td>
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<td>ANU Foundation - Annual Report to donors</td>
</tr>
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<td>Tuition Fee Bands for 2020</td>
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<td>ANU Higher Degrees by Research fee setting for 2020 and 2021</td>
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<td>ANU College Coursework fee setting for 2020</td>
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<td>2019 Report to Donors: The Impact of Giving</td>
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<td>Academic Board – Executive Summary</td>
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<td>Finance Committee – Executive Summary</td>
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**Strategic topic: Societal Transformation Plan**

<table>
<thead>
<tr>
<th>Meeting 5</th>
<th>2 October</th>
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<tbody>
<tr>
<td></td>
<td>Vice-Chancellorship</td>
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<td>Vice-Chancellor’s report</td>
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<td>2020 Consolidated University financial projections</td>
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<td>2021 University Budget</td>
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<td>Strategic Financial Forecast (if required)</td>
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<td>New ANU Act progress report, as applicable</td>
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<td>Standard &amp; Poor’s Rating of the ANU</td>
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<td>Rankings Report – consolidated report</td>
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<td>Workers Compensation Self-insurance–Annual Report 2019</td>
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<td>Student Services and Amenities Fee (SSAF) – Process for 2020</td>
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<td>Audit and Risk Management Committee – Executive Summary</td>
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<td>Report of Significant Visits and Events, Grants and Consultancies</td>
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### ANU COUNCIL

**EXPECTED ACQUITTAL OF GOVERNANCE RESPONSIBILITIES IN 2020**

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## 2. Ongoing review of the success of University strategies

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<td><strong>Ensuring effective overall governance and management of the University</strong></td>
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<td>3.</td>
<td>Appointing the Chancellor and Pro-Chancellor</td>
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<td>Ensuring the effective operation of Council including the induction and professional development of Council members and the evaluation of the performance of Council and its committees</td>
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<td>Annual Council self-evaluation 2019-20</td>
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<td>Council membership – Noting nominations to the Minister</td>
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<td>Audit and Risk Management Committee – Executive Summary</td>
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<td>Chair, CPC</td>
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5. Appointing the Vice-Chancellor as principal academic and chief executive officer of the University, and monitoring his or her performance

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<td>2018 report of Remuneration Committee and ANU Executive Remuneration</td>
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6. Overseeing and reviewing the management of the University and its performance

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### Expected Acquittal of Governance Responsibilities 2020

#### 7. Ensuring that the strategic goals set by the Council are delivered by effective management systems

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<td>Student Services and Amenities Fee (SSAF) 2020 - Process for consultation with students</td>
<td>PROVOST</td>
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<td></td>
<td>7.11</td>
<td>Investment performance report (Plato performance; Portfolio Performance)</td>
<td>COO</td>
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<td></td>
<td>8.</td>
<td><strong>Overseeing and monitoring the academic activities of the University</strong></td>
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<td>8.1</td>
<td>Honorary Degrees - nominations</td>
<td>Chancellor</td>
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<td>8.2</td>
<td>ANU Emeritus Faculty annual report 2019</td>
<td>Chair, Emeritus Faculty</td>
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<td>Report of Significant Visits and Events, Grants and Consultancies</td>
<td>VC</td>
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<td>Student Enrolments - progress report</td>
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<td>Emeritus Professors and Emeritus Fellows - appointments – Annual Report</td>
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<td>8.6</td>
<td>Ethics Committees - Annual Reports 2019</td>
<td>PROVOST</td>
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<td>8.7</td>
<td>CECS Re-imagine – update (6 monthly intervals and an Annual Report in Dec)</td>
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<td>9.</td>
<td>9.1</td>
<td>Setting University legislation and policy, as required</td>
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<td>10.1</td>
<td>2019 Annual Financial Statements, including subsidiaries and ANAO Audit Clearance Statement</td>
<td>COO/CFO</td>
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<td>2019 Annual report of Audit and Risk Management Committee activities and acquittal of Internal Audit Charter responsibilities</td>
<td>Chair, Audit and Risk Management Committee</td>
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<td>2019 ANU Annual Report, including National Institutes Grant report to the Minister</td>
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<td>Tuition Fee Bands for 2021</td>
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<td>ANU Higher Degrees by Research fee setting for 2021 and 2022</td>
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<td>ANU College Coursework fee setting for 2021</td>
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<td>10.7</td>
<td>2021 University budget</td>
<td>COO/CFO</td>
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<td>10.8</td>
<td>Projected 2020 Financial Results and KPIs</td>
<td>COO/CFO</td>
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<td>2020 Consolidated financial projections</td>
<td>COO/CFO</td>
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<td>11.1</td>
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<td>2020/21 Federal Budget report</td>
<td>VC</td>
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<td>11.2</td>
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<td>ANU Enterprise Business Plan – Implementation update and performance reports</td>
<td>COO</td>
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<td>Standard &amp; Poor’s Rating of the ANU</td>
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<td>Entity-wide Risk Management Framework, profile, Strategic Risk Register and strategic risk appetite statements – annual update</td>
<td>VC</td>
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<td>11.5</td>
<td></td>
<td>Privacy – Annual Report</td>
<td>COO</td>
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11. Overseeing and monitoring the assessment and management of risk across the University, including in its commercial undertakings
<table>
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<tr>
<th>Function</th>
<th>No.</th>
<th>Item</th>
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<th>May</th>
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<tr>
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<td>12.2</td>
<td>Annual Internal Audit Work Plan 2021</td>
<td>VC</td>
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<td></td>
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<tr>
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<td>12.3</td>
<td>Public Interest Disclosure – Annual Report</td>
<td>VC</td>
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<td></td>
<td></td>
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<tr>
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<td>12.4</td>
<td>Freedom of Information – Annual report</td>
<td>COO</td>
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</table>

**12. Approving and monitoring systems of control and accountability for the University and any entities controlled by the University**

- **2021 Subsidiaries budget and performance reports**
- **Annual Internal Audit Work Plan 2021**
- **Public Interest Disclosure – Annual Report**
- **Freedom of Information – Annual report**

**13. Approving significant commercial activities of the University**

*No new significant commercial activities anticipated at this time*
Summary of Council and Council Committee membership highlighting terms expiring in 2019 and 2020.

**Council**

<table>
<thead>
<tr>
<th>Category</th>
<th>Member</th>
<th>Term expiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chancellor</td>
<td>Professor the Hon Gareth Evans AC QC</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Vice-Chancellor</td>
<td>Professor Brian P. Schmidt AC FAA FRS</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Appointed - ‘seven members appointed by the Minister on the recommendation of the Nominations Committee of Council’.</td>
<td>Ms Naomi Flutter Pro-Chancellor</td>
<td>30 Jun 2022</td>
</tr>
<tr>
<td></td>
<td>Mr Mike Baird</td>
<td>31 Jul 2023</td>
</tr>
<tr>
<td></td>
<td>Dr Doug McTaggart</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td></td>
<td>Mr Peter Yu</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td></td>
<td>Ms Natasha Stott Despoja AO</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td></td>
<td>Ms Anne-Marie Schwirtlich AM</td>
<td>30 Jun 2021</td>
</tr>
<tr>
<td></td>
<td>Professor Suzanne Cory AC</td>
<td>30 Jun 2022</td>
</tr>
<tr>
<td>Elected - ‘One person who is either a dean of the head of a research school and is elected, in either case, by the deans and the heads of the research schools voting together’</td>
<td>Professor Matthew Colless</td>
<td>29 Sep 2020</td>
</tr>
<tr>
<td>Elected - ‘One member of the academic staff of The Faculties elected by members of that staff’.</td>
<td>Associate Professor Ben Corry</td>
<td>29 Sep 2020</td>
</tr>
<tr>
<td>Elected - ‘One member of the academic staff of the Institute of Advanced Studies elected by members of that staff’.</td>
<td>Professor Kate Reynolds</td>
<td>29 Sep 2020</td>
</tr>
<tr>
<td>Elected - ‘One member of the general staff of the University elected by members of that staff’.</td>
<td>Mrs Claire Shrewsbury</td>
<td>25 May 2020</td>
</tr>
<tr>
<td>Elected - ‘One postgraduate student of the University elected by the postgraduate students of the University’.</td>
<td>Mr Utsav Gupta</td>
<td>2 Sep 2020</td>
</tr>
<tr>
<td>Category</td>
<td>Member</td>
<td>Term expiry</td>
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<td>------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Elected - ‘One undergraduate student of the University elected by the</td>
<td>Ms Eden Lim</td>
<td>30 Nov 2019</td>
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<tr>
<td>undergraduate students of the University’.</td>
<td>(Mr Lachy Day from 1 Dec 2019)</td>
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**Finance Committee**

<table>
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<tr>
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<th>Member</th>
<th>Term expiry</th>
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<tbody>
<tr>
<td>‘Chair, appointed by the Council from among its members, who may not be</td>
<td>Dr Doug McTaggart</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>a student or employee of the University’.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vice-Chancellor</td>
<td>Professor Brian P. Schmidt AC FAA FRS</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Pro-Chancellor</td>
<td>Ms Naomi Flutter</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Chair of the Audit and Risk Management Committee</td>
<td>Mr Geoff Knuckey</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>‘up to three other Council members appointed by the Council’.</td>
<td>Vacant</td>
<td>(to 30 June 2020)</td>
</tr>
<tr>
<td>‘up to five other members, appointed by the Council, who have</td>
<td>Mr Darren Keogh</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>appropriate expertise, at least four of whom are neither students nor</td>
<td>Ms Merran Kelsall</td>
<td>30 Jun 2020</td>
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<tr>
<td>employees of the University’.</td>
<td>Mr Tony McGrath</td>
<td>30 Jun 2020</td>
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<td></td>
<td>Professor Tim Senden</td>
<td>30 Jun 2020</td>
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**Audit & Risk Management Committee**

<table>
<thead>
<tr>
<th>Category</th>
<th>Member</th>
<th>Term expiry</th>
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<tbody>
<tr>
<td>‘Chair, appointed by the Council, who may be a member of the Council,</td>
<td>Mr Geoff Knuckey</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>but not</td>
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</table>
### Category: the Chancellor, nor a student or employee of the University

<table>
<thead>
<tr>
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<th>Term expiry</th>
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<tbody>
<tr>
<td>Ms Anne-Marie Schwirtlich AM</td>
<td>30 Jun 2021</td>
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</table>

### Category: up to two members of Council, appointed by the Council, who may not be a student or an employee of the University

<table>
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<tbody>
<tr>
<td>Ms Anne-Marie Schwirtlich AM</td>
<td>30 Jun 2021</td>
</tr>
</tbody>
</table>

### Category: up to four independent members, appointed by the Council, who may not be a member of Council, nor a student or employee of the University

<table>
<thead>
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<th>Term expiry</th>
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<tbody>
<tr>
<td>Mr Jeremy Chandler</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>Mr Mark Ridley</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>Ms Janine McMinn</td>
<td>30 Jun 2020</td>
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### Campus Planning Committee

<table>
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<tr>
<th>Category</th>
<th>Member</th>
<th>Term expiry</th>
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</thead>
<tbody>
<tr>
<td>Chair, appointed by the Council from among its members, who may not be a student or employee of the University.</td>
<td><strong>Professor the Hon Gareth Evans AC QC</strong> Chancellor</td>
<td>31 Dec 2019</td>
</tr>
<tr>
<td>Vice-Chancellor</td>
<td><strong>Professor Brian P. Schmidt AC FAA FRS</strong></td>
<td>Ex-officio</td>
</tr>
<tr>
<td>‘three other Council members, appointed by the Council’.</td>
<td><strong>Ms Naomi Flutter</strong> Pro-Chancellor and Deputy Chair</td>
<td>30 Jun 2021</td>
</tr>
<tr>
<td></td>
<td><strong>Ms Anne-Marie Schwirtlich AM</strong></td>
<td>30 Jun 2021</td>
</tr>
<tr>
<td></td>
<td><strong>Mrs Claire Shrewsbury</strong></td>
<td>25 May 2020</td>
</tr>
<tr>
<td>Chair, Campus Development Advisory Committee</td>
<td><strong>Mr Rob McGauran</strong></td>
<td>31 May 2024</td>
</tr>
<tr>
<td>two external members, with relevant skills</td>
<td><strong>Mr Terry Weber</strong> Plus one vacancy</td>
<td>30 Jun 2020</td>
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### Honorary Degree Committee

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<th>Term expiry</th>
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<tbody>
<tr>
<td>Chair, appointed by the Council from among its members, who may not be a student or employee of the University.</td>
<td><strong>Professor the Hon Gareth Evans AC QC</strong> Chancellor</td>
<td>31 Dec 2019</td>
</tr>
<tr>
<td>Vice-Chancellor</td>
<td><strong>Professor Brian P. Schmidt AC FAA FRS</strong></td>
<td>Ex-officio</td>
</tr>
<tr>
<td>‘three other Council members, appointed by the Council’.</td>
<td><strong>Ms Naomi Flutter</strong> Pro-Chancellor and Deputy Chair</td>
<td>30 Jun 2021</td>
</tr>
<tr>
<td></td>
<td><strong>Ms Anne-Marie Schwirtlich AM</strong></td>
<td>30 Jun 2021</td>
</tr>
<tr>
<td></td>
<td><strong>Mrs Claire Shrewsbury</strong></td>
<td>25 May 2020</td>
</tr>
<tr>
<td>Chair, Campus Development Advisory Committee</td>
<td><strong>Mr Rob McGauran</strong></td>
<td>31 May 2024</td>
</tr>
<tr>
<td>two external members, with relevant skills</td>
<td><strong>Mr Terry Weber</strong> Plus one vacancy</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>Category</td>
<td>Member</td>
<td>Term expiry</td>
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</tr>
<tr>
<td>Chancellor, as Chair</td>
<td>Ms Naomi Flutter</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Pro-Chancellor</td>
<td>Professor Brian P. Schmidt AC FAA FRS</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>Vice-Chancellor</td>
<td>Professor Suzanne Cory AC</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td></td>
<td>Mr Peter Yu</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td></td>
<td>Ms Natasha Stott Despoja AO</td>
<td>30 Jun 2020</td>
</tr>
<tr>
<td>‘Three other members of Council,</td>
<td>Professor Keith Nugent</td>
<td>Ex-officio</td>
</tr>
<tr>
<td>appointed by the Council, who may not</td>
<td>Deputy Vice-Chancellor (Research &amp; Innovation)</td>
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<tr>
<td>be a student or an employee of the</td>
<td>Professor Grady Venville</td>
<td></td>
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<tr>
<td>University’.</td>
<td>Deputy Vice-Chancellor (Academic)</td>
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<tr>
<td>One member of the academic staff</td>
<td>Professor Robyn Lucas</td>
<td>29 Sep 2020</td>
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<td>drawn from the ANU College of</td>
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<tr>
<td>Engineering and Computer Science, the</td>
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<tr>
<td>ANU College of Health &amp; Medicine, or</td>
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<tr>
<td>the ANU College of Science</td>
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<tr>
<td>One member of the academic staff</td>
<td>Professor Peta Spender</td>
<td>29 Sep 2020</td>
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<tr>
<td>drawn from the ANU College of</td>
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<td>Arts and Social Sciences, the ANU</td>
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<tr>
<td>College of Asia and the Pacific, the</td>
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<tr>
<td>ANU College of Business and Economics,</td>
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<tr>
<td>or the ANU College of Law</td>
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<tr>
<td>Either the President of the</td>
<td>Ms Eden Lim</td>
<td>30 Nov 2019</td>
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<tr>
<td>Postgraduate and Research Students'</td>
<td>President, ANU Students' Association</td>
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<tr>
<td>Association Inc. or the President of</td>
<td>(This will swap to elected PARSA President for the next term.)</td>
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<tr>
<td>the Australian National University</td>
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<td>Students' Association</td>
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**Nominations Committee**

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<th>Term expiry</th>
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</thead>
<tbody>
<tr>
<td>Chancellor, as Chair</td>
<td></td>
<td>Ex-officio</td>
</tr>
</tbody>
</table>
### Category | Member | Term expiry
--- | --- | ---
Pro-Chancellor | Ms Naomi Flutter  
Deputy Chair | Ex-officio
Vice-Chancellor | Professor Brian P. Schmidt AC FAA FRS | Ex-officio
‘three other persons, appointed by the Chancellor’. | Ms Julie Steiner | 30 Jun 2020
| Dr Robin Hughes AO | 30 Jun 2020
| Mr David Miles AM | 23 Nov 2020
One member of the academic staff, who is a College Executive Committee member of an ANU College | Professor Tim Senden | 30 Jun 2020

### Remuneration Committee

| Category | Member | Term expiry |
--- | --- | ---
Chancellor, as Chair | | Ex-officio
Pro-Chancellor | Ms Naomi Flutter | Ex-officio
Chair of Finance Committee | Dr Doug McTaggart | Ex-officio
Profile

As a Senior Partner at BCG, Andrew works with some of the world’s most ambitious and successful business leaders to drive digital transformation and create change in terms of both people and technology. Reflecting his belief that the digital age requires a learning organisation, and his passion for creating new and competitively-advantaged futures, Andrew is known as a global expert in building capabilities to make organisations sustainably stronger, while ensuring rigorous governance practices and disciplines for managing today’s business.

He is energetic and results-oriented, and is a creative, yet pragmatic strategic thinker. Andrew has a unique ability to bring a fresh perspective which he uses to help senior leaders combine business and personal objectives. He is generous with his time and insights and cares deeply about the success of those who he advises over both the short and long term.

Recognised for his global experience, Andrew has held a number of senior global and regional leadership roles within BCG and has served on multiple governance bodies and committees. He is also a non-executive director of an early-stage, ASX listed, international tech company - Adslot Ltd.

During his 25 years with BCG, Andrew has lived and worked in South Korea and Thailand, and has travelled extensively in support of clients across Australia, and in Singapore, the UK and the USA.

Key Competencies

- Deep understanding financial services, property and infrastructure development, and from a functional perspective organization models and new ways of working
- Governance of large-scale change management, including business and operating model design
- Balancing performance; risk and return
- Strategic insight and pragmatic solutions in designing and implementing classical and disruptive enterprise and business unit strategies
- A trusted source for holistic one-on-one CEO and senior leadership counselling
- Capability development and reskilling/near skilling workforces from front line leaders’ remote sites around the world to those leading multi-billion-dollar global business units

Board & Committee Experience

Global leader of the People and Organisation practice and the Enablement and Client Learning practice. Member of BCG’s global Executive Committee and Partner Performance Committee and is currently a member of BCG’s Capital Committee, Investment Office and Audit & Risk Committee, having also recently stepped down from the Election Committee. Andrew led the Financial Services practice twice in the past 15 years and chaired the local Partner Development Committee for almost 9 years.

Outside BCG, since May 2018, Andrew has been a non-executive director of Adslot, an ASX leading provider of media-buying tools, workflow software and analytical services, now serving clients in 24 countries. He also serves on its Remuneration and Audit & Risk Committees.

Achievements

- Transformed BCG’s People and Organisation practice through new data-driven approaches to practice management and the development of client-side tools, resulting in BCG being ranked as the #1 major consultancy in Change Management and Leadership for several years in a row, whilst growing at a rate faster than the firm overall
- Conceived and launched several Centres of Excellence and new high-performing businesses for BCG including proprietary data-based services; OrgBuilder (a USD400m+ revenue business); Leadership and Enablement Talent Centre; and Client Learning
- Led global strategic change initiatives across BCG (eg Client Enablement), continuing the evolution of the firm’s go-to-market model and bringing innovative approaches to driving growth and value
• Led and participated in major firm-wide strategic development initiatives including strategic reviews that resulted in new Practice Groups and new market entries, sponsoring the globalisation of the firm’s Public Sector Practice Group, redesigning world-wide partner compensation and introducing new disciplines for intellectual capital development across multiple practices
• Appointed a BCG Fellow in 2018; currently developing the firm’s thought leadership in how companies should develop talent in the digital age

**Employment Summary**

**The Boston Consulting Group (BCG)**

**Senior Partner**

**1994 - Present**

Jan 2013 – Present
Senor Partner and Managing Director, Sydney Office
Member of Election Committee, Audit & Risk Committee, Stable Capital Committee and Partner Investment Fund, Asia Pacific Partner Performance Committee; Chair of ANZ System Partner Development Committee; BCG Henderson Institute Fellow and Global Leader of the firm’s client capability build initiative (Enablement and Client Learning)
New Partner coach and Business Partner for mid-career women

Jan 2007 – Dec 2012
Global Leader, People and Organisation Practice; Member of Global Executive Committee and Global Partner Performance Committee
Member of Asia Pacific Leadership Team; Chair of Asia Pacific Client Team

Jan 2004 – Dec 2006
Regional Leader – People and Organisation; Chair, Australia/NZ Business Development Committee

Jun 2000 – Dec 2006
Partner and Managing Director, Sydney/Melbourne, focused on client service
Chair, Australia/NZ Business Development Committee

Dec 1997 – May 2000
Principal (Sydney, Melbourne, Auckland)

Project Leader (Seoul and Bangkok)

Mar 1994 – Aug 1994
Consultant (Melbourne, Seoul & Bangkok)

**Australian Federal Government – Defence Housing Authority**

**1993 - 1994**

**Special Projects, reporting to Deputy CEO and CEO**

Led projects focused on business improvement and the creation of long term take-or-pay residential property leases to privatise housing stock and make new stock available for defence personnel.

**Commonwealth Bank of Australia**

**1986 –1991**

**Corporate Banking, Capital Markets (Senior Manager)**

Founding member of Commonwealth Bank Capital Markets, a new business tasked with CBA’s push into debt capital markets and structured & infrastructure finance. Member of the Payments Committee of the Bank. Corporate client relationship manager.

**Interests**

Andrew has a passion for property. He has undertaken a number of small, private developments, and also served as a committee member of the South Sydney Development Corporation for 5 years.

He has a passion for post-WWII Australian figurative art.

**Education and Qualifications**

Master of Business Administration, IMD, Switzerland 1992

Master of Commerce (Finance), University of New South Wales 1990-91

Bachelor of Economics (Honours), Australian National University 1982-86

Member the Australian Institute of Company Directors (AICD) Since 2012
Executive Summary
The University’s performance in the most frequently cited global rankings is generally declining. The only exceptions are Nature and US News. This does not necessarily mean that the University’s research and teaching performance is declining but rather that its relative position to universities worldwide is declining.

The world of international rankings is an increasingly competitive environment where the difference in performance of the top ranked institutions is narrowing.

There has been a rapid rise up the rankings of Asian Universities (and to a lesser degree South American Universities) while the proportion of highly ranked institutions from North America and the United Kingdom is shrinking.

ANU is expected to continue declining in the global rankings relative to other institutions, unless it takes some action and considers the strategic alignment of resources and effort.
All of the main global rankings involve at least some Research variables and three rankings give significant weighting to Reputation variables as well. Education and Internationalisation variables also feature in three of the rankings however the weightings are generally less than Research and Reputation.

Research

Publication indicators show a generally consistent pattern with the university’s ranking declining slightly over the past five years. If current trends continue with no significant changes to key indicators, then ANU should see a relatively stable performance in its publication rankings. However in those rankings that use a short, more recent data window, or where it is focused on science disciplines ANU could see slight declines in ranking performance.

The citation indicators suggest that our most recent ranking performance is being bolstered by our past success and that we can expect a slight decline in the rankings over the next few years.

HiCi indicators show a generally consistent pattern with the majority of the university’s ranking indicators improving slightly over the past five years and this is likely to continue in the majority of the rankings. The exceptions being Leiden, ARWU and NTU high-impact journal indicators due to shorter data windows and more science focused data.

Reputation

Generally the university’s ranking performance in reputational indicators has been declining and this is expected to continue if there are no changes to key variables.

When looking across THE and QS reputation survey results we learn that:

- ANU has a stronger reputation for Research than it does for Teaching.
- ANU generally has a stronger reputation rank than citation rank, which may represent a concern for the future.
- ANU has a lower national profile than its key Australian comparators but a stronger profile in some Asian countries.
- The subjects making the most contribution to our votes are Arts & Humanities, Social Sciences, Business & Economics, and Physical Sciences, which is in line with the university’s largest subject areas by academic staff volume.
- Some of our subject areas, such as Clinical, Pre-clinical and Health (Medicine), have high citations but do not yet have a strong research reputation in these surveys.
- ANU has an older profile of voters than key comparator institutions which is a concern for the future.

Education

Generally ANU is declining slightly on all education indicators, with the most significant decline in the staff/student ratio.

Our ranking performance decline is largely the result of a notable increase in student load with only a fractional increase in academic staff. Based on the current load plans and staffing levels, it is expected that the staff/student ratio will reach its lowest levels in 2019 (2022 rank release year), and then start to gradually improve slightly. If others such as
Melbourne continue to improve their ranking performance in this variable, even with the projected improvement in the ANU staff/student ratio, ANU will likely drop slightly or stay the same in the Faculty/Student Indicator ranks.

*Internationalisation*

Our rank in the proportion of international students has been improving notably, whilst our rank in the proportion of international staff has been declining slightly. This reflects the actual changes in our student load and staff FTE in recent years. If current trends continue then ANU should continue to see improvement in its ranks for the proportion of international student but decline in its ranks for the proportion of international staff.

Generally the university’s rank on international collaborations (co-authored publications) is improving slightly. If current trends continue then ANU should see improvements in future rankings.

The following areas have been identified by the University Executive for initial exploration of possible ways to improve our rankings that are also aligned to our strategic plan:

- Exploring the underlying drivers of the Research indicators as part of the ANU Research Strategy development. Responsible Officer – DVCR
- Embedding the underlying drivers of the Reputation indicators as part of the ANU Story rebranding and repositioning project and implementation. Responsible Officer – VP E&GR
- Considering the underlying drivers for the Staff/Student ratio as part of the University’s workforce and load planning, including doctoral students. Responsible Officer – Provost and COO
- Reflecting on the underlying drivers in relation to our international partnerships. Responsible Officer – PVCI and VP E&GR
- Reviewing the process for ranking data submissions in light of the long term trends. Responsible Officer – Provost

*Overview*

The ANU is listed in over 20 rankings world-wide. Some rankings are of institutions overall, others are subject/discipline specific or a combination thereof. There are seven institutional-level global rankings that are commonly referenced, and they form the basis of this paper.

<table>
<thead>
<tr>
<th>Ranking Name</th>
<th>Abbreviation</th>
<th>First Issue</th>
<th>Web Link</th>
<th>Country of Origin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Ranking of World Universities</td>
<td>ARWU</td>
<td>2003</td>
<td><a href="http://www.shanghairanking.com/">http://www.shanghairanking.com/</a></td>
<td>China</td>
</tr>
<tr>
<td>CWTS Leiden Ranking</td>
<td>Leiden</td>
<td>2007</td>
<td><a href="https://www.leidenranking.com/">https://www.leidenranking.com/</a></td>
<td>Netherlands</td>
</tr>
</tbody>
</table>
This paper provides a general summary of the overall global rankings and considers the picture this
gives us of the University’s overall position on the world stage. Detailed analysis of each of the
following individual rankings are available on Council’s Secure Server.

<table>
<thead>
<tr>
<th>Ranking Agency</th>
<th>Ranking Type</th>
<th>Release Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARWU</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>ARWU</td>
<td>Subject Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>Leiden</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>Nature</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>NTU</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>QS</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>QS</td>
<td>Subject Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>THE</td>
<td>Global Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>THE</td>
<td>Reputation Ranking</td>
<td>2019</td>
</tr>
<tr>
<td>THE</td>
<td>Subject Ranking</td>
<td>2018 *</td>
</tr>
<tr>
<td>THE &amp; QS</td>
<td>Reputation Analysis</td>
<td>2019</td>
</tr>
<tr>
<td>US News</td>
<td>Global Ranking</td>
<td>2018 *</td>
</tr>
</tbody>
</table>

* Updated results are expected later in 2019

The University’s performance in the most frequently cited global rankings are provided below. All of
these rankings involve at least some Research variables and three give significant weighting to
Reputation. Education and Internationalisation variables also feature in three of these rankings
however the weightings are generally less than Research and Reputation, particularly
Internationalisation which has the least impact on the overall rankings than all the other variables.
Each of these variable types (Research, Reputation, Education and Internationalisation) are
examined in more detail in following sections.

**Figure 1: Summary of Key Ranking Systems & ANU Ranking Performance**
The data is presented by the year the ranking was released regardless of 1) what year the ranking is named 2) what year the data is sourced from.

Leiden considers a number of metrics, including international collaborations, but doesn’t amalgamate into an overall rank therefore weighting does not apply. The metrics all use research data and therefore we have labelled Leiden as 100% Research.

It should be noted that the Leiden dataset is not a ranking exercise. However, the data can readily be used to form rankings based on citations to publications. Depending on the criteria used in the sort ANU ranks first or second in Australia on each of the most useful comparisons. Here Leiden ranks are presented are for number/proportion of top 10% most frequently cited publications of a university using the following specification - Time period: 2014-2017 (for 2019 results), Field: All sciences, Region/country: World, Min. publication output: 100, Type of indicators: Scientific Impact.

Generally the world of international rankings is an increasingly competitive environment, as can be seen in the increase in participating institutions for some of the main rankings. Of course it is also in the best interest of the ranking companies to have as many institutions participating as possible.

**Figure 2: Number of Participating Institutions for Key Rankings, 2011 vs 2019**

<table>
<thead>
<tr>
<th>Ranking Release Year</th>
<th>2011</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>QS</td>
<td>500</td>
<td>1001</td>
</tr>
<tr>
<td>THE</td>
<td>200</td>
<td>1396</td>
</tr>
<tr>
<td>ARWU</td>
<td>500</td>
<td>1000</td>
</tr>
</tbody>
</table>

The margin of difference in ranking performance of top ranked institutions is narrowing. For example, the difference in THE’s ranking score from the institution ranked first and the institution ranked 200th decreased from 50 points in 2011 to 42 points in 2019.
While the number of institutions engaging in global rankings increases, the distribution of ranked institutions is changing too. Increasingly the proportion of highly ranked institutions from North America and the United Kingdom is shrinking while Asia and South America are increasing.

The rapid rise of Asian universities can be seen when you look at where some of our key Asian comparators were in 2014 compared to now.
In order to provide some global context, results in this paper are compared with the following institutions: Michigan, Edinburgh, Tsinghua, Melbourne, Sydney and UQ. These institutions were chosen from the standard benchmark group of twenty (identified by the Vice-Chancellor and Provost) to provide comparative data from key regions (US, UK, China and Australia) while keeping in relatively close proximity to the University’s ranking performance.

The Value in Rankings Data
All rankings receive some media and industry attention but the most widely covered in the general international media are:

- QS
- THE
- ARWU

They have a significant impact on potential students, repeatedly appearing as one of the top influencers in our lost student research. For example, in the 2019 Lost Survey results, respondents indicated that University rankings played a major role in influencing their decision to study at a university, especially for Domestic Undergraduates (11%). It was the third highest factor that influenced a student’s study decision, behind only course offerings and location of university.

They are also used by policy makers around the world as evidence of the quality and success of their institutions. According to Luzbacher (2013) ‘governments across the world are using rankings to measure their global competitiveness.’ The study ‘Rankings in institutional strategies and processes (RISP): Impact or illusion?’ (2014) states that many governments use rankings to provide funding for selected institutions deemed as capable of becoming world-class, whereas others make use of rankings for classification purposes. Countries as diverse as India, the Netherlands and Chile have all made use of rankings in schemes such as student sponsorship, partnership, recognition and immigration policies.
Rankings are also frequently cited by institutions around the world as evidence of their success and impact, particularly in student and staff recruitment and engaging with industry. The recent announcements from the University of Melbourne after their strong ranking performance in the THE are a good example of this.

There is extensive literature critiquing global rankings. This is not least because of the arbitrary weightings they use for different elements to construct composite indexes. The mix of subjective and objective data is also questionable. The inclusion of subjective data implies the reputation of an institution is more important than what is taught/researched as reputation is not necessarily grounded in the real performance of an institution. There is also concern that the desire for rank ordering overrules all else, even where differences in the data are not statistically significant. Of course all the top rankings are designed as profit making exercises so they do not release full details of their methodology, or complete datasets. As such it is often not possible to fully replicate their ranking calculations which in itself is cause for concern. Therefore it is generally accepted that all of the different methodologies are flawed but no practical alternatives have been identified.

There is also debate about how to define ‘quality’ in higher education. Different rankings are driven by different purposes. They each have particular notions of higher education (what it should be, what is valuable, who it should benefit) and these are reflected in how they equate rank with performance.

A further criticism of rankings is that the criteria within them pay minimal attention to the real-world performance and student experience, particularly for undergraduates. Factors that can make a huge difference to a positive education, such as campus amenities, resourcing of libraries and laboratories, the quality of campus accommodation, the approachability of lecturers, classroom seating, internet connection, student support services, transportation and welfare services, are generally overlooked.

Another criticism of global rankings is the choice of research metrics. Research expenditure is often used as a measure of research accomplishments despite the concern that measuring research by the amount of money spent rather than by the importance and impact of academic discoveries or the depth of the ideas could encourage costly projects that are not necessary academically sound. The use of Research citations is also challenged by those disciplines who do not have a high volume of citations, or whose primary language isn’t English.

Whatever the issues with the rankings (and arguably all are flawed in one way or another), given the methodology is consistently applied across the world, it is still a useful mechanism for benchmarking against our comparators. As such it is important to understand as much as possible about how these rankings are derived, in order to determine what they actually tell us.

The value in ranking data, including the variety of indicators, is what it can highlight when you look over multiple years, focusing on the long term trends in the data rather than at any one point in time or at any one ranking. With Higher Education a truly global industry managed by a wide range of different government requirements, it is difficult to find common metrics for analysis. It is in the relativity to other institutions where the data behind rankings can provide the most insight. The aggregate trends from multiple rankings allow us to consider the different perspectives of the same metric, and can assist in the assessment of strategy and outputs in relation to other institutions.

Overall ranks don’t often change much from one year to the next but the ranks or scores of individual components or ‘indicators’ that lead to those overall ranks can and it is that movement which can indicate those institutions which are closing the gap and which are falling behind the
others. So while a rank may be unchanged over a three year window that doesn’t mean the next ranked institution isn’t getting ready to overtake.

It’s also important to remember that ranking performance is not necessarily a reflection of actual performance. Global rankings are an attempt to compare institutions from around the world and as such they are a relative measure of performance, not actual. An institution’s actual performance may remain unchanged or even improved, but if others have lifted their performance higher then the institution’s ranking performance will decline. Thus the value of rankings is in tracking our performance in comparison with others, and being cognisant of where our decline may be actual or relative, as each might require different strategies.

Whatever the view on the validity of global rankings, they have secured mainstream public and policy credibility and we ignore that at our peril.

Research

Research features in most of the main global rankings as summarised below. One important feature to be aware of when considering research indicators is that each ranking uses different data windows and different data sets, most of which are commercial ventures. Those that use less than three years of data tend to have greater variability in results year on year. Most of the commonly referenced rankings use 7 or more years of research data and as such have a more stable ranking profile. In order to compare the different rankings the dates referred to in this section are the final year of the data window for that ranking. So for example the Leiden ranking that used the 2014-2017 window is reported as the 2017 data year.

Figure 7: Key Rankings that Use Research Metrics, Outline of Indicators and Data Windows

<table>
<thead>
<tr>
<th>Research Indicator</th>
<th>NTU</th>
<th>Leiden</th>
<th>Nature</th>
<th>QS</th>
<th>THE</th>
<th>ARWU</th>
<th>USA News</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publications</td>
<td>11 years or 1 year (25%)</td>
<td>4 years (100%)*</td>
<td>1 year (100%)</td>
<td>5 years (6%)</td>
<td>5 years (20%) &amp; 1 year (20%)</td>
<td>5 years (15%)</td>
<td></td>
</tr>
<tr>
<td>Citations</td>
<td>11 years or 2 years (35%)</td>
<td>5 years (20%)</td>
<td>5 years (30%)</td>
<td>5 years (17.5%)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HIG/MR/H-index</td>
<td>11 years or 2 years (40%)</td>
<td>4 years (100%)*</td>
<td>1 year (20%)</td>
<td>5 years (32.5%)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research Income</td>
<td>1 year (6%)</td>
<td>1 year (6%)</td>
<td>6 years (17.5%)</td>
<td>6 years (30.5%)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Leiden considers a number of metrics, but doesn’t amalgamate into an overall rank therefore weighting does not apply.

Only Nature, Leiden and NTU are 100% based on research indicators. The indicators they use are generally considered to favour science disciplines and large scale universities. Generally the data excludes conference proceedings and books more prevalent in HASS and engineering disciplines, and it doesn’t usually normalise the data for size and scale of the institution.

THE also looks at institutional research income, which carries 6% of the overall score.

Publications

The publication indicator ranks are generally considered to represent the productivity of research. They show a generally consistent pattern with the University’s ranking declining slightly over the past five years. The exception is Nature which shows significant fluctuations in ranking performance. This is most likely because it covers a small proportion of total research articles (only nature sciences) in a very limited data window (1 year). It is therefore much more vulnerable to annual fluctuations in publication outputs.

Melbourne, on the other hand, has seen slight improvement over the past years (e.g. between 2013 and 2018, ARWU (PUB) up 4 ranks, Leiden up 8, NTU up 15 (11 years) & 9 (1 year), Nature up 2 places), while Sydney and UQ have seen a mix of ranking performance depending on the ranking.

ANU RANKINGS: YEAR IN REVIEW 2018/19
Internationally, our peers from the US and UK (Michigan and Edinburgh in this case) have seen a generally consistent pattern with slight declines, whereas Tsinghua has seen notable improvements in all rankings for this metric (e.g. ARWU (PUB) up 20 ranks, ARWU (N&S) up 46 places, Leiden up 14 places).

If current trends continue with no significant changes to key variables, then ANU should see a relatively stable performance in its publication rankings. However in those rankings that use a short, more recent data window, or where it is focused on science disciplines (Nature and Leiden in particular) ANU could see slight declines in ranking performance.

**Figure 8: ANU Research Global Ranks in Publications (Productivity)**

Citations
The citation indicators are generally considered to represent the impact of research. Where the data window is greater than two years there is a generally consistent pattern with the university's ranking improving slightly over the past five years. However where the data window is less than two years (NTU two years) the results are on the decline. This suggests that our most recent ranking performances are being bolstered by our past success. There is a notable outlier in the THE result for 2014 which was due to a significant change in their methodology.¹

Melbourne, Sydney and UQ have all seen notable improvements in the citation indicators (e.g. between 2013 and 2018, for the QS citation, Melbourne improved 27 ranks, Sydney up 51 ranks, and UQ up 38 ranks). Similarly Edinburgh and Tsinghua have improved in the majority of the rankings in this indicator, however, Michigan has seen some declines (e.g. down 56 ranks in QS citation).

¹ In 2014-15 THE excluded papers with more than 1,000 authors because they were having a disproportionate impact on the citation scores of a small number of universities. In 2015-16 (data year), THE designed a method for reincorporating these papers.
If current trends continue, with no significant changes to key variables, then ANU should see ranking performance improvement in future years, with the exception of NTU, who should stay relatively stable.

**Figure 9: ANU Research Global Ranks in Citations (Impact)**

HiCi/HCR/H-index

HiCi refers to indicators measuring top 10% and top 1% most cited papers in their respective fields. HCR refers to highly cited researchers who are ranked by Clarivate based on the number of published top 1% cited papers. H-index is defined as a measure of both productivity and citation impact of the publications of a scholar.

The HiCi papers, highly cited researchers and H-index indicators are generally considered to represent the excellence of research. The HiCi indicators show a generally consistent pattern with the majority of the university's ranking indicators improving slightly over the past five years. However the H-index indicators are more variable as it depends on discipline and career length, and usually excludes non-journal publications.

Sydney has seen improvement in this metric from all rankings (e.g. between 2013 and 2018, ARWU HCR improved 232 ranks, Leiden top 1% up 99, Leiden top 10% up 59). Melbourne and UQ have also shown a positive pattern in the majority of the rankings (Leiden being an exception) (e.g. ARWU HCR up 38 and 71 ranks respectively; NTU HiCi up 19 and 26 respectively). Michigan saw a similar to ANU ranking performance, whereas both Edinburgh and Tsinghua have improved notably, with Tsinghua showing the largest improvements (e.g. ARWU HCR up 270 ranks, Leiden top 10% up 154, Leiden top 1% up 160).

If current trends continue then ANU should see slight ranking performance improvement in the majority of the ranking indicators, but declines in Leiden, ARWU and NTU high-impact journal indicators. Again, this is probably because these indicators either have short data windows (ARWU, NTU) or focus heavily on science disciplines.
**Research Income**

THE is the only global ranking that considers research income for scoring, and forms 6% of an institution’s total score. Research Income and another two metrics (Research Reputation and Research Productivity) are combined to calculate the THE Research Pillar thus the separate rank for Research Income is not available, however our scores in this metric is outlined below.

ANU scores high in Research Income, particularly in 2015 we received the best possible score (100). Despite a recent slight decline in the score, our performance is still very strong in this metric. The majority of our key comparators (Michigan and Tsinghua are exceptions) had been improving their scores till 2017, then heading downwards before starting to improve again in 2019 (except for Sydney who has been downward trending since 2018). Tsinghua on the other hand, has been continuously improving to surpass us in 2018 to be the highest scored institution amongst the group.
Reputation

Reputation features in only a few of the main global rankings but carries significant weight where it does appear. The usual argument for including such subjective data is that it counters the heavy influence of the sciences on the traditional research indicators. It is also an attempt by the ranking agencies to represent those variables not easily quantifiable such as overall experience.

**Figure 12: Rankings that use Reputation Metrics, Outline of Indicators and Weighting**

<table>
<thead>
<tr>
<th>Metric</th>
<th>Indicator</th>
<th>QS</th>
<th>THE</th>
<th>ARWU</th>
<th>USA News</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reputation</td>
<td>Academic (teaching &amp; research)</td>
<td>40%</td>
<td>33%</td>
<td>Subject rankings only</td>
<td>25%</td>
</tr>
<tr>
<td></td>
<td>Employer</td>
<td>10%</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Generally the university’s ranking performance in reputational indicators has been declining and this is expected to continue without any change in key variables.

Our domestic peers (Melbourne, Sydney, and UQ), on the other hand, have seen slight improvements in their global reputation ranks (e.g. between 2015 and 2019, Melbourne improved 7 ranks in QS academic reputation, Sydney up 4, UQ up 2). Internationally, whilst Edinburgh has shown a fairly consistent pattern, Michigan and Tsinghua have seen notable improvements (e.g. Michigan improved 38 ranks in QS employer reputation, Tsinghua up 12 places in THE reputation).
Given the weight attributed to reputational indicators and our general decline in these indicators, we’ve looked into this metric in more detail (available on Council’s Secure Server). It is interesting to note the following:

- ANU has a stronger reputation for Research than it does for Teaching.
- ANU generally has a stronger reputation rank than citation rank, which may represent a concern for the future.
- ANU has a lower national profile than its key comparators but a stronger profile in some Asian countries.
- The subjects making the most contribution to our votes are Arts & Humanities, Social Sciences, Business & Economics and Physical Sciences, which is in line with the university’s largest subject areas by academic staff volume.
- Some of our subject areas, such as Clinical, Pre-clinical and Health (Medicine), have high citations but do not yet have a strong research reputation.
- ANU has an older profile of voters than those who vote for key comparator institutions.
- In the motivation for respondents’ answers, the most important factors are research quality and academic leadership. Generally media presence is not given as a motivator for a reputational vote.
- There is a decrease in influence of the US, Europe and Australasia in the THE reputation survey, as the influence from Asia, Latin America and Africa strengthens – however the US remains the largest source country for votes where Melbourne and Sydney have a higher profile than the ANU.
- ANU has more votes from Hong Kong and Malaysia than its comparators.
We’ve had a decline in the volume of votes from the UK and New Zealand for the THE reputation survey but an increase from the US.

ANU and Sydney have followed very similar ‘reputation’ paths, however Sydney has a better balance between its Teaching and Research reputation.

Our weakest subject areas in the THE reputation are Clinical & Health and Law.

ANU has a smaller share of the QS votes (both domestic and international) compared to Melbourne and Sydney.

In the 2019 QS and THE reputational surveys, ANU was overtaken by Sydney for the first time.

Melbourne has seen great improvement of its reputation in the QS reputational survey. In 2013/14 ANU performed 2 places lower in Academic reputation than Melbourne, however, in 2019 the distance had grown to 11 places.

**Education**

Education features in those rankings seeking to recognise the educational role of universities and to reflect in some way the student experience, utilising the staff/student ratio in particular. That said none weight Education particularly highly at this time.

**Figure 14: Rankings that use Education Metrics, Outline of Indicators and Weighting**

<table>
<thead>
<tr>
<th>Metric</th>
<th>Indicator</th>
<th>QS</th>
<th>THE</th>
<th>ARWU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>Faculty/Student Ratio</td>
<td>20%</td>
<td>4.5%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Doctorates-awarded-to-academic-staff ratio</td>
<td></td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Doctorate-to-bachelor’s ratio</td>
<td></td>
<td>2.25%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Faculty Awards</td>
<td></td>
<td></td>
<td>20%</td>
</tr>
<tr>
<td></td>
<td>Alumni Awards</td>
<td></td>
<td></td>
<td>10%</td>
</tr>
</tbody>
</table>

ANU is declining slightly on all the education indicators, with the exception of the staff/student ratio where our rank has dropped significantly, particularly for the QS.

Nationally, a similar pattern prevails, particularly for the staff/student ratio, where Melbourne, Sydney and UQ all experienced significant declines (e.g. down 174, 187 and 142 ranks in QS respectively). Our international peers, however, have seen the opposite trend, where Michigan and Tsinghua both improved their staff/student ratios (up 52 and 21 ranks respectively), while Edinburgh stayed fairly consistent. All of our peers have declined in the ARWU indicators of education.
Our performance decline in 2019 reported rankings (2018 data year) was largely the result of an increase in student load by 8.5% and an increase in staff FTE of only 0.8%, changing our ratio from 10.18 to 10.96. However, this is still the best result nationally other than Bond University. The next best national result was Newcastle at 11.6. The top ranking universities MIT, Stanford, Harvard, and Yale, all have a faculty/student ratio below 5.

The University’s performance in this ranking indicator was projected in an analysis paper prepared in September 2018, a copy of which is available on Council’s Secure Sever. According to this analysis, our faculty/student ratio will reach a high point in 2019 (QS 2020 rank release year), and then start to gradually improve.

When analysing this indicator it is important to remember that:

- ‘Students’ equate to total EFTSL (for QS 2019 rank release year it is total EFTSL for 2018) excluding offshore delivery, year-abroad studies, elective honours, sub-degree, NAWD and X-Inst, Grad Cert and Grad Dip.
- ‘Faculty’ equates to total academic staff (FTE) where the employment term is more than 3 months, excluding sessionals/casuals.

For the next QS ranking, our projection for the university’s Faculty/Student ratio is 11.06 which is a small decrease on the 2018 data. This is based on the university’s projected EFTSL and FTE for 2019 (ANU TM1 projection as at May 2019). If the projection is correct then ANU will be reporting a 3.4% increase in student EFTSL and a 2.5% decrease in staff FTE.

If all other variables were to remain the same in the ranking, this slight increase would have ANU drop slightly or stay the same in the Faculty/Student Indicator rank, and thus it’s overall QS University Ranking. If Melbourne continues to improve its overall ranking performance the gap with ANU will continue to shrink.
It’s important to keep in mind however that an increase in student and/or staff numbers would also impact other ranking indicators. Specifically, while an increase in staff FTE should have positive impact on Faculty/Student ratio, it could also have a negative impact on Citations per Faculty. Similarly, an increase in student EFTSL should have a negative impact on Faculty/Student ratio, but may positively affect the ratio of International Students and this is weighted less than the Faculty/Student ratio.

**Internationalisation**

A few rankings choose to incorporate some data to highlight the degree of internationalisation an institution has, but these are generally weighted quite low.

**Figure 16: Rankings that use Internationalisation Metrics, Outline of Indicators and Weighting**

| Rankings that incorporate Internationalisation metrics and associated indicators |
|-----------------------------|-----------------|--------|--------|--------|
| Metric                      | Indicator       | QS     | THE    | USA News |
| Internationalisation        | Student Ratio   | 5%     | 2.5%   |         |
|                             | Academic Ratio  | 5%     | 2.5%   |         |
|                             | Collaborations  |        | 2.5%   | 10%     |

The indicators are discussed separately below.

**International Ratios: Staff and Students**

Our rank in the proportion of international students has been improving notably whilst declining slightly in the proportion of international staff. This is consistent with the changes in student load and staff FTE over recent years.

Our domestic peers have seen improvements in the proportion of international students and staff (e.g. between 2015 and 2019, Melbourne improved 61 ranks in QS international faculty, Sydney up 74 places in QS international students, UQ up 98 places in QS international students).

Internationally, Michigan, Edinburgh and Tsinghua have all improved in the international staff ratio (up 12, 12 and 44 ranks in QS respectively), however only Michigan improved its international student ratio (up 28 places in QS).

If current trends continue then ANU should continue to see improvement in the proportion of international students but also a decline in the proportion of international staff.
International Collaborations

While only US News includes international collaboration in the calculation of their overall rank, Leiden does report on international collaborations as one of its research metrics. As such it is included in the analysis below.

Generally the university’s rank on international collaborations (co-authored publications) is improving slightly. If current trends continue then ANU should continue to see improvements in future rankings.

A similar pattern applies to our domestic and international peers, with Tsinghua and Sydney seeing the most notable improvements.
Next Steps

With an increasingly competitive ranking environment that is seeing a rapid rise of Asian universities it is becoming an increasingly crowded space and one where we are on track to significantly drop in the global rankings without some careful consideration and strategic alignment of resources and effort. What the long-term trends mean for ANU, and how they can inform our strategy development, will require more in-depth analysis and discussion before detailed recommendations can be made. However the following areas have been identified by the University Executive for initial exploration:

- Consider the underlying drivers of the Research indicators as part of the ANU Research Strategy development. Responsible Officer – DVCR
- Embed the underlying drivers of the Reputation indicators as part of the ANU Story rebranding and repositioning project and implementation. Responsible Officer – VP E&GR
- Consider the underlying drivers for the Staff/Student ratio as part of the University’s workforce and load planning, including doctoral students. Responsible Officer – Provost and COO
- Reflect on the underlying drivers in relation to our international partnerships. Responsible Officer – PVCI and VP E&GR
- Keep the process for ranking data submissions under review in light of the long term trends. Responsible Officer – Provost
<table>
<thead>
<tr>
<th>Date</th>
<th>Venue</th>
<th>Host Area</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 July</td>
<td>Cultural Centre, Kambri</td>
<td>SCAPA</td>
<td>Meet the Author: Erik Jensen in conversation with Karen Middleton.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Approx. 200 people attended.</td>
</tr>
<tr>
<td>11 July</td>
<td>Shine Dome</td>
<td>Battery Storage &amp; Grid Integration</td>
<td>Entrepreneurial Fellow Inaugural address delivered by Dr Lachlan Blackhall. Vice-Chancellor delivered welcome.</td>
</tr>
<tr>
<td>12 July</td>
<td>Vice-Chancellor’s Residence</td>
<td>SCAPA</td>
<td>Vice-Chancellor hosted celebratory drinks to celebrate achievement of ANU staff.</td>
</tr>
<tr>
<td>12 July</td>
<td>Mount Stromlo</td>
<td>RSAA</td>
<td>Vice-Chancellor delivered public lecture on <em>SkyMapping and the first stars in the Universe</em> followed by stargazing at Mount Stromlo Public Stargazing Night. Approx. 250 people attended.</td>
</tr>
<tr>
<td>12 July</td>
<td>Crawford School of Public Policy</td>
<td>Crawford School of Public Policy</td>
<td>China Update 2019 conference. The Vice-Chancellor welcomed and introduce Professor Shang-Jin Wei, Columbia University, and former Chief Economist for the Asia Development Bank to the conference.</td>
</tr>
<tr>
<td>16 July</td>
<td>Harry Hartog</td>
<td>SCAPA</td>
<td>Genevieve Jacobs and the Chancellor officially opened Harry Hartog. Other speakers includes Robert Berkelous, Director Harry Hartog and authors Nigel Featherstone and Zoya Patel. Approx. 100 people attended</td>
</tr>
<tr>
<td>17 July</td>
<td>Mount Stromlo</td>
<td>RSAA</td>
<td>Mount Stromlo Public Astronomy Night to celebrate Canberra Moon Week. Approx. 300 people attended.</td>
</tr>
<tr>
<td>18 July</td>
<td>University House</td>
<td>Governance</td>
<td>Chancellor hosted Chancellor’s Conferral Dinner.</td>
</tr>
<tr>
<td>18 July</td>
<td>Australian Centre on China in the World</td>
<td>SCAPA</td>
<td>Meet the Author event: In conversation with Niki Savva and Kerry-Anne Walsh Approx. 220 people attended.</td>
</tr>
<tr>
<td>18 July</td>
<td>Llewellyn Hall</td>
<td>SCAPA</td>
<td>Vice-Chancellor hosted VIP reception prior to the official launch of Canberra Moon Week. Approx. 300 people attended.</td>
</tr>
<tr>
<td>18 July</td>
<td>Llewellyn Hall</td>
<td>SCAPA/US Embassy</td>
<td><strong>Canberra Moon Week:</strong> Vice-Chancellor hosted <em>Space: past, present and future</em> panel event featuring:</td>
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<tr>
<td></td>
<td></td>
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<td>- Dr Andy Thomas AO, former NASA astronaut</td>
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<td></td>
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<td></td>
<td>- Fran Kelly, ABC radio presenter</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>- Mr Chris Culbert, Johnson Space Center</td>
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<tr>
<td></td>
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<td></td>
<td>- Dr Abigail Fraeman, NASA</td>
</tr>
</tbody>
</table>
18 July  Started at National Museum of Australia  RSAA

**Canberra Moon Week:** Space Bus Tour – Mt Stromlo, NASA’s Tidbinbilla Tracking Station, Honeysuckle Creek Tracking Station and Geoscience Australia.
Approx. 57 people attended.

18 July  ANU School of Art & Design  ANU School of Art & Design

**Canberra Moon Week:** Promised the Moon: Curator in conversation event.

18-20 July  Marie Reay Teaching Centre, Kambri  SCAPA

**Canberra Moon Week:** Space School activity
Approx. 500 people attended.

18-20 July  Marie Reay Teaching Centre, Kambri

**Canberra Moon Week:** Space Rocks: Moon, Mars and beyond exhibition.
Approx. 400 people attended.

18-20 July  Cinema, Kambri Cultural Centre  ANU Film Group

**Canberra Moon Week:** seven featured film screenings including Apollo 11, First Man, The Dish and The Martian.
Approx. 1400 people attended.

19 July  Kambri Cultural Centre  SCAPA/Telstra Corp

**Canberra Moon Week:** The NASA Communications Switching Centre presentation.
Approx. 250 people attended.

19 July  Manning Clark Hall, Kambri Cultural Centre  SCAPA

**Canberra Moon Week:** Andy Thomas’ Space Academy hosted by Vice-Chancellor.
Approx. 550 attended.

19 July  Theatre 2, Kambri Cultural Centre  RSAA/CoS

**Canberra Moon Week:** Extra-terrestrial Seismology: Pulse of the Moon and Mars exhibition.
Approx. 70 people attended.

19 July  Kambri Cultural Centre  RSAA/SCAPA

**Canberra Moon Week:** Public lecture on Space Technology.
Panellists included:

- Dr Sarah Pearce, CSIRO
- Professor Anna Moore, ANU InSpace
- Dr Trevor Dhu, GeoScience Australia
- Mr Anthony Murfett, Australian Space Agency

Approx. 200 people attended.

19 July  Fellows Oval, ANU  RSAA/SCAPA

**Canberra Moon Week:** Indigenous astronomers Pete Swanton and Karlie Noon hosted Indigenous stargazing with members of the public.
Approx. 130 people attended.
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Organiser/Dept</th>
<th>Event Description</th>
<th>Attendees</th>
</tr>
</thead>
<tbody>
<tr>
<td>19 July</td>
<td>Badger &amp; Co</td>
<td>SCAPA</td>
<td><strong>Canberra Moon Week</strong>: Space in the Pub: One Giant Leap panel. Panellists included: • Vice-Chancellor • Mr Mick Gentleman, MLA • Ms Elizabeth Landau, NASA • Dr Abigail Fraeman, NASA • Lish Fejer, ABC Radio Canberra (moderator)</td>
<td></td>
</tr>
<tr>
<td>19-20 July</td>
<td>Kambri Precinct</td>
<td>PhotoAccess</td>
<td><strong>Canberra Moon Week</strong>: (Blue) print the Moon: PhotoAccess workshop.</td>
<td></td>
</tr>
<tr>
<td>19-20 July</td>
<td>Fenner fire pit</td>
<td>SCAPA</td>
<td><strong>Canberra Moon Week</strong>: Indigenous Elder Wally Bell hosted fireside chats to share stories about Indigenous history including heritage of ANU campus.</td>
<td></td>
</tr>
<tr>
<td>20 July</td>
<td>Tidbinbilla</td>
<td>ACT Government</td>
<td><strong>Canberra Moon Week</strong>: Vice-Chancellor delivered speech at opening of Honeysuckle Creek Station Exhibition</td>
<td></td>
</tr>
<tr>
<td>20 July</td>
<td>Kambri Cultural Centre</td>
<td>SCAPA/CoS</td>
<td><strong>Canberra Moon Week</strong>: Space Pop-Up talks including Space storytelling, Moon geology, Space health, Space technology and Space law.</td>
<td></td>
</tr>
<tr>
<td>20 July</td>
<td>Manning Clark Hall, Kambri Cultural Centre</td>
<td>SCAPA</td>
<td><strong>Canberra Moon Week</strong>: Professor Ray Norris delivered public lecture on <em>The Astronomy and navigation of Aboriginal Australians</em> followed by Indigenous stargazing. Vice-Chancellor hosted event. Approx. 500 people attended.</td>
<td></td>
</tr>
<tr>
<td>23 July</td>
<td>Australian Centre on China in the World</td>
<td>SCAPA</td>
<td>Meet the Author event: <em>In conversation with Ron McCallum and Professor Kim Rubenstein.</em> Approx. 100 people attended.</td>
<td></td>
</tr>
<tr>
<td>23 July</td>
<td>Marie Reay Teaching Centre</td>
<td>SCAPA</td>
<td>Vice-Chancellor hosted open forum for students, <em>Pizza with Brian.</em></td>
<td></td>
</tr>
<tr>
<td>24 July</td>
<td>Crawford School of Public Policy</td>
<td>Crawford School of Public Policy</td>
<td>Vice-Chancellor delivered speech at <em>Leadership Colloquium: the most important leadership challenges the South-West Asia region is facing.</em></td>
<td></td>
</tr>
<tr>
<td>31 July</td>
<td>Vice-Chancellor Boardroom</td>
<td>Office of the Vice-Chancellor</td>
<td>The Vice-Chancellor held discussions His Excellency Lima, Ambassador of Brazil; His Excellency Rodrigues da Silva, Ambassador of Portugal and His Excellency Abel Guterres, Ambassador of Timor-Leste.</td>
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<tr>
<td>Date</td>
<td>Location</td>
<td>Organisations</td>
<td>Event Details</td>
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<tr>
<td>31 July</td>
<td>aMBUSH Gallery, Kambri</td>
<td>Advancement</td>
<td>Vice-Chancellor and Deputy Vice-Chancellor (Research) hosted a reception for the Pryor Announcement Dinner.</td>
<td></td>
</tr>
<tr>
<td>1 August</td>
<td>The Hall, University House</td>
<td>SCAPA</td>
<td>Vice-Chancellor and Chancellor hosted ANU Foundation Day celebration. Approx. 300 people attended.</td>
<td></td>
</tr>
<tr>
<td>5 August</td>
<td>Kambri Cultural Centre</td>
<td>SCAPA</td>
<td>Meet the Author: In conversation with Grant Edwards and Genevieve Jacobs. Approx. 140 people attended including AFP Commissioner.</td>
<td></td>
</tr>
<tr>
<td>6 August</td>
<td>Cinema, Kambri Cultural Centre</td>
<td>SCAPA</td>
<td>Meet the Author: In conversation with Paul Tilley and Peter Costello AO Approx. 200 people attended.</td>
<td></td>
</tr>
<tr>
<td>7 August</td>
<td>Hedley Bull Building</td>
<td>Defence Studies Centre, Coral Bell</td>
<td>His Excellency Mr George Dolidze, Ambassador of Georgia meet with Dr Garth Pratte, Acting Head of SDSC.</td>
<td></td>
</tr>
<tr>
<td>7 August</td>
<td>Crawford building</td>
<td>ANU Indonesia Project</td>
<td>Dr Blane Lewis, Head of ANU Indonesia Project welcomed Her Excellency Dr Sri Mulyani Indrawati, Indonesian Finance Minister for meetings with students and staff. Her Excellency was accompanied by the Ambassador of Indonesia.</td>
<td></td>
</tr>
<tr>
<td>8 August</td>
<td>Hedley Bull Building</td>
<td>Strategic and Defence Studies Centre, Coral Bell</td>
<td>Visit to ANU by Secretary General of the North Atlantic Treaty Organization (NATO) His Excellency Mr Jens Stoltenberg. The Secretary General was welcomed to campus by the Dean, ANU College of Asia and the Pacific. Discussions were held staff and students.</td>
<td></td>
</tr>
<tr>
<td>9 August</td>
<td>Manning Clark Hall, Kambri Cultural Centre</td>
<td>3A Institute</td>
<td>Launch of the Humanising Machine Intelligence Grand Challenge presented by Professor Shannon Vallor, Regis and Dianne McKenna Professor of Philosophy at Santa Clara University, Silicon Valley. Vice-Chancellor attended.</td>
<td></td>
</tr>
</tbody>
</table>
| 9 August   | Kambri Cinema                 | ANU Film Group | Latin American Film Festival. Attending by:  
  - Miguel Palomino de la Gala, Ambassador, Embassy of Peru  
  - Teresita Daroca Capell, Embassy of Peru  
  - Juan Salazar Sancisi, Ambassador, Embassy of Ecuador  
  - Alexandra Reyes Attaché, Embassy of Ecuador  
  - Eduardo Peña Haller, Ambassador, Embassy of Mexico  
  - Laura Duclaud Villares, Embassy of Mexico |
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 August</td>
<td>Coombs Building, Korea Institute</td>
<td>Korean Speech Contest was attended by His Excellency Mr Baek-soon Lee, Ambassador of the Republic of Korea.</td>
</tr>
<tr>
<td>13 August</td>
<td>Hedley Bull building, Strategic Defence Studies Centre, Coral Bell</td>
<td>Meeting between oral Bell School and German Parliamentarian and UN Sub-Committee member, Mr Ulrich Lechte.</td>
</tr>
<tr>
<td>13 August</td>
<td>ANU Centre for European Studies, ANU Centre for European Studies</td>
<td>Workshop: <em>Turkey-EU-Russia Energy relations.</em></td>
</tr>
<tr>
<td>13 August</td>
<td>College of Law, Coral Bell School</td>
<td>Public lecture delivered by Her Excellency Mrs Ma Hellen De La Vega, Filipino Ambassador, on <em>Practice of Regional Community: the ASEAN Way, Peace and Security in the Asia Pacific.</em></td>
</tr>
<tr>
<td>13 August</td>
<td>University House, Australian Studies Institute (AuSI)</td>
<td>The Vice-Chancellor spoke at the August ANU Visiting Fellows Monthly dinner, special guest was Professor Alison Dundes Rentein, University of Southern California.</td>
</tr>
<tr>
<td>Date</td>
<td>Location</td>
<td>Event Description</td>
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<td>------------</td>
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<td>------------------------------------------------------------------------------------</td>
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</tbody>
</table>
| 14 August  | Kambri Cultural Centre                           | National Security College Public seminar on *the changing landscape of terror: from 9/11 to right-wing extremism*. Speakers included:  
- Mark Kenny, ANU Australian Studies Institute  
- Nick Rasmussen, former Director of US National Counterterrorism Center  
- Dr Kristy Champion, Australian terrorism and extremism historian  
- Jacinta Carroll, National Security College Senior Research Fellow in Counter Terrorism and Social Cohesion  
- Alex Mann, ABC investigative journalist |
<p>| 15 August  | Fred Gruen Seminar Room                          | Research School of Economics The Vice-Chancellor launched the <em>Economics of Education review special issue</em>. Professors Bruce Chapman, Steven Roberts and Dr Dung Doan also spoken at the event. |
| 15 August  | Australian Centre on China in the World          | SCAPA Meet the Author: in conversation with Adele Ferguson and Andrew Leigh MP. Approx. 150 people attended. |
| 21 August  | Molonglo Theatre, Crawford                       | Centre for European Studies In Conversation: <em>China, Russia and global order delivery</em> by Dr Bobo Lo and Sam Roggeveen. His Excellency Dr Michael Pulch, Ambassador, Delegation of the European Union, Mrs Julie Duhaut-Bedos, Deputy Head of Mission, Embassy of France and Naoya Tani Deputy Head of Mission, Embassy of Japan in attendance. |
| 21 August  | The Chapel, Burgmann College                     | Burgmann College Provost delivered speech at <em>Truth in Reconciliation</em> event. |
| 24-25 August | University House &amp; Llewellyn Hall                | SCAPA/University House/Canberra Writer’s Festival Canberra’s Writer’s Festival held on campus. ANU is a Foundation Partner. Approx. 2000 people attended. |
| 26 August  | Llewellyn Hall                                   | Research School of Psychology ANU Research School of Psychology annual lecture delivered by Distinguished Professor Elizabeth Loftus, psychologist and scientist, on <em>The Fiction of Memory</em>. Hosted by the Provost. Approx. 1000 people attended. |
| 27 August  | Sir Thomas Brisbane Planetarium, Brisbane Botanic Gardens | Advancement/SCAPA Vice-Chancellor provided update on campus and alumni program followed by in |</p>
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>27 August</td>
<td>CIW School of Culture, History</td>
<td>conversation with Dr Brad Tucker on the Universe and the future of space.</td>
</tr>
<tr>
<td></td>
<td>and Language</td>
<td>Burmese Literature Today lecture deliver by Burmese writers, Ju and Sabal Phyu Nu.</td>
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<tr>
<td></td>
<td></td>
<td>His Excellency Mr Tha Aung Nyun, Ambassador, Embassy of the Republic of Myanmar</td>
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<tr>
<td></td>
<td></td>
<td>attended.</td>
</tr>
<tr>
<td>28 August</td>
<td>Gould Building, Daley Road</td>
<td>Vice-Chancellor and ACT Chief Minister formally opened the Centre for</td>
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<tr>
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<td></td>
<td>Entrepreneurial Technology Innovation Hub.</td>
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<td></td>
<td>Mr Brendan Smyth, Commissioner for International Engagement and Councillor Rowena</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Abbey, Mayor Yass Valley Council were in attendance.</td>
</tr>
<tr>
<td>28 August</td>
<td>Manning Clark Hall, Kambri</td>
<td>Public lecture delivered by The Hon Dr Kevin Rudd on Alternative visions for</td>
</tr>
<tr>
<td></td>
<td>Cultural Centre</td>
<td>Australia’s future.</td>
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<tr>
<td></td>
<td></td>
<td>Hosted by the Vice-Chancellor. Approx. 500 people in attended.</td>
</tr>
<tr>
<td>28-30</td>
<td>Queensland (Brisbane, Cairns,</td>
<td><strong>ANU on Tour – Queensland</strong> (follow up visit). Dr Brad Tucker and other ANU staff</td>
</tr>
<tr>
<td>August</td>
<td>Gold Coast, Sunshine Coast)</td>
<td>visited high schools followed by public lectures and stargazing in Queensland.</td>
</tr>
<tr>
<td>29 August</td>
<td>National Security College</td>
<td>Vice-Chancellor delivered presented at **NSC Space: Implications for National</td>
</tr>
<tr>
<td></td>
<td>National Security College</td>
<td>Security.</td>
</tr>
<tr>
<td>29 August</td>
<td>Australian Centre on China in</td>
<td>Meet the Author event: In conversation with David Nicholls and Alex Sloan.</td>
</tr>
<tr>
<td></td>
<td>the World</td>
<td>Approx. 100 people attended.</td>
</tr>
<tr>
<td>2 September</td>
<td>Cinema, Kambri Cultural Centre</td>
<td>Vice-Chancellor delivered opening address at UN Climate Summit.</td>
</tr>
<tr>
<td></td>
<td>Clime Change Institute</td>
<td>In attendance:</td>
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<tr>
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<td>o His Excellency Mr Miguel Palominod de la Gala, Ambassador of Peru</td>
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<td>o His Excellency Mr Pedro Rodrigues da Silva, Ambassador of Portugal</td>
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<td></td>
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<td>o His Excellency Mr Tomáš Ferko, Ambassador of Slovak Republic</td>
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<td></td>
<td></td>
<td>o His Excellency Mr Patricio Powell, Ambassador of Chile</td>
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<tr>
<td></td>
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<td>o His Excellency Hugo Gobbi, Ambassador of Argentina</td>
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<td>o Her Excellency Mrs. Martha Mavrommati, Ambassador of Cyprus</td>
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<td></td>
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<td>o Her Excellency Ma. Hellen B. De La Vega, Ambassador of Philippines</td>
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<td></td>
<td>o His Excellency Mr Alberto José MEJIA FERRERO, Ambassador of Colombia</td>
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<tr>
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<td></td>
<td>o His Excellency Mr Eduardo Peña Haller, Ambassador of Mexico</td>
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</table>
### SIGNIFICANT VISITS AND EVENTS

<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 September</td>
<td>Questacon Academy of Science</td>
<td>Vice-Chancellor spoke in conversation with Astrophysicist Dr Matthew Agnew.</td>
</tr>
<tr>
<td>2 September</td>
<td>Finkel Theatre, JCSMR PVC(UE) ANU Gender Institute</td>
<td>Vice-Chancellor and Provost spoke at the breastfeeding support event.</td>
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<tr>
<td>3 September</td>
<td>Gould Laboratory, RSB Research School of Biology</td>
<td>ACT Minister Yvette Berry attended AU Science Extension event.</td>
</tr>
<tr>
<td>4 September</td>
<td>Lake Burley Griffin Human Resources</td>
<td>Aspiring ANU women walked with senior women both within the University and around Canberra at the third Canberra Mentor Walks event.</td>
</tr>
<tr>
<td>4 September</td>
<td>Crawford School of Public Policy ANU Japan Institute</td>
<td>Pro Vice-Chancellor (International Strategy) hosted Japan Update 2019: <em>Leadership in a time of uncertainty</em>. Former Minister for Justice and Minister of</td>
</tr>
</tbody>
</table>
State for Gender Equality and Special Affairs Hon Yoko Kamikawa delivered address.

4 September College of Engineering and Computer Science CECS Minister Mick Gentleman launched Distributed Energy Resources (DER) Lab project. Provost hosted event.

4 September Llewellyn Hall Higher Degree Research Provost hosted 3 Minute Thesis (3MT) final.

5 September Kambri Cultural Centre Fenner School of Environment and Society Minister for the Environment Susann Ley participated in the Australian Rangeland Conference held at ANU.

5 September Oliphant Building Research School of Physics Launch of the Quantum Optical Ground Station hosted by the Provost and launched by Minister Mick Gentleman.

5 September Crawford School of Public Policy SCAPA Meet the Author event: In conversation with John Connolly and Jeff Popple. Approx. 80 people attended.

6 September Kambri ANU College of Business and Economics ACT Government Minister Gordon Ramsey attended the GovHack event held at ANU.

9 September Kambri Cinema ANU Film Group Hungarian Film Festival. In attendance:
- Algeria, Mr Cherif KHALI
- Bangladesh, His Excellency Mr Mohammad Sufiur RAHMAN
- Belgium, His Excellency Mr Marc MULLIE
- Chile, His Excellency Mr Patricio Fernando POWELL OSORIO
- Colombia, His Excellency Mr Alberto José MEJIA FERRERO
- Cyprus, Her Excellency Mrs Martha MAVROMMATI
- El Salvador, Mr David Humberto CRUZ RODRIGUEZ
- Jordan, His Excellency Dr Ali M KRAISHAN
- Malta, His Excellency Mr Charles MUSCAT
- Mexico, His Excellency Mr Eduardo Patricio PEÑA HALLER
- Panama, His Excellency Mr Marcelino AVILÉS VALDESPINO
- Papua New Guinea, His Excellency Mr John Ma'o KALI
- Paraguay, Mr Fernando ACOSTA DIAZ
- Peru, His Excellency Mr Miguel Julian PALOMINO DE LA GALA
- Slovak, His Excellency Mr Tomáš FERKO
- Spain, His Excellency Mr Manuel CACHO
- Sri Lanka, Mr D.D.M. Senarath B. DISSANAYAKE
- Republic of Korea, Ambassador LEE Baeksoon

<table>
<thead>
<tr>
<th>10 September</th>
<th>Crawford School of Public Policy</th>
<th>Arndt-Cordon Dept. of Economics</th>
<th>Chancellor hosted HW Arndt lecture presented by Mr Takehiko Nakako, President of Asian Development Bank, on <em>Growth prospects for Asia and the Pacific: opportunities, risks and the Asian development's bank's role.</em></th>
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</thead>
<tbody>
<tr>
<td>10 September</td>
<td>Crawford School of Public Policy</td>
<td>SCAPA</td>
<td>Meet the Author event: In conversation with Richard Baldwin and Anthea Roberts. Approx. 120 people attended.</td>
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## Australian National University - Research Services Division

### Grants and Consultancies

**Awarded between 3 July 2019 and 11 September 2019**

<table>
<thead>
<tr>
<th>College</th>
<th>Amount</th>
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<tbody>
<tr>
<td>College of Arts and Social Science</td>
<td>2</td>
</tr>
<tr>
<td>College of Asia and the Pacific</td>
<td>3</td>
</tr>
<tr>
<td>College of Business and Economics</td>
<td>5</td>
</tr>
<tr>
<td>College of Engineering and Computer Science</td>
<td>5</td>
</tr>
<tr>
<td>College of Health and Medicine</td>
<td>7</td>
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<tr>
<td>College of Science</td>
<td>10</td>
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<tr>
<td>Administrative Division</td>
<td>10</td>
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</tbody>
</table>

### 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 shown as “funding amount TBC”. This can be for a variety of reasons, such as the contract is still under negotiation.
## College of Arts and Social Science

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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</thead>
<tbody>
<tr>
<td>NSW Department of Premier and Cabinet</td>
<td>Prof Anthony Dreise</td>
<td>Evaluation of OCHRE - Local Decision Making</td>
<td>$528,044</td>
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<tr>
<td>Catholic Social Services Australia</td>
<td>Assoc. Prof Ben Phillips</td>
<td>CSSA Entrenched Regional Disadvantage Project</td>
<td>$75,000</td>
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<tr>
<td>Newborn Intensive Care Foundation</td>
<td>Dr Katherine Carroll</td>
<td>Lactation After Infant Death: The inclusion of partners’ experiences</td>
<td>$15,807</td>
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<tr>
<td>Commonwealth Attorney-Generals Department</td>
<td>Prof Nicolas Peterson</td>
<td>Native Title Anthropologist Grant Program 2019-22</td>
<td>funding amount TBC</td>
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<tr>
<td>Organisation for Economic Co-operation and Development (OECD)</td>
<td>Prof Jane Simpson</td>
<td>Working papers on improving Education Outcomes for Indigenous Student</td>
<td>funding amount TBC</td>
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<tr>
<td>Ethos CRS Consulting Pty Ltd</td>
<td>Dr Amanda Laugesen</td>
<td>Production of content for the seventh edition of the Commonwealth Style manual</td>
<td>funding amount TBC</td>
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<td>Victorian Responsible Gambling Foundation</td>
<td>Dr Marisa Paterson (previously Fogarty)</td>
<td>Designing gambling harm in the digital age</td>
<td>funding amount TBC</td>
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<tr>
<td>Australian Communications and Media Authority</td>
<td>Prof Bruce Smyth</td>
<td>Technological Facilitated Abuse of Children</td>
<td>funding amount TBC</td>
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<td>Primary Funds Provider</td>
<td>Primary Investigator</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-India Council</td>
<td>Mr Ian Chambers</td>
<td>Young Indians' Plan for the Planet Program</td>
<td>$116,700</td>
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<tr>
<td>Endangered Languages Documentation Programme (ELDP)</td>
<td>Ms Maria Kristina Gallego</td>
<td>Consequences of Contact: Documenting Ibatan Within The Multilingual Landscape of Babuyan Claro</td>
<td>$66,439</td>
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<tr>
<td>Australian Institute of Criminology</td>
<td>Prof Roderic Broadhurst</td>
<td>Impact of police interventions on the availability of fentanyl on crypto-markets</td>
<td>$40,098</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Japan Foundation</td>
<td>Dr Shiro Armstrong</td>
<td>Japan Update 2019</td>
<td>$20,000</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Korea Foundation</td>
<td>Assoc. Prof Roald Maliangkay</td>
<td>Korea Update</td>
<td>$15,000</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-India Council</td>
<td>Dr Helen James</td>
<td>Transforming Disaster Risk Management in Australia and India: Upscaling collaborations</td>
<td>funding amount TBC</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Korea Foundation</td>
<td>Prof Brendan Taylor</td>
<td>Korean Peace and Asia's alliances: Implications for Canberra and Seoul</td>
<td>funding amount TBC</td>
</tr>
<tr>
<td>Medical Research Council (UK)</td>
<td>Prof Sharon Friel</td>
<td>SPECTRUM: Shaping Public hEalth poliCies To Reduce IneqUalities and harM</td>
<td>funding amount TBC</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Indonesia Institute</td>
<td>Dr Helen James</td>
<td>Integrating Disaster Risk Science and Sustainability in Indonesia: Enhancing Collaboration</td>
<td>funding amount TBC</td>
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<td>Primary Funds Provider</td>
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<td>Commonwealth Department of Foreign Affairs and Trade,</td>
<td>Dr Helen James</td>
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<tr>
<td>Australia-India Council</td>
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<td>Upscaling collaborations</td>
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<td>Commonwealth Department of Foreign Affairs and Trade,</td>
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<td>Australia-Korea Foundation</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade,</td>
<td>Mr Ian Chambers</td>
<td>Young Singaporeans' Plan for the Planet Program</td>
<td>funding amount TBC</td>
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<tr>
<td>Australia - ASEAN Council</td>
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<tr>
<td>University of York</td>
<td>Prof Robert Costanza</td>
<td>The Leverhulme Centre for Anthropocene Biodiversity</td>
<td>funding amount TBC</td>
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### College of Business and Economics

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<th>Primary Funds Provider</th>
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<td>ANU Enterprise Pty Ltd</td>
<td>Assoc. Prof Timothy Higgins</td>
<td>Encouraging the uptake of climate smart farming practices and technologies</td>
<td>$28,735</td>
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<tr>
<td>Advance HE</td>
<td>Dr Stephen Dann</td>
<td>Advance HE Connect Network On-Boarding Grant - Serious Play for Education</td>
<td>funding amount TBC</td>
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<tr>
<td>Various donors (RA Use Only)</td>
<td>Assoc. Prof Marvin Wee</td>
<td>DISC Q - Marvin Wee</td>
<td>funding amount TBC</td>
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### College of Engineering and Computer Science

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<th>Primary Funds Provider</th>
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<th>Total Amount Awarded</th>
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<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Antonio Tricoli</td>
<td>Microrecycling of battery and consumer wastes by manufacturing materials</td>
<td>funding amount TBC</td>
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<tr>
<td>US Air Force Office of Scientific Research</td>
<td>Prof Lexing Xie</td>
<td>Linking Online Attention to Measurable Actions</td>
<td>funding amount TBC</td>
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<tr>
<td>European Commission</td>
<td>Dr Heping Shen</td>
<td>Development of all thin-film PERovskite on CIS TANDem photovoltaics</td>
<td>funding amount TBC</td>
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<td>Primary Investigator</td>
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<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO), Data61</td>
<td>Dr Henry James Gardner</td>
<td>The Augmented Web</td>
<td>funding amount TBC</td>
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<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO), Data61</td>
<td>Assoc. Prof Hongdong Li</td>
<td>Spatial CCTV</td>
<td>funding amount TBC</td>
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<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr Lesley Seebeck</td>
<td>Cyber Bootcamp Project (Global)</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Raymond Lovett</td>
<td>Strong health through strong measures: Validating new measures of Indigenous health, culture and wellbeing.</td>
<td>$1,465,485</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Alison Calear (previously Neil)</td>
<td>Connecting kids: Harnessing interpersonal connectedness to reduce suicide risk in youth</td>
<td>$1,243,588</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Dmitry S. Shishmarev</td>
<td>Cutting-edge applications of nuclear magnetic resonance spectroscopy in biomedical research</td>
<td>$639,750</td>
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<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Nikolay Shirokikh</td>
<td>Control of translation in cancer, cell stress response and ageing</td>
<td>$639,750</td>
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<tr>
<td>National Health and Medical Research Council (NHMRC)</td>
<td>Dr Tegan Cruwys</td>
<td>Unlocking the social cure: Innovations in basic and translational science of the social determinants of mental health</td>
<td>$639,750</td>
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<td>Eye Co Pty Ltd</td>
<td>Dr Riccardo Natoli</td>
<td>To determine if seed oil (sourced from Elixinol by Professor Penfold) is a suitable carrier for FA via intravitreal (IVT) injection in rodent.</td>
<td>$50,000</td>
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<td>World Health Organisation (WHO)</td>
<td>Assoc. Prof Chalapati Rao</td>
<td>Regional CRVS Strengthening support</td>
<td>$35,293</td>
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<td>QLD Department of Child Safety, Youth and Women</td>
<td>Dr Tegan Cruwys</td>
<td>Safe Schools Initiative â€“ Schoolies Research 2019</td>
<td>$15,998</td>
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<tr>
<td>Economic &amp; Social Research Council UK</td>
<td>Dr Anna Olsen</td>
<td>Governing parental opioid use: a relational ethnography</td>
<td>funding amount TBC</td>
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<tr>
<td>University of Queensland (UQ)</td>
<td>Assoc. Prof Alexandra Webb</td>
<td>Are cervical spine findings on MRI a feature of patients with chronic whiplash?</td>
<td>funding amount TBC</td>
</tr>
<tr>
<td>Australian Foundation for Mental Health Research</td>
<td>Dr Alison Calear (previously Neil)</td>
<td>Development and evaluation of a gatekeeper program for parents</td>
<td>funding amount TBC</td>
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<tr>
<td>The Canberra Hospital</td>
<td>Dr Rachel Li</td>
<td>Orthopaedic Biological Research Grant Fund</td>
<td>funding amount TBC</td>
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<tr>
<td>Tropical Australian Academic Health Centre</td>
<td>Dr Brett Lidbury</td>
<td>Revealing the hidden knowledge in pathology big data: Machine learning to support clinical decision making for unknown infectious diseases and recognise biosecurity incursions in tropical Australia</td>
<td>funding amount TBC</td>
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<tr>
<td>European Commission</td>
<td>Prof Luis Salvador-Carulla</td>
<td>EMPOWER: European platforM to PromOte Wellbeing and hEalth in the woRkplace</td>
<td>funding amount TBC</td>
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<tr>
<td>Edith Cowan University</td>
<td>Dr Raymond Lovett</td>
<td>Review of tobacco use among Aboriginal and Torres Strait Islander people</td>
<td>funding amount TBC</td>
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<td><strong>College of Health and Medicine</strong></td>
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<td>Dr Alison Calear (previously Neil)</td>
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<td><strong>funding amount TBC</strong></td>
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<tr>
<td><strong>The Royal Society of Tropical Medicine and Hygiene</strong></td>
<td>Mr Shannon Das</td>
<td>Creating an innovative point-of-care molecular diagnostic for early detection of trachoma</td>
<td><strong>funding amount TBC</strong></td>
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<tr>
<td><strong>Commonwealth Department of the Prime Minister and Cabinet</strong></td>
<td>Dr Ginny Sargent</td>
<td>Housing Conditions and Early Child Development Research Project</td>
<td><strong>funding amount TBC</strong></td>
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<td>Australian Research Council (ARC)</td>
<td>Assoc. Prof Meghan Miller</td>
<td>Enhanced 3-D seismic structure for Southwest Australia</td>
<td>$442,000</td>
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<tr>
<td>DefendTex</td>
<td>Prof Yun Liu</td>
<td>DefendTex Contract Research</td>
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<td>US Air Force Office of Scientific Research</td>
<td>Assoc. Prof Andrey Sukhorukov</td>
<td>Quantum photon manipulation and measurement with ultra-thin metasurfaces</td>
<td>$150,958</td>
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<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO)</td>
<td>Prof Malcolm Sambridge</td>
<td>InLab Establishment Scoping Study</td>
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<td>Commonwealth Department of Defence, Australian Signals Directorate</td>
<td>Dr Vanessa Robins</td>
<td>Mathematical Methods for Analysis and Classification of Call-Stack Data Sets</td>
<td>$95,304</td>
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<td>Commonwealth Department of Foreign Affairs and Trade, Australia-Japan Foundation</td>
<td>Dr Caitlin Byrt</td>
<td>Boosting barley and rice stress tolerance in Australia and Japan</td>
<td>$25,000</td>
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<tr>
<td>Australian Alps National Parks</td>
<td>Dr Matthew Brookhouse</td>
<td>Survey and monitoring of snow gum dieback</td>
<td>$21,200</td>
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<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Mr Bryan Pi Ern Tee</td>
<td>Precision spectroscopy of low-energy electrons from medical isotopes</td>
<td>$19,995</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Mr Yun Li</td>
<td>Macroevolution of a hyperdiverse invertebrate group at continental scales</td>
<td>$6,375</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Ms Kiarrah Smith</td>
<td>Reintroduction biology of Australian small mammals: the eastern chestnut mouse (Pseudomys gracilicaudatus), New Holland mouse (Pseudomys novaehollandiae) and yellow-footed antechinus (Antechinus flavipes)</td>
<td>$6,375</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Miss Jackie O'Sullivan</td>
<td>Quantifying the ecological role of surface rocks on reptile conservation in agricultural landscapes</td>
<td>$6,340</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Ms Meena Sivagowre Sritharan</td>
<td>Investigating the causes and consequences of plant rarity and commonness in South East Australian Flora</td>
<td>$6,280</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Mr Adam Cisterne</td>
<td>Spatial Ecology of the Tasmanian masked owl (Tyto novaehollandiae castanops)</td>
<td>$5,440</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Mr Oliver Stuart</td>
<td>Conservation Genomics of the Lord Howe Island Stick Insect</td>
<td>$5,100</td>
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<tr>
<td>Ecological Society of Australia Inc</td>
<td>Mr Weliton Menario Costa</td>
<td>Fitness consequences and heritability of 'personality' in eastern grey kangaroos</td>
<td>$2,500</td>
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<tr>
<td>Australian Institute of Nuclear Science and Engineering (AINSE)</td>
<td>Mr Shankar Dutt</td>
<td>Investigation of hybrid solid-state nanopore membranes fabricated using ion track technology. Application for Postgraduate Research Awards.</td>
<td>funding amount TBC</td>
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<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Adrienne Nicotra</td>
<td>Living on the edge: how do Australian plants cope with extreme temperature?</td>
<td>funding amount TBC</td>
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</tbody>
</table>
## College of Science

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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<tbody>
<tr>
<td>Commonwealth Scientific and Industrial Research Organisation (CSIRO)</td>
<td>Mr. Eduardo Trifoni</td>
<td>Space Test Facility consortium subscription_CSIRO</td>
<td>funding amount TBC</td>
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<tr>
<td>US Air Force Research Laboratory</td>
<td>Dr Hrvoje Tkalcic</td>
<td>Towards Improved Understanding of Seismic Moment Tensors: Utilizing High-Resolution Earth Model with Accompanying Uncertainty Within Hierarchical Bayesian Inversion Framework</td>
<td>funding amount TBC</td>
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<td>Australian IODP Office</td>
<td>Dr Katharine Grant</td>
<td>Australian monsoon variability through the Pleistocene</td>
<td>funding amount TBC</td>
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<td>Geoscience Australia</td>
<td>Assoc. Prof Paul Tregoning</td>
<td>Application and interpretation of GRACE data for groundwater storage changes in the Great Artesian Basin</td>
<td>funding amount TBC</td>
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## Administrative Division (National Computational Infrastructure)

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<tr>
<td>Monash University</td>
<td>Prof Sean Smith</td>
<td>Australian Research Data Commons (ARDC) National Computational Infrastructure Node project</td>
<td>$590,000</td>
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