COUNCIL

The 455th meeting of the Council will be held at 9:15 am on Friday 6 December 2019 in the RC Mills Room, Chancelry. 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

This will be the final meeting for the Chancellor, Professor Gareth Evans AC QC. It will mark 10 years of uninterrupted service as the Chair of the University Council, prior to his retirement on 31 December 2019.

The Hon Julie Bishop will commence as the next Chancellor from 1 January 2020 until 31 December 2022. She will Chair the next Council meeting, on 13 February 2020.

Dr Doug McTaggart is an apology for this meeting on account of an interstate business commitment. Mr Mike Baird is also an apology, having indicated prior to being appointed to Council by the Minister for Education that he may be unavailable for the first two meetings of his term (that is, October and December 2019).

This will be the first meeting for the new undergraduate student representative on Council, Mr Lachlan Day, whose 12 month term commenced on 1 December 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.

Leave was granted to Ms Anne-Marie Schwirtlich AM on 3 October 2019 for the meeting and Planning Day, scheduled for 13 and 14 February 2020.

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 3 October 2019 (84/2019).
THE AUSTRALIAN NATIONAL UNIVERSITY

COUNCIL MINUTES

The 454th meeting of the Council was held at 2pm on Thursday 3 October 2019 in the Board Room, Charles Darwin University, Darwin, Northern Territory.

Confidential until confirmed by Council
PART 2 – KEY BUSINESS ITEMS

C6 - 9. Confidential to Council Members
PART 3 – STRATEGIC ISSUES

10. RESEARCH AND INNOVATION PLAN - PRESENTATION

PURPOSE
To receive a report and strategic presentation from the Deputy Vice-Chancellor (Research and Innovation).

PREPARED BY
Executive Officer to the Deputy Vice-Chancellor (Research and Innovation)

REVIEWED BY
Deputy Vice-Chancellor (Research and Innovation)

APPROVED BY
Deputy Vice-Chancellor (Research and Innovation)

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note:
1. The report and presentation; and
2. That Research and Innovation will be an agenda item for the Council Planning Day in February 2020.

ACTION REQUIRED
☑ For discussion ☐ For decision ☐ For information

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

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

BACKGROUND
Research and Innovation will be a strategic agenda item for the 2020 Council retreat. This paper and presentation are a high-level overview of 2019 highlights, how the University’s research performance compares with our competitors, and the activities underway to develop ANU’s performance.

Relevant questions are:
1. What are Council’s expectations on ANU as the national university?
2. From a perspective external to the University, what does ‘good’ look like?
3. What is the right balance – if there is indeed a trade-off – between performing well against traditional metrics, and pursuing distinctive priorities (Indigenous, Asia-Pacific, policy etc.)?
4. What are the opportunities and risks for research and innovation that ANU is not adequately addressing at present?

KEY ISSUES

1. Highlights of 2019 – what have we done well?
   a. In the Excellence in Research for Australia 2018 (ERA) outcomes, ANU received the highest proportion of narrow disciplines (4-digit Field of Research) that were assessed as ‘well above world standard’ in the country (66.2%), and the highest proportion ‘above or well above world standard’ (96%). Figure 1.
b. Award of the $34.9 million Australian Research Council (ARC) Centre of Excellence for Transformative Meta-Optical Systems. The Centre, led by Professor Dragomir Neshev, will drive research in smart and miniaturised optical technologies, with applications in artificial intelligence, augmented reality, autonomous vehicles and wearable sensors, among others.

c. The National Computational Infrastructure (NCI) hosted by ANU received $70 million funding from the Australian Government. 2019 has seen us proceed with a detailed tender process leading to the letting of a contract and the installation and operation of the new supercomputer, which will be complete by the end of 2019. NCI is pivotal role in the national research landscape and supports research that addresses some of the greatest global challenges.

d. ANU researchers successfully pitched for $10 million Australian Government funding for the Phenomics Translation Initiative, which will transform phenomics capability and expand the pipeline of new disease models, novel diagnostics and better treatment options for patients with diseases that are currently chronic, debilitating and incurable.

e. Major Government tenders – e.g. Australia-Pacific Security College ($17.4 million), National Security College ($8.5 million). These confirm the University’s leadership in understanding emerging national and regional security issues, conducting and applying research and expertise.

f. Launch of the ANU Indigenous Health and Wellbeing Grand Challenge – a $10 million strategic investment of National Institutes Grant aiming to have real impact upon pressing Indigenous health and wellbeing priorities through undertaking transformative interdisciplinary research.

2. What are the risks and issues that could impede the ANU in achieving its goals for research and innovation?

a. ANU share of ARC and NHMRC funding distributed to the university sector has declined steadily over the last decade (Figures 3a and 3b). These sources are not growing, and ANU is not adapting fast enough. As a result, ANU research income growth is not matching pace with major Australian universities (Figure 5).

b. Low research productivity (Figures 2a and 2b) is contributing to decline in international rankings, and may mean researchers have uncompetitive research track records for grants. We produce fewer research outputs with more resources, and there is limited evidence that research quality is significantly above the average of our competitors.

c. Decline in rankings is impacting international perceptions of ANU and, in all likelihood, our ability to draw excellent staff and students. This is particularly the case for the Academic Ranking of World Universities (Figure 4), where ANU is the only Group of Eight university that has seen a consistent and significant decline over the past decade.

d. Not attracting and retaining the best researchers as academic staff and postgraduate research students, due to lack of coherent institutional support for research, and inadequate research infrastructure.

e. The risk of loss of National Institutes Grant because ANU cannot adequately tell a compelling story about engagement and impact with end-users (Figure 6).

f. Points a to e above speak to an outdated culture within the University, and a university in steady decline. Failure to alert our faculty to the seriousness of this issue, and support them with an accepted and practical plan of action, may be the biggest risk.

3. What strategies and activities are underway to address research performance?

a. The ability to turn around steady decline in research performance against almost all standard metrics rests on having a clear and detailed view of this performance, available and communicated to Colleges, Schools and researchers. We are investing in additional data analytics capacity to drive discussion and develop strategy. We will use the analysis
to inform discussions about ‘what good looks like’ for our disciplines, whether we are there and, if not, how we do we get there.

b. Setting research income targets for the university (which will be broken down to School level). Senior Management Group has endorsed an expectation that by 2025, university research income reported to the Higher Education Research Data Collection (HERDC) will increase by the following (in 2018 dollars):

ii. Other Public Sector grants: $10 million p.a.
iv. Derived from Cooperative Research Centres: $1.5 million p.a.

c. The University is establishing an Engagement and Impact Steering Committee from leadership within Executive and all Colleges, charged with strategic oversight of all engagement and impact activities. Responsibilities of the committee include ensuring research impact and knowledge exchange is a core activity of the university, and providing strategic advice on the preparation for the next ARC Engagement and Impact assessment exercise (2024).

d. Preparations are underway to review of the efficiency and effectiveness of professional support services for researchers in 2020. 35% of research administration at ANU is performed in central Divisions, 48% in Colleges, and 17% in Schools or sub-units. The review will take a whole-of-university view and assess the effectiveness of research services at ANU in delivering on the ANU strategic plan, particularly increase in, and diversification of, research income.

e. Innovation ANU led a Business Development Capability Working Group, and co-design workshops, to understand gaps in the University’s capacity to reach enhanced research income targets. As an outcome of this process, Senior Management has supported Innovation ANU to develop a proposal for a more cohesive, hub-and-spoke model to coordinate University wide Business Development activity, and to establish clearer practices and networks for business development across ANU.

f. The Deputy Vice-Chancellor (Research and Innovation) and Dean of the College of Health and Medicine (CHM) are working to clearly articulate a Research Strategy for Health and Medical Research. CHM has appointed a Head of Research Strategy, Ms. Erica Kneipp, to develop this strategy. A review of research support for academics in CHM is also underway.

g. Delivered a Research Infrastructure Strategy that, as a key strategy, establishes an Office of Research Infrastructure to provide university-wide oversight, leadership and coordination to a portfolio of research infrastructure valued at over $2 billion. Recruitment of the Director, Research Infrastructure is underway. The Research Infrastructure Strategy sets out principles that will inform strategic investment, accelerating research outcomes and helping attract and retain world-class staff.

h. An advanced draft White Paper, ‘Redefining the ANU PhD’ is now being discussed through University Research Committee and Academic Board. The White Paper sets out a series of actions to deliver an unrivalled, exceptional graduate research cohort experience. This includes training to produce excellent research while developing career-enhancing skills.

i. The University has invested $20 million in nearly 50 outstanding early- to mid-career researchers through the ANU Futures Scheme, and is considering a further strategic investment in phase two of the scheme. At least 50% of the investment goes to supporting women at a crucial stage in their research career.

j. We have established Innovation Institutes as agile vehicles for research, translation and commercialisation at the nexus between the University and industry end-users. The ANU Institute for Space (InSpace) is leading the way in connecting government and industry
(both small and large) to research across multiple disciplines including physics, engineering, medicine and law.

ATTACHMENT
10.1 Supplementary Figures

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

C11. Confidential to Council Members
12. KAMBRI SCHOLARSHIPS - INVESTING IN THE FUTURE OF ANU INDIGENOUS STUDENTS

PURPOSE For Council to discuss a proposed scholarship to help ANU reach a target of 3% of its domestic students identifying as Indigenous, in line with the Australian population, and approve an allocation of financial resources required to reach this target.

PREPARED BY Director, Tjabal Centre
Interim Director, NCIS
Director, Campaigns, ANU Advancement
Executive Officer to the Vice-Chancellor

REVIEWED BY Vice-Chancellor
Pro-Chancellor
Chief Operating Officer
Vice-President (Advancement)

APPROVED BY Vice-Chancellor

SPONSOR Pro-Chancellor

RECOMMENDATIONS: That Council approve University investment in the following programs:

1. Funding of 6-8 Kambri Scholars for 2020; and

2. Allocation of $25m in funds from retained earnings from the University's 2016-19 surpluses, for the Kambri Scholars program, with a view to endowing a $50m fund to support these scholarships in perpetuity; and

3. A support model which guarantees funding for the Tjabal Centre infrastructure commensurate with the associated increase in student numbers year-on-year until the overall target of 3% is reached.

ACTION REQUIRED ☑ For discussion ☐ For decision ☐ For information

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

As per authors listed above.

BACKGROUND ANU has made a commitment in the ANU Strategic Plan for our student population to reflect the diversity of our nation, and have identified that ‘through targeted activities we will work towards achieving parity with the proportion of Indigenous Australians in the overall population’ for both our students and staff. Through our reconciliation Action Plan (RAP), we have identified an overall target of 3% of our domestic students identifying as Indigenous, in line with the Australian population.

As at 28 October 2019, year-to-date student numbers for domestic enrolments are outlined in Table 1. The percentage of students who have identified as Indigenous from the domestic cohort overall is at 0.94%. Among undergraduates, only 0.6% of students identify as Indigenous.
Table 1

YTD as at 28 October 2019

<table>
<thead>
<tr>
<th>Program Career</th>
<th>Domestic EFTSL</th>
<th>Indigenous Indicator</th>
<th>2019 (28 Oct)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Higher Degree Research</td>
<td>Y</td>
<td>22.7</td>
<td>1.9%</td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>1,170.3</td>
<td>98.1%</td>
</tr>
<tr>
<td>Higher Degree Research Total</td>
<td></td>
<td></td>
<td>1,193.0</td>
</tr>
<tr>
<td>Postgraduate Coursework</td>
<td>Y</td>
<td>33.2</td>
<td>1.6%</td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>2,094.0</td>
<td>98.4%</td>
</tr>
<tr>
<td>Postgraduate Coursework Total</td>
<td></td>
<td></td>
<td>2,127.2</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>Y</td>
<td>50.9</td>
<td>0.6%</td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>8,044.3</td>
<td>99.4%</td>
</tr>
<tr>
<td>Undergraduate Total</td>
<td></td>
<td></td>
<td>8,095.2</td>
</tr>
<tr>
<td>Grand Total</td>
<td></td>
<td></td>
<td>11,415.4</td>
</tr>
</tbody>
</table>

Assuming overall domestic student numbers do not increase, the University needs increase this year’s 106.8 EFTSL to approximately 340 EFTSL to achieve the 3% target.

Importantly, although our Indigenous student numbers are small, we have one of the highest retention and completion rates in the sector for Indigenous students. The 2018 report from the Department of Prime Minister and Cabinet on Indigenous higher education funding reflected that ANU is consistently ranked among the top three Universities in Australia for retention and that our retention targets have been met each year. This is largely due to the holistic approach of the Tjabal Centre, focusing on academic and pastoral support as well as supporting students financially where the funds are needed and available.

Our vision is for ANU to attract a diverse cohort of academically talented Indigenous students, to support those students in a way that leads the nation, and thereby become a preferred institution for Indigenous students to attend. We want to help create a pipeline of talent for the nation, for business, government, or the academe. This means continuing to have the best retention outcomes in the sector.

This vision sets out a challenging, yet achievable goal. To meet our ambitions, we must increase our student intake, and scale up our support activities to maintain our current student standards provided by the Tjabal Centre. We can only achieve this if we make the university accessible to Indigenous students from across the country and from a range of different backgrounds. To achieve this, the University will need to create targeted scholarship programs, and expand the quantity of support as Indigenous student numbers grow, to ensure successful outcomes of this diverse cohort in their studies.

Kambri Scholars program

The Senior Management Group recently approved a $5m investment to create an endowment to the Tjabal Centre, to provide financial support via a new flexible scholarship program for Indigenous undergraduate students – the Kambri Scholars program. This investment realises an annual distributable amount of approximately $225k.

These funds are being utilised as a package of benefits which will be allocated in part, or in full, based on the student’s financial need and circumstances. A total package per student of up to $30k per year is available and may include the following for each Kambri Scholar:

- On-campus residential accommodation for the first two years of study, with assistance provided to transition to off-campus accommodation from year three onwards, depending on the student’s needs;
- Access to an allowance of up to $2k for two return trips home per year; and
- A stipend up to $7k per year for living expenses.

These provisions will be reviewed after the first full year of the program in 2020, to determine that they are fit for purpose. In the first year of the program, the focus will be to maximise the number of students receiving financial support, to enable them to attend ANU. If through testing and review there is evidence that payment of some or all of the HECS liability reduces a significant barrier for some students, this will be considered by the Director of Tjabal and a recommendation made to the University Scholarships committee to revise the CoA.

PART 4 – OTHER MATTERS FOR DECISION
It is worth noting that the Kambri Scholars program will draw upon support from a variety of sources including government funding. Work Integrated Learning programs and internships in later years, in addition to the scholarship funding. We expect the initial $5m investment will support approximately two new students (with a full scholarship package) per annum, assuming an average tenure at the university of five years.

Based on applications received through the ASA program and through determined recruitment of a more diverse cohort of Indigenous students, it is expected that 6-8 Kambri Scholars will be selected for 2020. Assuming these students are support as Kambri Scholars, in 2020 we will distribute in year 1 the expected income on the initial $5m seed funding. The following year, costs will increase as the 2020 cohort of Kambri Scholars move to second year and a new cohort of Kambri Scholars is admitted. As a result, to ensure the scholarships can be funded in perpetuity and the endowment is not depleted, the University needs to supplement the initial $5m endowment.

Importantly, the Vice-Chancellor has committed that all selected Kambri Scholars will be supported on a needs-base for the full duration of their degree – academically, pastorally and financially – drawing on all sources, including recurrent funds as need be.

Each student will have their academic, pastoral and financial program developed by new, dedicated scholarship staff in Tjabal. This program will be reviewed and evaluated on an annual basis by the Director, Tjabal Centre, with recommendations made to the Chief Operating Officer and Vice-Chancellor to ensure the exact funding needs of the program are being met. The Director of the Tjabal Centre will also be able to determine more refined modelling once historic data on how the program is working is available.

To ensure the long-term sustainability of our Kambri Scholars program, this program will be a flagship fundraising activity for ANU. The proposed target is to create a new $50m endowment over the duration of the ANU comprehensive Campaign. This endowment would enable the university to support up to 30 Kambri Scholars per annum, each for a duration of up to five years, dependent on the individual needs of each student. After five years, this will result in up to 150 Kambri Scholars on campus, being supported through this scholarship program, materially closing the gap to proportional representation.

ANU Advancement will undertake a range of activities with prospects, alumni and donors, leveraging success from the current Support Australia’s Students mini-campaign. Several donors with major and principal gift capacity and an interest in supporting Indigenous initiatives have already been identified. Key champions for this campaign will drive this programs success. The Pro-Chancellor, Vice-Chancellor and Director of the Tjabal Centre have already indicated their commitment to demonstrating leadership and working with ANU Advancement on this program. Council members who would also like to assist in championing this effort are encouraged to contact the Vice-President (Advancement).

The Case for Support for this program is under development and a Case for a new building for the Tjabal Centre will also be developed, as part of the fundraising strategy (but in addition to the $50m endowment). This could ultimately take the form of a Kambri Scholars House designed by and for the students of the Tjabal Centre.

It is recommended that matching funds from the University would be available for the duration of the Campaign or until the matching fund pool is expended.

- Matching would be provided under the following provisions:
  - $20m will be committed by the University from retained earnings from the University’s 2016-19 surpluses, to support the endowment through dollar for dollar matching of philanthropic funds raised;
  - Gifts over $10k will be matched dollar for dollar, with individual named funds of a minimum of $10k;
  - Gifts under $10k will be matched dollar for dollar and can contribute to a Kambri Scholars pool; and
  - Matching funding does not count towards naming levels.

- Matching under this program is only available for donors who provide a gift to an Indigenous scholarship perpetual fund. This ensures the University’s investment has long term benefit.
Investment in holistic support for the whole Indigenous student cohort

The Kambri Scholars program has been initiated with a particular focus on increasing undergraduate enrolments. This program will create a cohort of Indigenous scholars and will foster an environment of long-term mentorship, influence and giving back to community and Country.

To increase the number of Indigenous students coming to ANU, and not impact on retention and completion rates, the university will need to increase its investment in supporting infrastructure.

Engagement activities such as the recent Clontarf Foundation visits in 2019 are proving very successful, and these targeted approaches will continue to be used and refined. To achieve the increase of numbers needed, we will scope the potential to work with other organisations such as the Stars Foundation and Girls Academy, and invite them to also visit the campus annually.

The Director, Tjabal Centre advises that inviting student groups to campus and encouraging them to come to enrol at any University, and not directly marketing ANU, has the best results in encouraging students to attend ANU. Together, this tailored support where students feel comfortable exploring their options, talking through the challenges of leaving family and Country and receiving direct assistance in the application process is an important step in reaching our goal and being a leader within the sector.

A long-term financial plan as to how ANU can support the Tjabal Centre and our Indigenous student cohort has not been proposed until now. At this time, the majority of funding for the Tjabal Centre comes from the Federal Government (approximately $1.2m) which supports the salaries of Tjabal Centre staff, the Indigenous Commonwealth Scholarship program and Indigenous Tutorial Assistance Program.

Since 2018, ANU has committed a recurrent operations budget of $250k-$260k to the Tjabal Centre, after years of budgeting between $100k-$150k per annum. These funds support the annual National Indigenous Summer School (approx. $50K per annum) and discretionary support for students in financial hardship. The Director, Tjabal Centre has indicated that of the current cohort, there is an average shortfall of $6k per student, which is proving to be a significant barrier to more Indigenous students attending ANU.

It is recommended that to reach the goal of increasing Indigenous student numbers while maintaining completion rates, the Tjabal Centre must be resourced commensurately. Initial modelling uses the current budget plus the average shortfall per student as a baseline. We know that this level of support achieves success in completion and retention. This can then be multiplied by the factor of student numbers and CPI. We acknowledge that this will require review and evaluation on an annual basis by the Director, Tjabal Centre, with recommendations made to the Chief Operating Officer and Vice-Chancellor to ensure the exact funding needs of the program are being met.

It is proposed that upon approval from Council, detailed costings will be worked through with the Director, Tjabal Centre and F&BS. This will also include an immediate expansion in space available for the Tjabal Centre to ensure capacity to cope with the increased student numbers and activities.

Support from Council required

ANU providing a commitment to invest in our Indigenous student cohort is one of the greatest reconciliation actions ANU can make. The Pro-Chancellor and Vice-Chancellor are seeking the support of ANU Council to provide approval of:

4. Funding of 6-8 Kambri Scholars for 2020;
5. Allocation of $25m in funds from retained earnings from the University’s 2016-19 surpluses, for the Kambri Scholars program, with a view to endowing a $50m fund to support these scholarships in perpetuity; and
6. A support model which guarantees funding for the Tjabal Centre infrastructure commensurate with the associated increase in student numbers year-on-year until the overall target of 3% is reached.
It is proposed that this commitment be announced as a key initiative at the State of the University address in 2020. This would be supplemented by Advancement activities to bring increased awareness on the University’s fundraising goals for this program.
13. ANNUAL INTERNAL AUDIT WORK PLAN 2020

PURPOSE
To present the Internal Audit Work Plan for 2020.

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

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

APPROVED BY
Chief Operating Officer

SPONSOR
Vice-Chancellor

RECOMMENDATION

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

The IAWP 2020 was endorsed for Council approval by ARMC on 20 November 2019.

BACKGROUND
The Internal Audit Work Plan for 2020 was developed by the Corporate Governance and Risk Office in consultation with Ernst & Young (EY).

In developing the Internal Audit Work Plan for 2020, one-on-one engagement was held with all members of the University Executive and key stakeholders in Quarter 3 and Quarter 4, 2019 to seek advice about, or respond to, potential audit topics within their portfolios and areas of risk. The following sources of information were also considered in finalising and shortlisting the topics for 2020:

- ANU Strategic Risk Register;
- Feedback from Audit and Risk Management Committee members;
- Previous audit activities, findings or issues; and
- Emerging issues across the Tertiary Education sector.

The proposed 2020 internal audit topics include project/program monitoring, post-implementation reviews, operational control, compliance and end-to-end process audits.

Council will notice that among the range of topics listed, none concern ICT or cyber. This was a calculated decision that recognised much existing investment in already identified priority concerns in ICT and cyber. Also, the University has engaged a Chief Information Officer (CIO) who will appear before the Committee at the May 2020 meeting to discuss key ICT issues.

ATTACHMENT
13.1 Internal Audit Work Plan 2020

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

PART 4 – OTHER MATTERS FOR DECISION
14. COLLEGE OF HEALTH AND MEDICINE TRANSFORM – CONCEPT BRIEF

PURPOSE
For Council to receive a Concept Brief to reposition ANU as a leader in medicine, population health and psychology.

PREPARED BY
Dean, College of Health and Medicine

REVIEWED BY
General Manager, Joint Colleges Administration (Science; Health and Medicine)

APPROVED
Dean, College of Health and Medicine (CHM)

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council:

1. **Note** CHM's vision and concept for TRANSFORM; and
2. **Endorse** the development of a detailed business case for presentation to Council by December 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

The ANU Senior Management Group (SMG) endorsed the TRANSFORM vision and concept brief on 14 November 2019, and approved its presentation to Council.

BACKGROUND
The University and its College of Health and Medicine (CHM) have identified lack of scale, distinctiveness, competitiveness and productivity as critical concerns that threaten the University’s continued leadership in health and medical research. Similar to REIMAGINE by the College of Engineering and Computer Science, over the past 18 months the CHM has developed the Concept of TRANSFORM, a ten-year strategy to turn this around. The purpose of this Concept Brief is to introduce to Council CHM’s Vision and Concept for TRANSFORM, including the rationale, objectives, strategies, 5- and 10-year goals, alignment with other strategies and university-wide initiatives, and the implementation timeline, and seek endorsement of the development of a detailed business case for presentation to Council by December 2020.

OVERVIEW
Since the University’s establishment in 1946, and with three Nobel Laureates in Physiology or Medicine, the ANU has been recognised for its medical research. The Schools and Centres within the CHM (including the John Curtin School of Medical Research, the Research School of Psychology, the Research School of Population Health and the ANU Medical School), have made significant contributions to the research culture, educational capabilities and international reputation of the University.

In recent decades, the changing research landscape and the success of larger and nimbler competitors have put this position in jeopardy. We now lack both scale and distinctiveness. ANU was unprepared for National Health and Medical Research Council (NHMRC) grant structure reform and the emergence of the equivalent-sized translation-focused Medical Research Future Fund (MRFF). Unless sliding research
income and rankings are addressed, ANU risks becoming irrelevant in health and medical research, the antithesis to a world-class research-intensive university. To succeed, a renewed identity, deliberate strategy, and critical mass are needed.

The whole University stands to benefit if CHM, and the College of Engineering and Computer Science (CECS) are performing optimally. Both Colleges should be major drivers of the University’s performance because engineering, health and medicine have high publication potential, substantial funding, high potential for research translation and impact, and ready industry engagement, the value of which can easily be shared with other disciplines and portfolios.

Both Colleges have, however, been under-resourced and underdeveloped in relation to their competitors, and subsequently lost some of their best academics to institutions that can offer them more.

In response, ANU Council committed to CECS’s REIMAGINE in 2018. TRANSFORM is CHM’s equivalent.

Through TRANSFORM we will advance a distinctive identity and paths to success, built on our strengths and the opportunities we have as the national university. Through TRANSFORM we will increase our capacity to accelerate and translate fundamental research, and secure research funding, industry engagement and philanthropy. We will better position ANU to respond to the Australian Government’s commitment to grow the pharmaceutical and medical technology sectors. Through TRANSFORM we will chart new areas of expertise that capitalise on the University’s strengths in fields such as social, political, economic and behavioural sciences, physical and earth sciences, astronomy and space sciences, law, philosophy and ethics, and artificial intelligence and systems engineering. Through TRANSFORM we will shape future-oriented health professional education that embraces rapid change in healthcare, and the need for skilled leadership. And through TRANSFORM we will have the engagement and impact of a national university, not just with the Australian Government, but also across other governments and relevant portfolios, and with neighbouring nations, governments and global agencies.

TRANSFORM starts with what ANU has prized and for which it is well known – fundamental discovery-oriented research in medical, population health and psychological sciences – and aims to strengthen this by building critical mass in priority areas in which ANU can be world-leading, and attract the talent and funding to sustain growth. CHM will select the priority areas through a fair and transparent ground-up academic-led process in Q1 2020. In these priority areas we will create optimal discovery to translation research pipelines, with the best scientists and students, the best technology research platforms, research capabilities at the clinical interfaces, excellent clinician/practitioner-scientists, collaborations with the local health service leadership in the ACT and southern NSW, and industry partnerships. Expertise, infrastructure and culture change are needed to increase engagement and collaboration, and the ANU Medical School must be supported to champion a vibrant academic environment within our local health system where research insights and healthcare converge.

TRANSFORM has similarly ambitious policy goals, recognising the University’s role in leading policy-oriented research, and its translation to drive health system performance in Australia and neighbouring nations. Health systems science is an important emerging academic field in which ANU can lead the nation, possibly the world. To achieve this, CHM will harness the relevant expertise across all Colleges of ANU, and engage, broker and support partnerships with government agencies, professional bodies, non-government organisations (NGOs) and consumers. A new Health Systems Institute will reach across the University and work to strengthen external partnerships by prioritising areas for multi-disciplinary collaboration, and through joint appointments, projects, student placements, co-location of facilities, formal and informal education and training programs that drive new opportunities for ANU research teams to influence policy, agendas and the marketplace. Under this banner, ANU will harness the potential of platforms such as HealthANSWERS, a unique regional ‘policy and practice implementation laboratory’ encompassing 52 hospitals, 383 general practices and 1.3 million people in the ACT and southern NSW to demonstrate the power of applied research and build evidence to support national and global scale. The Health Systems Institute will propagate a reputation of influence and impact for ANU, sustained by a cadre of senior alumni and affiliates operating as health leaders in Australia and the Asia-Pacific region.

1 The HealthANSWERS (Health in the ACT and NSW, through Education, Research & Service) Partnership includes ANU, University of Canberra, University of Wollongong, ACT Health, four NSW Local Health Districts, four Primary Health Networks, and three Aboriginal Community-Controlled Healthcare Organisations.
The core Vision of TRANSFORM is **advancing the health of nations**. To achieve this Vision the defined objectives are: research capacity and excellence; distinctive educational experiences; local, national and international influence; and a collegiate collaborating community. The strategies deployed to achieve these objectives will see: enhanced and new talent and teams at ANU; new pipelines and frontiers in research; engagement through new externally-facing entities and offerings; a future-oriented medical school that trains the doctors and clinician-scientists of tomorrow; modernised data and infrastructure platforms, and a campus precinct designed to be both Australia’s academic home for the health of nations, and a celebration of Indigenous culture and wellbeing.

This proposal is the product of over 18 months of review and consultation within CHM, with academic and professional staff, funders, governments and other key stakeholders. There is unanimous recognition that resources and strategic effort are needed to uplift the trajectory of our research and education income, rankings, engagement, impact and influence. As one of few national universities in the world, ANU must regain its leadership position in health and medicine.

Implementing TRANSFORM is a 10-year commitment defined by three distinct stages:

- **Stage 1 | Business Case and Foundations** (January 2020 – December 2020)
- **Stage 2 | Execute and Implement** (January 2021 – December 2023)
- **Stage 3 | Evaluate and Scale** (2024 ongoing)

**OUR NEW COLLEGE VISION – Advancing the Health of Nations**

By this, we mean advancing the health and wellbeing of the people of our great nation, of our First Nations, and of our neighbouring nations. We will do this by being true to the University motto – *Naturam Primum Cognoscere Rerum* (‘First, to learn the nature of things’) – through our commitment to fundamental research in medical, population health and psychological sciences, and its translation to improve people’s lives. We will do it through unparalleled education experiences that prepare current and future leaders who aspire to make a difference. We will do it by supporting those who rise to the challenge with all the expertise our national university has to offer. And we will do it by ensuring health and wellbeing is not just central to our Vision, but also to our people, our community, our partnerships, and all that we do.

**OUR OBJECTIVES AND STRATEGIES**

The Vision will be achieved by pursuing the following objectives through the assigned strategies:

<table>
<thead>
<tr>
<th>OBJECTIVE</th>
<th>STRATEGIES</th>
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</table>
| **ONE | Research Capacity and Excellence** | a) Recruit, train and retain the best researchers to achieve critical mass in priority areas.  
 b) Optimise data, methodological and infrastructure platforms, and pipelines from discovery through translation to clinical practice and policy.  
 c) Champion a university-wide approach that maximises health and wellbeing-related research collaborations with other Colleges, Schools and Institutes. |
| **TWO | Distinctive Educational Experiences** | a) Create the nation’s leading programs for training clinician/practitioner-scientists in medicine, population health and psychology.  
 b) Develop and deliver outstanding education programs for health system leaders and policy-makers.  
 c) Build a Medical School for the Future to harness new educational approaches and meet future practice needs. |
| **THREE | Local, National and International Influence** | a) Establish a Health Systems Institute to drive leadership in health systems science, make visible the University’s expertise, broker successful partnerships, and grow national and international presence.  
 b) Establish a Centre for Integrated Clinical Sciences devoted to increasing research capacity at the clinical interface in the ACT and southern NSW.  
 c) Develop vibrant research and policy-oriented relationships with governments and national agencies in Australia and the Asia-Pacific region. |
| **FOUR | Collegiate Collaborating Community** | a) Develop the campus health precinct to be Australia’s academic home for the health of nations, with particular emphasis on being the home for Indigenous health and wellbeing.  
 b) Create a campus-wide ‘living laboratory’ for research-led mental health and wellbeing initiatives for staff and students.  
 c) Actively foster career development of early and mid-career academic and professional staff, and support staff returning to work following career breaks. |

**PART 4 – OTHER MATTERS FOR DECISION**
FUTURE STATE – What success will look like

Through TRANSFORM, CHM aims to reposition ANU in medicine, population health and psychology by achieving the following five and ten-year goals:

<table>
<thead>
<tr>
<th>OBJECTIVE</th>
<th>5 YEARS</th>
<th>10 YEARS</th>
</tr>
</thead>
</table>
| ONE | Research Capacity and Excellence | • Clearly articulated Research Strategy informing recruitment.  
• Increased research income evident across all HERDC Categories.  
• Data, research methods and infrastructure platforms defined, developed, and operational.  
• Evidence of ANU-wide collaborations and new research programs.  
• ERA 5 across all fields of research | • Evidence of academic critical mass in key strategic research areas generating research income.  
• Increased Field Weighted Citation Index.  
• Increased total annual research income across all HERDC Categories from $40 million (2018) to $100 million.  
• JCSMR secures a Top 5 Medical Research Institute ranking.  
• ANU ranked Top 50 in Medicine, Top 30 in Psychology and Top 5 in Population Health.  
• Health and medicine campaign revenue exceeding 30% of the total funds raised.  
• ANU scores 5 across FoR11 and FoR17 at the 4-digit level for ERA.  
• ANU-led discoveries, translated within the clinical domain, changing practice and patient outcomes. |
| TWO | Distinctive Educational Experiences | • Comprehensive graduate research programs across CHM.  
• Distinctive sought-after Master of Public Health (MPH) and Award-winning Master of Philosophy in Applied Epidemiology (MAE) expanded across the Asia-Pacific region.  
• A new progressive curriculum that differentiates ANU Medical School developed and implemented.  
• Executive education program developed in partnership with key clients.  
• Inter-professional learning collaborations with the University of Canberra piloted and evaluated. | • ANU CHM graduate research programs attracting top ranked HDR students.  
• ANU is recognised for its progressive medical curriculum and creating ‘research-ready’ graduates.  
• ANU is the top university in the Asia-Pacific region for training clinician/practitioner-scientists.  
• ANU offers the top ranked MPH and MAE programs in the Asia Pacific region.  
• ANU operates a profitable Executive Education platform with influential national and international healthcare leaders as alumni. |
| THREE | Local, National and International Influence | • Health Systems Institute established with early local, national and international engagement opportunities returning benefit.  
• HealthANSWERS policy implementation laboratory established and with committed partners.  
• Strong relationships with ACT and NSW clinical and community services affirmed, and a regional approach to applied clinical research established.  
• Centre for Integrated Clinical Sciences at The Canberra Hospital designed, built and commenced operations. | • ANU is a national leader in health policy, and a trusted local, national and international government collaborator.  
• Strong relationships with ACT and NSW services evident by increased joint appointments and research programs.  
• The HealthANSWERS catchment is recognised as an exemplar in systems-based healthcare services, education and research.  
• Evidence of partnerships fuelling new research and educational activities and providing associated income.  
• Regained and maintained high Engagement and Impact Assessment ranking. |
| FOUR | Collegiate Collaborating Community | • ANU campus Health Precinct Masterplan designed and first building completed.  
• Coaching and mentoring support for early and mid-career researchers are routine.  
• Partnerships between ANU, industry and major stakeholders are thriving.  
• Evidence of enhanced diversity and inclusiveness within the CHM community.  
• Evidence of ANU-wide collaborations.  
• Evidence of a strong team culture between academic and professional staff. | • A campus health precinct that celebrates a diverse and inclusive CHM community.  
• CHM recognised as an international destination of choice for students, and early and mid-career academics.  
• ANU recognised internationally for its commitment to the health and wellbeing of its staff and students.  
• Successful high-profile cross-university collaborations across research and education programs. |
RATIONALE

Built on our achievements last century, including three Nobel Prizes in Physiology or Medicine, ANU has a proud tradition of world-class and paradigm-shifting medical, population health, and psychology research, and continues to enjoy international brand recognition across its foundational Schools and Centres. In a few areas ANU researchers continue to be among the world’s best.

However, the original mandate of ANU – to provide a national home for research excellence – is no longer a point of distinction in medicine, population health and psychology when compared to Australia’s other universities: ANU has been outpaced and outperformed by all of the Group of Eight (Go8) universities, several non-Go8 universities, and several medical research institutes, each of which has invested heavily to capitalise on health and medical research funding opportunities that now account for more than half of all available competitive research funding in Australia.

ANU risks becoming irrelevant: medicine, population health and psychology are much smaller parts of ANU than they are among our competitors [see Figure 1].

![Figure 1: Academic workforce, by sector, in Go8 universities. Only 12% of the total ANU academic workforce is in medical and health sciences, compared to 27 to 34% at all other Go8 universities. Data and clusters based on ERA 2018 FoR codes. No data available for non-Go8 universities.](image-url)
ANU obtains less than three per cent of the available competitive funding awarded by the NHMRC and MRFF [see Figure 2], and is yet to penetrate the Biomedical Translation Fund – the three major investment platforms of the Australian Government.

Figure 2: Total 5-year health and medical funding from NHMRC and MRFF to April 2019, by administering institution. Universities and independent institutes included if >$9.5m NHMRC funding in 2018 (entities shown account for 88% of NHMRC expenditure, and 46% of MRFF expenditure). In 2018 alone, ANU received less funding from the NHMRC than all other Go8 as well as the University of Newcastle, the University of South Australia and Macquarie University (data not shown).

ANU CHM receives much less research support from the ACT Government than other Go8 universities do from their jurisdictional governments. Furthermore CHM has less industry engagement, philanthropic support, and limited access to the vast research and industrial ecosystems of our Melbourne, Sydney and Brisbane counterparts. However CHM has not fully exploited our strategic advantage to work with the Australian Government to generate Category 2 income [see Figure 3].

Figure 3: Category 2 research income per FTE across all disciplines at ANU compared to Go8 mean. CHM Category 2 income from government-related contracts lags significantly behind that of other parts of ANU. Category 2 research income per FTE across all disciplines at ANU is shown by columns, with the Go8 mean represented by a black horizontal line at 1.0). Data from ERA FoR codes 2018. Above the line indicates strong performance, with blue being exceptional, while below the line indicates weaker performance, with red being of greatest concern. FoR11 (Medical and Health Sciences) is boxed, and FoR 11 (Psychology and Cognitive Sciences) is arrowed. CHM also contributes significantly to FoR 0601 (Biochemistry and Cell Biology) and FoR 0604 (Genetics), shown with black capped line.

PART 4 – OTHER MATTERS FOR DECISION
TRANSFORM will address the need to increase research income, engagement and impact; capitalise on existing strengths and unique opportunities in identified priority research areas to elevate the University’s health and medical research performance. Investment in additional academic positions must be central to TRANSFORM as research income and productivity are a function of size of Australian medical research institutes. Figure 4 below demonstrates this point.

**Figure 4: Medical Research Institutes: total revenue (all sources) by workforce size.** Data for 2016/7 with permission of Australian Association of Medical Research Institutes. Dots: 36 independent medical research institutes; Circles: 7 non-independent medical research institutes (including JCSMR).

**ALIGNING FOR SUCCESS**

The TRANSFORM objectives align with the ANU Strategic Plan 2019-2022 and will contribute to building a culture of academic excellence, being distinctive through serving the national interest, fostering a culture of collegiality and engagement, achieving equity and supporting diversity, and creating an unrivalled campus environment. It will demonstrate the University’s commitment to Indigenous people. The fundamentals of TRANSFORM align with the ANU Story Project, and its anticipated marketing and strategic communications that will commence in February 2020 and continue through 2021.

TRANSFORM will also support the University Research Strategy to be rolled out in 2020, particularly in relation to stretch goals, interdisciplinary research, agency and industry partnerships, and research platforms. And it will champion best practices in government engagement and align with the evolving ANU International Strategy, responding appropriately to national priorities and those of international agencies such as the World Health Organization and the Pacific Community.

Furthermore, TRANSFORM will form a major pillar of the University’s Advancement activities, contributing significantly to growth in philanthropic income and alumni engagement. For Campaign success, expected health and medicine revenue would likely exceed 30 per cent of the total funds raised. Realising this target will be achieved through strategic investment from ANU Advancement and focused fundraising for health and medicine priorities. By developing a distinctive identity, clinical translation and an interdisciplinary health and wellbeing strategy, TRANSFORM will create unique and high-impact giving opportunities that are attractive to donors unlocking the latent philanthropic potential of health and medical research and education at ANU.
GOVERNANCE

TRANSFORM will be delivered in stages with progress and success of delivery monitored through a formal Governance Framework. The strategies outlined in this paper have the full support of the University SMG and the CHM Executive, and have been widely canvassed with the CHM community. Taskforces have been established to commence detailed planning and analysis for the Business Case.

Contingent on endorsement and approval to move forward with the Business Case, SMG and ANU Council will receive regular progress updates. TRANSFORM will be overseen by the TRANSFORM Steering Group, consisting of the Provost, DVC-R&I, DVC-A, COO, Interim Dean College of Asia and the Pacific (CAP) and Dean CHM. The proposed governance structure is depicted in Figure 5.

Figure 5: TRANSFORM governance structure, November 2019.

IMPLEMENTATION PLAN

Implementing TRANSFORM is a 10-year commitment defined by three distinct stages:

- **Stage 1 | Business Case and Foundations** (January 2020 – December 2020)
- **Stage 2 | Execute and Implement** (January 2021 – December 2023)
- **Stage 3 | Evaluate and Scale** (2024 ongoing)
Table 1: Stage 1 – Business Case and Foundations.

<table>
<thead>
<tr>
<th>KEY ACTIVITY</th>
<th>DEADLINE</th>
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<tbody>
<tr>
<td>Market research (eg for Executive Education)</td>
<td>January – April 2020</td>
</tr>
<tr>
<td>Master planning of capital works projects</td>
<td>January – June 2020</td>
</tr>
<tr>
<td>Present plan to ANU Council at Planning Day</td>
<td>February 2020</td>
</tr>
<tr>
<td>Ground-up process by all CHM academics to select key areas of strength</td>
<td>February – April 2020</td>
</tr>
<tr>
<td>Commence recruitment for the first round of key academic positions</td>
<td>April 2020</td>
</tr>
<tr>
<td>Development of Business Case</td>
<td>April – August 2020</td>
</tr>
<tr>
<td>Preliminary building designs for The Canberra Hospital and ANU Health Precinct</td>
<td>April – Sept 2020</td>
</tr>
<tr>
<td>Consult ANU stakeholders on draft Business Case elements</td>
<td>June – July 2020</td>
</tr>
<tr>
<td><strong>Test Business Case with SMG at Mid-year Retreat</strong></td>
<td><strong>August 2020</strong></td>
</tr>
<tr>
<td>Refine and deliver Business Case</td>
<td>August – October 2020</td>
</tr>
<tr>
<td><strong>Present Detailed Business Case to SMG</strong></td>
<td><strong>November 2020</strong></td>
</tr>
<tr>
<td><strong>Present Detailed Business Case to Council</strong></td>
<td><strong>December 2020</strong></td>
</tr>
<tr>
<td>Launch TRANSFORM</td>
<td><strong>January 2021</strong></td>
</tr>
<tr>
<td>Commence Stage 2 – Execute and Implement</td>
<td><strong>January 2021</strong></td>
</tr>
</tbody>
</table>

COMMUNICATION

☐ For public release    ☐ For internal release    ☑ Not for release
15. AHRC REPORT ON SEXUAL ASSAULT AND HARASSMENT – ANU RESPONSE - UPDATE

PURPOSE

PREPARED BY
Executive Officer, Provost

REVIEWED BY
Pro-Vice Chancellor (University Experience)

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council:

1. **Note** that the University has now implemented the recommendations of the Australian Human Rights Commission report: *Change the course: National report on sexual assault and sexual harassment at Australian universities*.

2. **Approve** the closure of reporting against the AHRC Report, and report instead at every second Council meeting against the new Sexual Violence Prevention Strategy, commencing in 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
On 1 August 2017, the Australian Human Rights Commission (AHRC) released its report on sexual assault and sexual harassment on Australian university campuses: *Change the course: National report on sexual assault and sexual harassment at Australian universities* (2017). The University accepted all of the AHRC report’s recommendations.

The University has provided regular reporting to Council, the 2-monthly Student Safety Report, both on primary prevention activities and confidential data on incidents of sexual assault and sexual harassment (Recommendation 6).

The University has engaged independent consultants to assist implementation of the agreed recommendations:

- Rapid Context (2017), reviewed of all policies and procedures related to sexual assault and harassment (Recommendation 4).
- Kandie Allen-Kelly Consulting (2018), undertook an audit of counselling services for students experiencing sexual assault or sexual harassment (Recommendation 7).
- Nous (2018), reviewed ANU residences’ responses to sexual assault and sexual harassment (Recommendation 9).

In February 2019, Donelle Wheeler, then Chair of the Respectful Relations Steering Committee, provided a detailed report to the AHRC, on the University’s progress in implementing the recommendations (Recommendation 1d).

PART 4 – OTHER MATTERS FOR DECISION
SUMMARY OF ISSUES
The table in Attachment 15.1 summarises the status of each of the nine AHRC’s Change the course recommendations.

With the November launch of the Sexual Violence Prevention Strategy (Recommendation 2) and the October soft-launch of the Online Disclosure Tool (Recommendation 6), the University has implemented all Change the Course recommendations.

The implementation of the Online Disclosure Tool was protracted due to the requirements of the Privacy Act and the Privacy Impact Assessment. The University needed to be confident that it could appropriately manage the private and sensitive information collected as part of a disclosure.

While the Discipline Rule and Academic Misconduct Rule provide a framework for managing student misconduct, work will continue on developing a positive statement of principles, aligned to the values outlined in our Strategic Plan.

Rolling action plans will be developed to deliver our vision of an ANU free from violence, outlined in the Sexual Violence Prevention Strategy. Reporting against these action plans will provide community assurance that the University is acting to maintain tangible progress toward our goal of reducing sexual violence within our community.

**It is recommended that reporting against the rolling action plans replace the AHRC Report of Sexual Assault and Harassment – ANU Response Update, as a standing item.**

ATTACHMENT
15.1 Status Summary of AHRC Recommendations

COMMUNICATION
For public release ☐ For internal release ☐ Not for release ☑
16. FINANCE COMMITTEE CHARTER

PURPOSE
To present the revised Finance Committee Charter.

PREPARED BY
Senior Auditor, Corporate Governance and Risk Office

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

APPROVED BY
Director, Corporate Governance and Risk Office

SPONSOR
Chair, Finance Committee

RECOMMENDATION
That Council approve the revised Finance Committee Charter.

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

The Finance Committee considered and endorsed the revised Charter on Friday 15 November 2019 for Council approval.

BACKGROUND
The Finance Committee last reviewed its Charter in May 2016.

A revised Charter is attached for Council consideration, with proposed amendments presented in track changes and highlighted in blue. The proposed changes reflect the practical operation of the Committee.

ATTACHMENT
16.1 Revised Finance Committee Charter

COMMUNICATION
☑ For public release ☐ For internal release ☐ Not for release
17. COUNCIL COMMITTEE MEMBERSHIP

PURPOSE For Council to approve a new Chair of the Campus Planning committee

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 approve the recommended appointment of the next Chair of the Campus Planning Committee.

ACTION REQUIRED
For discussion ☑ For decision ☑ For information ☑

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

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

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, including the Chair.

Campus Planning Committee (CPC)
The current CPC Chair, Professor the Hon Gareth Evans AC QC, will complete his term as Chancellor on 31 December 2019. As a result, Council will need to appoint a new CPC Chair from 1 January 2020.

The CPC charter states that the Committee Chair is to be ‘appointed by the Council from among its members, who may not be a student or employee of the University’.

The current (non-student or staff) Council members on CPC are:
➢ Ms Naomi Flutter (Pro-Chancellor)
➢ Ms Anne-Marie Schwirtlich AM

Ms Schwirtlich joined the ANU Council on 1 July 2017, and subsequently joined CPC. As a result, Ms Schwirtlich is well placed to assume the Chair having participated in the consideration of significant CPC matters, including Kambri during 2018 and the Acton Campus Master Plan throughout 2018-19.

Ms Schwirtlich brings valuable expertise and experience in the executive leadership of significant cultural organisations operating in the public sector in various jurisdictions, and a sound knowledge and understanding about the arts, culture and humanities in Australia.

As such, at the meeting of 18 November 2019, CPC unanimously endorsed Ms Schwirtlich to be its next Chair.

Recommendation
That Council approve Ms Anne-Marie Schwirtlich AM as the next Chair of the Campus Planning Committee, commencing from 1 January 2020, until the end of her own Council term, 30 June 2021.

COMMUNICATION
For public release ☐ For internal release ☑ Not for release ☑
18. **ANU (PARKING AND TRAFFIC) STATUTE: ACT GOVERNMENT AMENDMENTS**

**PURPOSE**
To update the *Australian National University (Parking and Traffic) Statute 2017* to re-align with the ACT Government Road and Transport Legislation updates.

**PREPARED BY** Sylvia Mansell, Associate Director, Client and Corporate Services, Facilities and Services Division

**REVIEWED BY** Nicki Middleton, Director, Facilities and Services, Facilities and Services Division

**APPROVED BY** Chief Operating Officer

**SPONSOR** Chief Operating Officer

**RECOMMENDATION** That Council approve the drafted changes to the Australian National University (Parking and Traffic) Statute.

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

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

Council approval is sought to implement the necessary changes in the *Australian National University (Parking and Traffic) Statute 2017* (the Statute). These updates are within the original University Council approval and reflect the legislative changes implemented by the ACT Government, hence do not require greater University consultation.

The ANU Act, once re-drafted will include a provision that will automatically update all subordinate legislation such as the Statute as changes of law occur. The current ANU Act does not contain this provision and therefore the Statue must be amended manually, as required. Subject to Council approval, the new Australian National University (Parking and Traffic) Statute 2019 is expected to be implemented on 1 January 2020.

**BACKGROUND**

The Australian National University sought alignment with the ACT Government Road and Transport Legislation for the current *Australian National University (Parking and Traffic) Statute 2017* as of 1 January 2018.

The decision to align the legislation was to ensure an equitable basis for staff and students contesting an infringement; inhibiting the ability to withdraw an infringement outside of the act Road and Transport legislation standardised infringement Guideline. *Australian National University (Parking and Traffic) Statute 2017* allows the University to enforce parking on the ANU Campus within these legislative requirements.

The ACT Legislation Register is reviewed regularly by the Facilities and Services Division (Parking Office) to ascertain if any amendments or additions to the ACT Road and Transport Legislation impact the ANU (Parking and Traffic) Statute 2017. If any amendments are found, this is discussed further with respective legal organisations for guidance.

**SUMMARY OF ISSUES**

Several pieces of legislation have been identified as repealed and replaced and a number of amendments made to the ACT Road and Transport Legislation, these changes require the *Australian National University (Parking and Traffic) Statute 2017* to therefore be updated. A summary of the legislative changes are below:
New legislation
Road Transport (Road Rules) Regulations 2017
Road Transport (Safety and Traffic Management) Regulation 2017
Road Transport (General) Withdrawal of Infringement Notices Guidelines 2018 (No1)
Road Transport (General) Extension of Time Guidelines 2019 (No1)
Road Transport (General) Waiver of Infringement Notice Penalties Guidelines 2019 (No1)

Amended legislation
Road Transport (Road Rules) (Consequential Amendments) Regulation 2017 (No1)
Road Transport (Road Rules) (Consequential and Traffic Management) Regulation 2017 (No2)

Repealed legislation
Road Transport (Safety and Traffic Management) Regulation 2000
Road Transport (Safety and Traffic Management) Australian Road Rules Incorporation 2013 (No1)
Road Transport (General) Withdrawal of Infringement Notices Guidelines 2012 (No1)

ATTACHMENTS
18.1 Australian National University (Parking and Traffic) Statute 2019
18.2 Australian National University (Parking and Traffic) Instrument 2019
18.3 ANU Parking Matters 2019 – Elringtons Lawyers

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

Historically minor changes to the ANU Parking Statue have not been issued for internal or external release as they were considered administrative in nature.

In 2017, due to the significant changes within the Statute and the alignment with the ACT Government Road and Transport Legislation, information was released across the University and placed on the ANU webpage.

The proposed changes (and any future amendments) will be updated on the ANU webpage as required.
PART 5 – OTHER MATTERS FOR NOTING

19. REPORT FROM NOMINATIONS COMMITTEE

PREPARED BY Associate Director, Corporate Governance and Policy
REVIEWED BY Council Secretary, and Director, Corporate Governance and Risk Office
APPROVED BY Chancellor
SPONSOR Chancellor

RECOMMENDATION That Council note the progress report from the Nominations Committee.

ACTION REQUIRED ☑ For discussion ☐ For decision ☐ For information

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

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

BACKGROUND
The Nominations Committee is required under s10 of the ANU Act 1991 to directly recommend suitable individuals to the Minister to join the ANU Council. In doing so, it seeks to, among other things, maintain a balance of skill, expertise, continuity and gender in the membership, and must also ensure that at least two members have a high level of financial expertise and one member has a high level of commercial expertise.

Council noted the status of Council and Council Committee membership at its meeting in Darwin on 3 October 2019, at which time members also noted that:

➤ 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. These concern:
  o Dr Doug McTaggart (also Chair, Finance Committee – completing 2nd four-year term)
  o Mr Peter Yu (joining ANU staff after 30 June 2020 – no longer eligible)
  o Ms Natasha Stott Despoja (eligible for re-appointment)

The Nominations Committee is continuing its work with respect to Ministerial appointments being made to Council, and updated its list of potentially suitable candidates at its last meeting, on Monday 18 November 2019.

The Chancellor will provide a further (verbal) update at the meeting about the Committee’s progress.

COMMUNICATION ☐ For public release ☐ For internal release ☑ Not for release
20. **CECS RE-IMAGINE – ANNUAL REPORT**

**PURPOSE**
For Council to note project progress.

**PREPARED BY**
General Manager, CECS

**REVIEWED BY**
Dean, CECS

**APPROVED BY**
Dean, CECS

**SPONSOR**
Chief Operating Officer

**RECOMMENDATION:** That Council note progress made since the CECS Re-imagine Project was approved by Council on 7 December 2018

**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

*This progress report was prepared for consideration by the Finance Committee on 15 November, the ARMC on 20 November, and Council on 6 December 2019.*

**BACKGROUND**
The ANU Council approved the CECS Re-imagine investment on 7 December 2018, at which time it also requested that progress reports be submitted to Council, FC, and ARMC at six monthly intervals.

The Reimagine investment is a 15-year long, approximately $350M investment in building a viable engineering and computing College through which ANU can take a global intellectual lead in shaping the complex interplay between society, science and technological systems. CECS will become a key driver and exemplar of ANU’s overall strategies for managed growth, research revenue and innovation.

Approximately half of the investment will be in capital works and the other half in forward investment to hire 100 faculty who will bring contemporary, outwardly-focused and interdisciplinary capability to ANU.

**PROGRESS MADE IN 2019**

Figure 1 summarises the qualitative objectives of the project, Figure 2 summarises the quantitative outcomes and Figure 3 provides a high-level overview of the intermediate milestones of the project; all as approved on 7 December 2018.
Figure 1: Summary of the 6 objectives of Reimagine

<table>
<thead>
<tr>
<th>Students</th>
<th>People</th>
<th>Education</th>
<th>Research</th>
<th>Engagement</th>
<th>Infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pathways - in, out &amp; back</td>
<td>Organisational readiness &amp; design</td>
<td>&quot;Big tent&quot; CS &amp; Eng</td>
<td>Scale, focus &amp; quality</td>
<td>Nine funding</td>
<td>National infrastructure</td>
</tr>
<tr>
<td>Student experience</td>
<td>Culture</td>
<td>Identify, seed &amp; scale</td>
<td>nationally important</td>
<td>Alumni</td>
<td>Launspacex</td>
</tr>
<tr>
<td>Inspire</td>
<td>Develop</td>
<td>Evolve</td>
<td>intellectual agendas</td>
<td>Actae alum</td>
<td>Partnership facilities</td>
</tr>
<tr>
<td>A new generation</td>
<td>Pathways</td>
<td>Transformational educational experiences</td>
<td>Global scale</td>
<td>CS &amp; Eng</td>
<td>Research &amp; innovation facilities</td>
</tr>
<tr>
<td>of high-potential, creative people in engineering and computing with a diverse range of interests, motivations and perspectives, and materially enhanced careers</td>
<td>People with the courage to be intellectual and cultural leaders, who will sharpen their skills throughout their lives</td>
<td>that provide a distinctive edge in technological problem formulation, with expertise derived from the breadth of engineering, computing, science, social science and the humanities</td>
<td>National scale</td>
<td>Rich, bilateral exchange of ideas &amp; people</td>
<td>Inspiring precincts</td>
</tr>
<tr>
<td>Enablement</td>
<td>Governance</td>
<td>Risk &amp; Audit</td>
<td>Strategic partnerships</td>
<td>TextStyle</td>
<td>Digital expertise</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Flexible</td>
<td>Desktop exchange of ideas and people at scale, across thinking and practice, so that we are changed and we change the world</td>
<td>World-class spaces and infrastructure that attract and inspire</td>
</tr>
</tbody>
</table>

Figure 2: (a) CECS in 2025

2025

- Female Faculty: Increase percentage of female faculty members from 19% to 30%
- Global Representation: Increase global representation amongst international students
- Postgraduate Students: Increase percentage of postgraduate students from 45% to 48%
- Indigenous Representation: Increase by 10% in Indigenous representation
- Female Students: Increase percentage of female students from 25% to 35%
- Student to Staff Ratio: Decrease student to staff ratio from 1:6.1 to 1:4.1
- CECS Students: Increase CECS students from 2150 to 2300
- Faculty Numbers: Increase faculty numbers by 15%
- College Staffing: Increase college staffing from 240 to 249
- Reimagine Fellows Program: Five years of the Reimagine Fellows Program

Research Income: Increase diversity in research income
Industry Collaboration: 100% real value for industry collaboration
College Expansion: Three new buildings at the University and three institutes
Footprint: Increase number from 3,533 to 4,000, increase in carbon footprint of 30% estimated to reduce emissions
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Figure 2: (b) CECS at end-state in 2033

Figure 3: summary of the high-level timeline for the project

Pre-launch (2018-19)

Marshal the minimum-viable capabilities – people, processes, products, infrastructure – needed to launch Reimagine on its way.

Objective: Establish Reimagine as a “start-up”

Full achievement of objectives of Reimagine: Students, Education, People, Research, Engagement, Infrastructure

Foundation schools close to their end-state and the new schools ~60% of their end-state. Early-stage achievements against the 6 objectives for Project Reimagine

Foundation schools operationalise strategic plans; new academic entities have the beginnings of an agenda consistent with Reimagine; CECS professional services “fit for purpose”; bones of the new CECS precinct and the new shape of its demography visible. All the workstreams – students, education, people, research, engagement – planned and resourced

Advance recruitment of key staff started; 2 new research schools created; existing Research School of Engineering renamed; commence programs to develop and accredit new degrees; commence programs to market and recruit students into new degrees; commence programs to develop new research, industry and engagement projects; intensive project validation & establishment activities; capital expansion commences

Pre-launch (2018-19)

Launch (2020-)

Consolidate (2026-)

2nd Phase (2029-)

Research income

Industry collaboration

College staffing

Footprint

Increase diversity in research income

Increase student to staff ratio from 2018 to 2019

CECS students from 2018 to 2033

Faculty numbers

College expansion

CECS Students

College Staffing

Research Income

Industry Collaboration

Footprint

Pre-launch

Launch

Consolidate

2nd Phase

Foundation schools and new entities fully operational with line of sight to final scale; CECS precinct and its demography close to finalised; CECS has 3 strategic partners on campus

PART 5 – OTHER MATTERS FOR NOTING
Key milestones:

1. **Advance recruitment of key staff started.**

As of October 2019, completed or near-completed searches:

- Director of the Research School of Computer Science (RSCS): Prof Tony Hosking. In post now.
- Space systems engineer: Prof Junichiro Kawaguchi; A/Prof Moriba Jah. Both in the new Research School of Aerospace, Mechanical and Environmental Engineering (RSAMEE). Hiring undertaken in collaboration with iNSpace.
- Cybernetics: Prof Alex Zafiroglu in the 3A Institute. She was also awarded ANU Futures funding.
- Urban Systems Engineering: Professorial offer has been made in AMEE. Hiring undertaken in collaboration with Fenner.
- Chief Social Scientist of the Cyber Institute (CI): Professorial offer made.
- Computational science: Level E2 Professorial offer in negotiation now, in RSCS.
- Data Science: Professorial offer in negotiation now, in the Software Innovation Institute (SII). Practice-led position.
- B-D tenure/tenure-track staff in 3A Institute: 2 (Andrew Meares and Ellen Broad) appointments made to practice-led positions. High profile hires.
- B-D tenure/tenure-track staff as joint appointments: 2, one each for RSCS/RSAA and RSAMEE/Fenner.
- B-D tenure/tenure-track staff in RSCS: 4 appointments made, 4 offers made. One received ANU futures funding.
- B-D tenure/tenure-track staff in RSEEME: 2 appointments made. One received ANU futures funding and an ARC Future Fellowship.

Live searches

- Director of RS AMEE (soon to shortlist, looking promising)
- D/E Bio-Engineering
- D/E Environmental engineering
- D/E Innovative structures
- D/E Robotics

Academic hiring planning for 2020 is underway now. The next wave of senior hires will include education and leadership experience. The plan now is to close out this wave of recruitment and turn attention to the next wave of senior hires, some of which will be hired with education and leadership expertise in mind.

The search firm provided feedback on general themes observed being:

*Elanor is held in very high regard (this was from both people interested and not interested in the role). They think her plans are very bold, ambitious and exactly what engineering needs moving forward. They see Elanor as inspiring and that she brings great vision and leadership to her role.

Reimagine plan is great - ANU are doing this at the “perfect time”, being able to reposition themselves for the future.

PART 5 – OTHER MATTERS FOR NOTING
Finding Directors at this level right now is very difficult.

Two people I spoke with from UNSW said that they feel ANU are going to be leaders in certain fields, they see UNSW Engineering as way “too large” and too dependent on student numbers rather than research or looking into the future. They like the direction ANU is heading”

Anecdotal feedback regarding the approach and materials used for the external search suggests that the visibility of CECS and the way in which ANU is viewed is changing very nicely.

The Professional Services Group is reconfiguring to orient towards the new scale and breadth of operations of the College with several senior appointments made to uplift capability to execute to strategy. In addition to several Associate Director roles, a school manager for RS AMEE has been appointed.

2. Two new research schools created.

Completed and approved in the 7 December 2018 Council meeting.

3. Existing Research School of Engineering renamed.

Completed and approved in the 7 December 2018 Council meeting.

4. Commenced programs to develop and accredit new degrees.

The pilot curriculum and named Master degree for the 3A Institute were both approved in the second half of 2018. A Masters in Engineering with social science electives having full status, and a cross-school Masters of Computer Vision and Machine Learning were approved in 2018.

The Cyber Institute “Cyber Mastery” qualification is the first ANU qualification to be accredited under the new ANU micro-credentials policy. The 3Ai curriculum has also been selected for trial in the ANU micro-credentials program.

The Reimagine Fellows program included a project from Prof Wojciech Lipinski (in RS EEME) to complete a test-case trial of cross-school undergraduate curriculum by founding an environmental systems engineering curriculum for RS AMEE.

5. Commenced programs to market and recruit students into new degrees.

The pilot 3Ai curriculum (for delivery in 2019) was marketed almost entirely on social media, resulted in 173 applications for 10 places and ultimately admitted 16 students with a 50:50 gender split. Applications for the named degree (for delivery in 2020) resulted in 115 applications for 16 places with a 50:50 gender split. Assessment of those applications is underway now. The marketing program, undertaken almost entirely on social media, has resulted in a significant uplift in visibility for the 3A Institute, CECS and ANU.

The Masters of Computer Vision has started with a bang, becoming the largest masters degree in RS EEME in S2 2019.

The Masters of Applied Data Analytics degree that is jointly operated by RSCS, the social research centre in CASS and RSFAS in CBE continues to do well as a gender balanced degree with good numbers of domestic postgraduate students.

2019 operationalisation of load capping has resulted in significant distortions in student load in the College. The BE and ME are particularly affected. This will have a long-tail impact on the finances of RSEMEE and may impact on speed of startup in RSAMEE/RSDesign Engineering.

6. Commenced programs to develop new research, industry and engagement projects.

We have hired an Associate Director – Growth, and brought together our student recruitment, alumni, research and business development teams under that position to bring strategy, depth, scale and focus to this part of our portfolio. The 3A institute, the Battery Storage and Integration team, and the computer systems team have all attracted new industry and government funding as part of research, sponsored education and engagement. The Cyber Institute have won their first external research agreement. Increased capacity and capability in the college is starting to allow CECS to
respond to requests to lend expertise to project led from other parts of ANU. Examples include inSpace and the Centre for Entrepreneurial AgriTechnology (CEAT). We are exploring opportunities to target academic hires to accelerate such activities.

7. **Intensive project validation activities complete.**

The goal of this project is to establish and then maintain situational awareness. We are in maintenance phase at the College level. Attention now turns to establishing a similar degree of situational awareness at the School level, particularly for the foundation schools.

RSEEME has commissioned market research to understand the dynamics of why they have been hard hit by the 2019 operationalisation of load capping.

8. **Commenced capital expansion.**

This part of the project was somewhat behind where we would have liked at last report to Council. This project is now back on track.

Strip-out of the Birch Building is complete. Heritage approval has been obtained. The project has been approved by campus planning committee. Detailed design is complete and a tender will be issued by the end of October. A deep dive report on the Birch project is attached to this report.

The Hanna-Neumann building (the joint ANU-ASD building) was occupied by RSCS and MSI in 2018. Occupation by ASD was delayed for a range of reasons beyond the control of CECS and CoS. The relationship is nascent.

**CONCERNS/RISKS/REFLECTIONS**

The Reimagine investment is a risk management strategy for ANU. Principle risks are unchanged with the exception of long-tail risks associated with the implementation of load capping in the ANU. This will require active engagement at the university level to manage.

Recruitment of senior leaders remain essential to the success of this project. The first wave of “tentpole hires” yielded a few key hires. Just as importantly, it was an effective soft-launch strategy leading into the Director recruitment process and junior academic recruitment. The Director recruitment process built on that momentum, and the second wave of “tentpole hires” has been noticeably more active. External visibility of the project is growing nicely, and feedback about the overall direction is extremely positive.

The creation and filling of a full-time Deputy Dean position has led to a step change in the pace, scale and quality of what can be done. In addition to the fresh insight and perspective, the Deputy Dean takes operational charge of the College, thereby creating capacity in the Dean’s office for recruitment and strategic activities.

Likewise, a change-specialist General Manager has brought much-needed discipline, strategy, structure and scale to the College.

Real forward momentum in the foundation schools rests on appointment of permanent Directors. The Interim Director of RSCS was confirmed in post and will be able to build on the significant forward momentum he achieved while interim. We building a transition plan from the interim to substantive Directors of RSEEME to give some momentum into 2020.

Reorienting the foundation schools in CECS and having them engage fully with their new strategic environment is a long-term change project in and of itself. Early steps — such as reconfiguring internal supervision structures, hiring entrepreneurial fellows and appointing Reimagine fellows from existing staff — are starting to gain traction. Nonetheless there have been significant, but not unexpected, headwinds with regard to the internal change program. This is likely to continue for the next year or so, and it is being actively managed.

During the course of 2019, it has become clear that workstreams for “students” and “people” contain many common actions and objectives. We are currently trialing an approach to merge the two workstreams together under a single workstream of “community” and will make a final decision on that prior to the next scheduled report to Council in May 2020.

**PART 5 – OTHER MATTERS FOR NOTING**
New activities in CECS, such as the innovation institutes are in startup phase and delivering. They are all clear on their strategic agenda, in a way that the foundation schools are yet to achieve. But they are small, operate in ways that ANU is unused to – as was the intent of the innovation institutes scheme - and consequently fragile.

They need continued support at the College and University level to establish themselves and gain a firm footing.

In all units except RSCS, academic hiring has been approximately gender balanced as planned. The Director of RSCS is committed to diversity and inclusion, and knows that he has a significant cultural change exercise to turn his school around. He will be rebooting his hiring process in 2020 with this in mind.

Engagement with the new strategic direction for CECS from within ANU and beyond CECS is generally positive and growing as joint hires, joint research and joint education activities commence.

The capital expansion program was flagged as a concern in the May report to Council. That situation drifted quite badly in the interregnum, but the workstream is now back on track as of this report. Problems were flagged in time, significant resources were deployed to undertake corrective action, and it is a testament to the team that workstream is back on track. This has been a very useful learning exercise and a good “stress-test” of the reporting and management system in the PMO.

There have been difficulties associated with designing space for academic expertise that we do not hold. The College has appointed a dedicated Associate Director – Infrastructure to guide the next 12 months of the capital program. A college-level Precinct Planning Committee has been established.

A progress report against the operational plan for CECS for 2019/20 is attached to this report. Detailed operational re-planning is completed on 100 day cycles, with annual reviews and refresh. Discipline around planning and execution at scale is rising, coming off a low base.

The majority of activities in the operational plan are on track or have been completed. Some activities have been pulled forward (such as fully-fledged academic recruitment, the delivery of new masters degrees and the new organisational structure for the professional services group), some have been held back as a consequence (such as a ~6 month delay in the strategic analysis of engagement opportunities) and some have been very actively managed to bring onto track (such as the capital expansion and 3 year change communications strategy).

The public-facing strategic intent for the College is attached to this report. That document represents a significant milestone in the journey for the Reimagine investment and ANU. The rest of the sector has been put on notice.

PROGRESS AGAINST TARGETS

Operationalising the student load caps and changes in admissions practices ANU- wide are impacting on current year and pipeline admissions in the Bachelor and Masters of Engineering. This is being carefully monitored and a more in-depth analysis and management plan has been requested of the relevant service divisions. ANU’s nascent capability with regard to forecasting creates a risk that estimates of EFTSL will be incorrect and distort decision-making and student load outcomes in the short term.

Tables 1 and 2 show expenses for the college against plan, broken down by workstream. Graphs 1-4 show financial data for the college in the same format as for the approved business case.
Council Agenda: Meeting No. 455 – 6 December 2019

92/2019

Table 1 – Workstream expense allocation

<table>
<thead>
<tr>
<th>Workstream expense allocations</th>
<th>Actual</th>
<th>Actual</th>
<th>Updated forecast as of Oct 19</th>
<th>Working budget as of Oct 19</th>
<th>Forecast as per Business Case</th>
<th>Forecast as per Business Case</th>
<th>Forecast as per Business Case</th>
<th>Forecast as per Business Case</th>
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</thead>
<tbody>
<tr>
<td>Total revenues</td>
<td>$91,663,207</td>
<td>$45,425,672</td>
<td>$50,785,225</td>
<td>$45,229,425</td>
<td>$41,371,824</td>
<td>$43,137,216</td>
<td>$77,206,528</td>
<td>$71,272,847</td>
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<tr>
<td>Expenses</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enablement</td>
<td>$1,772,845</td>
<td>$3,375,114</td>
<td>$4,897,400</td>
<td>$6,618,242</td>
<td>$3,707,217</td>
<td>$4,118,084</td>
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<td>People</td>
<td>$3,859,674</td>
<td>$5,408,957</td>
<td>$7,128,202</td>
<td>$9,655,800</td>
<td>$13,878,182</td>
<td>$18,237,417</td>
<td>$17,785,878</td>
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<td>Infrastructure</td>
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<td>$4,538,757</td>
<td>$6,267,104</td>
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<td>Education</td>
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<td>$13,623,403</td>
<td>$18,665,583</td>
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<td>Engagement</td>
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<td>$4,146,756</td>
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<td>Research</td>
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<td>Students</td>
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<td>$6,448,155</td>
<td>$6,910,528</td>
<td>$6,810,144</td>
<td>$10,021,072</td>
<td>$11,671,845</td>
<td>$188,707,909</td>
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<tr>
<td>Total expenses</td>
<td>$10,405,181</td>
<td>$44,950,831</td>
<td>$56,405,156</td>
<td>$73,003,566</td>
<td>$75,483,072</td>
<td>$90,668,438</td>
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<td>Net annual surplus (deficit)</td>
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<td>$6,556,850</td>
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<td>($16,780,661)</td>
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<td>($11,543,277)</td>
<td>($21,808,309)</td>
<td>($5,835,428)</td>
</tr>
</tbody>
</table>

Table 2 – Workstream expenses business case data vs 2019 forecast and 2020 budget

<table>
<thead>
<tr>
<th>Workstream expense allocations</th>
<th>Actual</th>
<th>Actual</th>
<th>Updated forecast as of Oct 19</th>
<th>Working budget as of Oct 19</th>
<th>Forecast as per Business Case</th>
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<th>Forecast as per Business Case</th>
<th>Forecast as per Business Case</th>
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<tbody>
<tr>
<td>Total revenues</td>
<td>$98,400,827</td>
<td>$46,425,572</td>
<td>$48,590,218</td>
<td>$50,782,229</td>
<td>$50,944,327</td>
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<td>Expenses</td>
<td></td>
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<td>Total expenses</td>
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<td>$56,405,156</td>
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<td>($2,463,091)</td>
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Note: Revenue includes: Teaching income; HERDC return and NIG only. Net operating result will not return to surplus until 2029 (as below table). The 2018 results were marginally better than expected.

Forecast expenditure in 2019 is slightly below estimates (with one exception), but within acceptable bounds compared to plan. A significant increase expected for 2020 as a consequence of recruitment in 2019.

RSCS in particular has been on a vigorous hiring campaign in 2019, and have hit their targets for offers made. Those staff will start arriving in 2020. Combined with more hiring in 2020, RSCS is expected to have a much smaller operating surplus in 2020 than it has had in previous years. New staff in RSCS are much-needed. Inexact implementation of load capping has meant that RSCS has hit 2033 student load targets, while only having 2019 staffing levels. This has meant that RSCS has an unacceptably high student:staff ratio of about 30:1.

The exception to expenditure is deferral of infrastructure spend from accumulated carry-forward and operational funds in 2019. That has come from delays in commissioning remedial infrastructure works in RSEEME, significant changes in student load at the school level (arising from implementation of load capping) and the decision to defer where possible major expenditure until a full precinct planning process has been completed. Expenditure decisions will be made in 2020, and accumulated carry-forward will reappear in expenditure planning thereafter.

Teaching Revenue for 2019 is forecast to be slightly over projection. This is entirely due to an overshoot in student numbers in RSCS, offset by a decline in student numbers in RSEEME. Revenue for 2020 is difficult to estimate at the time of writing, given significant uncertainties in student numbers at the whole-of-ANU level.

PART 5 – OTHER MATTERS FOR NOTING
PART 5 – OTHER MATTERS FOR NOTING
NEXT STEPS
The operational plan for the College is attached. Note that this operational plan is updated on 100 day cycles and extends into 2020. There are a number of projects that are under active management as they start up or are kept on track.

ATTACHMENTS
20.1 CECS Strategic Intent
20.2 Updated Risk Register
20.3 Operational Plan
20.4 Deep Dive on Birch Refurbishment

COMMUNICATION
☐ For public release    ☐ For internal release    ☑ Not for release
21. ADMINISTRATIVE REFORM - UPDATE

PURPOSE
To provide Council with an update on the progress of various measures to improve the University’s administration.

PREPARED BY
Director, Service Improvement Group

REVIEWED BY
Chief Operating Officer

CONSULTED
Student Administration Services
Information Technology Services
Human Resources
Marketing and Student Recruitment Division
Planning and Performance Measurement

APPROVED BY
Chief Operating Officer

SPONSOR
Chief Operating Officer

RECOMMENDATION
That Council note the progress report on administrative reform at ANU

ACTION REQUIRED
☑ For decision
☐ For discussion
☐ For information

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

The above listed Service Divisions were consulted in the preparation of this update to Council.

BACKGROUND
The last update on Administrative Reform was provided at the July 2019 Council meeting. This update details the current progress of project activity.

ATTACHMENT
21.1 Administrative Reform – Council paper – December 2019

COMMUNICATION
☑ For public release
☐ For internal release
☐ Not for release
☒ Not for release
22. STUDENT ENROLMENTS – END OF YEAR RESULTS

PURPOSE
To provide a summary report on load and student enrolments based on 2019 full year-to-date data.

PREPARED BY
Planning and Performance Measurement

REVIEWED BY
Director of Planning and Performance Measurement

APPROVED BY
Provost

SPONSOR
Provost

RECOMMENDATION
That Council note the report

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☑

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

BACKGROUND
This report presents ANU teaching load and student enrolments using data reported to the Department of Education, and preliminary data held in the Student System as at 4 November 2019. Charts in the Appendices compare:
- **2019 (as at 4 Nov)**: YTD as at 4 November 2019. Expected to be close to 2019 Closing Position.
- **2019 Budget Load**: Council approved student load.
- **2019 % of Budget**: actual load percentage of Estimate/Target.
- **2019 % Domestic**: percentage of career or college-career that is domestic.
- **2019 Career % of total**: Proportion of ANU held by career

OVERVIEW
In 2018, Council approved a 5-year student load plan, including budget load estimate, to reduce load to 19,200 by 2022. However, Colleges were encouraged to grow Higher Degree Research (HDR) and Domestic Postgraduate Coursework (PGC) load. The 5-year 2019 student load plan (SMG approved 16 May 2019) continues towards meeting the strategic 2022 target of 19,200.

The introduction of capping in 2018 has constrained overall international load and the commencing domestic undergraduate (UG) cohort within the 2019 budget. The University is still experiencing a persistent continuing pipeline of domestic UG students, as over 50% of domestic students are enrolled in flexible double degrees, which take four to six years to complete at a minimum. Overall domestic UG and load is 2.4% over budget, and Domestic PGC is 14.1% under budget.

ANU Total Teaching Load (Chart 1)
- Total load is 19,823 EFTSL, which is 1% under both the 2018 Closing Position, and the 2019 budget load. This results from decreases in PGC (5.8% under budget) offsetting good performance in HDR (6.5% over budget), and UG being over-budget by 1.5%.
- Domestic load represents 57.7% of total institutional load, distributed as 59.4% of HDR, 32.9% of PGC and 71.6% of UG Career.
- Over half the total load is UG load, at 57.2%, followed by 32.7% PGC and 10.1% HDR.
ANU Domestic Total Teaching Load (Chart 2)
- Total domestic load is 11,436 EFTSL, 1% under budget. Decreases in PGC (14.1% under budget) offset good performance in HDR (5.7% over budget), and UG being over-budget by 2.4%.
- Domestic HDR load is 1,193.8 EFTSL, 5.7% over budget and represents 6.0% of total load.
- Domestic PGC load is 2,132.8 EFTSL, 14.1% under budget and represents 10.8% of total load.
- Domestic UG is 8,109.3 EFTSL, 2.4% over budget, representing 40.9% of total load.

ANU International Total Teaching Load (Chart 3)
- Total international load is 8,387.0 EFTSL, 1% under budget.
- International HDR load is 817.0 EFTSL, 7.7% and represents 4.1% of total load.
- International PGC load is 4,346.0 EFTSL, 1.1% representing 21.9% of total load.
- International UG load is 3,224.0 EFTSL, 1%, representing 16.3% of total load.

ANU Commencing Total Teaching Load (Chart 4)
- Total commencing load is 3,464.2 EFTSL, 11.0% under budget. All careers are affected.
- Commencing HDR load increased by 11.8 EFTSL from 2018.
- Commencing domestic load is lower proportion (51.9%) than total domestic load (57.7%). Domestic PGC shows higher commencing proportion (35.9%) than total PGC load (32.9%) due to international capping.
- 42.7% of commencing load is UG, whilst 52.6% of total load is UG, followed by 4.7% HDR.

ANU Domestic Commencing Teaching Load (Chart 5)
- Domestic commencing load is 1,798.7 EFTSL, 12.2% under budget across all careers.

ANU International Commencing Teaching Load (Chart 6)
- International commencing load is 1,798.7 EFTSL, 12.2% under budget across all careers.

COLLEGES

Total Higher Degree Research Teaching Load (Chart 7)
- Most Colleges exceeded budget for domestic HDR, excluding Health & Medicine, who did however exceed commencing budget by 20%.
- Colleges exceeding budget load for international HDR are; Arts & Social Sciences by 17%, Engineering & Computer Science by 8%, Science by 19%, and Health & Medicine by 24%.

Total Postgraduate Coursework Teaching Load (Chart 8)
- The College of Health & Medicine is the only college to achieve budget load for domestic PGC.
- Colleges under budget for international PGC are Asia & Pacific at 15% under, Business & Economics at 1% under, and Science at 25% under.

Total Undergraduate Teaching Load (Chart 9)
- Overall load for UG is under budget (1%). Variation between colleges reflects student’s course selection preferences within flexible double degrees in domestic UG.
- The Colleges of Asia & Pacific, Law and Health & Medicine are favoured overall, however Business & Economics, Engineering & Computer Science and the Sciences are favoured in commencing.

ANU Total Enrolments by State and Country
- More than half, 55.9% of domestic students are from the ACT and local NSW area, followed by NSW with 23.1% and Victoria with 9.1%. (Chart 11).
- NE Asia represents 76.2% of our international student body followed by SE and South & Central Asia (10.5% and 8% respectively). (Chart 12).

PART 5 – OTHER MATTERS FOR NOTING
ATTACHMENT

22.1 2019 Full YTD Enrolment and Load Dashboard

COMMUNICATION

☐ For public release  ☐ For internal release  ☑ Not for release
23. **ANU ADVANCEMENT – CAMPAIGN PLANNING – PROGRESS REPORT**

**PURPOSE**
For Council members to note the update and presentation on Campaign planning provided by the Vice-President (Advancement) and Director, Campaigns

**PREPARED BY**
Vice-President (Advancement)  
Director, Campaigns

**REVIEWED BY**
Vice-President (Advancement)

**APPROVED BY**
Vice-President (Advancement)

**SPONSOR**
Vice-Chancellor

**RECOMMENDATION**
That Council **note** the update.

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

**BACKGROUND**
At the ANU Council retreat in February 2019, the Vice-President (Advancement) outlined the key factors for Campaign success and the internal and external preparation activities required.

ANU Advancement has made significant progress on the following elements:
- Resources.
- Volunteer management framework.
- Testing Campaign readiness.
- Factors to be considered before entering the quiet phase.

**Resources**
Due to increased investment made by the University for 2019 and 2020, ANU Advancement plans to ramp up to 100 FTE by the end of 2020. Currently employed staff is at 70 FTE. This is against our goal for 2019, which was to grow from 55 to 75. There will be several more hires by end of 2019 (eight are currently in active recruitment, ranging from advertisement to final selection and commencement). Further, we are hiring a talent management and coaching staff member, which is critical in our ability to train new staff and assist them to work at their full potential more quickly.

**Volunteer management framework**
We have developed comprehensive programs for the already established engagement networks such as the UK Alumni network and the Young Alumni network. We have also recently established and launched the NYC alumni network. Potential members of the Campaign Steering Committee are being sourced and will be approached as part of the feasibility study planned for 2020. Participation and engagement with the feasibility study will ascertain their capacity to provide lead gifts for the Campaign and referrals from their networks.

**Testing Campaign readiness**
We have been testing the University’s Campaign readiness through the Support Australia’s Students Campaign. For 2020, this Campaign will be layered with an additional focus on the anticipated Kambri Scholars program.

The financial target of the Support Australia’s Students Campaign is to raise $15m in philanthropic funding for student support, over three years from its launch in March 2019. Funds raised for the campaign are included in the annual funds raised targets for Advancement as a whole ($25m for 2019).
As at 30 September 2019, and counting from 1 March 2018, funds raised to the campaign total **$8.89m** (59% of total). This includes a $3m gift from UniLodge for scholarships in support of the ASA admissions scheme.

On 6 May 2019 a new initiative was launched, a Pre-Tax Appeal with a focus on student support. This appeal was the first major public ask of the campaign. The pre-tax appeal component of Annual Giving Program ran until 31 July, 2019. Over 200 donors made gifts with a total of $40,550 funds raised.

On 18 September, the ANU community came together for the fifth annual Giving Day. Following the success of Giving Day last year, and in line with the Support Australia’s Students Campaign, the key message this year was: *Give more than a degree – Support Australia’s Students*. Funds raised from 608 donors were $63,469.61, with the University providing an additional $40K in matching funds for the 400 donors who gave on the actual day.

The main objective of these appeals is to raise awareness of philanthropic need at the University and to increase the pool of donors who will eventually support a major comprehensive campaign.

**What are the factors we need to consider before officially entering the quiet phase?**

There is significant reputational risk in ensuring that the Campaign goal is both achievable and worthy of an institution such as ANU. Before deciding and announcing an engagement and fundraising goal that ANU will be proud of, there are several components and variables that will be tested over the coming year. Being ready to enter the quiet phase and begin counting for Campaign will depend on the outcome and timing of each of these factors.

All of these factors are reliant on the key elements of people, activity and time. As we become more confident in 2020 with our variables, we will be able to determine whether we are able to shift to year one of the quiet phase. These variables will continue to be assessed throughout the quiet phase to then determine when we are ready to publicly launch.

These components and variables are:

1. KPI's for fundraisers, driving more sustainable and regular fundraising activity.
2. College Advancement teams developed, including education and activity of deans.
3. Development of college thematic priories and associated targets.
4. Consolidation of overarching University themes and priorities, aligned with the ANU strategic plan.
5. Development of vision and messaging and articulating how our community members will see themselves as a part of the Campaign, both personally and for the benefit of society as a whole.
6. Active engagement program, generating increase of engaged alumni.
7. Campaign counting guidelines, including research gifts to determine the University's full philanthropic potential.
8. Time to reach consistent 'bread and butter' and reliable principal gifts pipeline.
10. Campaign Steering Committee capacity for lead gifts.
11. Continued investment by the University upon demonstration of increased return on investment year on year.

These factors will be discussed in detail throughout the presentation provided at the Board meeting.
C24 - 25.  Confidential to Council Members
### 26 FINANCE COMMITTEE - EXECUTIVE SUMMARY

**PURPOSE**
To note a summary of major items considered by the Finance Committee at its meeting of 15 November 2019.

**PREPARED BY**
Senior Auditor, Corporate Governance & Risk Office (CGRO)

**REVIEWED BY**
Council Secretary, and Director CGRO

**APPROVED BY**
Chair, Finance Committee

**SPONSOR**
Chair, Finance Committee

**RECOMMENDATION**
That Council note the summary of major items considered by the Finance Committee at its meeting of 15 November 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

#### 2.1 UPDATE ON DECISIONS AND DELIBERATIONS OF COUNCIL

The update summarised major items considered by Council at its meeting of 3 October 2019.

**Resolved:**
The Committee noted the summary of items.

#### 2.2 VICE-CHANCELLOR’S REPORT

The Vice-Chancellor spoke to the written report and highlighted the following topics:

- University leadership
- Research funding
- Political Landscape
- Student Admissions: domestic and international
- Cyber incursion and foreign interference guidelines.

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

#### 2.3 UNIVERSITY 2019 FINANCIAL PROJECTIONS AND KPIs UPDATE

**Resolved:**
The Committee:

1. Noted the University’s 2019 financial projections and KPIs update;
2. Requested that the University provide an update about its review and outcomes of ‘counterparty’ relationships at the May 2020 meeting; and

**PART 5 – OTHER MATTERS FOR NOTING**
3. Requested changes to the layout and structure of the tables, including by removing columns and adding details of any extraordinary items.

**2.4 UNIVERSITY 2020 BUDGET**

Mr Black presented the paper and explained that:

- The budget approach was consistent with previous years, but that this would change after the Budget and Reporting Framework Program is implemented.
- The University had used a conservative forecast of student enrolments in preparing the budget to manage the anticipated decline in international students.
- A “mini-budget” would be presented to committee in May 2020 following a thorough internal mid-year review process.

Resolved:
The Committee endorsed the University 2020 Budget for Council approval.

**2.5 UNIVERSITY SUBSIDIARY ENTITIES STRATEGIC POSITION AND BUDGETS 2020**

The Deputy Vice-Chancellor (Research and Innovation), Professor Keith Nugent, and Pro Vice-Chancellor (Innovation), Professor Mick Cardew-Hall, presented ANUE’s proposed budget.

Resolved:
The Committee:

1. Endorsed ANUE’s 2020 Budget for Council approval;
2. Requested that the Letter of Comfort provided to ANUE be submitted to the next meeting of the Committee;
3. Requested that the University present the governance arrangements and associated risks for all its subsidiary entities at its next meeting; and
4. Requested that ANUE present a full set of financial statements (Income statement, balance sheet, statement of cash flows) in future meetings.

**2.6 STRATEGIC FINANCIAL MODELLING UPDATE**

Resolved:
The Committee determined that this agenda item should be removed from the agenda on account of similar work already being conducted as part of the new Budget and Reporting Framework Program.

**2.7 ESG “SECOND GENERATION”**

Resolved:
The Committee determined that the Investment Office:

1. Should monitor BHP’s coal activities during the transition period;
2. Not undertake further investigation into possible carbon credit offsets; and
3. Receive statements of assurance from asset managers that fund managers are complying with their internal social and governance obligations.
2.8 STRATEGIC ASSET ALLOCATION – HEALTH CHECK AND DEEMING RATE

Resolved:
The Committee noted the paper and proposed next steps.

2.9 COMMONWEALTH SUPERANNUATION SCHEME UPDATE

Resolved:
The Committee:
   1. Noted the paper, and determined that no further work be progressed to investigate the transfer of the CSS to another entity; and
   2. Determined that this item be removed from the agenda for future meetings.

2.10 BUDGET AND REPORTING FRAMEWORK – PROGRESS REPORT

In the discussion, the Committee noted that:
   ➢ A prototype has been prepared, and will now be trialled across the university in a process completing in late February 2020.
   ➢ The messaging and effective execution of such a change to the budgeting process will be essential to the project’s success.

Resolved:
The Committee noted the Progress Report.

2.11 AMP’S PBSA CONCESSION EXTENSION PROPOSAL

Mr Kayser presented the paper concerning AMP’s proposal to extend the PBSA concession.

Resolved:
The Committee noted the update.

2.12 CECS REIMAGINE PROGRESS UPDATE: 2/2019

The Dean CECS, Professor Elanor Huntington presented the update.

The Committee noted that, overall, the Project was progressing as planned and that the progress report was also made available to ARMC and Council, as per the terms of the approval provided by Council in December 2018.

Resolved:
The Committee noted the update.

PART 3: OTHER ITEMS FOR DECISION

3.1 DEBT RESTRUCTURE UPDATE

Resolved:
The Committee noted the paper and endorsed the next steps.

3.2 EQUITY REDUCTION UPDATE

Resolved:
The Committee noted the report and endorsed the proposed modelling strategy.
*3.3 FINANCE COMMITTEE’S REPORT ON PERFORMANCE: SELF-ASSESSMENT

Resolved:
The Committee noted the self-assessment.

*3.4 FINANCE COMMITTEE CHARTER UPDATE

Resolved:
The Committee accepted the proposed (mostly operational) changes, as amended at the meeting to include a change to clause 14, and endorsed the updated Charter being submitted to Council for approval.

PART 4: OTHER ITEMS FOR NOTING

*4.1 ANU INVESTMENT OFFICE SUMMARY REPORT

Resolved:
The Committee noted the report from the ANU Investment Office.

*4.2 2019 ANNUAL FINANCIAL STATEMENTS - KEY ACCOUNTING POLICIES

Resolved:
The Committee noted the changed Australian Accounting Standards and requirements relating to the University’s 2019 Annual Financial Statements.

4.3 2019 FINANCIAL STATEMENTS UPDATE: SHELL STATEMENTS

Resolved:
The Committee noted the shell financial statements.

4.4 INSURANCE RENEWAL OUTCOMES

Insurance costs related to establishing a call centre to respond to persons impacted by the data breach. The amount set aside by the insurer was to pay any claims made against the University.

Resolved:
The Committee noted the update.

4.5 CAPITAL BUILDING WORKS FINANCIAL SUMMARY REPORT

Resolved:
The Committee noted the report.

4.6 RECURRENT, SPECIAL PURPOSE FUNDS AND INTERNAL LOANS

Resolved:
The Committee noted the report.

4.7 2019 DASHBOARD OF COMMITTEE RESPONSIBILITIES AGAINST CHARTER

Resolved:
The Committee noted the dashboard.

PART 5: OTHER BUSINESS

5.1 2019 AND 2020 MEETING DATES AND ROLLING AGENDA

Resolved:
The Committee noted the 2020 meeting dates and rolling agenda.

COMMUNICATION
For public release ☐   For internal release ☐   Not for release ☑
27  AUDIT & RISK MANAGEMENT COMMITTEE - EXECUTIVE SUMMARY

PURPOSE  To note a summary of major items considered by the Audit & Risk Management Committee at its meeting of 20 November 2019.

PREPARED BY  Auditor, Corporate Governance and Risk Office

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

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

SPONSOR  Chair, Audit & Risk Management Committee

RECOMMENDATION  That Council note the summary of major items considered by the Committee at its meeting of 20 November 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

ITEM 2.1 UPDATE ON DECISIONS AND DELIBERATIONS OF COUNCIL

The report summarised major items considered by Council at its meeting on 18 September 2019.

Resolved:
The Committee noted the report, including that the Hon Julie Bishop will commence as the University’s new Chancellor on 1 January 2020.

ITEM 2.2. VICE-CHANCELLOR’S REPORT

In speaking to the report, the following topics were discussed:

- University leadership
- Research funding
- Political landscape
- Student admissions
- Cyber incursion and foreign interference guidelines

Resolved:
The Committee noted the report.

ITEM 2.3 CYBER SECURITY – UPDATE (VERBAL)

The Chief Information Security Officer (CISO), Mr Suthagar Seevaratnam, joined the meeting and provided verbal update on the cyber security program of work at the University.

PART 5 – OTHER MATTERS FOR NOTING
ITEM 2.4 CECS RE-IMAGINE – ANNUAL REPORT (2/2019)

The Committee noted that, overall, the Project was progressing as planned and that the progress report was also made available to Finance Committee and Council, as per the terms of the approval provided by Council in December 2018.

Resolved:
The Committee noted the report.

PART 3: OTHER ITEMS FOR ENDORSEMENT

ITEM 3.1 INTERNAL AUDIT WORK PLAN FOR 2020

EY presented the Internal Audit Work Plan for 2020 (the Work Plan) for endorsement and briefed the Committee about the method used to develop the audit topics.

In supporting and endorsing the Work Plan, the Committee requested that:

- The title and description of the audit topic Management of High-Value Contracts in the Work Plan be amended to the Management of Counterparty Risks.
- Audit topics on the reserve list (B-list) be re-arranged in order of priority.
- The paper to Council include the reasons for the exclusion of ICT and cyber related audit topics from the Work Plan.

Resolved:
The Committee:

1. Endorsed the Internal Audit Work Plan, as amended, for Council approval.
2. Requested that an update on Digital Strategy be provided by the new CIO and the CISO at the May 2020 meeting.

ITEM 3.2 ACTION PLAN FOR PURCHASE CARD AUDIT – UPDATE

The Chief Financial Officer, Mr Adam Black, presented an update on the Action Plan concerning the purchase card audit.

During the discussion, the Committee noted that the following matters must continue to be addressed as part of the Action Plan:

- Significant cultural change in some parts of the University.
- Policies and procedures in relation to purchase cards need to provide clearer guidance to users.

Mr Black also assured the Committee that he has dedicated all possible resources to this task.

In endorsing the recommendation to notify the Minister (this calendar year) of non-compliance in the use of purchase cards, the Committee advised the University to include in the notification the timeframe in which action has been taken to address the issues raised since the audit was presented to the Committee in May 2019.

Resolved:
The Committee:

1. Noted the update.
2. Recommended that Council, as the accountable authority, notify the responsible Minister this calendar year of systemic control failures in the use of University issued purchase cards.
3. Requested that updates in relation to the implementation of the Action Plan remain a standing item for ARMC consideration at each meeting until further notice.
ITEM 3.3 INTERNAL AUDIT ON CONTROLS FOR GRADES

During the discussion, the Committee noted that the University will mandate the use of Gradebook across the University and subsequently look into integrating it with the Student Administration System.

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

ITEM 3.4 INTERNAL AUDIT REPORT ON PAID OUTSIDE WORK – MANAGEMENT RESPONSES

The Associate Director, Research Services Division, Dr Robert Rigby, joined the meeting and updated the Committee on management responses provided to the Internal Audit report on Paid Outside Work (the Report was initially considered by the Committee at the July 2019 meeting).

Resolved:
The Committee accepted the management responses.

ITEM 3.5 ARMC SELF-ASSESSMENT SURVEY FOR 2019

Resolved:
The Committee endorsed the 2019 self-assessment survey for Council consideration, and noted that it would welcome greater engagement with stakeholders and subject matter experts.

A members-only meeting may also be arranged to discuss the role and operations of the Committee.

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

ITEM 3.6 ANNUAL REPORT ASSURANCE PLAN

During the discussion, the Committee noted that much work had been completed between the September and November meetings to ensure that the Annual Performance Statement and the Annual Report are coordinated and comply with the PGPA Act 2013.

Resolved:
The Committee endorsed the Assurance Plan.

PART 4: OTHER ITEMS FOR NOTING

ITEM 4.1 UNIVERSITY 2019 FINANCIAL PROJECTIONS AND KPI UPDATE

Resolved:
The Committee noted the University's 2019 financial projection and year to date result.

ITEM 4.2 UNIVERSITY BUDGET FOR 2020

Resolved:
The Committee noted the University's 2020 budget, and also noted that the Finance Committee had endorsed it on 15 November for Council approval on 6 December 2019.

ITEM 4.3 UNIVERSITY SUBSIDIARY ENTITY BUDGET FOR 2020

Resolved:
The Committee noted the subsidiary entity strategic position and business model and the budgets for 2020.

ITEM 4.4 BUDGET AND REPORTING FRAMEWORK – UPDATE

Resolved:
The Committee noted the update.

ITEM 4.5 FINANCIAL STATEMENT UPDATE

Resolved:
The Committee noted the update.

PART 5 – OTHER MATTERS FOR NOTING
ITEM 4.6 2019 ANNUAL FINANCIAL STATEMENTS – KEY ACCOUNTING POLICIES

Resolved:
The Committee noted the update.

ITEM 4.7 ASSET MANAGEMENT REVIEW: KPMG REPORT

Resolved:
The Committee noted the update and that work on implementing recommendations would be deferred until additional resourcing could be applied.

ITEM 4.8 ANAO AUDIT ACTIVITY REPORT

The Committee noted a potential Category B audit finding in relation to Finance and Business Services staff passwords not being reset after the cyber breach incident, which could have affected the financial records. In response, the University advised RSM that as far as it was aware, none of the financial records being audited were compromised.

Resolved:
The Committee noted the update.

ITEM 4.9 FRAUD CONTROL IMPLEMENTATION AND UPDATE ON RISK MANAGEMENT

The Director, Corporate Governance and Risk Office, Mr Chris Reid, provided an update as outlined in the papers provided to the Committee, and explained that:

- The University has responded to the Internal Audit report concerning Fraud Control Policy Implementation, as discussed by the Committee at the March 2019 meeting.
- The response includes additional, ongoing funding from 2020 to create a Fraud/Compliance Manager position to address some of the recommendations made in the Internal Audit report, and to also address a skills and resourcing gap at the University. The job description is to be developed in consultation with Human Resources, the CISO, CFO and COO to complement systems-based fraud detection activity taking place in these portfolios.
- A mandatory online fraud awareness training module has been completed and will be released in 2019.
- A separate update was also provided in the papers concerning the status of Risk Management at the University and the current review of the Enterprise Risk Management Framework (ERMF).

Resolved:
The Committee noted the update.

ITEM 4.10 WORK HEALTH AND SAFETY REPORT

The Committee noted the:

- Success of the Self-Insurance initiative.
- WHS Management System Audit.
- Rehabilitation Management System Audit.

Resolved:
The Committee noted the update.

ITEM 4.11 STUDENT SAFETY REPORT

Resolved:
The Committee noted the update.
ITEM 4.12 ARMC CHARTER AND PGPA RESPONSIBILITIES FOR 2019

Resolved:
The Committee noted the update.

ITEM 4.13 INTERNAL AUDIT WORK PLAN PROGRESS REPORT

Resolved:
The Committee noted the update.

ITEM 4.14 LEGISLATION UPDATE

Resolved:
The Committee noted the update.

PART 5: OTHER BUSINESS

ITEM 5.1 2020 MEETING DATES AND ROLLING AGENDA

Resolved:
The Committee:

1. Noted the 2020 meeting dates and rolling agenda.

2. Resolved that the Committee will formally meet on 5 February 2020, in addition to an informal meeting in late February 2020 to discuss the draft financial statements.

COMMUNICATION

For public release ☐ For internal release ☐ Not for release ☑
28 CAMPUS PLANNING COMMITTEE – EXECUTIVE SUMMARY

PURPOSE
To note the summary of major items considered by the Campus Planning Committee at its meeting of 18 November 2019.

PREPARED BY
Associate Director, Corporate Governance and Policy

REVIEWED BY
Council Secretary and Director, CGRO

APPROVED BY
Council Secretary and Director, CGRO

SPONSOR
Chancellor

RECOMMENDATION
That Council note the summary of major items considered by the Campus Planning Committee at its meeting of 18 November 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

*C4. CAMPUS PLANNING COMMITTEE (CPC) CHAIR

The Committee noted that the current CPC Chair, Professor the Hon Gareth Evans AC QC, will complete his term as Chancellor on 31 December 2019, and therefore, Council will need to appoint a new Chair from 1 January 2020.

The CPC Charter states that the Committee Chair is to be ‘appointed by the Council from among its members, who may not be a student or employee of the University’.

The current (non-student or staff) Council members on CPC are:

➢ Ms Naomi Flutter
➢ Ms Anne-Marie Schwirtlich AM

Resolved:
The Committee unanimously agreed to recommend to Council that Ms Anne-Marie Schwirtlich AM be appointed as the next Chair of CPC, commencing 1 January 2020 until the end of her own Council term, on 30 June 2021.

PART 2 – KEY BUSINESS ITEMS

*C6. ANU COLLEGE OF BUSINESS AND ECONOMICS, RESEARCH SCHOOL OF MANAGEMENT, RESEARCH SCHOOL OF ACCOUNTING

Mr Barnaby Hartford-Davis, Mr James Wilson, Ms Sarah O’Callaghan, Professor Steven Roberts, Ms Yana Potrebica and Ms Lucy Morris joined the meeting.

PART 5 – OTHER MATTERS FOR NOTING
Mr Hartford-Davis presented the final detailed design for the schematic design for the ANU College of Business and Economics, Research School of Management, Research School of Accounting. The previous schematic design was presented to the Committee at the 16 July 2019 meeting.

Since then, the design has incorporated:

- A reduction of the horizontal façade banding
- A reduced height on the north wing by one storey
- Enhanced integration with Sullivan’s Creek
- Refinements in the relationship with the Drill Hall Gallery.

Resolved:
The Committee:

1. Approved the final schematic design for the ANU College of Business and Economics, Research School of Management, Research School of Accounting and agreed to progress the design process to a Works Approval.

2. Requested that a sample of the Ochre/bronze/gold aluminium façade be provided at the next meeting of the Committee.

*C7. BURGMANN COLLEGE - UPDATE

Ms Middleton provided the Committee with an update about the dispute with Burgmann College. This is now largely resolved and a proposed usage for the site, agreement to additional noise prevention landscaping and positioning of the bus stop have been agreed.

The Committee agreed to cease referring to SA8 as ‘beyond Burgmann’ and instead refer to it as the ‘SA8 Sullivan’s Hub’ (SA8) instead.

The SA8 Sullivan’s Hub accommodation development is now due for completion Semester 1, 2022.

Resolved:
The Committee noted the update and the associated delay to SA8.

*C8. ANU CITY WEST INTEGRATION PRECINCT - THE ANU EXCHANGE PRECINCT- UPDATE

Ms Middleton provided an update about the existing arrangements and current process for land acquisition taking place within the ANU Exchange Precinct, including the updated proposed usage of the precinct, block by block.

Resolved:
The Committee noted the update.

*C9. ACTON CAMPUS MASTER PLAN

As part of the update, Ms Middleton advised that heritage and Indigenous engagement is being negotiated in relation to each of the existing projects. In early 2020, work will commence on the development of roads and promenades.

Resolved:
The Committee noted the update.

PART 3 – OTHER MATTERS FOR DECISION OR NOTING

*C10. CAPITAL WORKS PROJECTS – PROJECTS UNDERWAY – STATUS UPDATE

Ms Middleton spoke to each of the following projects, as outlined in the papers provided to the Committee:

PART 5 – OTHER MATTERS FOR NOTING
ANU College of Arts & Social Sciences: Research School of Social Sciences – on schedule.

Chifley Library upgrade – nearly complete. Work is progressing to restrict vehicle access to the nearby vendor laneway, and to provide more seating and shade options.

Acton Ridge Axis – almost complete, with some remaining lighting and CCTV issues to be finalised.

ANU College of Law Buildings Refurbishment – on schedule.

ANU College of Business and Economics Extension – on schedule.

CECS Reimagine - behind schedule. The timeline is particularly short and challenging. The focus is on prioritising the work required.

ANU College of Arts and Social Sciences: Research School of Humanities & the Arts New Building – on schedule.

H.C. Coombs Building Refurbishment – timeline and budget have moved well beyond what was anticipated, with many lessons learnt that will inform work on other heritage buildings.

Research School of Physics Stages 1a and 1b – on schedule.

Proposed new multi-storey car parking station status update – while on schedule, the Committee that an updated design of the proposed new multi-storey car park be provided at the next meeting.

University House – planning is underway to refurbish rooms and to address defects. Meetings are taking place to refine scope and consider the project budget.

Kioloa Coastal Campus – New Mess Hall – on schedule.

SA8 accommodation – now due for completion Semester 1, 2022

South Oval Pavilion – on schedule. Negotiations with ANU Sport progressing well.

Resolved:
The Committee:

- Noted the update concerning all major projects.
- Requested for the next meeting an updated design of the proposed new multi-storey car park.

*C11. UPDATE ON DECISIONS AND DELIBERATIONS OF COUNCIL

Resolved:
The Committee noted the summary of relevant items considered by Council at its meeting of 3 October 2019.

PART 4 – OTHER BUSINESS

*C12. OTHER BUSINESS

Ms Susan Lieshing

- The Committee noted that it has previously discussed naming a laneway or similar after Ms Susan Lieshing. This was not progressed as not enough information was known about her. Since then, the University has confirmed, via Dr Stephen Holt - a historian, that Ms Liesching began work as a Research Assistant in the Department of Political Science at the ANU in 1951, and then became the first female student to graduate from the ANU, with a Master of
Arts in 1954. She then worked in the Australian Embassy in Paris in 1954 and 1955 as an archivist.

- The Committee was satisfied that Ms Leishing should again be considered in future naming opportunities.

**Bicycles on campus**

- The Committee noted the need to increase bike parking locations on campus, and to account for this as part of standard planning.

**Food prices**

- The Committee noted student concerns about food prices. The Chief Operating Officer is aware of the concerns and considering the matter.

**ANU Union**

- The ANU Union is closing and will transfer its resources to PARSA. Talks about this process are in progress.

**Thank you to the Chancellor and Chair CPC**

On behalf of the Committee, Ms Anne-Marie Schwirtlich AM acknowledged and thanked the Chancellor, as Chair of the Committee, and congratulated him on presiding over each of the Committee’s 22 meetings since 9 October 2015.

**COMMUNICATION**

For public release ☐  For internal release ☐  Not for release ☑
29. ACADEMIC BOARD – EXECUTIVE SUMMARY

PURPOSE
To note a summary of the major items considered at its meeting of 22 October 2019.

PREPARED BY
Secretary, Academic Board

REVIEWED BY
Council Secretary

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 of 22 October 2019.

ACTION REQUIRED
For discussion ☑ For decision ☐ For information ☐

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

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

MEETING SUMMARY

Academic Board met on 22 October 2019 and considered the following key items.

Item 5 Deputy Chair - Consideration

Resolution
Academic Board appointed Ms Roxanne Missingham as the Deputy Chair, Academic Board until 1 May 2020, under clause s11 (4) of the Academic Board Rule 2017.

Item 8 Report from the Vice-Chancellor

The Vice-Chancellor spoke to his written Report, highlighting the following:

- The importance for - and the commitment to - filling key position vacancies.
- Gender equity and diversity being a key priority for ANU, with the aim of achieving Silver Athena Swan accreditation.
- The Draft Foreign Interference Guidelines are now available for consultation, led by DVC(RI) and CISO, with the Board encouraged to discuss and contribute to the consultation.
- Student Experience being a leadership priority for 2020 - Board noted the focus on making residential halls and the overall campus experience a highlight of the ANU experience, enhanced by improved two-way communication with students, and supported by the highest standards of pastoral care.
- The Advancement Office raising over $8m and creating more than 170 new scholarships.
Item 16  Hot Topic: Freedom of Expression

Board had an engaging discussion on fostering a culture at the University that protects as well as celebrates freedom of expression.

Board agreed on the Terms of Reference for the Academic Board Working Group on Freedom of Expression and noted that, as a next step, university policies will be reviewed to align with the Academic Board statements on Freedom of Expression and Academic Freedom.

Resolution
Academic Board discussed the development of an ANU statement on Freedom of Expression and approved the Terms of Reference for the Working Group on Freedom of Expression.

Item 17  Poll Questions

Board discussed the following three poll matters:

- What is the projected impact of the performance based funding model on the ANU?

- ANU was recently successful in its application for Bronze as part of the Science in Australian Gender Equity (SAGE) initiative. In light of the award it would be good to hear a reflection on what we learnt as an organisation from the SAGE process and what initiatives are planned in this space moving forward.

- ASA Update - are we seeing a diversification of the 2020 intake of students as anticipated? What has been the impact on our traditional cohort of Canberra-based students?

Item 18  Academic Calendar Review

The Acting DVC (Academic) spoke to the item as the Chair of Teaching and Learning Development Committee (TLDC) and advised that the Committee considered feedback from Colleges, Schools, Divisions and Students. The majority of the University community does not have an appetite to return to the 13 week cycle and have now adjusted to 12 weeks.

Resolution
Academic Board noted the feedback from Teaching and Learning Development Committee (TLDC) and agreed the semester cycle be reviewed again after 5 years.

Item 24  New CECS Cyber Awards Proposals - Microcredential Proposal

Board considered a proposal for the first ANU awards to reference microcredentials as part of their program orders aimed at employed, domestic individuals who are studying in an intensive mode.

Microcredentials are not comprehensively regulated, but an internal quality control mechanism exists at the University which allows opportunity for such innovation.

The Board expressed reservations in approving the awards as an ‘exit-only’ and queried use of the term ‘student’ in the Master of Cyber proposal. Board agreed to grant in-principle approval of the proposal, subject to out of session clarification being provided by the A/PVCE on admission requirements and the graduation process as concerns microcredentials.

Resolution
Academic Board approved in-principle the following awards (subject to out of session clarification on the admissions and graduation process):
1. Master of Cyber (exit only)
2. Graduate Diploma of Cyber (exit only)
Other matters approved/endorsed/noted by the Board

- Reports from senior Executives and Sub-committees
- Establishment of Research Institutes
- Academic incidents
- Accreditation of Graduate and Undergraduate Awards
- Policy documents for VC approval

COMMUNICATION
For public release ☐  For internal release ☐  Not for release ☑
COUNCIL GOVERNANCE CONFORMANCE STATEMENT 2019

PURPOSE
To consider the University’s conformance with the governance requirements established in legislation and the Voluntary Code of Best Practice for the Governance of Australian Universities.

PREPARED BY
Associate Director, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council, for the 2019 calendar year, confirm the University’s conformance with the:

- Australian National University Act 1991,
- Public Governance, Performance and Accountability Act 2013,
- Higher Education Standards Framework (Threshold Standards) 2015: Part 6 Governance and Accountability, and
- Voluntary Code of Best Practice for the Governance of Australian Universities.

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

BACKGROUND
The corporate and academic governance arrangements and processes for the University are governed by the three listed statutory instruments, plus the Voluntary Code of Best Practice for the Governance of Australian Universities (as revised in May 2018 and noted by Council in July 2018).

The Voluntary Code requires that:

 Principle 6: On an annual basis, the governing body should also review its conformance with this Code of Best Practice and identify needed skills and expertise for the future.

 Principle 14: A university should disclose in its annual report its compliance with this Code of Best Practice and provide reasons for any areas of non-compliance.

Consistent with this, the 2019 assessment (a detailed, 44 page document) has considered all sources of authority for governance in order to provide Council with a comprehensive account of conformance with mandated governance arrangements.

ATTACHMENT (Available on the Secure Server)
30.1 Annual Governance Conformance Statement

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

A statement confirming Council’s view that the University conforms to the mandated and voluntary governance requirements will be included in the 2019 Annual Report.

PART 5 – OTHER MATTERS FOR NOTING
31. COUNCIL COMMITTEES – FINANCE COMMITTEE – SELF ASSESSMENT
2019

PURPOSE
To present the results of the 2019 Finance Committee self-assessment.

PREPARED BY
Senior Auditor, Audit & Risk, Corporate Governance & Risk

REVIEWED BY
Director, Corporate Governance & Risk

APPROVED BY
Director, Corporate Governance & Risk

SPONSOR
Chair, Finance Committee

RECOMMENDATION
That Council note the results of the self-assessment for 2019.

ACTION REQUIRED
For discussion ☒ For decision ☒ For information ☐

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

This self-assessment was endorsed by Finance Committee for transmission to Council on Friday 15 November 2019.

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

SUMMARY
Clause 36 of the ANU Finance Committee Charter requires that the Committee conducts a review of its performance each year.

A self-assessment survey was circulated to all members of the Committee in October to provide the opportunity for evaluation of the Committee’s performance.

Overall, of the six responses received, respondents strongly agreed that the Finance Committee is an effective Committee of Council.

Detailed comments from the self-assessment survey are also included in the attachment.

ATTACHMENT
31.1 Self-Assessment Survey Results 2019 – Finance Committee

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

PART 5 – OTHER MATTERS FOR NOTING
32. COUNCIL COMMITTEES – ARMC – SELF ASSESSMENT 2019

PURPOSE
To present the results of the ARMC Self-Assessment for 2019.

PREPARED BY
Auditor, Corporate Governance and Risk Office

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

APPROVED BY
Chancellor

SPONSOR
Chancellor

RECOMMENDATION
That Council note the ARMC Self-Assessment 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

The ARMC Self-Assessment results were discussed by members on 20 November 2019.

BACKGROUND
Clause 35 of the ANU Audit & Risk Management Committee (ARMC) Charter requires that the Committee conducts a review of its performance on a self-assessment basis each year.

On behalf of the Committee, Corporate Governance & Risk Office (CGRO) developed a survey based on the Public Sector Audit Committee Better Practice Guide published by the ANAO. The self-assessment survey was circulated to all ARMC members to invite their evaluation of the Committee’s performance.

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

Detailed comments from the self-assessment survey are included in the attachment, which was considered by the Committee on 20 November 2019.

ATTACHMENT
32.1 Audit and Risk Management Committee Self-Assessment 2019

COMMUNICATION
☐ For public release  ☐ For internal release  ☑ Not for release
INVESTMENT OFFICE – PERFORMANCE REPORT 2019

PURPOSE
To provide the Performance Report for 2019, including an in-depth analysis of the Long Term Investment Pool (LTIP) and cash portfolio position, including Q3 2019 performance, risk and outlook.

PREPARED BY
Director, Investment Office

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Chief Operating Officer

RECOMMENDATION

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

This report was considered at the Finance Committee meeting of 15 November 2019.

SUMMARY
After the Q4 2018 sell-off, global equity markets recovered in 2019 with major US equity indices hitting their all-time high. The Long-Term Investment Pool (LTIP) benefitted greatly from the global equity market rally, given its large exposure to equities.

Weakness in the Australian Dollar continued throughout the year which added to performance given the LTIP’s large long position in the US Dollar. Low exposure to the British Pound also added to performance as the currency weakened due to Brexit concerns. Central Banks cut their interest rates throughout the year, with the RBA and the US Federal Reserve cutting their interest rates three times in 2019.

Returns in 2020 for all asset classes are likely to be dampened by the low interest rate environment and the volatility associated with a US election year.

ATTACHMENT
33.1 Investment Office Report 2019:
(a) Context on global markets performance in the third quarter of 2019
(b) Overall performance returns and asset allocation changes for the LTIP as a whole
(c) Key points from each of the portfolio manager reports
(d) Alternatives and Infrastructure portfolio manager report
(e) Property Investments portfolio manager report
(f) Fixed Income and Cash portfolio manager report
(g) Domestic Equities manager report (to be read with the Plato report)
(h) Overseas Equities portfolio manager report
(i) ANU Enhanced Index Fund – Performance update as at 30 September 2019 – Plato

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

PART 5 – OTHER MATTERS FOR NOTING
34. AUTHORISED EXPENDITURE OVER $10 MILLION

PURPOSE
To inform Council of the authorisation by the Vice-Chancellor of procurement and expenditure over $10 million

PREPARED BY
Chief of Staff and Director, Office of the Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION
That Council note occurrences of expenditure over $10 million authorised by the Vice-Chancellor during the period March 2019 – November 2019.

ACTION REQUIRED
For discussion ☐  For decision ☐  For information ☑

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

BACKGROUND AND SUMMARY OF ISSUES

Meeting 436 of the Council, 30 September 2016 adopted the following standing resolution:

Further to its resolution of 4 December 2015 placing a financial limit of $10M on the Vice-Chancellor’s delegated authority, Council resolved that:

1. the Vice-Chancellor, or his nominee, be authorised to approve, on behalf of Council, ancillary matters that relate to the implementation and management of already approved budgets and involve expenditures of greater than $10M on the basis that:
   a. the scope of matters authorised for such approval include procurement processes, execution of contracts and payment of contractual amounts over $10M;
   b. the scope of budgetary matters include the Capital Management Plan and projects, both capital and non-capital, which have been considered and approved by Council;
   c. all such approvals relating to matters over the $10M limit will be reported at least twice a year to Council.

Previous reports to council by the Vice-Chancellor on such expenditure occurred on:

- 29 March 2019: that no expenditure above $10 million had been authorised in 2018. This statement in fact applied to 2019.

This paper fulfils the Council requirement for expenditure over $10 million to be reported to Council in July and December each year.

The following contracts, listed chronologically, were signed by the Vice-Chancellor or Acting Vice-Chancellor, covering both procurement processes estimated to be worth in excess of $10 million, and expenditure above that amount:

1. Self-insurance Bank Guarantee
   $36,266,000 between ANU and the ANZ Bank

   Approved by the Vice-Chancellor 23 May 2019, based on recommendations from Christos Roussos (Interim Director Human Resources) and Chris Grange (Chief Operating Officer) in a memorandum dated 15 May 2019. The amount agreed in the memorandum will act as a guarantee of the ANU’s predicted liability to pay workers compensation claims for 2019-2020.
2. **Research Storage and Archiving – Approach to market**  
   Estimated value $14,800,000 over 2 years

   Approved by the Vice-Chancellor 7 June 2019 based on recommendations from Karen Hill (Director Information Technology Services), Chris Grange (Chief Operating Officer) and Prof Keith Nugent (Deputy Vice-Chancellor Research and Innovation) in a memorandum dated 6 June 2019. Endorsement of the memorandum triggered an approach to market for a Research Storage capability based on stakeholder requirements.

3. **ANU CECS – Birch Building Refurbishment – Procurement Methodology**  
   Estimated value $90,000,000 between Construction Control Australian and Hindmarsh Construction Australia

   Approved by the Acting Vice-Chancellor Prof Mike Calford (Provost) 3 July 2019 based on recommendations by Nicki Middleton (Director Facilities and Services Division) and Chris Grange (Chief Operating Officer) in a memorandum dated 27 June 2019. Endorsement of the memo triggered the release of a Request for Tender to market.

4. **NCI Supercomputer**  
   $63,326,272 between ANU and Fujitsu Australia

   Approved by the Vice-Chancellor 19 July 2019 based on recommendations from Prof Sean Smith (Director National Computational Infrastructure) and Prof Keith Nugent (Deputy Vice-Chancellor Research and Innovation) in a memorandum dated 16 July 2019. Endorsement of the memo triggered signing of the Contract and Work Order with Fujitsu Australia.

**COMMUNICATION**

☐ For public release  ☐ For internal release  ☒ Not for release

PART 5 – OTHER MATTERS FOR NOTING
35. STANDARD AND POORS’ RATING OF THE ANU

PURPOSE
This paper presents the University 2019 credit rating report from S&P Global Ratings

PREPARED BY
Deputy Chief Financial Officer

REVIEWED BY
Chief Financial Officer

APPROVED BY
Chief Financial Officer

SPONSOR
Chief Operating Officer

RECOMMENDATION

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

This report will be included in the Finance Committee papers for the first meeting of 2020.

BACKGROUND
The S&P Global report is usually available in July. The significant delay in the presentation of this report to Finance Committee and Council arose due to the embargo status that was placed upon the Australian National University’s Annual Report 2018, pending approval by the Minister.

This paper provides a summary of the 2019 S&P Global Ratings (S&P) rating for the University which was issued on 15 October 2019.

SUMMARY

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<thead>
<tr>
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<th>2019</th>
<th>2018</th>
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<tbody>
<tr>
<td>Issuer Credit Rating</td>
<td>AA+/Stable/A-1+</td>
<td>AA+/Stable/A-1+</td>
</tr>
<tr>
<td>Senior Unsecured</td>
<td>AA+</td>
<td>AA+</td>
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In 2019 S&P have again determined ANU’s stand-alone credit rating to be ‘AA+'. This is based on:

- The University’s excellent market position and reputation, robust operating margins, high level of financial resources and low annual debt service.
- The University’s student quality is high with new commencing students having, on average, an Australian Tertiary Admissions rank of 96.85, which is well above the national average.
- The University’s retention rate for undergraduates remains high (approximately 92% in 2018) and the University guarantees accommodation for all first year first semester undergraduate students. From 2020, ANU will consider extracurricular factors alongside the ATAR in assessing undergraduate applications. It is too early to assess what impact this new model will have on student demand, if any.
- ANU’s financial profile, which reflects its high level of financial resources of cash and investments.

PART 5 – OTHER MATTERS FOR NOTING
In addition, S&P maintains its view that there is a high likelihood that the Australian Government would provide extraordinary support to the University in a distress scenario based on ANU's very important role in relation to higher-education policy and its strong link to the Australian government, which provides oversight of the University's operations.

The S&P report has been provided as an attachment to this paper.

ATTACHMENT

35.1 S&P Global Ratings Report 2019

COMMUNICATION

☐ For public release  ☐ For internal release  ☑ Not for release
36. PRIVACY REPORT 2019

PURPOSE
To report on the management privacy by the University in 2019.

PREPARED BY
Privacy Officer (University Librarian)

REVIEWED BY
University Librarian

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

BACKGROUND
The Privacy Act 1988 (Cth) (‘Privacy Act’) applies to the Australian National University (‘ANU’). No major changes occurred to the Privacy Act this year. The University is required to have a privacy policy and to ensure that that it is implemented. The current Privacy Policy can be found at: https://policies.anu.edu.au/ppl/document/ANUP_010007.

SUMMARY OF ISSUES
It has been a busy year with a significant number of privacy enquiries and two complaints to the Office of the Australian Information Commissioner (OAIC). Detailed reports have been provided to OAIC to assist their assessment of the data breach. OAIC is the institution that is responsible for the Privacy Commissioner.

Guidance
Training
The ANU Privacy module is now live. Over 420 staff have completed the module and with areas making it mandatory for staff. A proposal for it to be mandatory new staff was submitted to SMG midyear.

New website
A new Privacy website has been launched with more detailed information and advice.

Privacy Impact Assessments
PIAs are at various stages:

- Respectful Relationships survey and notification form
- Smartvote
- Sona
- Sustainable Farms Extension Program
- Trial software - STP (Single Touch Payroll) Reconciliation Tool
- University Crisis Line
- Abintegro
- ANU Research School of Psychology e-clinic
- ANU Tax Clinic
- Blackbaud
- Brand Automation
- Camerias used for AV support in classrooms

PART 5 – OTHER MATTERS FOR NOTING
• CRM Privacy - Relationships and Engagement - Advancement
• CRM Sales Cloud and Eloqua
• Cyber Security Program
• Duo PIA
• Eforms Timetabling Project
• Employee Background Checking
• ERMS (Electronic Records Management System)
• Graduate Search
• HIAF Database
• Maxicloud Implementation
• Mentorloop
• OPERA Property Management System - University House CRM
• Pulse PIA

Summary of enquiries/complaints

<table>
<thead>
<tr>
<th>Type of request</th>
<th>2019</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enquiries/complaints from individuals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• General enquiries</td>
<td>65</td>
<td>26</td>
</tr>
<tr>
<td>• Data releases</td>
<td>151</td>
<td>0</td>
</tr>
<tr>
<td>• Investigations/reviews</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Outstanding complaints</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Training/presentations given</td>
<td>2</td>
<td>4</td>
</tr>
</tbody>
</table>

Overall

There is significantly greater awareness of the ANU Privacy Policy and legislation. The training will be further developed in 2020. The use of the training module with over 420 participants in the months since it was launched in September is heartening. Increased awareness has led to a greater number of enquiries and a need for more detailed training for specific areas such as student information, research contracts, HR information and the European Union General Data Protection Rule which can into effect in early 2019.

COMMUNICATION

☐ For public release    ☐ For internal release    ☑ Not for release
37. PUBLIC INTEREST DISCLOSURE REPORT 2018/19

PURPOSE
To brief Council on the application of the Public Interest Disclosure Act 2013 within the University in 2018/19.

PREPARED BY
Associate Director, Corporate Governance and Policy

REVIEWED BY
Director, Corporate Governance and Risk Office

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION

ACTION REQUIRED
☐ For discussion  ☐ For decision  ☑ For information

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

BACKGROUND
The public interest disclosure (PID) scheme has been established to promote the integrity and accountability of the Commonwealth public sector, including at the Australian National University, by:

- encouraging and facilitating the making of disclosures of wrongdoing by public officials
- ensuring that public officials who make public disclosures are supported and protected from adverse consequences relating to the making of a disclosure
- ensuring that disclosures are properly investigated and dealt with.

The scheme is established by the Public Interest Disclosure Act 2013 ("PID Act").

Only people who are deemed to be a public official under the PID Act can make a disclosure and receive the protections afforded by the Act. For the purposes of the University, people who qualify are:

- the Vice-Chancellor (as Principal Officer)
- a member of staff of the University
- a member of the University
- an individual who is employed by the Commonwealth and performs duties for the University.

In summary terms, disclosable conduct is conduct by a federal agency (including the University) or by a public official that:

- contravenes a law of the Commonwealth, a State or a Territory
- occurs in a foreign country and contravenes a law in force in that country that applies to the agency or Public Official and that corresponds to a law in force in the Australian Capital Territory
- perverts, or attempts to pervert, the course of justice, or involves corruption of any other kind
- constitutes maladministration, including conduct that: is based on improper motives
- is unreasonable, unjust or oppressive, or is negligent
- is an abuse of public trust, or
- is fabrication, falsification, or deception in relation to scientific research, or misconduct in relation to scientific work, or
- results in the wastage of public money or public property or of the money or property of an authority covered by the PID Act, or
- unreasonably results in a danger to the health and safety of a person or unreasonably results in or increases the risk of a danger to the health and safety of a person, or
- results in a danger to the environment or results in or increases the risk of a danger to the environment, or
- is prescribed by the PID Rules, or
- is engaged in by a Public Official that: involves abuse of the Public Official's position, or could, if proved, give reasonable grounds for disciplinary action against the Public Official.

PART 5 – OTHER MATTERS FOR NOTING
SUMMARY OF ISSUES

In 2018/19, the University had two Authorised Officers to receive disclosures from public officials. Information about public interest disclosure at the University is available at: http://www.anu.edu.au/about/governance/frameworks-disclosures/public-interest-disclosure. The University's own processes in respect of public interest disclosure are governed by a policy and procedure.

2018/19 Reporting to Commonwealth Ombudsman

The University is required to report annually to the Commonwealth Ombudsman on its application of the PID Act. In 2018/19, the University reported it had:

- Received four disclosures. Of these, one was not investigated on the grounds it was vexatious, and two were investigated via external independent investigators.

COMMUNICATION

☐ For public release ☐ For internal release ☑ Not for release
38. FREEDOM OF INFORMATION REPORT 2019

PURPOSE
To report on Freedom of Information requests made to the University in 2019.

PREPARED BY
Associate Director, Records and Archives

REVIEWED BY
University Librarian

APPROVED BY
Vice-Chancellor

SPONSOR
Vice-Chancellor

RECOMMENDATION

ACTION REQUIRED
☐ For discussion ☐ For decision ☑ For information

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

BACKGROUND
The Freedom of Information Act 1982 (FOI Act) is Commonwealth legislation that allows the general public to seek access to information held by any Commonwealth agency or authority within reasonable limits. The Australian National University is a Commonwealth authority and is subject to the FOI Act.

SUMMARY OF ISSUES
The number of FOI applications and information access requests received in 2019 continue to be high and by the end of the year may exceed the numbers for previous years.

<table>
<thead>
<tr>
<th>Type of request</th>
<th>2018</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal information (student and staff files)</td>
<td>4</td>
<td>11</td>
</tr>
<tr>
<td>Non personal information e.g.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• 2018 ANU data breach</td>
<td>87</td>
<td>71</td>
</tr>
<tr>
<td>• Relationship between ANU and ANU Enterprise and Social Research Centre</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Salary of the ANU Chancellor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Student enrolment from specified countries</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• ANU Halls of residence cultural change and audit plans concerning the report into sexual assault and sexual harassment in Universities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consultation requests from other agencies</td>
<td>6</td>
<td>5</td>
</tr>
</tbody>
</table>

Access decision review

<table>
<thead>
<tr>
<th>Type of request</th>
<th>2018</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Review of access decisions</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Information Commissioner - review of access decisions</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Information Commissioner - complaint</td>
<td>0</td>
<td>1</td>
</tr>
</tbody>
</table>

Some applicants engaged with the University’s Privacy Officer and FOI office simultaneously concerning the 2018 data breach. FOI policy, procedures and guidelines designed to assist the University to manage requests more effectively are close to finalisation.

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

PART 5 – OTHER MATTERS FOR NOTING
39. **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 ☐ For information

**ATTACHMENTS**
- 39.1 Significant Events Register
- 39.2 Grants and Consultancies Report

**COMMUNICATION**
☐ For public release ☐ For internal release ☑ Not for release
40. 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 3 October 2019.

ACTION REQUIRED  ☑️ 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 3 October 2019.

COMMUNICATION  For public release ☐  For internal release ☐  Not for release ☑️
41. 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 3 October 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 3 October 2019.

COMMUNICATION
For public release ☑ For internal release ☑ Not for release ☐
42. 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 3 October 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 no use of the University Seal has been recorded since the last meeting of Council on 3 October 2019.

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

43. 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
### NEXT MEETING

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

**SPONSOR**
Chancellor

**RECOMMENDATION**
That Council note that the next meeting (and the Planning Day) will be held on 13 and 14 February 2020, in Canberra.

**ACTION REQUIRED**

- [ ] For discussion
- [ ] For decision
- [x] For information
ATTACHMENTS
## GLOSSARY OF ANU TERMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB</td>
<td>Academic Board</td>
</tr>
<tr>
<td>AQAC</td>
<td>Academic Quality Assurance Committee</td>
</tr>
<tr>
<td>AHEGS</td>
<td>Australian Higher Education Graduation Statement</td>
</tr>
<tr>
<td>ANIP</td>
<td>Australian National Internships Program</td>
</tr>
<tr>
<td>ANU</td>
<td>Australian National University</td>
</tr>
<tr>
<td>ANUE</td>
<td>ANU Enterprise</td>
</tr>
<tr>
<td>AOU</td>
<td>Academic Organisational Unit</td>
</tr>
<tr>
<td>AQF</td>
<td>Australian Qualifications Framework</td>
</tr>
<tr>
<td>ARC</td>
<td>Australian Research Council</td>
</tr>
<tr>
<td>ARMC</td>
<td>Audit and Risk Management Committee</td>
</tr>
<tr>
<td>ARP</td>
<td>Alumni Relations &amp; Philanthropy Division</td>
</tr>
<tr>
<td>CAP</td>
<td>ANU College of Asia &amp; the Pacific</td>
</tr>
<tr>
<td>CASS</td>
<td>ANU College of Arts &amp; Social Sciences</td>
</tr>
<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>
</tr>
<tr>
<td>CFO</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>CGRO</td>
<td>Corporate Governance and Risk Office</td>
</tr>
<tr>
<td>CHELT</td>
<td>Centre for Higher Education, Learning &amp; Teaching</td>
</tr>
<tr>
<td>CHM</td>
<td>ANU College of Health and Medicine</td>
</tr>
<tr>
<td>CoL</td>
<td>ANU College of Law</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>CoS</td>
<td>ANU College of Science</td>
</tr>
<tr>
<td>CPC</td>
<td>Campus Planning Committee</td>
</tr>
<tr>
<td>CRICOS</td>
<td>Commonwealth Register of Institutions and Courses for Overseas Students</td>
</tr>
<tr>
<td>CSP</td>
<td>Commonwealth Supported Place</td>
</tr>
<tr>
<td>CSS</td>
<td>Commonwealth Support Student</td>
</tr>
<tr>
<td>DET</td>
<td>Commonwealth Department of Education and Training</td>
</tr>
<tr>
<td>DSA</td>
<td>Division of Student Administration</td>
</tr>
<tr>
<td>Acronym</td>
<td>Explanation</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>DSL</td>
<td>Division of Student Life</td>
</tr>
<tr>
<td>DTF</td>
<td>Domestic Tuition Fees</td>
</tr>
<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>
</tr>
<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>
</tr>
<tr>
<td>F&amp;BS</td>
<td>Finance and Business Services Division</td>
</tr>
<tr>
<td>F&amp;S</td>
<td>Facilities and Services Division</td>
</tr>
<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>
</tr>
<tr>
<td>HDC</td>
<td>Honorary Degrees Committee</td>
</tr>
<tr>
<td>HDR</td>
<td>Higher Degree Research</td>
</tr>
<tr>
<td>HECS</td>
<td>Higher Education Contribution Scheme</td>
</tr>
<tr>
<td>HELP</td>
<td>Higher Education Loan Program</td>
</tr>
<tr>
<td>HESA</td>
<td>Higher Education Support Act 2003</td>
</tr>
<tr>
<td>HRD</td>
<td>Human Resources Division</td>
</tr>
<tr>
<td>ISF</td>
<td>International Student Fees</td>
</tr>
<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>
</tr>
<tr>
<td>NCIS</td>
<td>National Centre for Indigenous Studies</td>
</tr>
<tr>
<td>Acronym</td>
<td>Explanation</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>NHMRC</td>
<td>National Health and Medical Research Council</td>
</tr>
<tr>
<td>OVC</td>
<td>Office of the Vice-Chancellor</td>
</tr>
<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>
</tr>
<tr>
<td>RSD</td>
<td>Research Services Division</td>
</tr>
<tr>
<td>RTS</td>
<td>Research Training Scheme</td>
</tr>
<tr>
<td>SCAPA</td>
<td>Strategic Communications &amp; Public Affairs</td>
</tr>
<tr>
<td>SIG</td>
<td>Service Improvement Group</td>
</tr>
<tr>
<td>SIS</td>
<td>Scholarly Information Services Division</td>
</tr>
<tr>
<td>SMG</td>
<td>Senior Management Group</td>
</tr>
<tr>
<td>TEQSA</td>
<td>Tertiary Education Quality and Standards Agency</td>
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<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>
</tr>
<tr>
<td>UA</td>
<td>Universities Australia</td>
</tr>
<tr>
<td>UAC</td>
<td>University Admissions Centre (for NSW and ACT)</td>
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<tr>
<td>UG</td>
<td>Undergraduate</td>
</tr>
<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>
</tr>
</tbody>
</table>
SUPPLEMENTARY FIGURES

Figure 1. Percentage of narrow disciplines rated well above world standard, Group of Eight comparison.

Figure 2a. Research productivity. In this graph, the number of research outputs indexed by Web of Science for each Group of Eight institution has been normalised to 1 for 2009.

Figure 2b. Research Productivity. In this graph, 2(a) has been further normalised to account for growth in total number of researchers (academic staff and postgraduate research students) at each institution.
Figure 3a. ANU proportion of all Australian Research Council funding awarded to universities.

Figure 3b. ANU proportion of all National Health and Medical Research Council funding awarded to universities.

Figure 4. Rankings of Group of Eight Universities in the Academic Ranking of World Universities, 2009-2019.
Figure 5a. Group of Eight research and development income by year.

Figure 5b. Group of Eight research and development income, excluding National Institutes Grant reported by ANU.
Figure 6. Selected university outcomes for the Engagement and Impact Assessment 2018-19. Universities were ranked across all fields of research meeting a minimum size threshold against three measures: Engagement (E), Impact case study (I) and Approach to Impact (A). Approach to Impact assessed specific mechanisms institutions put in place to encourage translation of research to impact, tied specifically to the impact case study.
2020 Internal Audit Work Plan

Australian National University

November 2019
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**ATTACHMENT 13.1**

**INTERNAL AUDIT WORK PLAN 2020**

95
1. Introduction

1.1 Overview

The ANU Strategic Plan 2019–2022 articulates a clear vision for the University, focused on change, excellence and engagement. It summarises the University’s background, context and values, and contains a suite of ‘strategies for change’ that respond to the widely-recognised imperative for renewal. These five ‘strategies for change’ are:

1. Building on a Culture of Academic Excellence;
2. Delivering on our Unique National Responsibilities;
3. Achieving Equity – Within ANU and in Society;
4. Building a Culture of Collegiality and Engagement – Across and Beyond ANU; and
5. Creating an Unrivalled Campus Environment.

ANU currently operates in an inherently complex and dynamic risk environment. University governance provides the appropriate frameworks and systems for risk oversight, management and reporting at the strategic, operational and regulatory levels. They that are captured by the below arrangements:

---

**ANU Governance Arrangements**

- Internal Audit Work
- Compliance Audits
- External Audits
- On-going Monitoring by Working Groups
- Business Continuity Plan
- Fraud Control Plans
- Operational Risk Assessments
- Projects Steering Committees
- Standing Reports to Council and Executive

Internal audit, in addition to other governance arrangements, plays an important role in ensuring that the internal controls are operating effectively to manage risk. Internal audit work assesses the strength of our...
current controls and governance processes across the University’s programs and activities, and applies the lessons of the past to strengthen organisational resilience and preparedness.

1.2 Purpose of this document

The Internal Audit Work Plan (IAWP/the Plan) is designed to inform management of the focus, and the timing, for proposed audit activities during the year, and how they will support achievement of the University’s activities and objectives. Its aim is to provide specifications, in the form of proposed objectives, to describe the knowledge which management requires from each assignment. In so doing, it provides a solid basis from which to build and deliver the audit work in a structured and cooperative manner.

1.3 What is the ANU seeking to achieve through this Internal Audit activity?

The Corporate Governance & Risk Office’s (CGRO) and the University’s outsourced provider’s (EY), objectives for the provision of internal audit services to the ANU are to:

• Provide high quality services which deliver relevant knowledge outcomes within agreed timeframes;
• Provide accurate, reliable and useful advice to managers and Executive;
• Undertake internal audit engagements that assist the ANU to manage risk and develop a control framework that is functioning effectively and efficiently;
• Work cooperatively with management and staff to improve, where necessary, the University’s observance of accountability requirements; and
• Work cooperatively with the ANAO and internal stakeholders to minimise duplication of audit activity and maximise the University’s preparedness for external scrutiny.

1.4 Approach

The 2020 IAWP was developed by the CGRO in consultation with EY and the University Executive. When developing the 2020 IAWP, the following sources of information were considered:

• ANU Strategic Risk Register

1

• Previous audit activities, findings or issues;
• Emerging issues across the Tertiary Education sector; and
• Feedback from Audit and Risk Management Committee members

Additionally, discussions were held with the University Executive and key stakeholders to seek advice about or respond to potential audit topics within their portfolios and areas of risk.

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1 The ANU Strategic Risk Register, was most recently endorsed by the Audit & Risk Management Committee and approved by Council in May 2019. Following this approval, the Strategic Risk Register is reviewed and updated by the Executive.

The internal audit plan has been structured to specifically respond to the Strategic Risk Register, to ensure that the strategic risks faced by the University in achieving its strategic objectives are subject to the most effective audit regime, with each aspect of risk receiving a proportionate amount of assurance in response to the exposure it represents to the ANU.
2. **Proposed 2020 Internal Audit Work Plan**

The IAWP incorporates a broad range of internal audits including project/program monitoring, post implementation reviews, operational control, compliance and end to end process audits. The Plan aims to ensure, in line with management and the Audit and Risk Management Committee (ARMC) requirements, that the focus of our activity is directed to risk areas where management and the ARMC believe the greatest value can be added.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Internal Audit Topic</th>
<th>ANU Executive Portfolio</th>
<th>Context and Proposed Objectives</th>
<th>Timeframes</th>
</tr>
</thead>
</table>
| 1   | Management of Counterparty Risks       | Vice-Chancellor, Chief Operating Officer | **Context:**
A range of activities are undertaken via strategic relationships across the ANU, including ANU College and purpose-built student accommodation. The nature of these arrangements, and potential impact they may have on the University’s strategic objectives and student experience warrants an examination of the framework in place to manage these relationships and address risk exposures to the ANU.

**Objective:**
The objective of the audit is to assess the University’s controls and governance arrangements for managing its relationships with counterparties through effective contract and risk management practices. This may include:
- Contractual arrangements;
- Stakeholder engagement and management; and
- Risk assessment and management.

| 2   | Cash Reimbursements                    | Chief Financial Officer          | **Context:**
Cash Reimbursements are provided to staff who paid for business expenses. Controls should be in place to ensure that the University does not incur duplicate payments, such as where an invoice was paid via an official purchasing card but the staff then claims a cash reimbursement. This internal audit will consider the University’s fraud risks and controls relating to staff cash reimbursements.

**Objective:**
The audit will assess the effectiveness of controls to identify potential inaccurate, unofficial or duplicate reimbursement claims by staff. To the extent possible, this internal audit will include data analytics of cash reimbursements against invoices paid by the University and charges against official (University) purchase cards.  

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2 The population and period for sample testing/data analysis will be confirmed through discussions with stakeholders when scoping the audit.
<table>
<thead>
<tr>
<th>Ref</th>
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</tr>
</thead>
</table>
| 3   | Management of Contracts for Individual Teaching Services | Deputy Vice-Chancellor (Academic) | **Context:**  
The University has an Individual Contractors Policy and Guidelines for Casual/sessional academic (116-payments). Separately, the University also establishes individual contracts for teaching services (paid via invoices rather than through the 116-payment process). While the different approaches of teaching engagement may support the flexibility required to engage high quality teaching contractors, the review will assess how risks to the University are identified and managed within these processes.  
**Objective:**  
The objective of the audit is to assess the effectiveness of the University’s controls relating to engaging individual contractors. The audit will consider:  
- Compliance with the Individual Contractor’s Policy’s requirements;  
- Controls to declare and manage conflicts of interests; and  
- Exercise and document delegate approvals. | Q1 |
| 4   | Controls to Address Academic Misconduct | Vice Chancellor, Deputy Vice-Chancellor (Academic) | **Context:**  
Critical to the University’s reputation and delivering on the Strategic Plan’s intent of academic excellence are the controls for detecting and acting on plagiarism and other academic misconduct. Section 6 of the Academic Misconduct Rule 2015, sets out what constitutes academic misconduct for students at the ANU. The Rule also sets out governance arrangements for enforcement, appeals and monitoring the overall application of the requirements.  
**Objective:**  
The objective of the audit is to review the effectiveness of processes, controls and governance arrangements to:  
- Deliver on the requirements of the Academic Misconduct Rule 2015; and  
- Prevent and detect contract cheating during examinations.³ | Q3 |

³ At the time of developing this 2020 Internal Audit Program, audits into Research Integrity and HDR Risk Management were underway, which includes risks associated with managing misconduct in these areas.
<table>
<thead>
<tr>
<th>Ref</th>
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<th>Timeframes</th>
</tr>
</thead>
</table>
| 5   | Management of Code of Conduct Policy                     | Chief Operating Officer  | **Context:** The University’s Strategic Plan outlines the value that “we are committed to integrity and ethical behaviour”, where “we must invest in and insist on excellence everywhere at ANU”. The appropriate application of the ANU Code of Conduct is, therefore, integral to the University’s foundations for achieving all of its strategic objectives. **Objective:** The objective of the audit is to assess the University’s framework to manage staff Code of Conduct matters. This will consider controls in place to support the:  
  - Reporting, reviewing, and resolution of allegations and complaints; and  
  - Application of better practices for integrity frameworks.  
  4 Internal audit notes that this does not include the management of fraud, which was subject to an internal audit in 2019. At the time of developing the IAWP, the University was revising its Code of Conduct policy framework. As such, internal audit will revisit the scope of this internal audit with key stakeholders when preparing the draft scope. | Q1         |
| 6   | Post-implementation Review: Student Admissions Scheme (Domestic) | Deputy Vice-Chancellor (Academic) | **Context:** As part of delivering on the ANU Strategic Plan, the University announced changes to the admission of domestic undergraduate Australian students to its courses from 2020. Under the changes, ATAR scores will be one application criteria. ANU also considers a student’s “all round character including community engagement and leadership, sport or volunteering activities and part-time work”. The ANU continued to “guarantee places to the top students...who demonstrate the required academic aptitude and community spirit”. **Objective:** The objective will be to undertake a post-implementation review of the domestic admissions reform to validate that admission processes:  
  - Enable students to apply for admissions and services such as accommodation and relevant scholarships on one application;  
  - Incorporate the assessment of co-curricular, volunteering, or service requirements for all applicants;  
  - Provide greater certainty for students by providing early offers to programs, scholarship, and accommodation; and  
  - Are transparent by publishing ATAR cut-offs and entry requirements to courses. | Q3         |
<table>
<thead>
<tr>
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<th>Context and Proposed Objectives</th>
<th>Timeframes</th>
</tr>
</thead>
</table>
| 7   | Management of Student Safety Obligations: Alcohol and Prohibited Substances | Vice Chancellor, Deputy Vice-Chancellor (Academic), Pro-Vice Chancellor (University Experience) | **Context:** The ANU has established a range of controls and processes to discharge the University’s duty of care for all students. ANU Council and ARMC are also provided with reports on incidents regarding safety. These reports have identified a range of reported instances, covering assault, harassment, violence, alcohol and health emergencies. For 2019, as at 31 August, 62 of the 196 reported critical student safety incidents related to health emergencies comprising, but not limited to drug and alcohol use, with a number of these incidents occurring on campus. Senior Residents in Halls of residence form an important element of the University’s control framework in managing student safety obligations. **Objective:** The objective of the audit is to assess the effectiveness of training and support services provided to senior residents and other controls through which the University manages student safety risks relating to the:  
  - Responsible service of alcohol in the ANU halls of residence and communal spaces (Buttery); and  
  - Use of prohibited substances by students in the ANU halls of residence. | Q1 |
| 8   | Staff Effort Expended on Administrative Processes | Vice Chancellor, Chief Operating Officer | **Context:** The ANU has identified a range of information (through staff surveys and other staff feedback mechanisms) to suggest that administrative processes are burdensome on its employees, where the amount of time spent on these processes impact productivity. As the University continues to aim to leverage its existing resources, there are risks to the continuing administrative burden experienced by employees. **Objective:** The objective of the review will:  
  - Assess ANU information pertaining to administrative processes burden;  
  - For a selection of corporate processes such as: procurement and financial administration, identify the efforts which pertain to strategic objectives (risks, controls and assurance) rather than those which are administrative processes where efficiencies may be gained; and  
  - Identify recommendations to assist the University to reduce its administrative processes for the in scope administrative processes. | Q3 |

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5 The specific administrative processes in scope for this internal audit will be determined during scoping, through consultation with key University Executives.
<table>
<thead>
<tr>
<th>Ref</th>
<th>Internal Audit Topic</th>
<th>ANU Executive Portfolio</th>
<th>Context and Proposed Objectives</th>
<th>Timeframes</th>
</tr>
</thead>
</table>
| 9   | Staff Overseas Travel to High-risk Destinations         | Vice Chancellor, Chief Operating Officer      | **Context:**
|     |                                                          |                                               | University employees may be required to travel overseas for a range of purposes (including: research, fieldwork, teaching, and collaborations with other institutions/ agencies). The ANU Travel Policy sets out requirements and risk management guidance to protect staff safety and wellbeing when travel to high-risk destinations is necessary. | Q2         |
|     |                                                          |                                               | **Objective:**
|     |                                                          |                                               | The objective of the audit is to assess the design and operating effectiveness of controls within the travel approval process for staff overseas travel to high-risk countries. This will include considering: |            |
|     |                                                          |                                               | • The application of the Department of Foreign Affairs (DFAT) travel warnings; and |            |
|     |                                                          |                                               | • Controls to comply with the University’s risk management strategies such as providing risk assessments to the Insurance Office and obtaining delegate approvals prior to undertaking travel. |            |
| 10  | Follow up - Defence Trade Controls and Autonomous Sanctions | Provost, Deputy Vice-Chancellor (Research & Innovation) | **Context:**
|     |                                                          |                                               | In 2018, Internal Audit undertook a review of the University’s control framework for meeting its legislative compliance obligations under the Defence Trade Controls Act and the Autonomous Sanctions Act. | Q4         |
|     |                                                          |                                               | **Objective:**
|     |                                                          |                                               | The objective of the audit is to assess the University’s decision making and review processes to validate compliance with Defence Trade Controls and Autonomous Sanctions. As part of this audit, we will assess the extent of implementation of recommendations from the previous audit, including the extent to which identified risks have been addressed. |            |
| 11  | Follow up – Learning and Development for Academic Staff | Deputy Vice-Chancellor (Academic)            | **Context:**
|     |                                                          |                                               | In 2016, Internal Audit undertook a review to identify various risks which should be addressed in order for the University to deliver a strategic focus on the support for learning and development for its academic staff. | Q4         |
|     |                                                          |                                               | **Objective:**
|     |                                                          |                                               | The objective of the audit is to assess the extent of implementation of recommendations from the previous audit, including the extent to which identified risks have been addressed. |            |

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6 The population and period for sample testing and data analysis will be confirmed through discussions with stakeholders when scoping this internal audit.

<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td>Vice-Chancellor/Provost</td>
<td>Nil</td>
<td>► Annual Giving Program</td>
<td>Nil</td>
<td>► Post-implementation of Fraud Control and Corruption Prevention Package</td>
<td>► Auditing of Performance Reporting</td>
<td>► Management of High-Value Contracts</td>
</tr>
<tr>
<td>Advancement</td>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
<td>► ANU Foundation Board review (follow up of 2017 review by More Partnership)</td>
<td>► ANU Foundation Framework</td>
<td>Nil</td>
</tr>
<tr>
<td>Chief Financial Officer</td>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
<td>Nil</td>
<td>► Cash Reimbursements</td>
</tr>
<tr>
<td>Chief Operating Officer</td>
<td>► Commercial Lease Exposures</td>
<td>► ANU Project Management</td>
<td>► Performance management</td>
<td>► BCP and Crisis Management</td>
<td>► Payroll and Allowances</td>
<td>► Management of Code of Conduct Policy</td>
</tr>
<tr>
<td></td>
<td>► Remote Sites</td>
<td>► ANU Web Transformation Project</td>
<td>► Governance of building projects</td>
<td>► Data Governance</td>
<td>► IT 3rd Party Software Management</td>
<td>► Staff Effort Expended on Administrative Processes</td>
</tr>
<tr>
<td></td>
<td>► IT Security Health Check</td>
<td>► Electronic Records Management System</td>
<td>► Kambri Redevelopment Operational Process Review</td>
<td>► Student Accommodation post PBSA</td>
<td>► University Asset Management</td>
<td>► Staff Overseas Travel to High-risk Destinations</td>
</tr>
<tr>
<td></td>
<td>► IT Project Management</td>
<td>► Operations</td>
<td>► Post-implementation of Concur Purchase Cards</td>
<td>► Governance of Building Projects (follow up of 2017 review)</td>
<td>► Paid Outside Work at ANU (the 52-day Rule)</td>
<td>► Post-implementation review of the 116 and 117 payments</td>
</tr>
<tr>
<td>Research and Innovation</td>
<td>► Commercialisation of Intellectual Property</td>
<td>► Research Information Management System Governance</td>
<td>► Research Contract Management</td>
<td>► HDR Examination</td>
<td>► Follow up - Defence Trade Controls and Autonomous Sanctions</td>
<td>► Management of Contracts for Individual Teaching Services</td>
</tr>
<tr>
<td></td>
<td>► HERDC Process</td>
<td>► NHMRC/ARC Grants</td>
<td>► Defence Export Controls and Sanctions</td>
<td>► Research Integrity</td>
<td></td>
<td>► Controls to Address Academic Misconduct</td>
</tr>
<tr>
<td>Academic</td>
<td>► Learning &amp; Development for Academic Staff</td>
<td>► Education Services for Overseas Students (ESOS)</td>
<td>► Student Life (Career and Employment Support Services)</td>
<td>► Management of Grading Processes</td>
<td>► Management of Scholarships and Prizes</td>
<td>► Post-implementation Review: Student Admission Scheme (Domestic)</td>
</tr>
<tr>
<td></td>
<td>► Learning Management System</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>► Follow up – Learning and Development for Academic Staff</td>
</tr>
<tr>
<td>Category</td>
<td>Task</td>
<td>Notes</td>
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<tr>
<td>Global Engagement</td>
<td></td>
<td>N/A</td>
<td></td>
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<tr>
<td>University Experience</td>
<td></td>
<td>N/A</td>
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<tr>
<td>TOTAL</td>
<td></td>
<td>9</td>
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</tbody>
</table>

| Management of Student Safety obligations: alcohol and prohibited substances |                                                                        | Nil                         |
| International Contracts and Partnerships |                                                                        | N/A                         |
| Management of media and government relations |                                                                        | Nil                         |

| Implementation of the National Report on Sexual Assault and Sexual Harassment at Australian Universities Review |                                                                        | N/A                         |

| TOTAL | 9 | 7 | 5 | 12 | 12 | 11 |
### 4. Mapping of Internal Audit Activity to the ANU Strategic Risk Register

The proposed 2020 internal audit topics mapped to the University’s Strategic Risk Register is represented in the table below.

<table>
<thead>
<tr>
<th>Internal Audit Topics</th>
<th>ANU Strategic Risk Register</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue cannot be readily redirected to strategic objectives</strong></td>
<td></td>
</tr>
<tr>
<td>A performance culture that tolerates mediocrity</td>
<td></td>
</tr>
<tr>
<td>Ageing and inadequate physical and virtual infrastructure</td>
<td></td>
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<tr>
<td>Poor performance in teaching</td>
<td></td>
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<tr>
<td>The ANU fails to engage with society effectively</td>
<td></td>
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<tr>
<td>The University’s teaching model experiences disruption</td>
<td></td>
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<tr>
<td>Lack of agility in innovating and partnering with industry</td>
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<tr>
<td>Revenue sources are not sufficiently diverse</td>
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<tr>
<td>Significant decline in government funding</td>
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<tr>
<td>Strategic plan is exclusively short term</td>
<td></td>
</tr>
<tr>
<td>Single source of reliance for majority of international students</td>
<td></td>
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<tr>
<td>The University experiences reputation damage</td>
<td></td>
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<tr>
<td>Failure of the CECS Reimagine Project</td>
<td></td>
</tr>
</tbody>
</table>

**Proposed for 2020**

1. Management of High-Value Contracts
   - ✓

2. Cash Reimbursements
   - ✓

3. Management of Contracts for Individual Teaching Services
   - ✓

4. Controls to Address Academic Misconduct
   - ✓

5. Management of Code of Conduct Policy
   - ✓

6. Post-Implementation Review: Student Admissions Scheme (Domestic)
   - ✓

7. Management of Student Safety obligations: alcohol and prohibited substances
   - ✓
<table>
<thead>
<tr>
<th></th>
<th>Staff Effort Expended on Administrative Processes</th>
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<tbody>
<tr>
<td>8</td>
<td>✔️</td>
<td>✔️</td>
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<tr>
<td></td>
<td>Staff Overseas Travel to High-risk Destinations</td>
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<tr>
<td></td>
<td>Follow up – Defence Trade Controls and Autonomous Sanctions</td>
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<td>✔️</td>
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<td>Follow up – Learning &amp; Development for Academic Staff</td>
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</tbody>
</table>

These areas are being addressed through other programs and projects governed by specific steering groups.
5. Other potential topics for the Internal Work Audit Plan (B List)

The following list of suggested internal audit topics are held in reserve for either future year internal audit work plan consideration or potential current year engagements if priorities change during the course of 2020.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Suggested Internal Audit Topic</th>
<th>ANU Executive Portfolio</th>
<th>Proposed Objectives</th>
</tr>
</thead>
</table>
| 1   | IT Incident Management         | Chief Operating Officer  | The objective of this review is to assess ITS’ processes for incident management, with a focus on:  
• The incident management process including service desk operations, incident escalation, incident closure and reporting;  
• The governance structure for the management of IT incidents; and  
Adequacy of policies and procedures in relation to IT incident management. |
| 2   | Car Parking on Campus          | Chief Operating Officer  | The objective of this review is to assess the processes and controls in relation to the management of parking spaces on campus, with a focus on the processes and controls to manage space availability and demand; enforcement of rules (including infringements and debts); and potential fraud (including purchasing of permits for external or permit sharing). This audit will explore the use of data analytics (should data be available) to detect potential issues such as: the holding of permits by persons whose employment or enrolment is terminated and debt levels for infringements. |
| 3   | Advancement                    | Vice-President Advancement | The objective of this engagement is to assess the implementation of core philanthropic components from the Australian National University Advancement Plan: 2016 and whether it has set up the University for future philanthropic success. This will include the measures linked to each philanthropic component, implementation actions required and tracking and dissection of revenue performance metrics outlined.  
Furthermore, there will be validation on the model for performance and engagement metrics, return on investment and cost of funding. |
| 4   | HERDC Research Income (Cat 3)  | Deputy Vice-Chancellor (Research & Innovation) | The objective of this review is to assess  
- the controls in place for accurate and complete recording of research philanthropic funding in the correct financial ledger,  
- This income is accurately reported as part of the HERDC returns |
<p>| 5   | ANU Investment Office          | Chief Operating Officer  | The objective of this review is to assess compliance of the University’s external domestic equity portfolio manager (Plato) with the University’s internal investment policies and guidelines. |</p>
<table>
<thead>
<tr>
<th>Ref</th>
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<th>Proposed Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>Delegations Framework</td>
<td>Vice-Chancellor</td>
<td>The ANU Delegations Framework was last reviewed in 2014, which assess and identified gaps and business improvement opportunities in meeting the University’s future strategic needs through benchmarking against better practice. A key deliverable of the subsequent ANU Delegations HRMS Upgrade is to create a new fit-for-purpose functionality in HRMS that integrates the delegation assignment with position management. The objective of this engagement is to review the project outcomes of the ANU Delegations HRMS Upgrade. In particular, this review will focus on whether the following project objectives have been achieved: • Tightened position management; • Simplified delegation framework; • Standardised assignment of delegation bands to certain position types and levels; and Implemented alternatives for capturing authorities in relation to budget codes.</td>
</tr>
<tr>
<td>7</td>
<td>Campaign management (Marketing)</td>
<td>Deputy Vice-Chancellor (Global Engagement)</td>
<td>The objective of this engagement is to assess the processes for monitoring and reviewing the progress of campaign management undertaken by the University, in terms of return on investment, value for money and development (and validation of data for completeness and accuracy if required) of suitable performance metrics. In addition, internal audit will examine a sample of campaigns undertaken centrally and locally by the University to analyse the impacts it has had on defined achievements/metrics.</td>
</tr>
<tr>
<td>8</td>
<td>ANU Workers Compensation Self-Insurance</td>
<td>Chief Operating Officer</td>
<td>The objective of this engagement is a benefits realisation assessment to evaluate the delivery of the ANU Self-Insurance Project, with respect to the following key benefits to be delivered to the University: • Creation of a safety culture where all staff are diligent about keeping ANU a safe place to work; • Improved safety performance resulting in direct financial benefits by way of premium reductions; • Closer and more productive relationships with injured workers; • Better understanding of the end to end claims process allowing for more efficient processes to be put in place to help injured workers; and Reduced indirect costs associated with injuries and time away from work.</td>
</tr>
<tr>
<td>9</td>
<td>Staff Induction and On-boarding</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess the design and operating effectiveness of the induction and on-boarding of new professional and academic staff, including contract staff. This includes the review of access granted by ITS, induction provided by HR and on-boarding provided by the local service area.</td>
</tr>
<tr>
<td>10</td>
<td>Electronic Transcripts and Transcript Authenticity</td>
<td>Deputy Vice-Chancellor (Academic)</td>
<td>The objective of this review is to analyse how the authenticity of transcripts of new admissions are managed and assess how the University manages the risks related to electronic transcripts issued by the University.</td>
</tr>
<tr>
<td>11</td>
<td>Chemical and biological material safety and substance management on campus</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess the control framework for managing chemical and biological materials, waste and by-products to have comfort that these materials are only used for approved purposes and handled, stored and disposed of in accordance with applicable legislative and policy guidelines.</td>
</tr>
<tr>
<td>12</td>
<td>Management of Illegal and Offensive Online Content</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess the effectiveness of controls within the University’s information technology network to identify, manage, and regulate online content that may be considered illegal and offensive under the Broadcasting Services Act 1992. This review will consider the system application controls, internet policy settings, and complaints processes currently in place to support staff and students reporting illegal and offensive content to the University for investigation and resolution.</td>
</tr>
<tr>
<td>Ref</td>
<td>Suggested Internal Audit Topic</td>
<td>ANU Executive Portfolio</td>
<td>Proposed Objectives</td>
</tr>
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<tr>
<td>13</td>
<td>Management of Intellectual property (IP)</td>
<td>Chief Operating Officer</td>
<td>The objective is to conduct a systematic review of the intellectual properties owned, used or acquired by the University so as to assess and manage risk, identify issues and implement best practices in IP asset management.</td>
</tr>
<tr>
<td>14</td>
<td>IT Resilience and Disaster Recovery</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess the process for disaster recovery plans and review plans to ensure they remain fit for purpose and consistent with applicable standards and management controls.</td>
</tr>
<tr>
<td>15</td>
<td>Retail and Leasing</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess management of retail and leasing arrangements in the Kambri precinct and the wider university campus.</td>
</tr>
<tr>
<td>16</td>
<td>‘CECS Re-imagine’</td>
<td>Provost/Chief Operating Officer</td>
<td>The objective of this review will be to assess whether the structure and establishment of the ‘CECS Re’ is effective, fit-for-purpose, and consistent with the stated intent in the Strategic Business Case for the restructure.</td>
</tr>
<tr>
<td>17</td>
<td>Control Framework for Foreign Interference Risks</td>
<td>Deputy Vice-Chancellor (Global Engagement)</td>
<td>The objective of this audit is to assess ANU’s readiness to adopt relevant changes to its business processes, controls and internal assurance as a result of the University Foreign Interference Taskforce announced by the Australian Government.</td>
</tr>
<tr>
<td>18</td>
<td>Recruitment: Honorary and Visiting Appointments</td>
<td>Chief Operating Officer</td>
<td>The objective of this audit is to assess the appointments into visiting and honorary roles and how risks are managed by the University.</td>
</tr>
<tr>
<td>19</td>
<td>Management of Education Access Plans (EAP)</td>
<td>Deputy Vice-Chancellor (Academic)</td>
<td>The objective of this audit is to assess controls in place, including (but not limited to) risks of falsified EAP applications and students experiencing inconsistent responses from the University.</td>
</tr>
<tr>
<td>20</td>
<td>Application White-Listing on Authorised Devices</td>
<td>Chief Operating Officer</td>
<td>The objective of this audit is to assess the controls in place to identify applications for white-listing on authorised devices, particularly the effectiveness of preventive mechanisms.</td>
</tr>
<tr>
<td>21</td>
<td>Implementation of Strategy Dot Zero</td>
<td>Chief Operating Officer</td>
<td>The objective of this review is to assess the effectiveness of SDZ’s implementation, including the controls in place to manage the accuracy and timeliness of information as well as appropriateness of access.</td>
</tr>
<tr>
<td>22</td>
<td>Quality Teaching for Students at ANU</td>
<td>Deputy Vice-Chancellor (Academic)</td>
<td>The objective of this review is to assess the processes and controls for quality teaching, including the effectiveness of controls and governance of performance objectives and expectations.</td>
</tr>
<tr>
<td>23</td>
<td>Media and Government Relations</td>
<td>Deputy Vice-Chancellor (Global Engagement)</td>
<td>A review was undertaken at end 2019 for the University’s media and government relations functions. The objective of this review is to assess the implementation of the agreed recommendations and the delivery of the intended outcomes and benefits from the review.</td>
</tr>
<tr>
<td>24</td>
<td>Implementation of Recommendations – Q Account External Review</td>
<td>Chief Financial Officer</td>
<td>The objective is to assess the extent to which the University has implemented the recommendations of the external review of the Q Ledger Segment Funds, and to determine the extent to which the risks identified in the Review have been adequately addressed.</td>
</tr>
</tbody>
</table>
## Appendix A: Rolling Internal Audit Coverage Against University’s Risk Profile

Internal Audit topics for 2019 – 2020 mapped against the ANU Strategic Risk Register.

<table>
<thead>
<tr>
<th>Internal Audit Topics</th>
<th>ANU Strategic Risk Register</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td><strong>A performance culture that tolerates mediocrity</strong></td>
</tr>
<tr>
<td>Proposed for 2020</td>
<td></td>
</tr>
<tr>
<td>1 Management of High-Value Contracts</td>
<td>✓</td>
</tr>
<tr>
<td>2 Cash Reimbursement</td>
<td></td>
</tr>
<tr>
<td>3 Management of Contracts for Individual Teaching Services</td>
<td>✓</td>
</tr>
<tr>
<td>4 Controls to address Academic Misconduct</td>
<td>✓</td>
</tr>
<tr>
<td>5 Management of Code of Conduct Policy</td>
<td>✓</td>
</tr>
<tr>
<td>6 Post-implementation Review: Student Admission Scheme (Domestic)</td>
<td>✓</td>
</tr>
</tbody>
</table>

*2020 Internal Audit Work Plan*
<table>
<thead>
<tr>
<th></th>
<th>Management of Student Safety obligations: alcohol and prohibited substances</th>
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<td>7</td>
<td></td>
<td>✓</td>
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<tr>
<th></th>
<th>Staff Effort Expended on Administrative Processes</th>
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<td>8</td>
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<td>✓</td>
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<tr>
<th></th>
<th>Staff Overseas Travel to High-risk Destinations</th>
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<td>9</td>
<td></td>
<td>✓</td>
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<tr>
<th></th>
<th>Follow up – Defence Trade Controls and Autonomous Sanctions</th>
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<td>10</td>
<td></td>
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<tr>
<th></th>
<th>Follow up – Learning and Development for Academic Staff</th>
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<tr>
<td>11</td>
<td></td>
<td>✓</td>
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Completed for 2019

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<tr>
<th></th>
<th>Payroll and allowances</th>
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<tr>
<td>1</td>
<td></td>
<td>✓</td>
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<tr>
<th></th>
<th>IT 3rd Party Software Management</th>
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<td>2</td>
<td></td>
<td>✓</td>
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<td>✓</td>
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<tr>
<th></th>
<th>Paid Outside Work at ANU (the 52-day rule)</th>
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<td>3</td>
<td></td>
<td>✓</td>
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<td></td>
<td>Management of Grading Processes</td>
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<tr>
<td>5</td>
<td>Management of Scholarships and Prizes</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓</td>
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</tr>
<tr>
<td>6</td>
<td>HDR Examinations</td>
<td></td>
<td>✓</td>
<td>✓</td>
<td></td>
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</tr>
<tr>
<td>7</td>
<td>Research Integrity</td>
<td></td>
<td>✓</td>
<td></td>
<td>✓</td>
<td></td>
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<tr>
<td>8</td>
<td>Audit of Performance Reporting</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
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</tr>
<tr>
<td>9</td>
<td>Post-implementation review of the 116 and 117 payment</td>
<td>✓</td>
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</tbody>
</table>

These areas are being addressed through other programs and projects governed by specific steering groups.
Appendix B: Internal Audit Plan Assessment

Appendix B addresses the ANAO Better Practice Guide on Public Sector Audit Committees (August 2011) suggestions that Audit Committees should consider about the annual internal audit coverage and audit plans.

<table>
<thead>
<tr>
<th>#</th>
<th>Question(s)/Task</th>
<th>Commentary</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>How has the proposed internal audit coverage been developed? In particular, does the proposed coverage align with the ANU’s documented strategic and operational risks?</td>
<td>The plan was developed after consultation with members of the Executive. All reviews, where relevant, are linked to the ANU Strategic Risk Register and balanced across all the Executive portfolios.</td>
</tr>
<tr>
<td>2</td>
<td>Does the internal audit work plan support the independence of the internal audit function from the activities it audits?</td>
<td>Yes. No member of the internal audit review team has been responsible for operational or management work of any area under review within the last 12 months.</td>
</tr>
<tr>
<td>3</td>
<td>Does the prioritisation of proposed audit topics align with the entity’s risk management plan and internal audit’s own risk assessment?</td>
<td>Yes. These topics were selected following an extensive discussion regarding internal and external risks faced by the University and its strategic priorities, a review of the entity-wide risks of the ANU and through discussions with management.</td>
</tr>
</tbody>
</table>
### Status Summary of AHRC Recommendations

<table>
<thead>
<tr>
<th>Rec. number</th>
<th>Action</th>
<th>Accepted</th>
<th>Status</th>
<th>Progress</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Vice-Chancellor take direct responsibility for implementation of AHRC recommendations</td>
<td>Accepted</td>
<td>Completed</td>
<td>The Vice-Chancellor immediately issued an apology to our community. The second Respectful Relationships Steering Group reports directly to the Vice-Chancellor. The University’s new Inclusion, Diversity, Equity and Access Oversight Committee reports directly to the Vice-Chancellor.</td>
</tr>
<tr>
<td></td>
<td>Set up advisory group - Steering Group and Working Group</td>
<td>Accepted</td>
<td>Completed</td>
<td>Initial response to the AHRC report saw the establishment of a Steering Group and Working Group. With the creation of the Respectful Relationships Unit (RRU) the two groups were dissolved in February 2019. A second Respectful Relationships Steering Committee was established in March 2019, to provide advice and support to the RRU and is chaired by Professor Veronica Taylor.</td>
</tr>
<tr>
<td></td>
<td>Develop action plan for implementation of recommendations</td>
<td>Accepted</td>
<td>Completed</td>
<td>Developed by the initial Respectful Relationships Steering Group.</td>
</tr>
<tr>
<td></td>
<td>Public report within 18 months on progress towards implementation</td>
<td>Accepted</td>
<td>Completed</td>
<td>Donelle Wheeler, Chair of the initial Respectful Relationships Steering Committee submitted a formal response to the AHRC in February 2019, published on ANU website.</td>
</tr>
<tr>
<td>2</td>
<td>Develop plan for education/awareness campaign that addresses the drivers of sexual assault and sexual harassment</td>
<td>Accepted</td>
<td>Completed</td>
<td>Approval of the Sexual Violence Prevention Strategy in September 2019, launched in November 2019. RRU developed a comprehensive suite of education packages covering primary prevention through to responding to disclosures. Hardcopy (posters and postcards) and digital (social media) resources.</td>
</tr>
<tr>
<td>3</td>
<td>Ensure students and staff know about support services and reporting</td>
<td>Accepted</td>
<td>Completed</td>
<td>Ongoing refreshment of webpages with up to date information on training and support services. Social media pages and campaigns dedicated to highlighting support.</td>
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<td></td>
<td>Staff and students identified and provided with online and face-to-face training to support someone disclosing sexual harassment or assault.</td>
</tr>
<tr>
<td></td>
<td>Disclosure training for staff and students most likely to respond to disclosures</td>
<td>Accepted</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Assessment of staff members and student representatives within their institution most likely to receive disclosures of sexual assault and sexual harassment</td>
<td>Accepted</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Collect reports and data on rates of sexual assault and sexual harassment ensuring confidentiality</td>
<td>Accepted</td>
<td>Completed</td>
<td>Online disclosure tool (soft-launch October 2019) to replace manual data collection and collation from areas receiving disclosures currently included in the student safety report to Council.</td>
</tr>
<tr>
<td>6</td>
<td>Audit of Counselling Services</td>
<td>Accepted</td>
<td>Completed</td>
<td>Kandie Allen-Kelly Consulting audit completed in 2018. Increased ANU Counselling FTE which will allow longer span of hours. Relocation of ANU Counselling Centre into Kambri precinct to better integrate support services. Provision of additional support provided through National Health Coop agreement. Out of hours ANU Crisis Line piloted, and extended to 24/7 provision in 2019.</td>
</tr>
<tr>
<td>7</td>
<td>Three yearly survey of sexual assault and sexual harassment</td>
<td>Accepted</td>
<td></td>
<td>ANU is one of two universities commissioned to the pilot of the Universities Australia follow-up survey. It is anticipated that the pilot and full sector survey will be conducted in 2020.</td>
</tr>
<tr>
<td>8</td>
<td>Review of Residences and Colleges</td>
<td>Accepted</td>
<td></td>
<td>Nous Group reviews completed in 2018. Student residences produced cultural change plans in response to their individual Nous report in consultation with the University in 2019.</td>
</tr>
</tbody>
</table>
These cultural change plans are currently being reviewed by the PVCUE and are scheduled to be sent to TEQSA in early December 2019 in response to their request. Additional senior pastoral care staff have been added to 3 residential halls at 0.5 FTE in 2019 (now in place) and 1 FTE in 2020. Funding has been provided to implement a ratio of 1 Senior Resident (S.R):25 students in all halls and lodges from the commencement of the 2020 academic year. This has been very positively received by students.
Finance Committee Charter

Introduction
1. The Australian National University (ANU) Council has established the Finance Committee (the Committee) in accordance with section 18 of the Australian National University Act 1991.
2. This Charter sets out the Finance Committee’s objective, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

Objective
3. The objective of the Committee is to provide advice to the Council on the University’s management of its financial resources and of its subsidiaries and commercial activities.

Authority
4. The Council authorises the Committee, within the scope of its role and responsibilities, to:
   - obtain any information it needs from any employee and/or external party (subject to their legal obligation to protect information);
   - discuss any matters with external parties (subject to confidentiality considerations);
   - request the attendance of any ANU employee, officer of a controlled entity, or Council member at Committee meetings; and
   - obtain external legal or other professional advice, as considered necessary to meet its responsibilities, at the University’s expense.

Composition and Tenure
5. The Committee shall consist of:
   - a Chair, appointed by the Council from among its members, who may not be a student or employee of the University;
   - ex officio, the Vice-Chancellor;
   - ex officio, the Pro-Chancellor;
ex officio, the Chair, Audit and Risk Management Committee;

up to three other Council members, appointed by the Council;

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.

6. The Committee may appoint a Deputy Chair from amongst its members.

7. The members, taken collectively, shall have a broad range of skills and experience relevant to the operations of the University. At least four members of the Committee should have a high level of relevant financial expertise. At least four members of the Committee should have a high level of relevant commercial or investment expertise.

8. Members shall be appointed for up to two years and are eligible for re-appointment.

9. The Council will have regard to the University’s objectives on gender equity, and the need for both continuity and regular renewal, in filling positions on the Committee.

10. Council members may attend Committee meetings, and when they elect to do so, will be provided with Committee papers.

Roles and Responsibilities

11. The Committee exercises such functions, responsibilities and authorities as may be assigned or delegated to it by Council from time to time, but only such executive powers as are explicitly delegated to it.

12. The Committee’s responsibilities, subject to revision by Council, are to monitor, review and where appropriate make recommendations to Council with respect to:

a. significant matters relating to the ownership, management and divestment of assets, noting that there will be a need for interaction with other Committees of Council such as the Campus Planning Committee in this regard;

b. the creation of cash reserves and financial provisioning and management of employee superannuation, other entitlements and liabilities, insurance, and other financial matters;

c. the adoption of the University’s annual (recurrent and capital expenditure) budget;

d. the University’s forward estimate projections and any implications arising for the University’s budgetary position;

e. the University’s financial performance against budget and the performance against plans for capital expenditure on physical assets;

f. the University’s performance against its strategic key performance indicators, to the extent that such performance has a financial consequence for the University;
g. the investment portfolio of the University, including:
   o the objectives and strategy for the investment portfolio;
   o the risk appetite and tolerance thresholds applicable for the investment portfolio;
   o the management and financial performance of the investment portfolio;
   o the management and performance of any external funds manager engaged by the University; and
   o policies governing the operation of the investment portfolio, and their application.

h. matters relating the University’s commercial activities, including:
   o the establishment of new legal entities or participation in significant commercial activities, to ensure that all appropriate assessments and measures have been completed;
   o the management and operation of controlled entities, auxiliary operations, and other commercial activities of the University;
   o financial performance of these entities and activities, after receiving quarterly and annual reports, business plans, financial statements and auditors’ reports; and
   o reporting annually to Council on the performance, and any significant issues arising, in relation to controlled entities, auxiliary operations, and other commercial activities;

i. matters of policy pertaining to the governance of financial and commercial matters;

j. other matters raised by the Council or the Vice-Chancellor which have a significant direct or indirect effect on the finances of the University.

13. The Council delegates authority to the Committee, subject to University policy and relevant decisions of the Council, to approve investment criteria, authorised investments and strategic asset allocations, having considered advice by the Investment Office.

14. The Committee is to assist the Council in monitoring the University’s commercial activities and to refer all matters of concern or significance to the Council.

15. Where the Committee identifies issues of possible concern relating to campus planning and development, it shall refer such matters to the Campus Planning Committee.
for consideration. Similarly, where it identifies issues that may present a risk consideration for the University, it shall refer such matters to the Audit and Risk Management Committee.

Responsibilities of Members

16. Members of the Committee are expected to understand and observe the legal requirements of the Australian National University Act 1991 and the Public Governance, Performance and Accountability Act 2013.

17. Members are also expected to:
   - act in the interests of the ANU;
   - contribute the time needed to study and understand the papers provided; and
   - apply good analytical skills, objectivity and good judgment.

Reporting

18. The Committee will regularly, but at least once a year, report to the Council on its operation and activities during the year. The report should include:
   - a summary of the work it 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.

19. Where the Committee identifies exposure (or potential exposure) to material financial, commercial or reputational risk to the University, arising from its own operations or that of any controlled entity, auxiliary operation, and other commercial activity of the University, the Council is to be notified of the matter, and it is to be referred to the Audit and Risk Management Committee for consideration and advice to Council and the Vice-Chancellor.

20. The Committee may, at any time, report to the Council on any other matter it determines of sufficient importance to do so.

Administrative Arrangements

Meetings and Planning

21. The Committee shall meet up to six times per year on dates determined by the Committee.

22. The Chair is required to call a meeting if asked to do so by the Council and decide if a meeting is required if requested by another Committee member.
23. A forward meeting plan, including meeting dates, location and agenda items, will be agreed by the Committee each year. The forward meeting plan will cover all of its responsibilities, as detailed in this Charter.

24. The Chair will be regularly updated on the financial and commercial activities of the University and its subsidiaries and emerging issues by the Chief Operating Officer, or the Chief Financial Officer.

Attendance at Meetings and Quorums

25. A quorum shall consist of 50 per cent of Committee members who hold office for the time being.

26. Meetings can be held in person, by teleconference or by videoconference.

27. Members of the Executive and the Director, Corporate Governance and Risk Office may, subject to the Committee requesting otherwise, attend each meeting and contribute to its deliberations.

28. The Chair of the Committee may request any other ANU employee and/or external party to attend Committee meetings or participate in certain agenda items.

Secretariat

29. The Corporate Governance and Risk Office shall provide secretariat support to the Committee.

30. The Finance and Business Services Division shall be responsible for the development and preparation of reports and other papers on financial and commercial matters to be presented to the Committee. Such reports and papers will be submitted to the Corporate Governance and Risk Office for inclusion in the agenda papers.

31. The Corporate Governance and Risk Office will ensure the agenda and supporting papers for each meeting are circulated and at least 7 days before the meeting. Copies of the agenda and supporting papers should be provided to all members of the Council via the secure server.

32. The Corporate Governance and Risk Office will ensure the minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to members of the Committee for approval at the subsequent meeting.

Conflicts of Interest

33. Upon joining the Committee and then once a year thereafter, Committee members shall provide written declarations to the Council declaring any material personal interests that would preclude them from being members of the Committee. External members will be asked to consider past employment, consultancy arrangements and related party.
issues in making these declarations. Council will need to be satisfied that there are sufficient processes in place to manage any real or perceived conflict of interest.

34. Committee members shall declare any material personal interests at the start of each meeting or before discussion of the relevant agenda item or topic. Details of material personal interests declared by Committee members, and actions taken, will be appropriately recorded in the minutes.

Induction

35. The Corporate Governance and Risk Office will maintain a program of induction, training and awareness-raising for Committee members, with the objective of enabling the Committee to keep abreast of contemporary developments and leading practice to assist them to meet their Committee responsibilities. The Finance and Business Services Division will assist the Corporate Governance and Risk Office in this task, as required.

Assessment and Review

36. The Chair of the Committee, in consultation with the Chancellor, shall initiate annually a review of the performance of the Committee, and this Charter, with appropriate input sought from the Council, the Vice-Chancellor, management and any other relevant stakeholders, as determined by the Council. The review of performance will be conducted on a self-assessment basis unless otherwise determined by the Council.
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University (Parking and Traffic) Statute 2019

The Council of the University makes the following statute.

Dated DATE MONTH 2019

Professor the Hon Gareth Evans AC QC FASSA FAIIA
Chancellor
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Part 1—Preliminary

1 Name

This is the Australian National University (Parking and Traffic) Statute 2019.

2 Commencement

This instrument commences on 1 January 2020.

3 Authority

This instrument is made under the Australian National University Act 1991, sections 50 and 51.

4 Simplified outline of this instrument

The Australian National University Act 1991 authorises the Council of the University to make statutes for or in relation to the regulation or control of traffic, or of the parking, stopping, standing or leaving of vehicles, on land occupied by the University in the ACT. The statute may provide for the punishment, upon summary conviction, by a fine, of offences against the statute.

This statute is made under that authority.

The statute regulates and controls traffic, and the parking (including the stopping, standing or leaving) of vehicles, on University land by applying ACT parking and traffic laws. There are, however, 2 main exceptions to the application of ACT law by the statute.

First, the statute applies most, but not all, relevant ACT parking and traffic laws to University land. The applied laws are identified in section 8 and include the specific ACT laws mentioned in Schedule 1.

As a result, most, but not all, matters relating to parking and traffic on University land are provided for under the statute by applying ACT parking and traffic laws. Some matters are, however, dealt with by provisions of the statute itself rather than applied ACT law. For example, Part 3 deals with parking permits and Part 4 deals with fees. This is consistent with the approach that, subject to any arrangements made with the ACT under Part 5, the applied parking and traffic laws are to be administered in relation to University land by the University instead of the ACT.

Second, the statute applies ACT parking and traffic laws with certain modifications (see section 9). Schedule 2 provides modifications that apply generally to applied laws. For example, a reference in the applied laws to the road transport authority is generally a reference to the Vice-Chancellor as the designated authority under the statute (see Schedule 2, section 11). Schedule 3 provides modifications that apply to particular applied ACT parking and traffic laws. For example, section 1 of that Schedule sets out a number of specific modifications to the applied provisions of the ACT Road Transport (General) Act 1999.
5 Definitions

In this instrument:

*ACT* means the Australian Capital Territory.

*ACT authorised person* means a person who is an authorised person under the General Act, section 19 (Authorised people).

*ACT law* means an ACT or statutory instrument.

[Note: The ACT Legislation Act, section 13 (Meaning of statutory instrument) defines a ‘statutory instrument’ as an instrument (whether or not legislative in nature) made under an Act, another statutory instrument, or power given by an Act or statutory instrument and also power given otherwise by law. A ‘statutory instrument’ includes an ACT subordinate law, disallowable instrument, notifiable instrument or commencement notice. These terms are also defined in the ACT Legislation Act.]


*ACT road transport authority* means the Australian Capital Territory Road Transport Authority established by the General Act, section 16.

*ACT road transport legislation* means the ACT laws that form part of the road transport legislation within the meaning of the General Act, section 6.

[Note 1: The ACT laws that form part of the road transport legislation include the following:

- General Act
- General Regulation
- Offences Regulation
- Safety and Traffic Management Act
- Safety and Traffic Management Regulation
- Road Rules Regulation
- Extension of Time Guidelines
- Waiver of Infringement Notice Penalties Guidelines
- Withdrawal of Infringement Notices Guidelines.]

[Note 2: This section contains definitions for each of these ACT laws.]


*applied ACT parking and traffic legislation*: see section 8.

*approved e-payment method*: see section 17 (Approval of e-payment methods).

*approved e-permit system*: see section 15 (Approval of e-permit systems).


*designated authority* means the Vice-Chancellor.

*disability permit* means a parking permit that states that it is a disability permit.

*exercise* a function includes perform the function.

*Extension of Time Guidelines* means the *Road Transport (General) Extension of Time Guidelines 2019* (No 1) (ACT).
fee includes a charge or other amount.

function includes duty and power.

General Act means the Road Transport (General) Act 1999 (ACT).

General Regulation means the Road Transport (General) Regulation 2000 (ACT).

instrument: to remove any doubt, instrument includes any publication.

Offences Regulation means the Road Transport (Offences) Regulation 2005 (ACT).

parking permit means a parking permit issued under section 10(1) (Issue of parking permits etc.).

Road Rules Regulation means the Road Transport (Road Rules) Regulation 2017 (ACT).


Safety and Traffic Management Regulation means the Road Transport (Safety and Traffic Management) Regulation 2017 (ACT).

this instrument includes the laws and instruments in force under this instrument, including, for example, any law or instrument applied, adopted or incorporated (with or without change) under this instrument.

University authorised person means:
(a) a person who is an authorised person appointed under section 22 (Appointment of authorised persons); or
(b) a person prescribed by another statute for this instrument or a provision of this instrument.

University land means land occupied by the University in the ACT.

Waiver of Infringement Notice Penalties Guidelines means the Road Transport (General) Waiver of Infringement Notice Penalties Guidelines 2019 (No 1) (ACT).


working day means a day that is not a Saturday, a Sunday, a public holiday in the Australian Capital Territory, or a University holiday.

6 References to ACT laws

(1) A reference in this instrument (either generally or specifically) to an ACT law is a reference to the law as in force on the application day.

(2) To remove any doubt, a reference in this instrument (either generally or specifically) to an ACT law includes a reference to a provision of the law.

(3) A reference in this instrument (either generally or specifically) to an ACT law includes a reference to the statutory instruments made or in force under the law on the application day.
[Note: The ACT Legislation Act, section 13 defines ‘statutory instrument’. That definition applies in relation to this instrument (see section 7 (Application of certain definitions in ACT legislation).]

(4) In subsection (3), a reference to the statutory instruments made or in force under an ACT law includes a reference to any law or instrument applied, adopted or incorporated (with or without change) under the law on the application day.

(5) In this section:

application day means 1 November 2019 or, if another statute prescribes another day, that day.

7 Application of certain definitions in ACT legislation

(1) This section applies to a term if the term is defined in:

(a) an ACT Act (but not a regulation or other instrument) that forms part of the ACT road transport legislation; or

(b) the ACT Legislation Act so far as it applies in relation the ACT road transport legislation.

(2) The definition applies to each use of the term (and other parts of speech or grammatical forms of the term) in this instrument unless the contrary intention appears.
Part 2—Applied ACT parking and traffic legislation

8 What is the applied ACT parking and traffic legislation?

(1) The applied ACT parking and traffic legislation is the following:
   (a) the ACT laws mentioned in Schedule 1 (Applied ACT parking and traffic legislation);
   (b) any other ACT law that is declared by another statute to be included in the applied ACT parking and traffic legislation;
   (c) the ACT Legislation Act so far as it applies to an ACT law mentioned in paragraph (a) or (b) and is not inconsistent with this instrument;
   (d) any other ACT law so far as it gives meaning to, or limits or extends the meaning of, a term used in a law mentioned in paragraph (a) or (b) and is not inconsistent with this instrument.

Example for paragraph (c)

The ACT Legislation Act, section 133 defines the term ‘penalty unit’ for the ACT road transport legislation.

[Note: A reference to an ACT law includes a reference to a provision of the law and to the statutory instruments made or in force under the law (see section 6(2) and (3)).]

(2) However, the applied ACT parking and traffic legislation does not include an ACT law to which subsection (1)(a) applies if the law is declared by another statute not to be included in the applied ACT parking and traffic legislation.

9 Application of applied ACT parking and traffic legislation

The applied ACT parking and traffic legislation applies in relation to University land (including in relation to acts or omissions on University land) with:
   (a) the modifications provided by Schedule 2 (General modifications) and Schedule 3 (Specific modifications); and
   (b) the modifications provided by any other statute; and
   (c) any other necessary modifications.
Part 3—Parking permits

10 Issue of parking permits etc.

(1) The designated authority may issue a permit (a parking permit), in written or electronic form, authorising the parking of a vehicle on University land on a length of road, or in an area, designated by a permit zone sign for use by the holder of that permit or by holders of that kind of parking permit.

(2) A parking permit may be issued:
   (a) for a University vehicle; or
   (b) for a University-related vehicle; or
   (c) to an eligible person.

(3) A parking permit may be:
   (a) a disability permit; or
   (b) of any other kind decided, in writing, by the designated authority.

(4) A parking permit in written form may be issued for a single specified vehicle. A parking permit in electronic form may be issued for a single specified vehicle or for 2 or more specified vehicles.

(5) If a parking permit is issued in written or electronic form for a single specified vehicle, the permit authorises parking for that vehicle only.

(6) If a parking permit is issued in electronic form for 2 or more specified vehicles, the permit authorises the parking of only one of those vehicles at any time (and for no other vehicle), but does not authorise the parking of any of the specified vehicles unless that vehicle is selected, at that time, as the ‘active vehicle’ under an approved e-permit system.

(7) A parking permit is subject to the following conditions:
   (a) if the permit is a parking permit issued in written form—the permit must be displayed in or on the vehicle to which the permit applies when the vehicle is parked on University land; or
   (b) if the permit is a parking permit issued in electronic form—each numberplate of the vehicle (or a vehicle) to which the permit applies must, at all times, be clearly readable when the vehicle is parked on University land.

   [Note: For the condition mentioned in paragraph (a), see section 11 (Meaning of conditions about display of parking permits).]

(8) A parking permit issued to a person is also subject to the limitations and conditions:
   (a) stated in the permit; or
   (b) agreed to by the person; or
   (c) notified in writing to the person by the designated authority; or
   (d) prescribed by the designated authority by notifiable instrument.

Examples of limitations: A parking permit may authorise parking only on particular days, at particular times or on particular University land.

(9) A parking permit:
   (a) must state when it expires or the period for which it applies; and
   (b) may include anything else the designated authority considers appropriate.
(10) For this section, the designated authority may, in writing, approve a person or other entity as a **University-related entity** if the entity uses University land, or premises on University land, in the conduct of its affairs or operations.

(11) For this section, an **eligible person** is any of the following:

   (a) a member of staff of the University;
   (b) a student of the University;
   (c) a person who frequently visits the University on University business;
   (d) a resident in University House, Graduate House, a hall of residence, an affiliated college, or any other accommodation approved, in writing, by the designated authority for this paragraph;
   (e) a person ordinarily present on University land in the course of the person’s employment;
   (f) anyone else if the designated authority considers that the issue of a parking permit to the person is justified.

(12) In this section

   **area**: see the Road Rules Regulation, dictionary.

   **eligible person**: see subsection (11).

   **length, of road**: see the Road Rules Regulation, dictionary.

   **permit zone sign** means a permit zone sign under the Road Rules Regulation.

   **road** includes a road related area.

   [Note: See the Safety and Traffic Management Regulation, section 7 (Meaning of road).]

   **University-related entity** means a person or other entity that is approved as a University-related entity under subsection (10).

   **University-related vehicle** means:
   
   (a) a vehicle registered in the name of, or owned by, a University-related entity; or
   
   (b) a vehicle used in an official capacity in the conduct of the affairs or operations of a University-related entity.

   **University vehicle** means:

   (a) a vehicle registered in the name of, or owned by, the University; or
   
   (b) a vehicle used in an official capacity in the conduct of the affairs or operations of the University.

11 **Meaning of conditions about display of parking permits**

   (1) If it is a condition of a parking permit that the permit must be displayed in or on the vehicle (or a vehicle) to which the permit applies when it is parked on University land, it is a condition of the permit that the driver of the vehicle ensures that the permit is correctly displayed in or on the vehicle when the vehicle is parked on University land as authorised by the permit.

   (2) In this section:

   **correctly displayed**—a parking permit is **correctly displayed** in or on a vehicle if the permit is displayed:
(a) in or on the front left-hand side of the vehicle or, if the permit or a condition of the permit states that the permit must be displayed in or on a particular part of the vehicle, in or on that part of the vehicle; and

(b) in a way that the details of the permit on the front of the permit are clearly visible from outside the vehicle.

*front*, of a parking permit—to remove any doubt, the front of a parking permit is the side of the permit that states when it expires or the period for which it applies.

### 12 Replacement of lost etc. parking permits

(1) On application by the holder of a current parking permit issued in written form, the designated authority may issue a replacement parking permit if satisfied that the current permit has been lost, stolen, destroyed or damaged.

(2) If the parking permit has been damaged, the permit must be returned with the application.

### 13 Surrender of parking permits

The holder of a current parking permit may surrender the permit by written notice given to the designated authority.

### 14 Cancellation of parking permits

(1) The designated authority may cancel a parking permit issued to a person if:

(a) the person is given at least 4 infringement notices in a calendar year that are not withdrawn or successfully disputed; or

(b) the person is no longer eligible to be issued with the permit; or

(c) the person contravenes a condition of the permit; or

(d) the person otherwise contravenes this instrument in relation to the permit; or

(e) the designated authority considers that the cancellation of the permit is justified for another reason.

(2) If the designated authority proposes to cancel a parking permit issued to a person, the authority must give the person a written notice:

(a) stating that the authority proposes to cancel the permit; and

(b) giving a brief explanation for the proposed cancellation; and

(c) stating that the person may, within 10 working days after the day the person is given the notice, give a written response to the authority about the notice.

(3) In deciding whether to cancel the parking permit, the designated authority must consider any written response given to the authority by the person in accordance with the notice.

(4) The designated authority must give the person written notice of the authority’s decision.

(5) The notice must include, or be accompanied by, a statement of reasons for the decision.

(6) If the designated authority decides to cancel the permit, the cancellation takes effect at the end of the day when written notice of the decision is given to the person or, if the notice states a different day of effect, at the end of that day.

[Note: The permit holder must return the parking permit to the designated authority: see the Safety and Traffic Management Regulation, section 67 as it applies under this instrument (see especially the modification in Schedule 3).]
15 Approval of e-permit systems

(1) The designated authority may, by notifiable instrument, approve an e-permit system (an *approved e-permit system*) for parking permits.

(2) An e-permit system may be approved for all or stated parking permits.

(3) The designated authority must not approve an e-permit system unless satisfied that the system is capable of:

(a) allowing users of the system to select a vehicle as the ‘active vehicle’; and

(b) giving the authority up-to-date information about the vehicles that have been selected as ‘active vehicles’; and

(c) keeping a record of each selection.

(4) In this section:

*e-permit system* means a system that allows users of the system to access the system using an electronic device.
Part 4—Fees

16 Determination of fees

(1) The designated authority may, in writing, determine the fees that are payable to the University for the purposes of this instrument.

(2) Without limiting subsection (1), a fee may be determined in relation to:
   (a) the provision of a service or facility under or in relation to this instrument; or
   (b) the grant, issue, renewal, revocation, surrender or variation of, or the doing of anything else in relation to, an approval, authority, certificate, exemption, permission, permit or anything else under or in relation to this instrument.

   Examples of determined fees: parking fees and fees for parking permits

(3) Without limiting subsection (1), a determination under this section may make provision about the following in relation to a fee:
   (a) how the amount of the fee is to be calculated;
   (b) the circumstances in which the fee is payable;
   (c) exempting a person from payment of the fee;
   (d) when the fee is payable and how it is to be paid (for example, as a lump sum or by instalments);
   (e) waiving, postponing or refunding the fee (completely or partly);
   (f) when the fee is taken to have been paid (or not paid), including, for example, if it is paid by cheque, credit or debit card, or payment transfer.

(4) A determination under this section has effect despite anything in any ACT law, including an ACT law applied by this instrument.

(5) The designated authority must ensure that a determination in force under this section is publicly available on the University’s website or any other way that the designated authority considers appropriate.

17 Approval of e-payment methods

(1) The designated authority may, by notifiable instrument, approve an e-payment method (an approved e-payment method) as a method for paying ticket parking fees.

(2) The designated authority must not approve an e-payment method unless satisfied that the method is capable of:
   (a) giving the designated authority up-to-date information about ticket parking fees paid; and
   (b) keeping a record of each transaction; and
   (c) giving a person using the method an electronic receipt for the transaction.

(3) In this section:

   e-payment method means a method for payment using an electronic device.

   ticket parking area: see the Safety and Traffic Management Regulation, dictionary.

   ticket parking fee means a fee payable by the driver of a vehicle for the use of a ticket parking space in a ticket parking area.
Part 5—Arrangements with the ACT

18 Administrative arrangements with ACT

(1) The designated authority may, on behalf of the University, enter into arrangements with the ACT in relation to the following:

   (a) the administration of this instrument, including all or any provisions of the applied ACT parking and traffic legislation in relation to its application to University land under this instrument;

   (b) the administration of the ACT road transport legislation in its application in relation to University land.

(2) Without limiting subsection (1), an arrangement may provide for:

   (a) the exercise of functions by the ACT (or its authorities, officers, employees or contractors) on behalf of the University (or its authorities, officers, employees or contractors); or

   (b) the exercise of functions by the University (or its authorities, officers, employees or contractors) on behalf of the ACT (or its authorities, officers, employees or contractors).

(3) In this section:

   administration: to remove any doubt, administration includes enforcement.

19 Installation of prescribed traffic control devices on University land etc.

(1) To remove any doubt and without limiting section 18 (Administrative arrangements with ACT), this instrument does not prevent:

   (a) the ACT road transport authority from installing or displaying a prescribed traffic control device on or above University land under arrangements with the University, or from changing or removing, under arrangements with the University, a prescribed traffic device installed or displayed on or above University land by the ACT road transport authority; or

   (b) the ACT road transport authority or an ACT authorised person from taking action to enforce the ACT road transport legislation in relation to a prescribed traffic control device installed or displayed on or above University land by the ACT road transport authority under arrangements with the University; or

   (c) the University or a University authorised person from taking action to enforce this instrument in relation to a prescribed traffic control device installed or displayed on or above University land by the ACT road transport authority under arrangements with the University; or

   (d) an ACT authorised person from exercising any function that the ACT authorised person has under this instrument.

[Note 1: The following terms are defined in the dictionary to the Safety and Traffic Management Act and the definitions apply in relation to the use of the terms in this section (see section 7 (Application of certain definitions in ACT legislation)):

   • installation, of a prescribed traffic control device

   • prescribed traffic control device.

   The Safety and Traffic Management Regulation, section 11 (Prescribed traffic control devices—Act, dict, def prescribed traffic control device) prescribes the things that are prescribed traffic control devices. These include ‘traffic control devices’ and ‘traffic-related items’ that have effect for certain provisions of the Road Rules]
(2) In this section:

ACT authorised person includes, in relation to an infringement notice or reminder notice for an infringement notice offence, a person who is an authorised person for the service of the notice under the General Act, Part 3 (Infringement notices for certain offences).

University authorised person includes, in relation to an infringement notice or reminder notice for an infringement notice offence, a person who is appointed under the General Act, section 53A(1) (Authorised people for infringement notice offences), as applied by this instrument, to serve infringement notices or reminder notices, as the case may be, for the offence or infringement notice offences.
Part 6—Miscellaneous

20 Traffic sign diagrams

(1) The designated authority may, by notifiable instrument, declare that a specified diagram of a traffic sign is taken, for this instrument, to be included in the Road Rules Regulation, Schedule 3 (Other permitted traffic signs).

(2) If the designated authority makes a declaration under subsection (1) in relation to a diagram of a traffic sign, the diagram represents a permitted version of the sign for this instrument.

(3) This section has effect despite anything in any ACT law, including an ACT law applied by this instrument.

(4) In this section:

traffic sign: see the Road Rules Regulation, dictionary.

21 Words on or with certain traffic signs

(1) The designated authority may, by notifiable instrument, declare that a permissive parking sign with a specified word or specified words on or with the sign is taken, for this instrument, to be a ticket parking sign.

(2) To remove any doubt, subsection (1) does not prevent a permissive parking sign with another word or other words on or with the sign from being a ticket parking sign for this instrument.

(3) This section has effect despite anything in any ACT law, including an ACT law applied by this instrument.

(4) In this section:

permissive parking sign means a permissive parking sign under the Road Rules Regulation.

22 Appointment of authorised persons

(1) The designated authority may, in writing, appoint a person to be an authorised person for this instrument or stated provisions of this instrument.

(2) A person must not be appointed under subsection (1) unless:

(a) the person is an Australian citizen or a permanent resident of Australia; and
(b) the designated authority is satisfied that the person is a suitable person to be appointed, having regard in particular to:

(i) whether the person has any criminal convictions; and
(ii) the person’s employment record; and

(c) the person has satisfactorily completed adequate training to exercise the functions of an authorised person that are proposed to be given to the person.

23 Approved forms

(1) The designated authority may, in writing, approve forms for or in connection with this instrument.
(2) If the designated authority approves a form to be used for a particular purpose for or in connection with this instrument, the form must be used for that purpose.

(3) Subsection (2) has effect despite anything in any ACT law, including an ACT law applied by this instrument.

(4) Without limiting subsection (3), if the designated authority approves a form (the ANU form) for a particular purpose and there is a form approved, or a form is approved, under an ACT law (the ACT form) for that purpose, the ANU form (and not the ACT form) must be used for that purpose for this instrument.

(5) Substantial compliance with an approved form is sufficient.

(6) However, an approved form is properly completed only if each mandatory requirement applying to the form is complied with.

(7) For subsection (6), a mandatory requirement is any requirement that the form states is a mandatory requirement.

(8) Without limiting subsection (7), an approved form may state that any of the following requirements is a mandatory requirement:
   (a) that the form be signed or witnessed, or signed and witnessed in a particular way;
   (b) that the form, or information or a document given with or attached to the form, be in a particular format (for example, in writing or a particular electronic format);
   (c) that particular information be included in the form, or a particular document be given with or attached to the form;
   (d) that the form, information in the form, or a document given with or attached to the form, be verified in a particular way (for example, by statutory declaration).

(9) The designated authority must ensure that approved forms are publicly available on the University’s website or any other way that the designated authority considers appropriate.

24 Service of notices etc.

(1) This section applies to a notice or other document that is required or permitted to be served on an individual under this instrument (whether the word ‘give’, ‘notify’, ‘send’, ‘tell’ or another word is used).

(2) The document may be served on an individual:
   (a) by giving it to the individual; or
   (b) by sending it by prepaid post, addressed to the individual, to an address shown in the University’s records as an address of the individual (including, for example, any semester, work or permanent home address); or
   (c) by emailing it to:
      (i) if the individual has an email address provided by the University—that email address; or
      (ii) in any case—an email address shown in the University’s records as an email address of the individual (including, for example, any personal or work email address).

(3) A document served by post on an individual under subsection (2)(b) is taken to have been served on the day it would have been delivered in the ordinary course of post.
A document served by email on an individual under subsection (2)(c) is taken to have been served on the day it would have been received in the ordinary course of email transmission.

This section does not affect the operation of any other University legislation or any other law (including an ACT law applied by this instrument) that authorises or requires service of a document otherwise than as provided under this section.

[Note: This section does not apply, for example, to the service of infringement notices. The General Act, section 24(3) (Infringement notices), as applied by this instrument, provides that an infringement notice must be served in the way prescribed by regulation (under that Act). The Offences Regulation, section 12 (Infringement notices—service if offender known—Act, s 24 (2)) and section 12A (Infringement notices—service if offender unknown—Act, s 24 (2)) prescribe how an infringement notice may be served.]

25 Delegation and subdelegation of designated authority’s functions

(1) In this section:

*eligible entity* means any of the following:

(a) an officer or member of staff of the University;
(b) a body or other entity of the University;
(c) if authorised under arrangements with the ACT—an authority, officer, employee or contractor of the ACT.

(2) The designated authority may, in writing, delegate any or all of the authority’s functions under this instrument to an eligible entity.

(3) If, under subsection (2), the designated authority delegates a function to an eligible entity:

(a) the eligible entity may, in writing, subdelegate the function to another eligible entity; and
(b) the function may, in writing, be further subdelegated to a different eligible entity (or successively further subdelegated to different eligible entities); if the delegation states that the function is a function that may be subdelegated and any conditions, limitations or directions stated in the delegation for the subdelegation or further subdelegation of the function are complied with.

(4) In exercising functions under a delegation or subdelegation, the delegate or subdelegate must comply with any directions of the designated authority and, for a subdelegation, the subdelegator of the function.

(5) The following sections of the *Acts Interpretation Act 1901* (Cwlth) apply, with all necessary changes, in relation to a subdelegation in a corresponding way to the way in which they apply in relation to a delegation:

(a) section 34AA (Delegation to persons holding, occupying or performing the duties of an office or position);
(b) section 34AB (Effect of delegation);
(c) section 34A (Exercise of powers and performance of functions or duties that depend upon the opinion etc. of delegates).

26 Repeal

The *Australian National University (Parking and Traffic) Statute 2017* is repealed.
27 Transitional

(1) This instrument (other than subsections (2) and (3)) does not apply to an act or omission that happened before the commencement of this instrument.

(2) Despite the repeal of the *Australian National University (Parking and Traffic) Statute 2017*, that statute continues to apply to an act or omission that happened before the commencement of this instrument if that statute applied to the act or omission immediately before that commencement.

(3) Subsection (2) is additional to, and does not limit:
   (a) the *Australian National University (Interpretation) Statute 2017*, section 9 (Amendment of statutes); or
   (b) the *Acts Interpretation Act 1901* (Cwlth), section 7 (Effect of repeal or amendment of Act).
## Schedule 1—Applied ACT parking and traffic legislation

[Note: See section 8.]

### 1 Applied ACT parking and traffic legislation

The ACT laws mentioned in the following table are included in the applied ACT parking and traffic legislation for this instrument.

<table>
<thead>
<tr>
<th>Item</th>
<th>ACT laws</th>
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<tbody>
<tr>
<td>1</td>
<td>The following provisions of the General Act:</td>
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<td></td>
<td>(a) the following provisions of Part 2 (Administration of road transport legislation):</td>
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<td></td>
<td>(i) Division 2.1 (Road transport legislation);</td>
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<td></td>
<td>(ii) Division 2.2 (Relationship between road transport legislation and other laws);</td>
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<td>(iii) Division 2.3 (Responsible persons for vehicles under road transport legislation);</td>
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<td>(iv) section 12 (Power to include or exclude areas in road transport legislation);</td>
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<td>(v) section 13 (Power to exclude vehicles, persons or animals from road transport legislation);</td>
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<td>(vi) section 20 (Identity cards);</td>
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<td>(vii) section 21 (Power not to be exercised before identity card shown);</td>
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<td>(b) the following provisions of Part 3 (Infringement notices for certain offences):</td>
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<td></td>
<td>(i) Division 3.1 (Preliminary);</td>
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<td>(ii) Division 3.2 (Infringement and reminder notices);</td>
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<td></td>
<td>(iii) Division 3.2B (Waiver of infringement notice penalties);</td>
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<td>(iv) Division 3.3 (Infringement notice offences involving registrable and rail vehicles);</td>
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<td>(v) Division 3.3AA (Withdrawal of infringement notices);</td>
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<td></td>
<td>(vi) Division 3.3AB (Effect of penalty payment etc);</td>
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<td></td>
<td>(vii) Division 3.5 (Disputing liability);</td>
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<td></td>
<td>(viii) Division 3.6 (Miscellaneous);</td>
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<td>(c) the following provisions of Part 4 (Enforcement of road transport legislation):</td>
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<td>(i) section 58 (Police officer or authorised person may require name, date of birth, address and driver licence—driver or rider);</td>
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<td></td>
<td>(ii) section 60 (Police officer or authorised person may require people to disclose identity of driver);</td>
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<td>(iii) section 64 (Court may order disqualification for other offences);</td>
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<td></td>
<td>(iv) section 66 (Effect of disqualification);</td>
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<td></td>
<td>(v) section 70 (Additional powers of court);</td>
</tr>
</tbody>
</table>
(vi) Division 4.3 (Evidentiary provisions in relation to road transport legislation);
(vii) Division 4.4 (Proceedings for offences under road transport legislation);
(d) the following provisions of Part 11 (Miscellaneous):
   (i) section 231 (Person not to hinder or obstruct);
   (ii) section 232 (False or misleading statements);
(e) dictionary.

2 The following provisions of the General Regulation:
   (a) the following provisions of Part 2 (Administration of road transport legislation):
      (i) section 5 (Responsible people for vehicle);
      (ii) section 9B (When posted notice is taken to be given);
   (b) section 10 (Certificate evidence—Act, s 72 (4));
   (c) dictionary.

3 The following provisions of the Offences Regulation:
   (a) Part 2 (Infringement notices);
   (b) Part 3 (Enforcement of road transport legislation);
   (c) Schedule 1 (Short descriptions, penalties and demerit points);
   (d) dictionary.

4 The following provisions of the Safety and Traffic Management Act:
   (a) Part 5 (Traffic control devices);
   (b) Part 7 (Traffic management);
   (c) dictionary.

5 The following provisions of the Safety and Traffic Management Regulation:
   (a) the following provisions of Part 1 (Preliminary):
      (i) section 6 (Offences against regulation—defence);
      (ii) section 7 (Meaning of road);
   (b) Part 4 (Traffic control devices);
   (c) Part 6 (Traffic management);
   (d) the following provisions of Part 7 (Parking):
      (i) Division 7.2 (Ticket parking schemes);
      (ii) section 66 (Parking permits and mobility parking scheme authorities—return when cancelled);
      (iii) Division 7.5 (Other parking provisions);
The following provisions of the Road Rules Regulation:

(a) the following provision of Part 1 (Preliminary):
   (i) section 8 (Offences against regulation—strict liability);
   (ii) section 9 (Offences against regulation—defence);
   (iii) section 10 (Objects of regulation);

(b) Part 2 (Application of this regulation);

(c) the following provisions of Part 8 (Traffic signs and road markings):
   (i) Division 8.1 (Traffic signs and road markings at intersections and other places);
   (ii) Division 8.2 (Traffic signs and road markings generally);

(d) Division 11.8 (Motor vehicles passing bicycle riders);

(e) Part 12 (Restrictions on stopping and parking);

(f) Part 14 (Rules for pedestrians);

(g) Part 15 (Additional rules for bicycle riders);

(h) Part 16 (Rules for people travelling in or on vehicles);

(i) the following provisions of Part 18 (Miscellaneous road rules):
   (i) section 288 (Driving on path);
   (ii) section 289 (Driving on nature strip);
   (iii) section 290 (Driving on traffic island);
   (iv) section 291 (Making unnecessary noise or smoke);
   (v) section 291A (Making unnecessary engine noise);
   (vi) section 293 (Removing fallen etc things from the road);
   (vii) section 298 (Driving with person in trailer);
   (viii) section 300A (Interrupting funeral procession etc);
   (ix) section 300B (Driving on road closed to traffic);
   (x) section 303A (Emission of waste oil or grease);
   (xi) 303B (Safety of person on trailer);
   (xii) section 304 (Directions by police officer or authorised person);

(j) Part 19 (Exemptions);

(k) Part 20 (Traffic control devices and traffic-related items);

(l) Part 21 (General);

(m) Schedule 1 (Abbreviations and symbols);

(n) Schedule 2 (Standard or commonly used traffic signs);

(o) Schedule 3 (Other permitted traffic signs);
(p) Schedule 4 (Symbols and other traffic-related items);
(q) dictionary.

7 All of the provisions of the following:
(a) the Extension of Time Guidelines;
(b) the Waiver of Infringement Notice Penalties Guidelines;
(c) the Withdrawal of Infringement Notices Guidelines.
Schedule 2—General modifications

[Note: See section 9.]

1 Administering authority

A reference to the *administering authority* for an infringement notice offence (however described) is a reference to the designated authority.

2 Approved e-payment method

A reference to an *approved e-payment method* is a reference to an approved e-payment method under section 17 (Approval of e-payment methods) of this instrument.

3 Approved forms

A reference to an *approved form* is a reference to a form approved under section 23 (Approved forms) of this instrument.

4 Authorised persons: general

(1) This section applies to a reference to an *authorised person*, other than in relation to an infringement notice or reminder notice for an infringement notice offence.

[Note: Section 5 of this Schedule applies to a reference to an authorised person in relation to an infringement notice or reminder notice for an infringement notice offence.]

(2) A reference to an *authorised person*, other than in an inclusive provision, is a reference to a University authorised person.

(3) A reference to an *authorised person* in an inclusive provision includes a reference to a University authorised person.

(4) In this section:

*inclusive provision* means:

(a) any of the following provisions of the Safety and Traffic Management Act:

(i) section 20 (Removal of unauthorised devices);
(ii) section 31 (Removal of dangers and obstructions to traffic);
(iii) section 32 (Removal of unattended vehicles from certain places);

(b) either of the following provisions of the Road Rules Regulation:

(i) section 304 (Direction by police officer or authorised person);
(ii) section 346A (Preventing prescribed traffic control device being clearly visible).

5 Authorised persons: infringement notices and reminder notices

A reference to an authorised person (however described), in relation to an infringement notice or reminder notice for an infringement notice offence, is a reference to any University authorised person or to another person appointed under the General Act, section 53A(1) (Authorised people for infringement notice offences), as applied by this instrument, to serve infringement notices or reminder notices, as the case may be, for the offence or infringement notice offences.
6 Minister
   A reference to the Minister is a reference to the designated authority.

7 Notifiable instruments
   A reference to a notifiable instrument is a reference to a notifiable instrument under the Commonwealth Legislation Act.
   [Note: An instrument made under this instrument (including under the applied ACT parking and traffic legislation in its application in relation to University land under this instrument) that is a notifiable instrument must be registered under the Commonwealth Legislation Act and not the ACT Legislation Act.]

8 Offence references
   A reference to an offence against a territory law, or to an offence against the road transport legislation, includes a reference to an offence against this instrument, including the applied ACT parking and traffic legislation in its application in relation to University land under this instrument.

9 Parking permits
   A reference to a parking permit is a reference to a parking permit issued under section 10(1) (Issue of parking permits etc.) of this instrument.

10 Penalty levels
   (1) The maximum fine that can be imposed on a person for an offence against this instrument (including the applied ACT parking and traffic legislation in its application in relation to University land under this instrument) is 10 penalty units.
   (2) Subsection (1) has effect despite anything else in this instrument.
   (3) In this section, to remove any doubt, penalty unit has the meaning given by the ACT Legislation Act, section 133.

11 Road transport authority
   (1) A reference to the road transport authority, other than in an excepted provision, is a reference to the designated authority.
   (2) A reference to the road transport authority in an inclusive provision includes a reference to the designated authority.
   (3) In this section:
      excepted provision means:
      (a) either of the following provisions of the General Act:
         (i) section 66(4) or (5) (Effect of disqualification);
         (ii) section 72 (Certificate evidence and other evidentiary provisions); or
      (b) the General Regulation, section 9B(1)(b)(ii) (When posted notice taken to be given); or
      (c) the Safety and Traffic Management Act, section 18 (Authority to install etc prescribed traffic control devices); or
(d) the Road Rules Regulation, section 309A (Exemption from requirement about riding on motorbike); or
(e) the Safety and Traffic Management Regulation, section 73 (Approvals etc by road transport authority).

inclusive provision means:
(a) the General Act, section 72 (Certificate evidence and other evidentiary provisions); or
(b) the Safety and Traffic Management Act, section 18 (Authority to install etc prescribed traffic control devices); or
(c) the Withdrawal of Infringement Notices Guidelines.

[Note Specific modifications also apply under Schedule 3 to provisions mentioned in these definitions.]

12 Road transport legislation and applied ACT laws

(1) A reference to the road transport legislation, other than in an excepted provision, is a reference to this instrument, including the applied ACT parking and traffic legislation in its application in relation to University land under this instrument.

(2) A reference to an ACT law applied by this instrument in relation to University land is a reference to the ACT law in its application in relation to University land under this instrument.

(3) In this section:

excepted provision means:
(a) either of the following provisions of the General Act:
   (i) section 20(1) (Identity cards);
   (ii) section 72(1)(h) (Certificate evidence and other evidentiary provisions); or
(b) either of the following provisions of the Offences Regulation:
   (i) section 12 (Infringement notices—service if offender known—Act, s 24 (2));
   (ii) section 14A(1)(c) and (d) (Infringement notices—contents—Act, s 25).

[Note Specific modifications also apply under Schedule 3 to provisions mentioned in this definition.]

13 Working day

A reference to working day is a reference to a working day as defined by section 5 (Definitions).
Schedule 3—Specific modifications

[Note: See section 9.]

1 General Act modifications

(1) The General Act is modified in accordance with this section.

(2) The reference in section 12(1) (Power to include or exclude areas in road transport legislation) to the application of the road transport legislation, or a provision of the road transport legislation, to an area that is open to or used by the public includes a reference to the application of the road transport legislation, or provision, to an area of University land, whether or not the area is open to or used by the public, and whether or not the area is developed for, or has as 1 of its main uses, the driving or riding of motor vehicles, as if the area were a road or road related area or a road or road related area of a stated kind.

(3) The reference in section 12(3) to a disallowable instrument is a reference to a notifiable instrument.

(4) The note to section 12 is omitted.

(5) The reference in section 13(3) (Power to exclude vehicles, persons or animals from road transport legislation) to a disallowable instrument is a reference to a notifiable instrument.

(6) The note to section 13 is omitted.

(7) The reference in section 20(1) (Identity cards) to an authorised person for the road transport legislation, or stated provisions of the road transport legislation, is a reference to an authorised person for the University.

(8) The reference in section 20(1)(a) to a recent photograph is a reference to a photograph that is not more than 1 year old.

(9) The following provisions are omitted:
   (a) section 26(2)(b)(i) and (ii) (Infringement notice—payment of penalty etc);
   (b) section 28(2)(b)(i) and (ii) (Action on service of reminder notice—payment of penalty etc);
   (c) section 30(1) and (3) (Extension of time—guidelines);
   (d) section 31G(3)(d) and (4) (Application for waiver of penalty—decision);
   (e) section 31I(1) and (3) (Guidelines for waiver of penalty).

(10) The note to section 35(2) (Application for withdrawal—decision) is modified to read as follows:

   Note Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Commonwealth Criminal Code.

(11) The following provisions are omitted:
   (a) section 36A (Infringement notice—effect of withdrawal on infringement notice plan);
   (b) section 38(1) and (3) (Infringement notice—guidelines for withdrawal);
   (c) section 39(1)(a)(ii)(B), (b)(ii)(B) and (c)(ii)(B) (Infringement notice—effect of penalty payment etc).
(12) The reference in the note to section 53AA (Presumption against responsible person) to the *Commonwealth Criminal Code, s 59 (c)* is a reference to the *Commonwealth Criminal Code, section 13.4(c).*

(13) The following provisions are omitted:
   (a) section 53(3)(a)(ii) and (iii) (Procedure if liability disputed);
   (b) section 53A(2) (Authorised people for infringement notice offences);
   (c) section 53A(3), definition of *authorised person*, paragraphs (a) and (b)(i)(C) and (ii)(C).

(14) Section 54 (Delegation of administering authority’s functions) is omitted.

(15) The note to section 55 is modified to read as follows:
   Note Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the *Commonwealth Criminal Code.*

(16) Section 56(3)(d) to (i) (Evidentiary certificates) is omitted.

(17) The note to section 58(2) (Police officer or authorised person may require name, date of birth, address and driver licence—driver or rider) is modified to read as follows:
   Note Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the *Commonwealth Criminal Code.*

(18) The reference in the note to section 58(4) to the *Commonwealth Criminal Code, s 59* is a reference to the *Commonwealth Criminal Code, section 13.4.*

(19) The reference in section 72(1)(h) (Certificate evidence and other evidentiary provisions) to any other record kept by the authority under the road transport legislation includes a reference to any record of the University.

2 General Regulation modifications

(1) The General Regulation is modified in accordance with this section.

(2) The reference in section 9B(1)(b)(ii) (When posted notice taken to be given) to an address for service recorded for a person in a road transport authority record or register includes a reference to any address recorded for the person in the University’s records.

(3) The definition of *parking permit* in the dictionary is omitted.

3 Offences Regulation modifications

(1) The Offences Regulation is modified in accordance with this section.

(2) The following provisions are omitted:
   (a) section 4E, definition of *discharge action*, paragraphs (a) and (b) (Meaning of *discharge action*—pt 2);
   (b) section 8 (Administering authority—Act, dict, def *administering authority*).

(3) The reference in section 12(2)(b)(i)(B) (Infringement notices—service if offender known—Act, s 24 (2)) to an *address for service* for a person in a record or register kept under the road transport legislation, the *Heavy Vehicle National Law (ACT)* or a corresponding law includes a reference to any address recorded for the person in the University’s records.
Section 12(2)(b)(ii)(B) is modified by inserting ‘or the offender has an email address provided by the University and the notice is sent to that address’ after ‘electronic means’.

The reference in section 12A(2)(b)(i)(B) (Infringement notices—service if offender unknown—Act, s 24 (2)) to an address for service for a person in a record or register kept under the road transport legislation, the Heavy Vehicle National Law (ACT) or a corresponding law includes a reference to any address recorded for the person in the University’s records.

Section 12A(2)(b)(ii)(B) is modified by inserting ‘or the responsible person has an email address provided by the University and the notice is sent to that address’ after ‘electronic means’.

The reference in section 14A(1)(c) (Infringement notices—contents—Act, s 25)) to a home address or address for service recorded for an individual in a record or register kept under the road transport legislation or a corresponding law includes a reference to any address recorded for the individual in the University’s records.

The reference in section 14A(1)(d) to a corporation’s identifying details under a record or register kept under the road transport legislation or a corresponding law includes a reference to the identifying details recorded for the corporation in the University’s records.

The following provisions are omitted:
(a) section 14A(2)(a)(ii)(A), (f)(i), (h), (j)(i), (k)(ii)(A) and (l)(i) and (ii);
(b) section 14B(1)(m)(ii)(A), (p)(i) and (r)(ii), and (2)(b)(i), (c)(ii)(A) and (d)(i) and (ii) (Reminder notices—contents—Act, s 27 (3));
(c) section 14EA (Application for infringement notice management plan or addition to plan—contents—Act, s 31A (4) (b));
(d) section 14EB (Minimum amount—Act, s 31B (7) (b)).

The notes to sections 14F to 14I (which are about infringement notice declarations) are modified to read as follows:

Note Giving false or misleading information, or producing a false or misleading document, may be a criminal offence against the Commonwealth Criminal Code.

The following provisions are omitted:
(a) section 14J (Contents of suspension warning notice—Act, s 42 (2) (a) (iii));
(b) section 14K (Contents of suspension confirmation notice—Act, s 42 (4) (d));
(c) section 14L (Content of suspension notice—Act, s 44 (3) (c));
(d) section 15 (Delegation of administering authority’s functions—Act, s 54 (1)(b)).

4 Safety and Traffic Management Act modifications

The Safety and Traffic Management Act is modified in accordance with this section.

The reference in section 20(4)(b) (Removal of unauthorised devices) to the Territory is, in relation to a device removed by the designated authority or a University authorised person, a reference to the University.

A reference in section 21 (Devices generally presumed to be lawfully installed or displayed) or section 22 (Notice of intention to challenge certain issues) to an offence against this Act is a reference to an offence against this instrument, including the applied
ACT parking and traffic legislation in its application in relation to University land under this instrument.

(4) A reference in section 30 (Road or road related area may be closed temporarily to traffic) to a police officer includes a reference to a University authorised person.

(5) The reference in section 31(2) (Removal of dangers and obstructions to traffic) to the Territory is, in relation to action taken by a University authorised person, a reference to the University.

(6) A reference in section 32 (Removal of unattended vehicles from certain places) to a road or road related area includes a reference to any other area of University land that is not a road or road related area, whether or not the area is open to or used by the public, and whether or not the area is developed for, or has as 1 of its main uses, the driving or riding of motor vehicles.

5 Safety and Traffic Management Regulation modifications

(1) The Safety and Traffic Management Regulation is modified in accordance with this section

(2) The reference in section 6 (Offences against regulation—defence) to an offence against this regulation is a reference to an offence against a provision of the Safety and Traffic Management Regulation that is a provision of the applied ACT parking and traffic legislation as that provision applies in relation to University land under this instrument.

(3) The reference in the note to section 6 to the Criminal Code, s 59 is a reference to the Commonwealth Criminal Code, section 13.4.

(4) The reference in section 33(3) (Parking authorities) to a disallowable instrument is a reference to a notifiable instrument.

(5) The note to section 33(3) is omitted.

(6) The reference in section 34(2) (Parking authority guidelines) to a disallowable instrument is a reference to a notifiable instrument.

(7) The note to section 34(2) is omitted.

(8) Section 35 (Ticket parking schemes—road transport authority) is modified by adding the following subsections at the end:

(3) To remove any doubt, nothing in this regulation or the Road Rules Regulation prevents a ticket parking scheme from being established or operated (whether under this section or otherwise) for any length of road or area that is, in whole or part, a permit zone under the Road Rules Regulation or prevents a permit zone under the Road Rules Regulation being established or operated for any length of road or area that is, in whole or part, a ticket parking area under this regulation.

(4) Also, to remove any doubt, nothing in this regulation prevents the designated authority (or a parking authority) from deciding that fees payable for parking under a ticket parking scheme may only be paid by an approved e-payment method.

(9) Section 36 (Approval of e-payment method) is omitted.
The reference in section 40 (Ticket machines) to this division is a reference to this instrument.

Each reference in section 41(1) (Parking tickets) to a RTA periodic ticket is omitted and all necessary consequential changes are taken to be made in the subsection.

Section 41(3) is omitted.

The reference in section 45 (Additional police powers—removing cars from ticket parking areas) to a police officer includes a reference to a University authorised person.

Section 45(3) is omitted.

The reference in section 45 (Additional police powers—removing cars from ticket parking areas) to a police officer includes a reference to a University authorised person.

Section 67(1) (Parking permits and mobility parking scheme authorities—return when cancelled) is modified to read as follows:

(1) If a parking permit is cancelled under section 14 (Cancellation of parking permits) of the Australian National University (Parking and Traffic) Statute 2019, the person to whom the permit was issued must return the permit to the designated authority as soon as practicable but no later than 15 working days after the date of effect of the cancellation of the permit.

Maximum penalty: 20 penalty units.

Section 68 (Marking tyres by parking inspectors—Act, s 43) is modified to read as follows:

68 Marking tyres by University authorised person etc.

A police officer or University authorised person may mark the tyres on any vehicle using crayon, chalk or a similar substance, or remove and replace a cover placed over all or part of a vehicle, as far as reasonably necessary for the purpose of enforcing a provision of the applied ACT parking and traffic legislation as that provision applies in relation to University land under the Australian National University (Parking and Traffic) Statute 2019.

The definitions of approved e-payment method and parking permit in the dictionary are omitted.

6 Road Rules Regulation modifications

(1) The Road Rules Regulation is modified in accordance with this section.

A reference in section 8 (Offences against regulation—strict liability) or section 9 (Offences against regulation—defence) to an offence against this regulation is a reference to an offence against a provision of the Road Rules Regulation that is a provision of the applied ACT parking and traffic legislation as that provision applies in relation to University land under this instrument.

(3) The reference in section 179(1)(c) (Stopping in loading zone) to a motor vehicle that is built mainly for the transport of goods is a reference to any motor vehicle.

(4) Section 185(1) (Stopping in permit zone) is modified to read as follows:
185 Stopping in permit zone

(1) A driver must not stop in a permit zone unless a current permit issued under the *Australian National University (Parking and Traffic) Statute 2019* permits the driver’s vehicle to stop in the zone.

Maximum penalty: 20 penalty units.

(2) To remove any doubt, this section does not apply to the driver if the driver stops in a ticket parking space, or on a length of road in a ticket parking area, in the permit zone.

(3) In this rule:

*permit zone* means a length of road or area to which a permit zone sign applies.

(5) A reference in section 197(1) (Stopping on path, dividing strip, nature strip, painted island or traffic island) to *a nature strip adjacent to a length of road in a built-up area* (however described) includes a reference to any other area of University land that is not a road, whether or not the area is open to or used by the public and whether or not the area is developed for, or has as 1 of its main uses, the driving or riding of motor vehicles.

(6) Each reference in section 213K(1) (Ticket parking—display of tickets) to *an RTA multi-stay ticket parking area* is omitted and all necessary consequential changes are taken to be made in the subsection.

(7) The reference in section 213N(1)(c)(ii) (Ticket parking—exceptions to s 213K and s 213M) to *a mobility parking scheme authority* includes a reference to a disability permit.

(8) Section 213N(1)(d)(ii) is modified to read as follows:

(ii) a current parking permit of that kind is in force for the vehicle; and

(9) A reference in section 213T (Unauthorised use of parking permit and mobility parking scheme authority) to *a mobility parking scheme authority* includes a reference to a disability permit.

(10) A reference in section 213T to the conditions of a parking permit or mobility parking scheme authority includes a reference to any limitations of the permit or authority.

(11) A reference in section 289(1) (Driving on nature strip) to *a nature strip adjacent to a length of road in a built-up area* (however described) includes a reference to any other area of University land that is not a road, whether or not the area is open to or used by the public and whether or not the area is developed for, or has as 1 of its main uses, the driving or riding of motor vehicles.

(12) The definitions of *approved e-payment method* and *parking permit* in the dictionary are omitted.

(13) The definition of *parking permit for people with disabilities* in the dictionary is taken to include a disability permit.

7 Extension of Time Guidelines modifications

(1) The Extension of Time Guidelines are modified in accordance with this section.

(2) The definition of *Administering authority* in section 4 is omitted.
(3) Provisions about, or as far as they relate to, infringement notice management plans are taken to be omitted.

8 Waiver of Infringement Notice Penalties Guidelines modifications

(1) The Waiver of Infringement Notice Penalties Guidelines are modified in accordance with this section.

(2) The definition of Administering authority in section 4 is omitted.

(3) Provisions about, or as far as they relate to, the following matters are taken to be omitted:
   (a) infringement notice management plans (including approved community work and social development programs);
   (b) internal review;
   (c) the ACT Civil and Administrative Tribunal (ACAT).

9 Withdrawal of Infringement Notices Guidelines modifications

(1) The Withdrawal of Infringement Notices Guidelines are modified in accordance with this section.

(2) The definitions of Administering authority and Infringement notice management plan in section 4 are omitted.

(4) Provisions about, or as far as they relate to, the following matters are taken to be omitted:
   (a) infringement notice management plans (including approved community work and social development programs);
   (b) internal review;
   (c) the ACT Civil and Administrative Tribunal (ACAT);
   (d) the making of applications for withdrawal of an infringement notice online;
   (e) particular kinds of parking permits (other than mobility parking scheme authorities) that are not issued under this instrument;
   (f) public passenger ticketing and conduct offences.

(3) A reference in schedule 1 of the guidelines to a parking permit or parking ticket being correctly displayed is a reference to a parking permit or parking ticket being correctly displayed if the display of the permit or ticket was required under this instrument or, for a parking permit, a condition of the permit.

(4) A reference in schedule 1 of the guidelines to a receipt from an authorised smart phone application, or to a receipt from an authorised application, is a reference to a record of payment made using an approved e-payment system.

(5) A reference in schedule 1 of the guidelines to a mobility parking scheme authority includes a reference to a disability permit.
THE AUSTRALIAN NATIONAL UNIVERSITY

Australian National University (Parking and Traffic) Instrument 2019

I, Professor Brian P. Schmidt, Vice-Chancellor, make the following instrument.

Dated DATE MONTH 2019

Professor Brian P. Schmidt AC FAA FRS
Vice-Chancellor
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_Australian National University (Parking and Traffic) Instrument 2018_
1 Name

This is the *Australian National University (Parking and Traffic) Instrument 2019*.

2 Commencement

This instrument commences on 1 January 2020.

3 Authority

This instrument is made under the following provisions of the statute:
(a) section 15 (Approval of e-permit systems);
(b) section 17 (Approval of e-payment methods).

[Note: This instrument is a notifiable instrument under the *Legislation Act 2003 (Cwlth).*]

4 Definitions

In this instrument:

- **parking systems provider** means CellOPark Pty Ltd.
- **PAYG parking system** means the online Pay-As-You-Go (PAYG) parking system developed by the parking systems provider and managed by the parking systems provider on behalf of the University.
- **vPermit system** means the online vPermit system developed by the parking systems provider and managed by the University.
- **the statute** means the *Australian National University (Parking and Traffic) Statute 2019*.

5 Approval of e-permit systems

For section 15 of the statute, the PAYG parking system and vPermit system are approved for parking permits issued in electronic form.

6 Approval of e-payment method

For section 17 of the statute, payment using the PAYG parking system is approved as a method for paying ticket parking fees.

7 Repeal

The *Australian National University (Parking and Traffic) Instrument 2017* is repealed.
Dear Sharon,

ANU PARKING MATTERS 2019

We refer to your recent request for advice in relation to the 2018 amendments to ACT road transport legislation as they affect the ANU parking legislation.

Please find below our advice in relation to your request:

Changes to the ACT road transport legislation
In April and May 2018, the ACT Government made a number of changes to ACT road legislation. As the Australian National University (Parking and Traffic) Statute 2017 (‘the ANU Statute’) applies the ACT road transport legislation, these changes impact the ANU Statute.

New legislation
The ACT government introduced three new pieces of legislation which resulted in the consequential amendment of some of the legislation applied by the ANU statute. The new legislation is:

- Road Transport (Road Rules) Regulation 2017
- Road Transport (Safety and Traffic Management) Regulation 2017
- Road Transport (General) Withdrawal of Infringement Notices Guidelines 2018 (No 1)

Amended legislation
In light of the new legislation, two regulations were also introduced to amend existing legislation.

The Road Transport (Road Rules) (Consequential Amendments) Regulation 2017 (No 1) amended the following legislation:

- Road Transport (General) Regulation 2000
- Road Transport (Offences) Regulation 2005
The Road Transport (Road Rules) (Consequential Amendments) Regulation 2017 (No 2) amended the following legislation:

- Road Transport (General) Act 1999
- Road Transport (Safety and Traffic Management) Act 1999

Repealed legislation

- Road Transport (Safety and Traffic Management) Regulation 2000
- Road Transport (Safety and Traffic Management) Australian Road Rules Incorporation 2013 (No 1)
- Road Transport (General) Withdrawal of Infringement Notices Guidelines 2012 (No 1)

Effect of changes
The legislative changes function to align the ACT road rules with the newly amended national road rules. The amendments remove any references in the ACT road transport legislation to the Australian Road Rules (ARRs) and Road Transport (Safety and Traffic Management) Regulation 2000, and replace them with references to the Road Transport (Road Rules) Regulation 2017 and Road Transport (Safety and Traffic Management) Regulation 2017.

The provisions of the repealed Road Transport (Safety and Traffic Management) Regulation 2000 were incorporated into the Road Transport (Road Rules) Regulation 2017.

Impact on ANU Statute
The following legislative amendments are relevant to the ANU Statute, as they relate to provisions applied by the ANU Statute (as referred to in the Schedules of the ANU Statute):

Amendments under Road Transport (Road Rules) (Consequential Amendments) Regulation 2017 (No 1):

- Road Transport (General) Regulation 2000
  - dictionary
- Road Transport (Offences) Regulation 2005
  - section 8(1)(a) and (b) (Note: this is not specifically mentioned in the ANU Statute, which instead refers broadly to ‘Part 2’)
  - Schedule 1
  - dictionary

Amendments under Road Transport (Road Rules) (Consequential Amendments) Regulation 2017 (No 2):

- Road Transport (General) Act 1999
  - dictionary
- Road Transport (Safety and Traffic Management) Act 1999
  - dictionary
Repeal of Road Transport (Safety and Traffic Management) Regulation 2000/introduction of Road Transport (Safety and Traffic Management) Regulation 2017

- The 2000 regulation no longer exists. All references to it in the Schedules are no longer relevant. They are to be replaced with entirely different provisions in accordance with the 2017 regulation.

Introduction of the Road Transport (Road Rules) Regulation 2017

- All references to the Australian Road Rules are no longer relevant. They are to be replaced with different provisions in accordance with the new Road Rules Regulation.

Repeal of Road Transport (General) Withdrawal of Infringement Notices Guidelines 2012 (No 1)/introduction of Road Transport (General) Withdrawal of Infringement Notices Guidelines 2018 (No 1)

- The 2012 guidelines no longer exist. Any references in the ANU Statute must be updated to reflect any changes.

Need for update

In our view, the ANU Statute is consequently outdated. Every piece of legislation on which the ANU Statute relies has been changed in some form. There are innumerable references to legislation that no longer exists or has been significantly amended.

In order for the ANU Statute to accurately reflect changes in the ACT law, and ensure that anyone considering the legal implications of the ANU Statute – whether lawyers, judges, or the broader public – is able to access up-to-date legislation, a range of amendments must be made. For example, the numerous references to the “Australian Road Rules” must be deleted, and replaced by “Road Transport (Road Rules) Regulation 2017”. The same applies for any references to the Road Transport (Safety and Traffic Management) Regulation 2000. References to section numbers must be updated to reflect the legislative changes and ensure that the ANU Statute contains accurate references to legislation.

We thank you for your instructions in relation to this matter. Should you have any questions, please contact the writer.

Yours faithfully

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Reimagine Engineering and Computer Science

Strategic Intent
2019 – 2025
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Acknowledgement of Country

"We acknowledge and celebrate the First Australians on whose traditional lands we meet, and pay our respect to the elders past, present and emerging."
Australia today remains in transition. We face economic and societal change, and international instability. Government, industry and social institutions all face challenges to their legitimacy and longevity. In response, ANU must innovate in research, teaching and learning, and elevate our understanding of contemporary Australia and our world. This is the fundamental purpose of the national university, which we will remain as long as we continue to serve Australia with distinction. Our unique place in the nation is inseparably linked to this contribution.

It is my hope that the Australian National University’s research, education and contributions to public policy-making will change Australia and change the world. To this end, we are also committed to identifying emerging areas of need for the nation and provide research and education that will equip Australia to cope with challenges not yet imagined.

Nowhere is this more evident than in our commitment to the College of Engineering and Computer Science. In 2018, the University agreed to make the most significant investment since its foundation in that College to accelerate its vision to fundamentally change engineering and computing for Australia and the world. Our university seeks to become one of the most influential and progressive voices for engineering, computing and the use of technology in the world. The Reimagine investment is a 15-year, multi-hundreds of millions of dollars’ commitment to capability and capacity building. I am incredibly excited about the ways in which the College will reinvent itself, and in so doing, reimagine Engineering and Computer Science for the twenty-first century. It is a bold plan, and an important one, and has the University’s complete backing.

Our ambition for the future of ANU is as great as the ambition of our founders. Our Reimagine investment in conjunction with the broader ANU Strategic Plan will ensure that this unique and remarkable institution is able to meet its contemporary mission as Australia’s national university, and one of the world’s greatest.
ANU was founded in 1946, with a suite of disciplines and a set of tasks that reflected the global context in which Australia found itself at the time. Three quarters of a century later those foundational activities remain central to the place of ANU in the world, but the national and global context has changed. Our enduring mission remains unchanged: to create capability for a nation seeking its place in the world.
Building a New Legacy

Australia today faces rapid economic and societal change that evolves in complex interplay with advances in technology. Countries, economies, companies and other institutions are changing their macro-settings as they orient to this new strategic environment. Universities too must adapt. Our traditional place as a trusted societal institution is being eroded by non-traditional competitors who are willing to experiment with new ideas about education; others who can do research at a pace and scale previously not seen; and some who are more willing to be collaborative across sectoral boundaries.

I believe our world needs people who think deeply about how to design and operate highly heterogeneous and interconnected systems of physical, environmental, biological and computational objects, data and people-at scale. We will need to reimagine the traditional engineering and computer science disciplines. We will need to bring together expertise in social, technical, ecological and scientific systems to build a new approach. The University’s commitment, through the Reimagine investment in the College, allows us to do exactly that.

In the College of Engineering and Computer Science, we will draw on our disciplinary foundations to find and solve problems of global importance. We will build on our traditional, world-class expertise and take it in creative, unconventional directions. We will inspire a new generation to develop and use engineering and computing skills. We will give them transformational experiences with a distinctive focus on technological problem formulation, with expertise drawn from the humanities, social, natural and life sciences. We will build world-class facilities that attract and inspire.

We will also invest heavily in the renewal of the College culture, in line with the University’s focus on collegiality and engagement. Our people will explicitly connect to disciplines across ANU; we will become more engaged with business and industry; and we will redefine the way that we engage with society. We will increase the diversity of our staff and students to better reflect the society we serve. We will always act with integrity and we will measure our successes by the difference we make in the world around us. In short, we will have the strength and courage to be intellectual and cultural leaders.

I am proud to be the Dean of this College. I am proud of our staff, students, alumni and critical friends. We inherit the legacy of generations of adventurous engineers and computer scientists before us. With the Reimagine investment, we have the privilege and the responsibility to build a new legacy for the University, the country and even the world. I know we can do this – it is our future.

Professor Elanor Huntington
Dean, College of Engineering and Computer Science

Reimagine
Reimagine
Reimagine
Reimagine
Our College has a layered history with many antecedent organisations, and signal events. The first courses in Computer Science were taught in 1971. The University appointed the first Professor of Computer Science in 1978 and the first Professor of Engineering in 1981. The first stand-alone Engineering and Computer Science entities appeared in the 1980s. The Research School of Information Sciences and Engineering was created in the 1990s and was run in parallel to the Faculty of Engineering & Information Technology. Both entities were finally merged into an Engineering and Information Sciences Institute briefly in 2004 before assuming our current name in 2005.

Today, the College of Engineering and Computer Science is comprised of four schools — the Research Schools of Electrical, Energy and Materials Engineering; Aerospace, Mechanical and Environmental Engineering; Design Engineering; and Computer Science — and three Innovation Institutes — the Cyber Institute, the Software Innovation Institute and the Autonomy, Agency and Assurance (3A) Institute. Our community includes students, faculty and professional staff, and numbers more than two thousand. Our alumni can be found in all corners of the world, and in all walks of life; their accomplishments and impact are an important measure of our work here. We can claim with justifiable pride our traditions of excellence in research, creativity in quality education, being at the intellectual forefront of whatever we do and taking a progressive and forward-leaning view of our disciplines.

The world around us has continued to evolve and change. The best universities in the world are being astute in their response and looking not just to scale, but also to reorient engineering and computing. In 2018 alone, at least four world-class universities committed more than $1Bn each to activities that impact on engineering, computing and the use of technology in the world. They are taking a differentiating position that builds on university strengths and potential, and frequently looking to break down the old disciplinary and sectoral boundaries.
How greatly things have changed, but how much more they need to change! ... The present CECS is like a musical quintet asserting to the world it is a symphony orchestra. The music might be lovely, but it is not really symphony orchestra sort of music, and lacks its impact.

-Distinguished Professor Brian Anderson

Research School of Electrical, Energy and Materials Engineering

For the ANU, the Reimagine investment represents a 15-year, multi-hundreds of millions of dollars’ commitment to the bold vision for renewal in its College of Engineering and Computer Science. It comes at a time when the College has already embarked on a significant set of transformative activities:

> In 2017, we created two new Innovation Institutes—the Cyber Institute and the Autonomy, Agency and Assurance (3A) Institute. The Software Innovation Institute—a “software teaching hospital”—was established in 2019. The 3A Institute is already piloting a new curriculum and a named Masters qualification with industry sponsorship and an attached research program.

> In 2019, the Research School of Engineering was renamed by the staff of the school to be the Research School of Electrical, Energy and Materials Engineering so as to provide focus and disambiguate from other Research Schools at ANU. We also created and will staff two new Research Schools: The Research School of Aerospace, Mechanical and Environmental Engineering; and the Research School of Design Engineering.

> We have made significant investments in our facilities and environment. The Hanna Neumann Building was completed and officially opened in 2019, signalling new facilities for collaboration as it brought together the Mathematical Sciences Institute with the Research School of Computer Science and also houses the ANU collaboration with the Australian Signals Directorate. We also commenced work on the repurposing of the Birch building which will house two new schools.

These activities are only the beginning. We have a unique set of national responsibilities and an obligation to have a degree of impact befitting the only national university. This document spells out our ambition and the direction we will take in reimagining Engineering and Computer Science for the twenty-first century.
Our Principles and Values

The Reimagine investment signals a shift in scope and scale for the College of Engineering and Computer Science. It also demands an evolution of our culture. It is an opportunity to restate our principles and values.

Be creative and bold

Ours will be an environment that fosters intellectual and cultural leadership. We will do this through comparisons to the best, a spirit of high aspirations and a culture that is not averse to risk. We will be deliberate, learning from our failures and successes.

Be open and inclusive

The technology we teach and the research we do is at the service of society. We value the full diversity of society and acknowledge the richness diversity brings to creative disciplines. We will make our College one where staff and students are open to, and representative of, the richness of the society we serve.
Act with purpose and professionalism

We will progressively review and adapt the way that we govern, manage, organise, co-ordinate and collaborate within and across the College. We will make deliberate choices about what to start, stop and do more of in recognition of the increased expectations, scale and complexity of our College, and its comprising units. We will invest in trials to explore, establish and institutionalise new business models, methodologies, stakeholder groups, and ways of achieving impact.

“Reimagining Engineering and Computer Science: Strategic Intent is a timely and compelling manifesto for engineering to again move to a higher level in contributing to the ANU Mission.”

- Emeritus Professor Robin Stanton
Research School of Computer Science

Act with integrity and with awareness of how we behave

We will build a strong community; one that respects, welcomes and openly acknowledges difference in expertise, experience, perspective and access to power. We are all accountable for our actions and behaviour. They mean something. We will operate with respect, seeking to build trust.

Measure success by the difference we make

The work we do affects how people live—shaping societies, governments and technologies. We will measure our achievements by the difference they make, and against the objectives articulated for our work.
Charting A New Course

The enduring pillars of the ANU College of Engineering and Computer Science are to: conduct the research that underpins the creation and use of technologies twenty, thirty, and even forty, years from now; educate the technological leaders who will flourish over that timescale; and make a positive difference to the way that Australia and the world engage with technology—societally, economically and culturally. To achieve this, the time for action is now.

None of this is possible without the initiative and engagement of the community of staff, students, alumni and critical friends that make up our College.

Over the next 5 years, we will focus on:

- a strong community;
- transformative educational experiences;
- high impact research;
- meaningful engagement;
- world class infrastructure.

"The reimagine work is leading engineering from a place of detached comfort and into a new scale of place, people, purpose and culture. There is a clear vision for a greater role in the shaping a future where engineers no longer create things for us, but rather they engineer the systems that will become us."

- Honorary Professor Glenn Dickens
  Principle Architect of Convergence, Dolby
  ANU Engineering Alum
A Strong Community

Our people will have the strength and courage to be intellectual and cultural leaders and will sharpen their skills throughout their lives. Over the course of this plan, we will change the human face of our College dramatically, growing in number and diversity, whilst fostering an inclusive culture. We expect many faculty to hold joint appointments across multiple academic units within the College, across ANU and beyond. We will target demographic representational parity in our admissions processes and as we hire.

Our learning environment will allow our students to thrive. Our professional support services will be an exemplar of best practice. We will invest in our alumni and build a vibrant and extended community of allies, supporters and champions. As part of our commitment to diversity and in acknowledgment of the special relationship with the traditional owners of the land on which our University is situated, we will actively facilitate participation by indigenous students and staff in our learning and research.

We will increase the diversity of our community. Our students, like those in many Engineering and Computer Science university student cohorts, are far from representative of the full diversity of the population from which they come and which they will ultimately serve. We will implement long-term outreach programs and use the new ANU admissions scheme to target underrepresented groups. Our benchmark is demographic representational parity. Initially we will prioritize our imbalance in women and Indigenous students, who are conspicuously underrepresented. We will work alongside changes in the admissions process to greatly diversify our international student cohort.

We will grow both our faculty and our student numbers. At the core of our plan are higher aspirations, raised expectations and dramatic changes in scale. To meet these goals, we will recruit outstanding staff and students and change the way we work.

Our students will be inspired by faculty who will be intellectual leaders and who will through their teaching, immerse students in the transformational power of engineering and computer science.

Our students will thrive in an inclusive self-sustaining culture, fully-supported by complete, at-scale service delivery.

We are changing our recruitment processes, focussing on active search beyond our existing professional networks. To ensure all staff, particularly professional staff, have clear pathways that allow them to fulfill their true potential, we will provide active support for, and celebrate, multiple pathways into and out of the College.

A culture of inclusion, adaptation, high aspirations, and of learning from both success and failure will be key to retaining our staff. We will develop and deliver a professional development process that hones the skills of our people, setting them up for long term career success on whatever pathway they choose.

We have created and will operate the Reimagine Fellows scheme over the life of this plan. The Reimagine Fellows will be selected from staff and students of the University, who will be invited to define and deliver strategic projects. They will be given the same leadership development and cohort experiences as the new hires and their projects will be resourced to succeed.

We will progressively review and adapt all aspects of the way that we work. We will begin with a three-year project targeting new ways of working and organising ourselves to suit the new structure, scale and focus of the College.
10
Indigenous representation
Increase by 10 times in indigenous representation.

Global representation
Increase global representation amongst international students.

Female faculty
Increase percentage of female faculty members from 15% to 35%

35%
Female students
Increase percentage of female students from 25% to 35%

Transform cyber for the betterment of humanity.

- Cyber Institute
College of Engineering and Computer Science
Transformative Education Experiences

We will inspire a new generation of high-potential creative people in engineering and computing with a diverse range of backgrounds, interests, motivations and perspectives. We aspire to be intellectual leaders in education—its content, types of experiences, and delivery mode. We will deliver a transformational education that gives our students a distinctive edge. We will expand our offerings as our College grows and broadens its intellectual foundations. Grounded in Engineering and Computer Science, our offerings will be distinguished by their engagement with the breadth of world-class ANU expertise from the sciences, social sciences, humanities, and fine arts. We will adapt and evolve, as our disciplines change, as the market moves, and as opportunities arise in education and training. We will lead our students to materially and intellectually enhanced careers.

We will create pathways for our students to return for multiple educational experiences. We will develop and offer micro-credentials to allow students to take an agile approach to their life-long education.

We will take a long view of student career pathways, identifying and engaging with prospective students early to achieve the breadth and depth of our student profile targets.

We will increase the agility with which we develop and deploy curriculum, including deployment at-scale. Evolving our curriculum will include adapting our existing qualifications to fold in new disciplines. It will include adapting to market conditions and updating pedagogy where it makes sense. We will begin by reconsidering our offerings and approach in a ‘co-design’ process bringing the College community together with diverse participants including future students and employers as well as external educational experts.

We will actively seek to work with and integrate into other disciplines, while maintaining a clear identity of a coherent intellectual foundation in Engineering and Computer Science.

Throughout this we will maintain a continuous focus on the quality of the educational experience we offer.

Delivering a state of the art software engineering teaching program with world leading work integrated learning.

- Software Innovation Institute

College of Engineering and Computer Science
Creating a new Applied Science to manage the AI safely to scale.

- 3A Institute
College of Engineering and Computer Science

48% Postgraduate students
Increase percentage of postgraduate students from 40% to 48%

17:1 Student to staff ratio
Decrease student to staff ratio from 30:1 to 17:1

CECS students
Grow CECS students from 2350 to 3200
High Impact Research

We will build an intellectual agenda of lasting impact that advances the state of the art in Engineering and Computer Science. We will conduct the research that underpins the creation and use of technologies of the second, third and fourth decades from now. We will recraft disciplinary boundaries through global intellectual leadership. We will achieve national outcomes in bringing important new intellectual agendas to Australia and nurturing them to achieve scale and impact beyond ANU.

“As we transition from the foundation School of Engineering to the Research School of Electrical, Energy and Materials Engineering we are committed to addressing the grand challenges presenting the planet’s transition to a sustainable future.”

- Research School of Electrical, Energy and Materials Engineering

College of Engineering and Computer Science

465

Faculty numbers
Grow faculty numbers by 100%

College staffing
Grow college staffing from 290 to 465
"Transform data science into tech delivering public good."

- Software Innovation Institute
  College of Engineering and Computer Science

We will reinforce areas of traditional strength through the “foundation” Research Schools. The Research School of Electrical, Energy and Materials Engineering will set a strategic direction which aligns to the Reimagine investment and then recruit additional faculty to build critical mass and focus in areas and ways that align to their strategic plan. The Research School of Computer Science will do the same.

We will maintain Innovation Institutes and give them strategic priority to achieve their ambitious interdisciplinary agendas on behalf of the University. We expect to establish at least one further Innovation Institute after the 3A Institute becomes the Research School of Design Engineering.

We will develop a hiring strategy that actively seeks to work with and integrate into other disciplines, while maintaining a clear identity as a coherent body of expertise.

"Focus on tackling the problems emerging around next generation cyber-physical systems and their impact on humanity."

- 3A Institute
  College of Engineering and Computer Science
Meaningful Engagement

We are committed to better outcomes for our community, our nation and the world. We believe our work should deliver on our unique national responsibilities. We will make a positive difference to the ways that Australia and the world engage with technology – societally, economically and culturally. We will engage broadly, within and beyond the University, with government and industry.

We will identify and engage strategic partners based on a mutual value proposition to partners, our staff and our students. We will actively establish opportunities for the exchange of ideas and people with our partner organisations.

We will host a series of events over the life of this plan, to bring together employers, government, parents, schools, industry, humanists, scientists and social scientists to develop a shared view about our future.

We will form genuine relationships with our alumni, staff and students such that they are actively advocating on behalf of the College, our staff and our students; based on transformative experiences while they were with us.

We will strategically position people to be considered trusted voices in leading discourse relating to technology and its interaction with society and strategically position people to be a trusted voice in decision/policy-making.

We will develop a metric to track our engagement with a focus on gaining an external point of reference on that engagement.

We will deepen and diversify our funding streams, including developing a higher and more evenly distributed external income base. We will also support and expand non-traditional research activities, working with government, industry, and external organisations.

5 yrs
Reimagine Fellows Program
Five years of the Reimagine Fellows Program.

$↑
Research income
Increase diversity in research income.

3
Industry collaboration
3,000m² set aside for industry collaboration.
Inventing the computing platforms and methodologies that underpin our complex society, for the common good, with applications in areas as diverse as healthcare, energy, and urban systems.

- Research School of Computer Science
College of Engineering and Computer Science
World Class Infrastructure

We will invest in world-class space and infrastructure that attracts and inspires. We will build new infrastructure to support the new scale and nature of activities in the College. A significant fraction of our infrastructure will be used for industry interaction. We will progressively rework and optimise our existing infrastructure.

We will complete precinct planning and start to implement the precinct plan. We will establish and co-design facilities to inspire partners to join us on campus thus creating an inspiring technology precinct on campus.

We will map out the resources required to achieve our education, research and impact goals. We will map out the resources required to sustain experiments in research, education, partnership and new ways of being. We will prioritise and establish facilities accordingly.

We will develop and implement a digital strategy. We will also deliver an underpinning IT strategy to sustain the digital strategy as well as our ongoing research and education needs. We will improve the overall digital experience of our community.

We will develop infrastructure of national importance in partnership with government, industry, and other organisations.

"Create leading cyber professionals to meet the demands of our fast changing world, at the intersection of real-time operations, research and policy."

- Cyber Institute
  College of Engineering and Computer Science
Measuring our Impact

We will be renowned for the quality of our research, which is international in scope and quality, always measured against the best in the world. Our research investment will be strategic, taking a long-term view and focus on high-quality activities, high-impact infrastructure and areas of high national importance. We will be renowned for the calibre of our undergraduate and graduate education, and our commitment to transformative experiences. We will be renowned for the quality of the contribution our research and education make to societal transformation.

Through the Reimagine investment, the College of Engineering and Computer Science will profoundly reinvent engineering and computing for the twenty-first century. We will take a phased approach and monitor our progress against our operational and business plans. The Reimagine investment continues until 2033.
ANU College of Engineering & Computer Science

Reimagine Engineering and Computer Science
Strategic Intent, 2019-2025

cecs.anu.edu.au/reimagine
Reimagining Engineering and Computing
Project Risk Register
Risk Register Summary

Table 1 below provides a summary of all risks and issues directly relating to Project Reimagine’s objectives, which are detailed in this Risk Register.

Note:

- The risks and issues identified in this register are solely related to Project Reimagine and have been evaluated in the context of the Project’s scope.
- Table 1 columns ‘Rating at (date) contain risk or issue ratings based on a point in time assessment with consideration given to the effectiveness of existing controls in place. Existing controls are reviewed at rating date.
- Column ‘Expected Risk Rating Post Treatment’ contains a speculative rating after all treatments have been implemented (which are assumed to be designed and operating effectively).

Table 1: Summary of all risks and issues

<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Risk</td>
<td>Project Reimagine does not recruit and retain the desired College and School leadership roles.</td>
<td>High (12)</td>
<td>Moderate (8)</td>
<td>Moderate (4)</td>
<td>Moderate (4)</td>
<td>➡️</td>
<td>Moderate (4)</td>
<td>Dean CECS</td>
<td>Internal – Strategic</td>
<td>People</td>
<td>9</td>
</tr>
<tr>
<td>2</td>
<td>Risk</td>
<td>Project Reimagine does not recruit and retain the desired academic ‘tent pole’ hires.</td>
<td>High (12)</td>
<td>Extreme (20)</td>
<td>Moderate (8)</td>
<td>Moderate (8)</td>
<td>➡️</td>
<td>Moderate (4)</td>
<td>Dean CECS</td>
<td>Internal and external - Strategic</td>
<td>People</td>
<td>10</td>
</tr>
<tr>
<td>3</td>
<td>Risk</td>
<td>Project Reimagine does not recruit and retain the desired academics to support existing research focus areas.</td>
<td>High (12)</td>
<td>Moderate (4)</td>
<td>Moderate (4)</td>
<td>Moderate (4)</td>
<td>➡️</td>
<td>Moderate (4)</td>
<td>Dean CECS</td>
<td>Internal and external - Strategic</td>
<td>People</td>
<td>11</td>
</tr>
<tr>
<td>4</td>
<td>Risk</td>
<td>Insufficient project resources (non-financial) to achieve the Project Reimagine’s objectives.</td>
<td>Moderate (9)</td>
<td>Moderate (6)</td>
<td>Moderate (4)</td>
<td>Low (3)</td>
<td>➡️</td>
<td>Low (3)</td>
<td>GM</td>
<td>Internal – Strategic</td>
<td>People</td>
<td>12</td>
</tr>
<tr>
<td>5</td>
<td>Risk</td>
<td>Research revenue growth targets are not achieved.</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>➡️</td>
<td>Low (3)</td>
<td>Dean CECS</td>
<td>Internal – Strategic</td>
<td>Project performance</td>
<td>13</td>
</tr>
<tr>
<td>----</td>
<td>------</td>
<td>----------------------------------------------------------------------------------</td>
<td>---------------------------</td>
<td>--------------------------------</td>
<td>----------------------</td>
<td>---------------------------</td>
<td>-------</td>
<td>-------------------------------</td>
<td>-----------------</td>
<td>-------------------</td>
<td>------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>6</td>
<td>Risk</td>
<td>Significant change resistance impacts the Project’s ability to achieve its objectives.</td>
<td>Moderate (9)</td>
<td>Moderate (6)</td>
<td>Moderate (6)</td>
<td>Moderate (6)</td>
<td>➞</td>
<td>Low (3)</td>
<td>PST</td>
<td>Internal – Implementation</td>
<td>People</td>
<td>14</td>
</tr>
<tr>
<td>7</td>
<td>Risk</td>
<td>Project Reimagine falls behind schedule.</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>➞</td>
<td>Low (3)</td>
<td>PST</td>
<td>Internal – Implementation</td>
<td>Schedule</td>
<td>15</td>
</tr>
<tr>
<td>8</td>
<td>Risk</td>
<td>Project Reimagine does not meet its targets for undergraduate and postgraduate coursework students.</td>
<td>High (12)</td>
<td>High (12)</td>
<td>Extreme (16)</td>
<td>Extreme (16)</td>
<td>➞</td>
<td>Moderate (9)</td>
<td>PST</td>
<td>Internal and external – Strategic</td>
<td>Project performance</td>
<td>16</td>
</tr>
<tr>
<td>9</td>
<td>Risk</td>
<td>Project Reimagine does not meet its targets for Higher Degree Research students.</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td>➞</td>
<td>Moderate (4)</td>
<td>PST</td>
<td>Internal and external – Strategic</td>
<td>Project performance</td>
<td>17</td>
</tr>
<tr>
<td>10</td>
<td>Risk</td>
<td>Project Reimagine does not meet its targets for industry collaboration.</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td>➞</td>
<td>Moderate (4)</td>
<td>PST</td>
<td>Internal and external – Strategic</td>
<td>Project performance</td>
<td>18</td>
</tr>
<tr>
<td>11</td>
<td>Risk</td>
<td>Project Reimagine’s objectives are not affordable within budget.</td>
<td>Moderate (6)</td>
<td>Moderate (6)</td>
<td>Moderate (6)</td>
<td>Moderate (6)</td>
<td>➞</td>
<td>Low (3)</td>
<td>PST</td>
<td>Internal – Implementation</td>
<td>Cost</td>
<td>19</td>
</tr>
<tr>
<td>12</td>
<td>Risk</td>
<td>Loss of access to key personnel who exclusively hold critical Project Reimagine information.</td>
<td>Moderate (8)</td>
<td>Moderate (8)</td>
<td>Low (3)</td>
<td>Low (3)</td>
<td>➞</td>
<td>Low (3)</td>
<td>PST</td>
<td>Internal – Strategic</td>
<td>People</td>
<td>20</td>
</tr>
<tr>
<td>13</td>
<td>Risk</td>
<td>Accountabilities and responsibilities across the University for Project Reimagine activities are unclear and diffused.</td>
<td>Extreme (20)</td>
<td>High (12)</td>
<td>Moderate (9)</td>
<td>Moderate (5)</td>
<td>➞</td>
<td>Moderate (4)</td>
<td>PST</td>
<td>Internal – Strategic</td>
<td>Process</td>
<td>21</td>
</tr>
<tr>
<td>14</td>
<td>Risk</td>
<td>Project Reimagine implementation fails to achieve objectives.</td>
<td>High (15)</td>
<td>High (15)</td>
<td>Moderate (9)</td>
<td>Moderate (5)</td>
<td>➞</td>
<td>Moderate (5)</td>
<td>PST</td>
<td>Internal – Strategic</td>
<td>Project performance</td>
<td>22</td>
</tr>
<tr>
<td>----</td>
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<td>-------------------</td>
<td>----------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>15.</td>
<td>Risk</td>
<td>The ANU leaders, Deans and strategy owners do not effectively communicate or coordinate Project Reimagine’s strategic priorities.</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td></td>
<td>Moderate (9)</td>
<td>VC/Provost</td>
<td>Internal – Strategic</td>
<td>Process</td>
<td>23</td>
</tr>
<tr>
<td>16.</td>
<td>Risk</td>
<td>The ANU does not successfully transform its business, or achieve its broader objectives and desired global standing.</td>
<td>High (15)</td>
<td>High (15)</td>
<td>High (15)</td>
<td>Extreme (16)</td>
<td>↑</td>
<td>High (10)</td>
<td>Provost</td>
<td>Internal – Strategic</td>
<td>Process</td>
<td>24</td>
</tr>
<tr>
<td>17.</td>
<td>Risk</td>
<td>CECS student load caps are changed.</td>
<td>High (15)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td>Moderate (9)</td>
<td></td>
<td>Moderate (9)</td>
<td>PST</td>
<td>External – Strategic</td>
<td>NA</td>
<td>25</td>
</tr>
<tr>
<td>19.</td>
<td>Risk</td>
<td>Other Australian Universities respond competitively to the actions taken in Project Reimagine</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td>High (12)</td>
<td></td>
<td>High (12)</td>
<td>PST</td>
<td>External – Strategic</td>
<td>NA</td>
<td>27</td>
</tr>
</tbody>
</table>
### Risk/Issue Distribution

Table 2 below illustrates the distribution of risks and issues IDs by rating in a risk and issue matrix.

**Table 2: Risk/Issue Distribution Matrix**

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Consequences:</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Almost Certain</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Likely</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Possible</td>
<td>16</td>
<td>2, 9, 10, 13, 18, 19</td>
<td>5, 7, 15, 17, 14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Unlikely</td>
<td></td>
<td>1</td>
<td></td>
<td>4, 6, 11, 12</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Rare</td>
<td></td>
<td></td>
<td>3</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Table 3: Risk/Issue Context Distribution

Table 3 below outlines the distribution of risks and issues by their risk/issue context.

**Table 3: Risk/Issue Context Distribution**

<table>
<thead>
<tr>
<th>Risk/Issue Context</th>
<th>Number of Associated Risks/Issues</th>
<th>Associated Risk/Issue IDs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal – Strategic</td>
<td>7</td>
<td>1, 5, 12, 13, 14, 15, 16</td>
</tr>
<tr>
<td>Internal – Implementation</td>
<td>3</td>
<td>6, 7, 11</td>
</tr>
<tr>
<td>Internal – Strategic and Implementation</td>
<td>1</td>
<td>4</td>
</tr>
<tr>
<td>External – Strategic</td>
<td>2</td>
<td>17, 18, 19</td>
</tr>
<tr>
<td>External – Implementation</td>
<td>0</td>
<td>NA</td>
</tr>
<tr>
<td>External – Strategic and Implementation</td>
<td>0</td>
<td>NA</td>
</tr>
</tbody>
</table>
Table 4 below outlines the distribution of risks and issues by their Primary risk/issue area. Only risks/issue with an internal context have been assigned a primary risk/issue area.

**Table 4: Primary risk/issue area distribution**

<table>
<thead>
<tr>
<th>Primary risk/issue area¹</th>
<th>Number of associated risks/issues</th>
<th>Associated risk/issue IDs</th>
</tr>
</thead>
<tbody>
<tr>
<td>People</td>
<td>6</td>
<td>1, 2, 3, 4, 6, 12</td>
</tr>
<tr>
<td>Process</td>
<td>3</td>
<td>13, 15, 16</td>
</tr>
<tr>
<td>Technology</td>
<td>0</td>
<td>NA</td>
</tr>
<tr>
<td>Schedule</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>Cost</td>
<td>1</td>
<td>11</td>
</tr>
<tr>
<td>Project performance</td>
<td>5</td>
<td>5, 8, 9, 10, 14</td>
</tr>
</tbody>
</table>

¹Primary risk/issue areas were only assigned to risks/issues with an internal risk context. Therefore, risks and issues with an external context will not be accounted for in this table.
# Glossary

Table 5 below provides a glossary of key acronyms and phrases used throughout this Risk Register.

## Table 5: Glossary

<table>
<thead>
<tr>
<th>Acronym or phrase</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>BC</td>
<td>College of Engineering and Computer Science Strategic Business Case (May 2017)</td>
</tr>
<tr>
<td>CECS or the College</td>
<td>College of Engineering and Computer Science</td>
</tr>
<tr>
<td>CFO</td>
<td>Chief Finance Officer</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>Deputy</td>
<td>Deputy Dean, CECS</td>
</tr>
<tr>
<td>DMSR</td>
<td>Division of Marketing &amp; Student Recruitment</td>
</tr>
<tr>
<td>DSA</td>
<td>Division of Student Administration</td>
</tr>
<tr>
<td>DVC-A</td>
<td>Deputy Vice Chancellor (Academic)</td>
</tr>
<tr>
<td>DVC-RI</td>
<td>Deputy Vice Chancellor (Research &amp; Innovation)</td>
</tr>
<tr>
<td>F&amp;S</td>
<td>Facilities &amp; Services Division</td>
</tr>
<tr>
<td>F&amp;BS</td>
<td>Finance &amp; Business Services Division</td>
</tr>
<tr>
<td>GM</td>
<td>General Manager</td>
</tr>
<tr>
<td>HDR</td>
<td>Higher Degree Research</td>
</tr>
<tr>
<td>HR</td>
<td>Human Resources</td>
</tr>
<tr>
<td>Institute Directors</td>
<td>Directors or Chief Executive Officers of each of the Innovation Institutes existing within CECS</td>
</tr>
<tr>
<td>KP</td>
<td>Reimagine – Key Priorities 1-3 detail document (30 May 2018)</td>
</tr>
<tr>
<td>MII</td>
<td>Marketing Insights &amp; Intelligence</td>
</tr>
<tr>
<td>PD</td>
<td>Position Description</td>
</tr>
<tr>
<td>PET</td>
<td>Project Execution Team</td>
</tr>
<tr>
<td>PMO</td>
<td>CECS Reimagine Project Management Office</td>
</tr>
<tr>
<td>PSG</td>
<td>Professional Services Group</td>
</tr>
<tr>
<td>PST</td>
<td>Project Strategy Team</td>
</tr>
<tr>
<td>Precinct Planners</td>
<td>Architectural firm appointed to undertake precinct planning and related tasks for CECS</td>
</tr>
<tr>
<td>PRG</td>
<td>CECS Precinct Planning Reference Group</td>
</tr>
<tr>
<td>Project Reimagine</td>
<td>Reimagining Engineering and Computing Project</td>
</tr>
<tr>
<td>PVCI</td>
<td>Pro Vice Chancellor (Innovation)</td>
</tr>
<tr>
<td>RAPID</td>
<td>Recommend, Agree, Perform, Inform, Decide</td>
</tr>
<tr>
<td>SCAPA</td>
<td>Strategic Communications and Public Affairs</td>
</tr>
<tr>
<td>School Directors</td>
<td>Directors of each the Research Schools existing within CECS</td>
</tr>
<tr>
<td>VC</td>
<td>Vice Chancellor</td>
</tr>
</tbody>
</table>
**Risk/issue ID:** 1  
**Risk/issue Owner:** Dean CECS  
**Risk/issue Monitor:** NA  
**Project objectives impacted:** Objectives to be determined by Final Business Plan.  
**Timeframe:** Pre-launch (2018–19), Launch (2020–24), Consolidate (2025–28), Second-phase launch (2029–32)  
**Key Stakeholders:** Project Director, HR

### Causes:
1. Strong competition in academic staff recruitment from other universities significantly investing in their engineering and computer science schools.  
2. Ineffective marketing techniques to attract staff.  
3. Incentives or investment in staff are insufficient to encourage international academic staff to join ANU and CECS.  
4. Hires are poor fits due to candidates being evaluated poorly, or insufficient transparency to enable effective candidate decision-making to pursue or accept the roles.  
5. Pressure to quickly recruit and meet recruitment targets.

### Risk Event:
Project Reimagine does not recruit and retain the desired College and School leadership roles

### Consequences:
1. ANU does not have the leadership team with the experience and capacity to drive and deliver the transformational outcomes targeted by Project Reimagine.  
2. The University and CECS’s reputation in the community is negatively impacted.  
3. CECS is unable to demonstrate leadership direction which proves to be attractive to current and prospective academic hires.  
4. CECS’ international rankings does not improve.  
5. Lack of strong enduring college and/or school leadership impacts on the ability to build long lasting industry partnerships.  
6. Teaching and research continuity is impacted by departing leadership staff.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
</table>
| 1. A Deputy Dean has been recruited for ANU CECS.  
2. Interim GM CECS appointed  
3. Revised GM CECS PD developed | Active | - Project Director  
- Selection Committee | - NA  
- Dean CECS  
- Dean CECS | - CECS HR  
- Search firm  
- HRD  
- CECS HR  
- Search firm  
- Selection Committee | - CECS HR  
- Search firm  
- Dean CECS | - PST  
- Dean CECS | Q4 2018  
Q4 2018 | 30 August 2018  
1 September 2019 |

### Review date
30/8/2019

**Changes from review**
Risk identified and drafted.
| Risk/issue ID: | 2 |
| Risk/issue Owner: | Dean CECS |
| Risk/issue Monitor: | NA |
| Project objectives impacted: | Objectives to be determined by Final Business Plan. |
| Key Stakeholders: | Project Director, HR |

### Causes:
1. Strong competition in academic staff recruitment from other universities significantly investing in their engineering and computer science schools.
2. Other business areas in ANU fail to effectively support CECS in attracting and recruiting the required hires.
3. Ineffective marketing techniques to attract staff.
4. Incentives or investment in staff are insufficient to encourage international academic staff to join CECS.
5. Staff dissatisfaction affects retention.
6. Pressure to quickly recruit and meet recruitment targets.

### Risk Event:
Project Reimagine does not recruit and retain the desired academic ‘tent pole’ hires.

### Consequences:
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. The ANU does not have staff with the expertise to support teaching and research in disciplines necessary to effectively compete with other universities.
3. CECS is unable to expand and diversify its disciplinary portfolio.
4. CECS’ international rankings does not improve.
5. Lack of staff retention impacts on the ability to build long lasting industry partnerships.
6. Teaching and research continuity is impacted by departing staff.
7. CECS discipline portfolio is not fit-for-purpose in the 21st Century.

### Existing Controls

<table>
<thead>
<tr>
<th>Strategic Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Communication and engagement strategy with search firms to source and deliver the initial rounds of candidates.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- CECS HR</td>
<td>- PST</td>
<td>31 August 2018</td>
<td></td>
</tr>
<tr>
<td>2. Develop Tent pole academic position attribute needs</td>
<td>Active</td>
<td>- Dean CECS</td>
<td>- DVC-A</td>
<td>- Search Firm</td>
<td>- Search Firm</td>
<td>- CECS HR</td>
<td>- PST</td>
</tr>
<tr>
<td>3. Develop KPIs on academic staff recruitment targets.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- GM CECS</td>
<td>- HRD</td>
<td>- Search Firm</td>
<td>- PST</td>
</tr>
<tr>
<td>4. Develop academic recruitment strategy for the College.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- GM CECS</td>
<td>- HRD</td>
<td>- Search Firm</td>
<td>- PST</td>
</tr>
<tr>
<td>5. Develop academic retention strategy for the College and individual Research Schools, highlighting the importance of training and career development.</td>
<td>Active</td>
<td>- GM CECS</td>
<td>- Dean CECS</td>
<td>- GM CECS</td>
<td>- HRD</td>
<td>- Search Firm</td>
<td>- PST</td>
</tr>
</tbody>
</table>

### Changes from review
Risk identified and drafted.
### ANU Reimagining Engineering and Computing Project Risk Register

<table>
<thead>
<tr>
<th>Risk/issue ID:</th>
<th>3</th>
</tr>
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<tbody>
<tr>
<td>Risk/issue Owner:</td>
<td>Dean CECS</td>
</tr>
<tr>
<td>Risk/issue Monitor:</td>
<td>NA</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>Project Director, HR</td>
</tr>
</tbody>
</table>

#### Causes:
1. Strong competition in academic staff recruitment from other universities significantly investing in their engineering and computer science schools.
2. Other business areas in ANU fail to effectively support CECS in attracting and recruiting the required hires.
3. Ineffective marketing techniques to attract staff.
4. Incentives or investment in staff are insufficient to encourage international academic staff to join CECS.
5. Staff dissatisfaction affects retention.
6. Pressure to quickly recruit and meet recruitment targets.
7. Academic staff have research focuses which are not sufficiently resourced, complementary to CECS disciplines, and will not expand their capacity strategically.

#### Risk Event:
Project Reimagine does not recruit and retain the desired academics to support teaching and research focus areas.

#### Consequences:
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. The ANU does not have staff with the expertise to support teaching and research in disciplines necessary to effectively compete with other universities.
3. CECS is unable to expand and diversify its disciplinary portfolio.
4. CECS’ international rankings does not improve.
5. Lack of staff retention impacts on the ability to build long lasting industry partnerships.
6. Teaching and research continuity is impacted by departing staff.

#### Existing Controls

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. A 'Staff Acquisition Framework' is being developed (BC).</td>
<td>Active - Project Director</td>
<td>- CECS HR</td>
<td>- HRD - Search firms</td>
<td>- HR</td>
<td>- Dean CECS</td>
<td>15 August 2018</td>
<td></td>
</tr>
<tr>
<td>2. Develop academic position attribute needs for each level in existing schools, including criteria for assessing career development prospects</td>
<td>Active - Project Director</td>
<td>- Dean CECS</td>
<td>- Search firm</td>
<td>- RSCS Professor - RSEng Professor - Search Firm</td>
<td>- Dean CECS</td>
<td>15 August 2018</td>
<td></td>
</tr>
<tr>
<td>3. Develop KPIs on academic staff recruitment targets.</td>
<td>Active - Project Director</td>
<td>- Dean CECS</td>
<td>- GM CECS</td>
<td>- HRD - Search firms</td>
<td>- PST</td>
<td>Q4 2018</td>
<td></td>
</tr>
<tr>
<td>4. Develop academic recruitment and retention strategy for the College and individual Research Schools, highlighting the importance of training and career development</td>
<td>Active - Project Director</td>
<td>- Dean CECS</td>
<td>- CECS HR - Search firm</td>
<td>- HRD - CECS HR</td>
<td>- PST</td>
<td>Q4 2018</td>
<td></td>
</tr>
<tr>
<td>5. Develop communication and engagement strategy with market and/or search firms to source and deliver the targeted candidates.</td>
<td>Active - Project Director</td>
<td>- HRD - Search Firm</td>
<td>- Comms Manager - HRD - CECS HR - Search firm</td>
<td>- HRD - CECS HR - Search firm</td>
<td>- Dean CECS</td>
<td>1 July 2019</td>
<td></td>
</tr>
</tbody>
</table>

#### Review date
30/8/2019

#### Changes from review
Risk identified and drafted.
## ANU Reimagining Engineering and Computing Project Risk Register

<table>
<thead>
<tr>
<th>Risk/issue ID:</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk/issue Owner:</td>
<td>PST</td>
</tr>
<tr>
<td>Risk/issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>Dean CECS</td>
</tr>
<tr>
<td>Status:</td>
<td>Active</td>
</tr>
<tr>
<td>Risk/issue context:</td>
<td>Internal – Strategic and Implementation</td>
</tr>
<tr>
<td>Primary risk/issue area:</td>
<td>People</td>
</tr>
<tr>
<td>Likelihood rating:</td>
<td>Unlikely</td>
</tr>
<tr>
<td>Consequence rating:</td>
<td>Moderate</td>
</tr>
<tr>
<td>Risk/issue rating:</td>
<td>Low (3)</td>
</tr>
</tbody>
</table>

### Causes:
1. Insufficient personnel, tangible resources/equipment and/or experience.
2. University resources are not effectively deployed and utilised where needed.
3. Existing infrastructure and equipment is outdated.
4. Project Team current and available resources prove to be insufficient.
5. Uncertainty about amount of resources required because of unclear and diffused decision making and implementation authority across the University, and Project Reimagine’s cross-portfolio dependencies.

### Risk Event:
Insufficient project resources (non-financial) to achieve Project Reimagine’s objectives.

### Consequences:
1. The ANU is unable to compete with its peer universities.
2. Project Reimagine falls behind schedule.
3. The ANU does not have the capability or capacity to provide students with the skills and experience necessary to respond effectively to the 21st Century wave of global disruption.
4. CECS lacks the scale to be a world-class faculty.
5. CECS is unable to achieve targets for staff and student growth and retention.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Establishment of the PMO designed to create and deepen connections between project and normal operations of CECS and ANU as a whole.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- Project Director</td>
<td>- NA</td>
<td>- PST</td>
<td>24 December 2018</td>
</tr>
<tr>
<td>2. Preliminary mapping of the programs required for 2018-2020 including accreditation, planning, staff recruitment, strategy and curriculum development (BC).</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- Project Director</td>
<td>- Various</td>
<td>- PST</td>
<td>University Council 7 December 2018</td>
</tr>
<tr>
<td>3. Complete the Birch building refurbishment and repurposed Brian Anderson Building to provide additional physical space and equipment to drive the diversification of discipline areas, facilitate industry collaboration, real estate opportunities and engagement.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- COO</td>
<td>- F&amp;S - Precinct Architects</td>
<td>- PRG - Precinct Architects</td>
<td>- CECS Dean</td>
<td>1 January 2020</td>
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### Changes from review
Risk identified and drafted.
<table>
<thead>
<tr>
<th>Risk/Issue ID:</th>
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<tr>
<td>Risk/Issue Owner:</td>
<td>Dean CECS</td>
</tr>
<tr>
<td>Risk/Issue Monitor:</td>
<td>NA</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>DVCRI, CECS School Directors, Director Research Services</td>
</tr>
</tbody>
</table>

**Risk/issue context:** Internal – Strategic

**Primary risk/issue area:** Project performance

**Status:** Active

**Likelihood rating:** Possible

**Consequence rating:** Moderate

**Risk/issue rating:** Moderate (9)

**Risk Event:** Research revenue growth targets are not achieved

**Consequences:**
1. Support for internal and external collaboration initiatives reduces.
2. Research revenue is less than expected, and thus less investment is available to support CECS capabilities.
3. International and regional rankings of ANU are not improved.

**Causes:**
1. The ANU is unable to provide a compelling environment which attracts leading academics with research areas that are attractive to industry, or that competitively positioned in seeking funding grants from external parties.
2. Unable to offer, develop and implement a compelling proposition to engaging industry given its geographical location.
3. Non-traditional competitors offering research opportunities.
4. Behaviours and approach required to positively engage with industry are restricted by ANU culture and other requirements.

**Existing Controls**

1. Develop KPIs framework for the College’s research revenue targets, complete with implementation plan and controls for ongoing management.

2. Birch building refurbishment and repurposed Brian Anderson Building to provide additional physical space and equipment to provide physical capacity required for increased research activities including industry engagement.

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dean has developed research strategy.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Develop KPIs framework for the College’s research revenue targets, complete with implementation plan and controls for ongoing management.</td>
<td>Active</td>
<td>- Deputy Dean</td>
<td>NA</td>
<td>- GM CECS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Birch building refurbishment and repurposed Brian Anderson Building to provide additional physical space and equipment to provide physical capacity required for increased research activities including industry engagement.</td>
<td>Active</td>
<td>- Project Director</td>
<td>COO</td>
<td>- COO</td>
<td>- DVC-R - CECS HR - HRD - School and Institute Directors</td>
<td>- Dean CECS</td>
<td>TBC</td>
</tr>
<tr>
<td>30/8/2019</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Changes from review</td>
<td>Risk identified and drafted.</td>
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</tbody>
</table>
### ANU Reimagining Engineering and Computing Project Risk Register

#### Risk/Issue ID: 6

**Risk/issue Owner:** PST  
**Risk/issue Monitor:** Project Director  
**Project objectives impacted:** Objectives to be determined by Final Business Plan.  
**Timeframe:** Pre-launch (2018–19), Launch (2020–24), Consolidate (2025–28), Second-phase launch (2029–32)  
**Key Stakeholders:** CECS School Directors, HR

#### Causes:
1. Stakeholders are not adequately informed or engaged in the Project Reimagine’s objectives and the long term benefits university wide.
2. Change management activities are ineffective across the University.
3. Embedded culture among academic and professional staff of resistance to change.

#### Risk Event:
**Significant change resistance impacts Project Reimagine’s ability to achieve its objectives.**

#### Consequences:
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. CECS is unable develop and implement the cross-campus collaboration initiatives critical to the differentiated offering to prospective students, researchers and funding and industry partners.
3. CECS is unable to implement necessary changes to diversify the discipline portfolio and attract greater industry investment.
4. CECS unable to retain desired staff and students.

#### Existing Controls

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Broad stakeholder engagement by Dean CECS explaining the changes introduced by Project Reimagine. 2. Reimagine Communications and Participation Strategic Intent drafted.</td>
<td>Active</td>
<td><strong>- Project Director</strong></td>
<td>- Dean CECS</td>
<td>- Comms Manager</td>
<td>- PST</td>
<td>TBC</td>
<td></td>
</tr>
<tr>
<td>2. Quarterly engagement with the University to demonstrate leadership advocacy and encourage cultural change. 3. Implement communications plan for the ANU transformation required to support the Project.</td>
<td>Active</td>
<td><strong>- Project Director</strong></td>
<td>- Dean CECS</td>
<td>- VC</td>
<td>- Dean CECS</td>
<td>- PST</td>
<td>1 October 2018 and ongoing</td>
</tr>
<tr>
<td>3. Implement communications plan for the ANU transformation required to support the Project.</td>
<td>Active</td>
<td><strong>- Project Director</strong></td>
<td>- Dean CECS</td>
<td>- Director SCAPA</td>
<td>- Comms Manager</td>
<td>- PST</td>
<td>1 October 2018 and ongoing</td>
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</tbody>
</table>

#### Review date
30/8/2019

#### Changes from review
- Risk identified and drafted.
### ANU Reimagining Engineering and Computing Project Risk Register

<table>
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<tr>
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<tbody>
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<tr>
<td>Risk/issue Monitor:</td>
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<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
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<tr>
<td>Status:</td>
<td>Active</td>
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<tr>
<td>Risk/issue context:</td>
<td>Internal – Implementation</td>
</tr>
<tr>
<td>Primary risk/issue area:</td>
<td>Schedule</td>
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<tr>
<td>Likelihood rating:</td>
<td>Possible</td>
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<tr>
<td>Consequence rating:</td>
<td>Moderate</td>
</tr>
<tr>
<td>Risk/issue rating:</td>
<td>Moderate (9)</td>
</tr>
</tbody>
</table>

**Causes:**
1. Project Reimagine is unable to recruit desired staff.
2. Students do not enrol in the CECS courses.
3. Construction delays.
4. Schedule management is sub-optimal.

**Risk Event:**
Project Reimagine falls behind schedule

**Consequences:**
1. ANU is unable to achieve its objectives and its global standing against its peer institutions
2. Project targets are not achieved.
3. CECS is unable to grow quick enough to compete with competitors.
4. CECS is unable to diversify discipline portfolio.
5. Limited and/or delayed funding to achieve the next stage of Project Reimagine.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Status</th>
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<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Project Reimagine reports to the PST every 6 weeks, which has authority over the University collectively for schedule problems.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- Project Director</td>
<td>- Project Team</td>
<td>- Various</td>
<td>- PST</td>
</tr>
<tr>
<td>2. Project Strategy Team (VC, COO, PV) clear coordinated accountability built into the governance framework for the team.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Collaboration with existing ANU institutes (3A/Cyber Institute) to identify working space available for staff (KP) during construction of new buildings.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>4. Ongoing Project schedule management.</td>
<td></td>
<td></td>
<td></td>
<td></td>
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**Review date:** 30/8/2019

**Changes from review:** Risk identified and drafted.
<table>
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<tr>
<th>Risk/Issue ID:</th>
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<tbody>
<tr>
<td>Risk/Issue Owner:</td>
<td>PST</td>
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<tr>
<td>Risk/Issue Monitor:</td>
<td>Dean CECS</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>VC, Provost, COO, Project Director</td>
</tr>
</tbody>
</table>

**Risk Event:** Project Reimagine does not meet its targets for undergraduate and postgraduate coursework students.

**Consequences:**
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. CECS does not achieve an increase in income from student tuition fees.
3. New disciplines are unable to gain the critical mass necessary to be impactful and profitable.

### Causes:
1. Strong competition from other universities who are also significantly investing in their engineering schools and/or their overall offering and reputation.
2. Ineffective ANU efforts and/or processes regarding marketing, selling and admitting prospective students.
3. Discipline portfolio is too narrow and not fit-for-purpose in the 21st Century.
4. Non-traditional competitors offering education and research.
5. Insufficient overall market demand for the type/discipline of course offerings.
6. The inability to predict the programs students will choose.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review the processes and resourcing of marketing, selling and admitting prospective of domestic undergraduate and postgraduate coursework students.</td>
<td>Active</td>
<td>- Deputy Dean</td>
<td>- DVC-A Dean CECS</td>
<td>- PMO DMSR Student Admissions</td>
<td>- Comms Manager PMO</td>
<td>- Provost</td>
<td>Ongoing 2018 – 2032</td>
</tr>
<tr>
<td>2. Review the processes and resourcing of marketing, selling and admitting prospective of international undergraduate and postgraduate coursework students.</td>
<td>Active</td>
<td>- Deputy Dean</td>
<td>- DVC-A Dean CECS DVC-GE</td>
<td>- PMO DMSR Student Admissions</td>
<td>- Comms Manager PMO</td>
<td>- Provost</td>
<td>Ongoing 2018 – 2032</td>
</tr>
<tr>
<td>3. Develop mechanisms to engage and admit high performing prospective students in a timely manner.</td>
<td>Active</td>
<td>- Deputy Dean</td>
<td>- DVC-A Dean CECS, DVC-GE</td>
<td>- PMO DMSR Student Admissions</td>
<td>- PMO DMSR</td>
<td>- Provost</td>
<td>1 January 2020</td>
</tr>
</tbody>
</table>

**Changes from review**
Risk identified and drafted.

**Review date**
30/8/2019
## Risk/Issue Details

- **ID:** 9
- **Owner:** PST
- **Monitor:** Dean CECS
- **Project Objectives Impacted:** Objectives to be determined by Final Business Plan.
- **Timeframe:** Pre-launch (2018–19), Launch (2020–24), Consolidate (2025–28), Second-phase launch (2029–32)
- **Key Stakeholders:** VC, Provost, COO, Project Director

### Causes:
1. Quality and identity of academics, and/or their areas of research are not considered attractive to prospective students.
2. Strong competition from other universities who are also significantly investing in their engineering schools.
3. Ineffective marketing techniques to attract students.
4. Non-traditional competitors offering education and research.
5. Insufficient overall market demand for the type/discipline of course offerings.
6. Internal constraints on the numbers of postgraduate and Higher Degree Research student intake numbers.

### Risk Event:
- **The University does not meet its targets for Higher Degree Research students**

### Consequences:
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. CECS does not achieve an increase in income from student tuition fees.
3. New disciplines are unable to gain the critical mass necessary to be impactful and profitable.
4. Research output and timing is compromised by insufficient HDR students being available to support academics in research delivery.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Recommended by</th>
<th>Agree by</th>
<th>Perform by</th>
<th>Input by</th>
<th>Decide by</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Entry – To Market Strategy for Project Reimagine containing</strong></td>
<td><strong>Active</strong></td>
<td><strong>Deputy Dean</strong></td>
<td><strong>DVC-RI</strong></td>
<td><strong>PMO</strong></td>
<td><strong>Dean CECS</strong></td>
<td><strong>Ongoing 2018 – 2032</strong></td>
</tr>
<tr>
<td><strong>target growth based on competitor analysis.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2. CECS HDR Strategic Intent 2018-2020 drafted.</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3. Develop and offer differentiated pathways out of PhDs.</strong></td>
<td><strong>Active</strong></td>
<td><strong>University Research Committee</strong></td>
<td><strong>DVC-RI</strong></td>
<td><strong>PMO</strong></td>
<td><strong>Provost</strong></td>
<td><strong>1 January 2020</strong></td>
</tr>
<tr>
<td><strong>4. Select academics and fields of research which are highly differentiated and in demand.</strong></td>
<td><strong>Active</strong></td>
<td><strong>CECS Education Committee</strong></td>
<td><strong>DVC-RI</strong></td>
<td><strong>PMO</strong></td>
<td><strong>DVC-RI</strong></td>
<td><strong>TBC</strong></td>
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</table>

### Review Date
- **30/8/2019**

### Changes from Review
- Risk identified and drafted.
<table>
<thead>
<tr>
<th>Risk/Issue ID:</th>
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<tbody>
<tr>
<td>Risk/Issue Owner:</td>
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</tr>
<tr>
<td>Risk/Issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key stakeholders:</td>
<td>DVCR</td>
</tr>
</tbody>
</table>

**Causes:**
1. University-wide support and guidance on industry collaboration is inadequate.
2. CECS does not effectively engage industry.
3. Ineffective engagement approach and/or areas of relevant leading research disciplines to attract industry.
4. Unable to offer, develop and implement compelling proposition to engaging industry given its geographical location.
5. Lack of expectations and measures to encourage staff engagement with industry and business.
6. Insufficient or inappropriate resources to support industry partner requirements.
7. Current research support is not well positioned to provide a 'one-stop shop' for parties interested in research collaboration.
8. A culture averse to entrepreneurship and partnering with industry.

**Risk Event:**
Project Reimagine does not meet its targets for industry collaboration.

**Consequences:**
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. Inability to undertake/participate in world leading research and engagement with industry.
3. Limited research revenue from inability to establish industry collaborations.
4. Inability to attract top academic staff and renowned researchers.
5. Inability to compete in the growth market of public-private partnerships.
6. Graduate employability impacted due to lack of industry exposure and experience.
7. CECS is unable to expand and diversify its disciplinary portfolio.

**Existing Controls**

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
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<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
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</thead>
<tbody>
<tr>
<td>1. Phase 1 market research on industry sector undertaken.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- PST</td>
<td>- PMO</td>
<td>- Comms Manager - MII</td>
<td>- Dean CECS</td>
<td>1 October 2018</td>
</tr>
<tr>
<td>2. Reimagine Communications and Participation Strategic Intent.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- PST</td>
<td>- PMO</td>
<td>- Comms Manager - PVCI</td>
<td>- Dean CECS</td>
<td>1 January 2019</td>
</tr>
<tr>
<td>3. Implement the University-wide strategy for identifying and engaging with industry.</td>
<td>Active</td>
<td>- PVCI</td>
<td>- TBC</td>
<td>- TBC</td>
<td>- Various</td>
<td>- PST</td>
<td>1 July 2019²</td>
</tr>
</tbody>
</table>

**Changes from review**
Risk identified and drafted.

²This is a suggested date based when implementation would happen after Strategic Treatment 2 (Develop industry engagement strategy) would be complete and could be implemented.
<table>
<thead>
<tr>
<th>Risk/issue ID:</th>
<th>11</th>
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</thead>
<tbody>
<tr>
<td>Risk/issue Owner:</td>
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<td>Risk/issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>CFO</td>
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<td>Status:</td>
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<td>Risk/issue context:</td>
<td>Internal – Implementation</td>
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<tr>
<td>Primary risk/issue area:</td>
<td>Cost</td>
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<td>Likelihood rating:</td>
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<tr>
<td>Consequence rating:</td>
<td>Moderate</td>
</tr>
<tr>
<td>Risk/issue rating:</td>
<td>Moderate (6)</td>
</tr>
</tbody>
</table>

**Causes:**
1. Commonwealth of Australia funding is reduced.
2. Unforeseen significant additional costs are incurred.
3. Cost of delivering identified investments and expenditure materially increase above expected costs.

**Risk Event:**
Project Reimagine’s objectives are not affordable within budget

**Consequences:**
1. Project Reimagine’s targets take longer than anticipated to achieve.
2. CECS is unable to diversify the discipline portfolio enough to meet the challenges of the 21st Century.
3. Students and staff choose other universities over ANU.

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Project Reimagine’s cost model currently indicates the project is affordable within budget.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. The Project Team specified dynamic management approach to project implementation, budgeting and funding access affirmation through PST with Council.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Ongoing efforts to gain assurance over the budget framework’s structure, inputs, modelling, financial risk sensitivities, assumptions and approach.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Stage gate reviews for accessing further funding plus annual review of budget funding and expenditure.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>1. Develop an operational plan that will address the agile methodology and feedback process necessary for a complex long-term project for University Council and its relevant sub-committees (KP).</td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>2. Develop a plan for ongoing biannual reviews of expenditure and budget progress.</td>
<td></td>
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<table>
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<tbody>
<tr>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>- COO</td>
<td>- PST</td>
<td></td>
</tr>
<tr>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>- COO/CFO</td>
<td>- PET</td>
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**Changes from review**

30/8/2019
Risk identified and drafted.
<table>
<thead>
<tr>
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<tr>
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<tr>
<td>Risk/issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Timeframe:</td>
<td>Pre-launch (2018–19), Launch (2020–24)</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>Dean CECS</td>
</tr>
</tbody>
</table>

**Risk Event:** Loss of access to key personnel who exclusively hold critical Project Reimagine information.

**Consequences:**
1. Loss of Project Reimagine direction and momentum.
2. Interest and investment in Project Reimagine from the broader University declines.
3. Project delays while new personnel attempt to understand the Project Reimagine’s current state and proposed next steps.
4. Implementation is misaligned with stakeholder expectations.

### Causes:
1. Dean CECS is the current sole holder of the Project Reimagine’s vision and skills to bring stakeholders on the transformation journey.
2. Key personnel do not share information with others.
3. Other key personnel do not engage in Project Reimagine.
4. Critical Project Reimagine information is not recorded in a central and accessible location.

### Existing Controls

<table>
<thead>
<tr>
<th>Treatment</th>
<th>Status</th>
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<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Critical knowledge held by Dean CECS is being shared with the Project Strategy Team and Project Director.</td>
<td>Active</td>
<td>Project Director</td>
<td>Dean CECS</td>
<td>PMO</td>
<td>COO</td>
<td>PET</td>
<td>University Council 7 December 2018</td>
</tr>
<tr>
<td>2. A Deputy Dean has been recruited for ANU CECS to support succession planning and decentralisation of critical Project Reimagine information.</td>
<td>Active</td>
<td>CECS GM</td>
<td>Dean CECS</td>
<td>Project Director</td>
<td>NA</td>
<td>NA</td>
<td>PST</td>
</tr>
<tr>
<td>3. Critical knowledge held by Dean CECS will be shared with Deputy Dean CECS.</td>
<td>Active</td>
<td>NA</td>
<td>NA</td>
<td>Dean CECS</td>
<td>NA</td>
<td>NA</td>
<td>PST</td>
</tr>
<tr>
<td>4. Final Business Plan, and Communications and Marketing strategy, will expand understanding of and engagement with Project Reimagine, and activate key stakeholders across the University to perform the dependent activities required to support Project Reimagine.</td>
<td>Active</td>
<td>Project Director</td>
<td>Dean CECS</td>
<td>Project Director</td>
<td>NA</td>
<td>NA</td>
<td>PST</td>
</tr>
<tr>
<td>5. Recruitment of tent-pole academic hires and additional CECS senior leaders will support decentralisation of critical Project Reimagine information.</td>
<td>Active</td>
<td>Selection Panel</td>
<td>Dean CECS</td>
<td>Selection Panel</td>
<td>HRD</td>
<td>CECS HR</td>
<td>PSG</td>
</tr>
<tr>
<td>6. Record and make accessible the core concepts, strategic direction and underpinning of Project Reimagine for other key personnel across the University.</td>
<td>Active</td>
<td>Project Director</td>
<td>COO</td>
<td>Project Manager</td>
<td>PET</td>
<td>GM CECS</td>
<td>Dean CECS</td>
</tr>
</tbody>
</table>

### Changes from review

Risk identified and drafted.

---

3 Proposed date only—yet to be scheduled.
ANU Reimagining Engineering and Computing Project Risk Register

<table>
<thead>
<tr>
<th>Risk/issue ID:</th>
<th>13</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk/issue Owner:</td>
<td>PST</td>
</tr>
<tr>
<td>Risk/issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>COO</td>
</tr>
</tbody>
</table>

**Risk Event:**
Accountabilities and responsibilities across the University for Project Reimagine activities are unclear and diffused

**Consequences:**
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. Required activities are not actioned or performed, and there is poor communication across the University.
3. Project Reimagine is delayed.
4. Project Reimagine budget is exceeded.
5. KPIs are not reached.
6. Critical personnel are not engaged with or involved in Project Reimagine.

**Causes:**
1. The ANU lacks an accountability management and decision-making framework to manage cross-portfolio activities.

**Existing Controls**

1. Project Strategy Team consists of key University personnel to make decisions and delegate tasks to others.
2. Ongoing use of the RAPID decision-making framework.
3. Project Reimagine have developed a University-wide major program governance, accountability management and decision-making framework.

**Changes from review**
Risk identified and drafted.

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop an operational plan that will address the agile methodology and feedback process necessary for a complex long-term project for University Council and its relevant sub-committees (KP).</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>- COO - PET</td>
<td>- PST</td>
<td>University Council 7 December 2018</td>
</tr>
<tr>
<td>2. PET to engage with other business units to build cross-portfolio relationships and encourage their involvement in the Project Reimagine activities.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PET</td>
<td>- Various</td>
<td>- PST</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>

**Review date**
30/8/2019
<table>
<thead>
<tr>
<th>Risk/Issue ID: 14</th>
<th>Status: Active</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk/Issue Owner: PST</td>
<td>Risk/Issue context: Internal – Strategic</td>
</tr>
<tr>
<td>Project objectives impacted: Objectives to be determined by Final Business Plan.</td>
<td>Primary risk/issue area: Project performance</td>
</tr>
<tr>
<td>Key Stakeholders: Dean CECS</td>
<td>Consequence rating: Catastrophic</td>
</tr>
<tr>
<td>Risk/issue rating: Moderate (5)</td>
<td></td>
</tr>
</tbody>
</table>

**Causes:**
1. Unclear accountabilities and responsibilities for Project Reimagine decisions and implementation.
2. Strategic dependencies across the University are not understood or coordinated.
3. Critical Project Reimagine information is not shared or distributed.
4. Project Reimagine is unable or does not recruit the desired ‘tent pole’ academics.
5. Industry is not effectively engaged in partnerships.
6. Insufficient students are recruited.

**Risk Event:** Project Reimagine implementation fails to achieve objectives.

**Consequences:**
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. Project Reimagine is considered unsuccessful.
3. Industry partnerships, student and staff KPIs are not achieved.
4. CECS international rankings are not improved.
5. CECS discipline portfolio is not diversified.
6. Staff and students become disengaged.

**Existing Controls**

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop a clear implementation strategy, including criticalities, dependencies and responsibilities.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- Project Director</td>
<td>- PET</td>
<td>- PST</td>
<td>1 July 2020</td>
</tr>
<tr>
<td>2. Final Business Plan, and Communications and Marketing Strategy, will expand understanding of and engagement with Project Reimagine, and activate key stakeholders across the University to perform the dependent activities required to support Project Reimagine.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- GM CECS</td>
<td>- PMO</td>
<td>- PMO</td>
<td>- PST</td>
<td>University Council 7 December 2018</td>
</tr>
<tr>
<td>3. GM CECS to develop PSG reorientation plan of suite of services to support Project Reimagine.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>- GM CECS</td>
<td>- PST</td>
<td>1 July 2019</td>
</tr>
</tbody>
</table>

**Review date** 30/8/2019

**Changes from review** Risk identified and drafted.

*Proposed date only—yet to be scheduled.*
### ANU Reimagining Engineering and Computing Project Risk Register

<table>
<thead>
<tr>
<th>Risk/issue ID:</th>
<th>15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk/issue Owner:</td>
<td>VC/Provost</td>
</tr>
<tr>
<td>Risk/issue Monitor:</td>
<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Timeframe:</td>
<td>Pre-launch (2018–19), Launch (2020–24),</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>VC</td>
</tr>
</tbody>
</table>

#### Status:
- **Status:** Active
- **Risk/issue context:** Internal – Strategic
- **Primary risk/issue area:** Process
- **Likelihood rating:** Possible
- **Consequence rating:** Moderate
- **Risk/issue rating:** Moderate (9)

#### Causes:
1. Parties do not fully understand the critical importance of Project Reimagine to the delivery of the overall university objectives.
2. A lack of effective governance and communication mechanisms across the University’s complex structure.
3. A lack of coordination between business leaders, Deans and the executive.
4. Unclear accountabilities for decision-making and risk ownership across the University.

#### Risk Event:
The ANU leaders, Deans and strategy owners do not effectively communicate or coordinate Project Reimagine’s strategic priorities.

#### Consequences:
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. Inefficiencies caused by a lack of coordination.
3. CECS is unable to build the desired cross-portfolio curriculum.

#### Existing Controls

<table>
<thead>
<tr>
<th>Treatments</th>
<th>Treatment Status</th>
<th>Recommend</th>
<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Broad stakeholder engagement by Dean CECS explaining the changes to be introduced by Project Reimagine.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>- Comms Manager</td>
<td>- PST</td>
<td>31 October 2018</td>
</tr>
<tr>
<td>2. PST consists of key University personnel to make decisions and delegate tasks to others.</td>
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<td></td>
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</tr>
<tr>
<td>3. Project Reimagine have developed a University-wide major program governance, accountability management and decision-making framework.</td>
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<td></td>
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</tr>
<tr>
<td>4. PET to engage with other business units to build cross-portfolio relationships and encourage their involvement in the Project Reimagine’s activities and addressing the changes in business process/governance of other key areas in University</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>

#### Changes from review
- Risk identified and drafted.
### Risk Register Details

**Risk ID:** 16  
**Status:** Active  
**Risk Owner:** Provost  
**Risk context:** Internal – Strategic  
**Likelihood rating:** Possible  
**Consequence rating:** Catastrophic  
**Risk Event:** The ANU does not successfully transform its business, or achieve its broader objectives and desired global standing.  
**Consequences:** 1. The University is unable to effectively support Project Reimagine in the pursuit of its objectives.  
2. The University’s current business model is no longer valid.  
3. Diminution of overall impact and global standing of the University over time.  
4. Inability to generate teaching and research revenue compared to competitors.  
5. Declining ability to attract the best and brightest students, and staff.  
6. Impact on the University’s rankings and competitive position.  
7. The ANU loses its status as a leading Australian university.

### Causes:
1. Project Reimagine does not effectively enable the required transformation of the ANU.  
2. Lack of executive focus, prioritisation and coordination.  
3. Inability to attract leading academics to teach and research.  
4. Insufficient understanding of coursework and HDR student demands and expectations of curriculum content and delivery.  
5. A lack of effective governance and communication mechanisms across the University’s complex structure.  
6. Unclear accountabilities for decision-making and risk ownership across the University.

### Existing Controls

**Treatment:**
1. Develop an operational plan that will address the agile methodology and feedback process necessary for a complex long-term project for University Council and its relevant sub-committees (KP).  
2. Develop and implement a strategic communications strategy for the University-wide transformation that needs to be undertaken.

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatments</th>
<th>Treatment Status</th>
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<th>Agree</th>
<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
</table>
| 1. Project Reimagine is developing new ways of doing business including a major project governance structure and the RAPID decision-making framework which could be further used to enable University-wide business transformation.  
2. Implementation of the ANU by 2020 Strategic Plan.  
3. Project Reimagine have developed a University-wide major program governance, accountability management and decision-making framework.  
4. PET to engage with other business units to build cross-portfolio relationships and encourage their involvement in the Project Reimagine activities and addressing the changes in business process/governance of other key areas in University. | Active | Project Director | Dean CECS | PMO | COO | PET | P | ST | University Council 7 December 2018 |

**Review date:** 30/8/2019  
**Changes from review:** Risk identified and drafted.
<table>
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<th>Risk/Issue ID:</th>
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<td>Project Director</td>
</tr>
<tr>
<td>Project objectives impacted:</td>
<td>Objectives to be determined by Final Business Plan.</td>
</tr>
<tr>
<td>Timeframe:</td>
<td>Pre-launch (2018–19), Launch (2020–24),</td>
</tr>
<tr>
<td>Key Stakeholders:</td>
<td>DSA, Deans across all portfolios</td>
</tr>
</tbody>
</table>

**Status:** Active  
**Risk/issue context:** External – Strategic  
**Primary risk/issue area:** NA  
**Likelihood rating:** Possible  
**Consequence rating:** Moderate  
**Risk/issue rating:** Moderate (9)

**Causes:**  
1. The University is not effectively engaged in Project Reimagine.  
2. The University makes decisions on student caps without considering or being fully understanding of their impact on the Project Reimagine.

**Risk Event:** CEC student load caps materially change from those planned by Project Reimagine and required to achieve its objectives.

**Consequences:**  
1. The ANU cannot achieve its planned objectives, global standing and business transformation.  
2. Project Reimagine falls short of or exceeds its KPIs for student numbers.  
3. Project Reimagine falls behind or becomes ahead of schedule.  
4. Provision of additional courses is no longer achievable.  
5. Insufficient teaching facilities to support an increased student base.  
6. Class sizes are too large to optimise teaching of students.

**Existing Controls**

1. Finance and PPM engaging to develop improved understanding and modelling of connectivity complexity to inform longer term load planning and structural links within the framework provided by the VC.  
2. Ongoing engagement with VC and Provost to ensure they consider the impact of student load cap change decisions on Project Reimagine.  
3. If required the PET will revise its schedule, KPIs and number of forecasted courses to align with adjustments to student load caps.

**Review date**  
30/8/2019

**Changes from review**  
Risk identified and drafted.
### Risk and Issue Information

<table>
<thead>
<tr>
<th><strong>Risk/issue ID:</strong></th>
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<td>PST</td>
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<td><strong>Risk/issue Monitor:</strong></td>
<td>Project Director</td>
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<td><strong>Project objectives impacted:</strong></td>
<td>Objectives to be determined by Final Business Plan.</td>
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<tr>
<td><strong>Timeframe:</strong></td>
<td>Pre-launch (2018–19), Launch (2020–24),</td>
</tr>
<tr>
<td><strong>Key Stakeholders:</strong></td>
<td>DSRA, Dean CECS</td>
</tr>
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</table>

**Status:** Active  
**Risk/issue context:** External – Strategic  
**Primary risk/issue area:** NA  
**Likelihood rating:** Possible  
**Consequence rating:** Major  
**Risk/issue rating:** High (12)

### Causes:
1. A decline in the one or more economies of the primary countries of origin of ANU’s international students reduces demand for international tertiary study from those countries.
2. Diplomatic or security concerns between one or more of these origin countries and Australia prompts those countries to reduce the number of students coming to Australia or Australia accepts fewer students from them.
3. The ANU declines in attractiveness as an international education provider relative to competitors.

### Risk Event:
The overseas student market shrinks

### Consequences:
1. CECS and the ANU’s revenue declines significantly.
2. The Project’s targets for international fee paying students are no longer achievable.
3. 

### Existing Controls

<table>
<thead>
<tr>
<th><strong>Existing Controls</strong></th>
<th><strong>Treatments</strong></th>
<th><strong>Treatment Status</strong></th>
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<th><strong>Input</strong></th>
<th><strong>Decide</strong></th>
<th><strong>Treatment due date</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The University’s ongoing implementation of its international student market diversification strategy to reduce dependence on individual international student markets.</td>
<td>1. Undertake constant monitoring of student demand and strategic review of a CECS curriculum review activity to address meet shifting international student demand.</td>
<td>Active</td>
<td>- CECS AD-E</td>
<td>- Dean CECS</td>
<td>- PMO</td>
<td>-</td>
<td>- Deputy Dean</td>
<td>If required</td>
</tr>
<tr>
<td></td>
<td>2. Ongoing ANU efforts to develop an incentive-based international student recruitment strategy and student load plan.</td>
<td>Active</td>
<td>- DVC-GE</td>
<td>- Dean CECS</td>
<td>- DVC-GE</td>
<td>- Various</td>
<td>- PST</td>
<td>TBC</td>
</tr>
</tbody>
</table>

### Review date
30/8/2019

Changes from review
Risk identified and drafted.
| Risk/issue ID: | 19 |
| Risk/issue Owner: | PST |
| Risk/issue Monitor: | Project Director |
| Project objectives impacted: | Objectives to be determined by Final Business Plan. |
| Timeframe: | Pre-launch (2018–19), Launch (2020–24), |
| Key Stakeholders: | Dean CECS |

**Risk Event:**
Other Australian Universities respond competitively to the actions taken by Project Reimagine.

**Consequences:**
1. The ANU cannot achieve its planned objectives, global standing and business transformation.
2. CECS cannot achieve sufficient scale to enable it to remain relevant as a leading international engineering and computer science colleges/faculties.
3. Project Reimagine falls short of or exceeds its KPIs for student numbers, research output or industry collaboration.
4. Project Reimagine falls behind schedule.

**Causes:**
1. Competing Australian universities investing more than the ANU in their engineering and computer science teaching and research or offering a superior value proposition.
2. The ANU Reimagine Engineering and Computer Science value proposition is too niche in its appeal.

<table>
<thead>
<tr>
<th>Existing Controls</th>
<th>Treatments</th>
<th>Treatment Status</th>
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<th>Perform</th>
<th>Input</th>
<th>Decide</th>
<th>Treatment due date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Monitor competition from competing universities and escalate to PST for response measures.</td>
<td>1. Conduct market risk and industry engagement analysis to gain assurance of the competitiveness of the Project Reimagine value proposition.</td>
<td>Active</td>
<td>- Project Director</td>
<td>- NA</td>
<td>- PMO</td>
<td>- Deputy Dean GM CECS DMSR CECS Education Committee</td>
<td>- PST</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>

**Review date**
30/8/2019

**Changes from review**
Risk identified and drafted.
Summary of ANU Enterprise Risk Register

The ANU Enterprise Risk Register (February 2017) has been summarised in Table 6 below for awareness only.

Table 6: ANU Enterprise Risk Register summary

<table>
<thead>
<tr>
<th>Risk/Issue ID</th>
<th>Risk/Issue Event</th>
<th>Risk/Issue Owner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Issue 1</td>
<td>Revenue cannot be readily re-directed to strategic priorities</td>
<td>Executive Director (Administration &amp; Planning)</td>
</tr>
<tr>
<td>Issue 2</td>
<td>A performance culture that tolerates mediocrity.</td>
<td>Deputy Vice-Chancellor (Academic)</td>
</tr>
<tr>
<td>Issue 3</td>
<td>Ageing and inadequate infrastructure.</td>
<td>Executive Director (Administration &amp; Planning)</td>
</tr>
<tr>
<td>Issue 4</td>
<td>Poor performance in teaching.</td>
<td>Deputy Vice-Chancellor (Academic)</td>
</tr>
<tr>
<td>Issue 5</td>
<td>The ANU fails to engage with society effectively.</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>Risk 1</td>
<td>The University teaching model experiences disruption.</td>
<td>Deputy Vice-Chancellor (Academic)</td>
</tr>
<tr>
<td>Risk 2</td>
<td>Lack of agility in innovating and partnering with industry.</td>
<td>Deputy Vice-Chancellor (Research)</td>
</tr>
<tr>
<td>Risk 3</td>
<td>Revenue sources are not sufficiently diverse.</td>
<td>Executive Director (Administration &amp; Planning)</td>
</tr>
<tr>
<td>Risk 4</td>
<td>Significant decline in Government funding.</td>
<td>Vice-Chancellor</td>
</tr>
<tr>
<td>Risk 5</td>
<td>Strategic plan is exclusively short term.</td>
<td>Vice-Chancellor/Deputy Vice-Chancellor (Academic)</td>
</tr>
</tbody>
</table>
## Appendix A: Risk ratings

The risk ratings in Table 7 below are evaluated using the risk rating system defined in Table 8, Table 9 and ATTACHMENT 20.2.

<table>
<thead>
<tr>
<th>Consequence Category</th>
<th>Colleges or Service Division Activity</th>
<th>Factors of Consequences/ Categories of Risk</th>
<th>Risk Register</th>
<th>Compliance with Legislation</th>
<th>Disruption to Operations</th>
<th>Financial</th>
<th>General Environment &amp; Social Impacts</th>
<th>Project Budget</th>
<th>Project Delays</th>
<th>Managing Contractor/ Head Contractor Relationship</th>
</tr>
</thead>
<tbody>
<tr>
<td>Catastrophic</td>
<td>University closure or reduced enrollment and staff turnover</td>
<td>Long-term damage to reputation and standing of the University</td>
<td>Major system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Financial impact &gt;$50M</td>
<td>Significant financial impacts on the environment and community</td>
<td>10% of project budget</td>
<td>Significant delay, duration increased &gt;50%</td>
<td>Legal action is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major</td>
<td>University closure or reduced enrollment and staff turnover</td>
<td>Significant system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Major system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Financial impact &gt;$10M</td>
<td>Significant financial impacts on the environment and community</td>
<td>5% of project budget</td>
<td>Significant delay, duration increased &gt;50%</td>
<td>Executive intervention</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moderate</td>
<td>University closure or reduced enrollment and staff turnover</td>
<td>Significant system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Major system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Financial impact &gt;$1M</td>
<td>Significant financial impacts on the environment and community</td>
<td>2.5% of project budget</td>
<td>Significant delay, duration increased &lt; 2%</td>
<td>Resolved at working level.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td>University closure or reduced enrollment and staff turnover</td>
<td>Minor system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Minor system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Financial impact &lt;$1M</td>
<td>Significant financial impacts on the environment and community</td>
<td>1% of project budget</td>
<td>Significant delay, duration increased &lt; 2%</td>
<td>Resolved at working level.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insignificant</td>
<td>University closure or reduced enrollment and staff turnover</td>
<td>Minor system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Minor system non-conformance in the loss of NEDA, license, other key license or accreditation</td>
<td>Financial impact &lt;$500K</td>
<td>Significant financial impacts on the environment and community</td>
<td>Little or no delay</td>
<td>Significant delay, duration increased &lt; 2%</td>
<td>Either party is initiated but no formal complaints.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*The consequence category for "Project Budget" may differ according to the overall scale of the project itself. Likewise, the criteria for "Project Delays" may also vary depending on the specific project deadlines.*
Table 7: Risk ratings

<table>
<thead>
<tr>
<th>Risk Rating</th>
<th>Score</th>
<th>Description</th>
<th>Action Required</th>
</tr>
</thead>
</table>
| Extreme     | 20-25 | Risks that significantly exceed the acceptable tolerance and need urgent and immediate attention. | University Executive responsibility, immediate treatment required.  
- Escalate to the responsible University Executive immediately with a detailed treatment plan.  
- Report to the Vice-Chancellor, ARM and Council. |
| High        | 16-10 | Risks that exceed the risk acceptance threshold and require proactive management. | College GM/Service Division Director/Head of School responsibility. Treatment required.  
- Escalate to responsible management immediately with detailed treatment plan to reduce risks to an acceptable level within 3 months.  
- Report to COO or DVCs and ARM and Council, as appropriate. |
| Moderate     | 4-9   | Risks that are within the acceptable threshold and require active monitoring. | College GM/Service Division Director/Head of School responsibility. Treatment required.  
- Escalate to responsible management immediately with detailed treatment plan to reduce risks to an acceptable level within 3-6 months. |
| LOW         | 1-4   | Risks that are below the acceptable threshold and do not require active management. | Local line management responsibility, treatment not required.  
Significant management effort should not be directed towards these risks. |

Table 8: Likelihood criteria

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>The risk/the event</th>
<th>Occurrence</th>
<th>Probability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Almost Certain</td>
<td>Expected to occur in most circumstances.</td>
<td>Multiple over 12 months</td>
<td>&gt;70%</td>
</tr>
<tr>
<td>Likely</td>
<td>Will probably occur in most circumstances</td>
<td>Once every 12 months</td>
<td>51 - 70%</td>
</tr>
<tr>
<td>Possible</td>
<td>Might occur within a 5 year time period</td>
<td>Once every 1 - 5 years</td>
<td>21 - 50%</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Could occur within a specified time period</td>
<td>Once every 5-10 years</td>
<td>5 - 20%</td>
</tr>
<tr>
<td>Rare</td>
<td>May only occur in exceptional circumstances</td>
<td>Once every 20 years</td>
<td>&lt; 5%</td>
</tr>
</tbody>
</table>
## Table 9: Consequence criteria

<table>
<thead>
<tr>
<th>Consequence Category</th>
<th>Major Projects</th>
<th>Managing Contractor/Head Contractor Relationship</th>
<th>Project Delays</th>
<th>Project Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Insignificant</td>
<td>Financial</td>
<td>Major delays can be mitigated by advising the responsible person.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minor</td>
<td>Financial</td>
<td>Major delays can be mitigated by advising the responsible person.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Moderate</td>
<td>Financial</td>
<td>Major delays can be mitigated by advising the responsible person.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Major</td>
<td>Financial</td>
<td>Major delays can be mitigated by advising the responsible person.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Catastrophic</td>
<td>Financial</td>
<td>Major delays can be mitigated by advising the responsible person.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

# The consequences category for “Project Budget” may differ according to the overall value of the project itself. Likewise, the criteria for “Project Delays” may also vary depending on the specific project deadlines.
**Table 10: Risk assessment matrix**

<table>
<thead>
<tr>
<th>LIKELIHOOD</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Impact/Consequence</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>Catastrophic</td>
<td>Major</td>
<td>Moderate</td>
<td>Minor</td>
<td>Insignificant</td>
</tr>
<tr>
<td>Almost Certain</td>
<td>Extreme (25)</td>
<td>Extreme (20)</td>
<td>High (15)</td>
<td>High (10)</td>
<td>Moderate (5)</td>
</tr>
<tr>
<td>Likely</td>
<td>Extreme (20)</td>
<td>High (16)</td>
<td>High (12)</td>
<td>Moderate (8)</td>
<td>Moderate (4)</td>
</tr>
<tr>
<td>Possible</td>
<td>High (15)</td>
<td>High (12)</td>
<td>Moderate (9)</td>
<td>Moderate (6)</td>
<td>Low (3)</td>
</tr>
<tr>
<td>Unlikely</td>
<td>High (10)</td>
<td>Moderate (8)</td>
<td>Moderate (6)</td>
<td>Low (4)</td>
<td>Low (2)</td>
</tr>
<tr>
<td>Rare</td>
<td>Moderate (5)</td>
<td>Moderate (4)</td>
<td>Low (3)</td>
<td>Low (2)</td>
<td>Low (1)</td>
</tr>
</tbody>
</table>
## Enablement

<table>
<thead>
<tr>
<th>Project/Objective</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/Dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Intelligence: Design and implement suite of data analytics capability and reporting tools to facilitate informed decision-making</td>
<td>PMO</td>
<td></td>
<td>• Current data collection and reporting tools unable to provide sufficient high-quality information to inform decisions in a timely way</td>
<td>• Design, identify and implement appropriate data gathering and reporting/tracking tools</td>
<td>• Early versions trialed and under iteration. Br • Uncovered the full depths of sclerotic governance Br • New projects to correct information gaps</td>
<td>• Dashboards for reporting to executive and streamlined reporting to ANU executive and Council</td>
<td>February - June 2019</td>
</tr>
<tr>
<td>PMO Establishment: Establish the PMO as program coordination and resourcing hub for delivery of the Operating plan/Reporting to Council and ANU executive Committee</td>
<td>PMO</td>
<td></td>
<td>• Projects will not be adequately planned resourced and monitored to ensure effective execution against targets and deadlines</td>
<td>• PMO plan developed and executed Br • Governance and program disciplines established and executed</td>
<td>• Recovery plan in place</td>
<td>• Project Substantially delayed</td>
<td>February - June 2019</td>
</tr>
</tbody>
</table>
## Students

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Experience Tracking: Design and implement a comprehensive</td>
<td></td>
<td></td>
<td>• Without a mechanism to monitor feedback from students, opportunities to</td>
<td>• Establish Data collection and feedback loops</td>
<td></td>
<td>• CECS student experience measurement project substantially delayed</td>
<td>Starts May’19 – ongoing</td>
</tr>
<tr>
<td>approach to measuring the CECS student experience</td>
<td></td>
<td></td>
<td>track impact and identify areas for improvement will be lost</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Based on that, develop a student experience plan</td>
<td></td>
<td></td>
<td>• Might lead to significant reputational harm</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish student experience unit in PSG</td>
<td>PMO</td>
<td>PSG</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Delayed Timelines, Serious Issues**
- **Some issues, being managed**
- **On Track**
## Students, Education and Research

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Recruitment:</td>
<td></td>
<td>Student recruitment Team</td>
<td>• Student numbers will stagnate overall and growth will be in the wrong cohorts</td>
<td>• Develop a targeted geographic and diversity approach to recruitment, aligned to new degree and study offerings coming on line</td>
<td>• Strategy document agreed, implemented and resourced</td>
<td>Assoc. Dir. - Growth employed and tasked with this</td>
<td>April – December 19</td>
</tr>
<tr>
<td>HDR Development:</td>
<td></td>
<td>Dir RSCS Dir 3Ai</td>
<td>• There is sufficient growth in HDR to meet targets for research impact</td>
<td>• Use pre-launch phase to develop a cohesive strategy for 3-5 years</td>
<td>• Plan is in place and process for monitoring of future growth established</td>
<td>• New strategy delayed until governance corrected</td>
<td>May - July 19</td>
</tr>
<tr>
<td>HDR strategy to support future growth</td>
<td></td>
<td>Asso. Director – HDR</td>
<td></td>
<td></td>
<td></td>
<td>• New HDR governance planning underway</td>
<td></td>
</tr>
</tbody>
</table>

### Delayed Timelines, Serious Issues
- 31/10/2019 Operational Plan v4.3.2

### Some issues, being managed
- ATTACHMENT 20.3

### On Track
- ATTACHMENT 20.3

Operational Plan v4.3.2

31/10/2019
## Education, Engagement

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>New approaches to pedagogy :</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Using co-design methodology and establishing a program of design events identify areas for new teaching content and delivery</td>
<td></td>
<td>Co-design lead Director 3Ai CEO CI, Director Software Institute</td>
<td>• Stagnant approach to education will constrain opportunities for reputational growth and</td>
<td>• Agile credentialing and new subject content and delivery formats will increase demand across existing and new student cohorts</td>
<td>• Increase in numbers of graduate students</td>
<td>• Diversification of students</td>
<td>May 2019 – August 2021</td>
</tr>
<tr>
<td>Explore micro credentialing approach to new and existing education content</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New approach to education governance, decision-making and management :</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish new structures, processes and practices to facilitate education strategic decision-making, quality assurance and peer review</td>
<td></td>
<td>Education Governance Officer</td>
<td>• Current college-level education committee is workable, but current processes and practices that sit around that have allowed education strategy and implementation to stagnate in the main</td>
<td>• Crisp distinction between business decisions, quality assurance and academic peer review, coupled with an agile, expertise-based approach will address stagnant education strategy and implementation</td>
<td>• Increase in numbers of students, their diversity and their satisfaction with CECS education</td>
<td>• Started. On track for completion by EOY.</td>
<td>September 2019</td>
</tr>
</tbody>
</table>

### Education Governance

- **Current college-level education committee is workable, but current processes and practices that sit around that have allowed education strategy and implementation to stagnate in the main**
- **Crisp distinction between business decisions, quality assurance and academic peer review, coupled with an agile, expertise-based approach will address stagnant education strategy and implementation**
- **Increase in numbers of students, their diversity and their satisfaction with CECS education**
- **Started. On track for completion by EOY.**

### Timeline
- **May 2019 – August 2021**
- **September 2019**
# People

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recruitment: Recruit School Directors Recruit key positions for Institutes and Schools Expand PSG capacity in key capability areas to support growth and changed expectations</td>
<td></td>
<td>Dean Deputy Dean, Directors PMO/PSG</td>
<td>- There will not be sufficient capability in place to undertake teaching, research and administration to support objectives</td>
<td>- Aggressive targeted recruitment to commence this year to stand up new activities</td>
<td>- New positions created and filled</td>
<td>- PSG capacity and capability nearly at level</td>
<td>- Director RSAMEE on track - Tent pole hires in 2019 on track - Joint appointments with Fenner and RSAA</td>
</tr>
</tbody>
</table>

- Delayed Timelines, Serious issues
- Some issues, being managed
- On Track

31/10/2019 Operational Plan v4.3.2
## People, Engagement, Research

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic, operational and business planning</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>March 2019 - July 2020</td>
</tr>
<tr>
<td>Execute strategic and business plans for 3Ai and Cyber Institute (CI)</td>
<td></td>
<td>Dean, Heads of Institutes &amp; Schools</td>
<td>• Research and teaching capability and capacity will be constrained&lt;br&gt;• Failure to benchmark effectively and plan based on that will constrain ability to achieve objectives</td>
<td>• Expansion of new entities will provide greater capability and capacity to undertake research and teaching and attract industry and other funding&lt;br&gt;• Active RSEEME and RSCS engagement in self-assessment and self-planning</td>
<td>• New entities in place and attracting funding&lt;br&gt;• Software Institute business plan approved&lt;br&gt;• RSCS Director kicking off planning in 2020</td>
<td>• RSCS and RSEEME plans of quality that Council Finance committee would consider a baseline for future planning&lt;br&gt;• Decision-making and governance review underway now</td>
<td></td>
</tr>
<tr>
<td>RSEEME and RSCS plans of quality that Council Finance committee would</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>achieve NIG goals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NIG goals:</td>
<td></td>
<td>Director - RSEEME&lt;br&gt;Director - RSCS</td>
<td>• Reputational harm and financial consequences of not achieving NIG goals</td>
<td>• Active project management</td>
<td>• NIG goals achieved</td>
<td>• NIG reporting</td>
<td>May 2019 – May 2020</td>
</tr>
<tr>
<td>Achieve NIG goals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop early-stage experiments for new NIG goals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Strategic, operational and business planning
- Execute strategic and business plans for 3Ai and Cyber Institute (CI)
- Complete planning for new software institute RSEEME external review, including self-assessment RSCS and RSEEME develop and have approved strategic plans

### NIG goals:
- Achieve NIG goals
- Develop early-stage experiments for new NIG goals

### Timeline
- March 2019 - July 2020
- May 2019 – May 2020

### Delayed Timelines, Serious Issues
- Some issues, being managed
- On Track
# People, Engagement, Students

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>College-wide Career and Performance Development: Develop and implement academic performance standards, Connect those to new tenure track positions in EB and create tenure guidelines Trial new PDR and reporting structures within foundation schools and PSG</td>
<td></td>
<td>Deputy Dean, School Directors and GM</td>
<td>• Staff and Academics do not have clear understanding of performance expectations to enable effective career development</td>
<td>• Guidelines for performance standards to be published, PDR training and processes refreshed across all levels within the College</td>
<td>• Active PDRs with stretch targets in place • Career plans for short term academics and development plans for administrative staff in place.</td>
<td></td>
<td>March 2019 - July 2020</td>
</tr>
<tr>
<td>Diversity and inclusion: Implement diversity and inclusion strategy</td>
<td></td>
<td>Asso. Director – D&amp;I</td>
<td>• The College will continue to have limited diversity representation across faculty, administration and student populations</td>
<td>• An aggressive strategy for inclusion in recruitment, governance and teaming to be actioned.</td>
<td>• Resources in place to implement action plan and monitor outcomes re agreed targets</td>
<td>• Consultation draft nearly complete in spite of considerable headwinds • RSCS PDR devolution complete and flourishing • RSEEME next • PSG re-org nearly complete • Reimagine Fellows launched</td>
<td>February 2019 - ongoing</td>
</tr>
</tbody>
</table>

- **Delayed Timelines, Serious Issues**
- **Some issues, being managed**
- **On Track**
## Engagement

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communications &amp; engagement :</td>
<td></td>
<td>GM PMO Deputy Dean</td>
<td>Poorly designed and presented website deters students and industry from initial interaction and lessens positive reputation of CECS</td>
<td>Refreshed college website to improve content and usability of the interface</td>
<td>• Refreshed website operational; increased hits and follow-up following initial use</td>
<td>• Website: external support engaged</td>
<td>April - October 2019</td>
</tr>
<tr>
<td>Revitalize CECS website Develop (before end April) and execute a communications &amp; engagement strategy with an initial focus on broad-based engagement with staff, students, the broader ANU community and potential recruits Recruit and support Reimagine Fellows</td>
<td></td>
<td></td>
<td>Poor engagement will inhibit staff and students’ connection to the new strategic direction</td>
<td>Active internal communications and engagement strategy</td>
<td>• Baseline and then track awareness and internal engagement Reimagine Fellows appointed and their projects successful. Strong applications for second round of Reimagine Fellows</td>
<td>• Internal communication and engagement are significantly delayed</td>
<td>Likely completion now march 2020</td>
</tr>
<tr>
<td>External Engagement :</td>
<td></td>
<td>Asso. Director – Growth</td>
<td>Institutes and Schools will not be able to grow through lack of awareness and industry investment</td>
<td>Progressive industry engagement aimed at building profile of the institutes and increasing opportunities for industry partnerships designed and executed</td>
<td>• Not yet started at whole-of-college level</td>
<td>• Engaged a brand strategist to lead next iteration of branding across all entities</td>
<td>February – December 2019</td>
</tr>
<tr>
<td>Develop and Execute a horizon-based industry engagement strategy aimed at enhancing partnership and investment opportunities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Delayed Timelines, Serious issues

Some issues, being managed

On Track

Operational Plan v4.3.2
## Infrastructure

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Precinct planning : Establish governance arrangements for precinct planning</td>
<td></td>
<td>Deputy Dean Asso. Director – Infrastructure</td>
<td>~ Physical infrastructure not be well managed or sufficient – this will constrain growth and achievement of objectives</td>
<td>• Space use planning and effective, transparent decision-making will provide a platform for horizon development of infrastructure to meet identified needs. Planning will be regularly refreshed to respond to changes in demand</td>
<td>• Precinct plan is in place and communicated</td>
<td>• Committee established and work started</td>
<td>March – October 2019 and ongoing</td>
</tr>
</tbody>
</table>

| Construction : Commence project delivery of Birch refurbishment | | Asso. Director – Infrastructure | ~ Current facilities will not provide sufficient space to deliver on existing and future research and teaching commitments | • Refurbishment of interior of redacted space to commence | • Fit-for-purpose building refurbishment completed on time and on budget | • Significant headwinds, resources redeployed | September 2019 – January 2021 |
## Infrastructure

<table>
<thead>
<tr>
<th>Project</th>
<th>Status</th>
<th>Lead</th>
<th>Risk/dependency</th>
<th>Mitigation</th>
<th>Work in Train</th>
<th>Next Steps</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relocation of PSG and other units: Churn plan to be developed aligned with precinct plan</td>
<td></td>
<td>Asso. Director – Infrastructure</td>
<td>• Current use of space will constrain growth, culture and teaming</td>
<td>• Relocate key areas of administration and some research teams to facilitate effective service delivery and research activities • Provide active space for the new institutes to grow</td>
<td>• Teams relocated and in situ by dates agreed in plan</td>
<td>• Relocation post works • Design work for new teaching spaces</td>
<td>March - July 2019 Completion now February 2020</td>
</tr>
<tr>
<td>IT support: Develop medium and long-term plans for IT infrastructure and appropriate service agreements</td>
<td></td>
<td>Asso. Director – Infrastructure</td>
<td>• Critical aging infrastructure is not managed creating risk to research and operations</td>
<td>• Replacement plan for aging infrastructure is in place. Plan for growth is in place. Clarification of roles of central and local IT services</td>
<td>• IT infrastructure plan under development</td>
<td>• Relocation of server rooms • Capacity audit and future needs assessment</td>
<td>July - October 2019 Implementation planning to commence Jan 2020 Roll-out completed 2021</td>
</tr>
</tbody>
</table>
Deep dive on Birch Refurbishment

The refurbishment of the Birch Building (Building 35) is a critical part of the Reimagine investment. This represents the first significant infrastructure project since the Reimagine Business case was approved in November 2018. The Birch Building was completed in 1969 and was used as the primary building for the Research School of Chemistry.

Concept Design
An architectural firm was engaged in July 2018 to support the design of the refurbishment. The principles for the concept design were:

- Students at the heart of everything
- Industry collaboration
- Flexibility and adaptability
- Engagement

These principles and discussions with management helped drive the vision for the building. The Concept Design was submitted to CECS in December 2018 and was endorsed in May 2019. The Concept Design was produced knowing that the Acton Campus Master Plan and the Acton Campus Heritage Framework were still under development. The Birch Building is listed as a heritage site and will be the first building on campus to be assessed using the new Heritage Framework.

CECS Strategic Intent
The CECS Strategic Intent was developed by the CECS Executive and released in July 2019. The following commitments also helped drive the detailed design.

- We will invest in world-class space and infrastructure that attracts and inspires. We will build new infrastructure to support the new scale and nature of activities in the College. A significant fraction of our infrastructure will be used for industry interaction. We will progressively rework and optimise our existing infrastructure.
- We will map out the resources required to achieve our education, research and impact goals. We will map out the resources required to sustain experiments in research, education, partnership and new ways of being. We will prioritise and establish facilities accordingly.
- We will develop infrastructure of national importance in partnership with government, industry, and other organisations.
- Increase footprint from 13,000m² to 36,000m² (including 3,000m² dedicated to industry collaboration).

Detailed Design
As well as Building 35, the full scope of the refurbishment is to also include:

- Building 36 – Lecture Theatre
- Building 35A - Craig Building interface
- Building 35F – Shared loading dock and F&S Maintenance Workshop

After endorsement of the Concept Design, the detailed design process was commenced. Central to this detailed process was to have user group sessions to help define new, modern ways of using the building. There were four user groups held that help provide guidance and define some requirements of the building. The users group members included internal and external teaching and research academics, students, and professional staff members. There have also been individual consultations to help refine the requirements.

From these consultations the architects have developed plans to implement the vision of CECS.

- Building core: At the heart of the building plans is the use of the existing central staircase. This creates a central environment on every floor where students, staff, and visitors can interact. At the north and south of the staircase are engagement and collaboration spaces on each floor to create shared spaces as well as large kitchens.
• Building 35 – Level 1: This level has been dedicated to teaching and learning. The level consists of large 60 person rooms with an operable wall to create a 120 person room. This is dedicated towards 1st year engineering subjects. A project room is next to the lab such that students can move in and out of the tutorial as required to work on small projects. There are two 32 person labs as well as a 40 person labs. These smaller labs are more for the later year courses.
A feature of Level 1 is to have two dedicated Maker Spaces for students to have hands on experience in their own projects. This is further enhanced with a shared project space and a whiteboard collaborative space.

✓ Building 35F: The shared dock area will include an accessible project space for large projects such as an electric car. For very large equipment a new Macro lab will be built. This Macro Lab will have high ceilings and strong floors to hold large, heavy equipment.
• Building 35 – Level 2: This floor is dedicated to the Research School of Aerospace, Mechanical, and Environmental Engineering. This is dedicated office space for the Director, academics and professional staff and HDR students. There is also dedicated space for flexible laboratories that also include a Clean Room and Physical Containment (PC2) laboratory.
• Building 35 – Level 3: This floor is dedicated to the Autonomy, Agency, and Assurance Innovation (3Ai) Institute which will eventually become the Research School of Design Engineering. This floor feature office space surrounds the core ‘Hands on Lab’ and ‘Multi-Use Lab’ that are central to 3Ai.

✓ Building 35A: The Birch Building is vital to the transport of chemicals to the Craig Building (35A). A new elevator will be installed to safely transport the chemicals from the loading dock to the Craig Building
• Building 36 – Level 1: The Lecture Theatre will be upgraded for a more modern experience. Instead of the traditional lecture experience, there will be three tiers with students grouped into 11 tables of 5. A feature of these tables are the ability for students to work on a shared computer and be able to project their workings on the main screen.
• Building 36 – Level 2: The space has been called the Innovation Space and its core purpose is for it to be used for large presentations and events.

Internal ANU approvals
ANU has its own internal infrastructure committees which are the Campus Development Advisory Committee (CDAC) and the Campus Planning Committee (CPC). The project was put to the CDAC in August 2019 and then it was endorsed to go to the CPC. The project was presented to the CPC by the Dean in September 2019 and it was endorsed immediately with no amendments required.

External approvals
The Acton Campus Heritage Framework was completed in August 2019 and the Birch Refurbishment is the first project to be assessed under this framework. ANU engaged heritage consultants to ensure that the Birch Refurbishment was conducted in line with the Heritage Framework. The heritage submission has gone to the Department of Environment and Energy (DoEE) for approval and this approval is expected to occur in late October 2019.

After DoEE approval is achieved, the final approval will be from the National Capital Authority. It is expected that this will be attained in November 2019. Once NCA approval is achieved, the refurbishment can formally commence

Budget
The original estimated budget for the refurbishment was $85 million. It is expected that the final expenditure will be slightly less than $85 million.
ADMINISTRATIVE REFORM

Update to ANU Council

December 2019

Prepared by: Service Improvement Group
Executive Summary

Administrative reform continues to progress across our key service delivery areas in an effort to reduce cost and increase satisfaction.

How do we Compare?

ANU is now benchmarking our normalised results using an updated model that more accurately represents the university’s research-intensive profile. This has changed the year-on-year comparison for normalised costs, however the overall downward trend remains the same.

Professional Staff Profile

Professional staff numbers have seen an increase of 9%, when compared to the same time last year. Current staff numbers are at the highest in over five years. However, between 2014 and 2018, with the large increase to our student numbers, our staff to student ratio has also increased from 1:7.1 in 2014 to 1:8.6 in 2018.

Administrative Functions

Some sections of Student Support and Services, Human Resources and Finance are higher in normalised cost than other universities.

- **Student Administration**
  - Lowest result since 2015 and is 6 percentage points below expected cost

- **External Engagement**
  - Increased by 9 percentage points this year, primarily due to increase in marketing and Alumni & Development costs

- **Information Technology**
  - Dropped 37 percentage points since 2013 to 79 normalised cost result

- **Human Resources**
  - Dropped 33 percentage points since 2012 to 99 normalised cost result

- **Finance**
  - Around expected cost with 99 normalised cost result in 2018, down 4 percentage points on previous year

Staff and Student Satisfaction

ANU staff consistently record high levels of satisfaction with grounds and landscape. Other areas that have performed well in 2019 include access to research resources, payroll, provision of staff email, graduations and special collections and archives. Low satisfaction topics include parking, budgeting, IT security, IT contracts and projects, change management and the ANU website.

Following the 2019 Administrative Staff Survey results, an Action Plan has been implemented across Facilities and Services, Information Technology, Human Resources, Marketing and Student Recruitment and Financial Services to address the issues identified.

Feedback

To ensure we continuously monitor and improve our service delivery, staff and students are now able to submit feedback through an online form. Since its release, ANU has received close to 1,000 pieces of feedback and ideas for improvement since February 1 2018. Feedback received through the feedback system will be used to inform short and longer term service improvement activities at ANU.

Customer Service Experience

A program to build the Customer Service Experience at ANU is underway, focusing on the student experience, ensuring all initiatives are driven by a focus on what our students want and need during their time at the ANU.
How do we compare?

ANU has had the second largest reduction in normalised operations costs of the Go8 over a three year period, with the greatest drop in transactional activities.

Overall performance (normalised cost)

There was a 7% drop from 2016 to 2018 in UniForum normalised operations cost result. However, there was no change between 2017-2018.

ANU normalised operations cost – 2016 to 2018

ANU achieved significant operations transactional cost savings between 2016 and 2018 due to the completion of major change programs.

Normalised operations transactional costs are the lowest across the Go8 universities, as a result of a large reduction in normalised transactional costs.

What is operations cost?

Administration and support activities whose primary purpose is to support the day-to-day operations of the university. Can be broken down further into:

- Transactional/Hybrid/Non-transactional groups of activities; or
- Function & Activities such as Governance, Human Resources, Finance, General Administration, Information Technology, Facilities Management, External Engagement, Student Support & Services, Library, Teaching Administration, Research Administration

Change in normalised operations costs 2016 to 2018: Group of Eight

Note: Normalised results enable comparison to other universities by scaling activities for the size of teaching and research. A result of above 100 suggests that resources are more expensive than would be predicted. Normalised Cost for Operations (all administrative activity, excluding Develop and Transform activities, Research Support, Teaching Support and Other Commercial Activities), and can be broken down further into operations transactional costs and operations non-transactional & hybrid costs.

*Group of Eight in the UniForum benchmarking context refers to the 6 Go8 Universities who are part of the collection framework (excludes University of Adelaide and University of Western Australia).
Normalised operations costs have seen a steady decline at ANU from 2012 to 2018. Research Facilities and Support, and Teaching Design, Development and Delivery are higher in normalised cost than other universities.

The UniForum benchmarking study divides administrative and support activities into a framework of 14 functions that are listed above.

ANU normalised operations costs 2012 to 2018

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Research Facilities and Support</td>
<td>229</td>
<td>208</td>
<td>200</td>
<td>244</td>
<td>191</td>
<td>168</td>
<td>160</td>
<td>118</td>
<td>3.21</td>
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<tr>
<td>Teaching Design, Dev. &amp; Delivery</td>
<td>110</td>
<td>126</td>
<td>122</td>
<td>138</td>
<td>135</td>
<td>137</td>
<td>136</td>
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<td>External Engagement</td>
<td>93</td>
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<td>92</td>
<td>93</td>
<td>88</td>
<td>96</td>
<td>105</td>
<td>105</td>
<td>3.19</td>
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<td>Human Resources</td>
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<td>103</td>
<td>102</td>
<td>95</td>
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<td>99</td>
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<td>101</td>
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<td>97</td>
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<td>Teaching Administration</td>
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<td>106</td>
<td>81</td>
<td>89</td>
<td>93</td>
<td>99</td>
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<td>Research Administration</td>
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<td>97</td>
<td>90</td>
<td>92</td>
<td>91</td>
<td>98</td>
<td>3.27</td>
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<tr>
<td>Information Technology</td>
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<td>116</td>
<td>111</td>
<td>102</td>
<td>92</td>
<td>89</td>
<td>79</td>
<td>96</td>
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<td>General Administration</td>
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<td>115</td>
<td>93</td>
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<td>81</td>
<td>77</td>
<td>78</td>
<td>97</td>
<td>3.53</td>
</tr>
<tr>
<td>Facilities Management</td>
<td>117</td>
<td>109</td>
<td>73</td>
<td>89</td>
<td>103</td>
<td>79</td>
<td>72</td>
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<td>Complementary Activities</td>
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<td>37</td>
<td>41</td>
<td>40</td>
<td>46</td>
<td>42</td>
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<td>Total ANU</td>
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<td>102</td>
<td>110</td>
<td>103</td>
<td>96</td>
<td>95</td>
<td>98</td>
<td></td>
</tr>
</tbody>
</table>

Note: Normalised results enable comparison to other universities by scaling activities for the size of teaching and research. A result of above 100 suggests that resources are more expensive than would be predicted.

Research Facilities and Support, and Teaching Design, Development and Delivery are consistently higher in normalised costs than the Go8 average.

Information Technology had the largest drop in normalised costs between 2017 and 2018, down 11%.

Teaching Design, Development and Delivery has the lowest satisfaction rating. This is centred in *Administration of Curriculum Management Processes*, with a satisfaction rating of 2.96.

ANU has dropped 20 points since 2012.
Professional Staff Profile

Professional staff numbers have increased ...while student load has seen significant growth.

Professional staff numbers are up 9% from the same time last year, with College staff increasing 12%. Current staff numbers at the highest in over five years. However, between 2014 and 2019 (YTD) the staff increase was 13%, with students up 27% over the same period.

The proportion of staff in Colleges increased to 53%, up from 52% at the same time last year.

In 2018, 71% of College staff were directly supporting our Teaching and Research*. This is up from 63% in 2014.

The most recent Voluntary Early Retirement Scheme (VERS) commenced in August 2017 to bring in renewed capability and strategic appointments. A replacement strategy focused on:

- Academic staff
  - early career academics - succession planning, future leaders
  - New appointments to be aligned with strategic research and education directions
- Professional staff
  - Based on operational requirements

Student load has increased by 23% between 2015-2019 YTD (3,768 EFTSL). Though has remained fairly flat the last two years.

Average students per ANU staff member has increased consistently since 2014.

*Note: Activities supporting teaching and research include Research Facilities and Support, Research Administration, Student Support and Services, External Engagement and Library
** FTE and EFTSL indicates Full Time Equivalent (where 1 equals 1 year – full time worked or studied)
**Administrative Reform**

There are over 50 projects delivered, planned or underway in 2018 and 2019 that will impact our administrative services. Key projects are highlighted below.

<table>
<thead>
<tr>
<th>Student Administration</th>
<th>Information Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HDR Admissions</strong></td>
<td><strong>Telephony Upgrade</strong></td>
</tr>
<tr>
<td>Release Date:</td>
<td>Release Date:</td>
</tr>
<tr>
<td>In Progress</td>
<td>Initiation</td>
</tr>
<tr>
<td>HDR Supervision</td>
<td><strong>PeopleSoft System</strong></td>
</tr>
<tr>
<td>Release Date:</td>
<td>Upgrades and TCSI</td>
</tr>
<tr>
<td>November 2019</td>
<td>Implementation</td>
</tr>
<tr>
<td></td>
<td>Release Date:</td>
</tr>
<tr>
<td></td>
<td>In Progress</td>
</tr>
<tr>
<td><strong>Curriculum</strong></td>
<td><strong>Robotic Process</strong></td>
</tr>
<tr>
<td>Management System</td>
<td>Automation</td>
</tr>
<tr>
<td>– Remediation</td>
<td>Release Date:</td>
</tr>
<tr>
<td>Release Date:</td>
<td>Ongoing</td>
</tr>
<tr>
<td>May 2020</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>SELT</strong></td>
<td><strong>Customer Relationship</strong></td>
</tr>
<tr>
<td>Release Date:</td>
<td>Management - Future</td>
</tr>
<tr>
<td>January 2019</td>
<td>Student Enquiries and</td>
</tr>
<tr>
<td></td>
<td>Marketing</td>
</tr>
<tr>
<td></td>
<td>Release Date:</td>
</tr>
<tr>
<td></td>
<td>In Progress</td>
</tr>
<tr>
<td><strong>Timetabling Process</strong></td>
<td><strong>Website Review</strong></td>
</tr>
<tr>
<td>Improvements</td>
<td>Release Date:</td>
</tr>
<tr>
<td>Release Date:</td>
<td>September 2019</td>
</tr>
<tr>
<td>In Progress</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Website Review</strong></td>
<td><strong>External Engagement</strong></td>
</tr>
<tr>
<td>Release date:</td>
<td></td>
</tr>
<tr>
<td>September 2019</td>
<td></td>
</tr>
</tbody>
</table>

* Single Sign On measurement - 29 Oct – 4 Nov 2018

**HDR Admissions**

The project will deliver digitalised, streamlined and automated HDR Admissions process from candidate application through to offer decision, with improved tracking and reporting. Three phases of build and release have been planned, with the first phase slated for release in May 2020, delivering a new application interface for HDR applicants.

**Curriculum Management System – Remediation**

The Project will deliver improvements across three areas: Efficiency (data processing and user access to curriculum); Workflow (enable people to make decisions and publish as per the University’s delegation matrix. Stage 1 (quick wins/efficiencies) – was successfully delivered into Production. Stage 2 (Workflow and Reporting) is due to go live in May 2020.

**SELT**

The new SELT request eForm was launched in January 2019 to great effect. It is estimated the new process has saved 30 hours of staff time and 1.8 trees per year. Some further refinements are now being made to the eForm to accommodate the revised policy and procedures going into effect on 1 January 2020.

**Timetabling Process Improvements**

The Timetabling Program of work is nearing completion of 3 of 6 projects. A new Timetabling Policy and Procedure was published in August, the Teaching Unavailability eForm was delivered in September and Room AV Upgrades will be completed at the end of January 2020. The remaining implementation of a personalised timetable for students is currently in progress.

**HDR Supervision**

The HDR supervision framework went live on the 4th November to foster best practice in supervision at the ANU. Two PULSE modules for ANU (and an equivalent Qualtrics module for non-ANU) HDR supervisors are now available. As of 11 November 2019, there had been 97 PULSE module completions. The HDR Supervision webpages are live and provide supervisors with useful information on HDR supervisor registration and renewal requirements.

**Telephony Upgrade**

This project will replace the University’s end-of-life (EOL) software and hardware telephony infrastructure and create a modern, unified communications platform. The project is in the initiation stages undertaking discovery and planning activities, after which impact to the University stakeholders will be known.

**PeopleSoft System Upgrades and TCSI Implementation**

The Program of Work will deliver improved experience through enhanced user interfaces and functionality in HR, Finance and Campus Solutions systems. The first upgrade will go live by Q1/2020. In addition, work is underway on system support for the Government mandated changes to the provision of student information through the Government’s Transforming Collection of Student Information (TCSI) Project.

**Robotic Process Automation**

This work involves the development and implementation of digital workers (‘bots’) across the University, resulting in the automation of laborious, predictable, rule-driven activities such as data entry, validation and transcription processes. These bots contribute to organisational agility by making previously impracticable resource-intensive tasks possible, enabling staff to focus on vital customer-facing activities.

**Customer Relationship Management - Future Student Enquiries and Marketing**

The Future Student CRM system has been approved for Stage 3 (systems integration) delivery. Supported by the CRM, the Future Student Experience team has achieved a top 5 in sector and top 10 overall rating from Customer Service Benchmarking Australia since February 2019. Stage 3 will enhance functionality, increase reporting capability, build Computer Telephony Integration (CTI) & ANU system integration.

**Website Review**

The final report on the web services review was presented to ITSC in July. There was unanimous agreement for ANU to develop a new sector-leading digital presence and SMG endorsed the intention to entirely re-design/rebuild the website, determining that the University will not be able to deliver the ANU Story Project without a cohesive digital presence. A project team will be established.
Staff Satisfaction

There are a range of surveys and mechanisms in place to measure staff satisfaction to identify opportunities for improvement and monitor transformation efforts.

Results of the 2019 Administrative Services Survey provides a view of all staff satisfaction with administrative services.

### Top 10 Activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Average Rating</th>
<th>Average by Cohort</th>
<th>Response Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Grounds and landscape</td>
<td>4.23</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Access to research resources (print and online)</td>
<td>4.06</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Management of electronic repository (digital collection)</td>
<td>3.98</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Printery services</td>
<td>3.94</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Environmental management of the campus</td>
<td>3.93</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Provision and support of student and staff email</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Organising and coordination of graduations</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Provision of payroll services</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Quality of works published by ANU Press</td>
<td>3.84</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Special collections, reserves and archives</td>
<td>3.84</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Bottom 10 Activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Average Rating</th>
<th>Average by Cohort</th>
<th>Response Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Parking management</td>
<td>4.23</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Management of controls and tools for IT security</td>
<td>4.06</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Management of major/ enterprise wide IT projects</td>
<td>3.98</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 Management of IT procurement and contracts (strategic/major over $150,000)</td>
<td>3.94</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 Support services for external and internal facing websites and staff intranets</td>
<td>3.93</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 Management and usability of the ANU public website</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7 Usability of university web management tools and publication controls</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8 Change management support</td>
<td>3.91</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 Budgeting processes</td>
<td>3.84</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 Responsiveness of ANU to ideas for improvement</td>
<td>3.84</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Top 5 Service Delivery Areas

<table>
<thead>
<tr>
<th>Area</th>
<th>Average Rating</th>
<th>Response Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Scholarly Information Services</td>
<td>3.64</td>
<td></td>
</tr>
<tr>
<td>2 Legal Office</td>
<td>3.62</td>
<td></td>
</tr>
<tr>
<td>3 Corporate Governance and Risk Office</td>
<td>3.52</td>
<td></td>
</tr>
<tr>
<td>4 Division of Student Life</td>
<td>3.52</td>
<td></td>
</tr>
<tr>
<td>5 Division of Student Administration</td>
<td>3.50</td>
<td></td>
</tr>
</tbody>
</table>

### Bottom 5 Service Delivery Areas

<table>
<thead>
<tr>
<th>Area</th>
<th>Average Rating</th>
<th>Response Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Marketing and Student Recruitment Division</td>
<td>3.35</td>
<td></td>
</tr>
<tr>
<td>2 International Strategy and Partnerships</td>
<td>3.35</td>
<td></td>
</tr>
<tr>
<td>3 Planning and Performance Measurement</td>
<td>3.31</td>
<td></td>
</tr>
<tr>
<td>4 Human Resources Division</td>
<td>3.30</td>
<td></td>
</tr>
<tr>
<td>5 Information Technology Services</td>
<td>3.28</td>
<td></td>
</tr>
</tbody>
</table>

### Key: Response Distribution Charts

- Very dissatisfied
- Dissatisfied
- Neutral
- Satisfied
- Very satisfied

### Average by Cohort Charts

- 4.14 Academic rating
- 4.23 All staff rating
- 4.37 Professional rating
A program to build the Customer Service Experience at ANU is underway, focusing on the student experience, ensuring all initiatives are driven by a focus on what our students want and need during their time at the ANU.

Our Student Experience

A dedicated program to build the Customer Service Experience at ANU is now underway. In its first year, the program will concentrate on creating value by finding and doing the things that matter to our students.

The vision is to create a customer experience as a source of measurable competitive advantage. This is aligned to the principle of providing a more personalised experience for students studying at the ANU, where they can feel like they are part of a University community and family.

An Experience Accelerator lab is being formed that will be a shared resource for students, colleges, schools and service divisions to collaborate share, design and execute improvements, focusing on human centred design and changing the University’s service culture by doing.

Key principles include leveraging the experience of students through analysis, design and execution stages of the program, experimentation as a means of learning and aligning service improvements to the needs of our customers.

In year one (2020), the focus will be on transforming the Commencing Student Experience, improving the commencing cohort experience through their ANU journey.

Year One – Example Initiatives for Commencing Cohort Experience

A hypothesis of initiatives to be targeted in the first year to improve the student experience:
- Academic Experience
- Degree Planning
- Accommodation improvements
- Wayfinding around campus
- Videos for international students (made by students)
- Agents on-boarding improvements
- Kambri: Review and Evolution
- Website: Chatbots (for 24/7 responsiveness)
- Post Acceptance Experience
- On Campus Transportation

Service Feedback

In January 2018 the Vice Chancellor launched an online feedback form, providing staff and students a facility to provide feedback on University services at any point in time. Since then, ANU has received 917 pieces of feedback and ideas for improvement.

Top 10 Feedback Categories YTD

<table>
<thead>
<tr>
<th>Category</th>
<th>Students</th>
<th>Academic Staff</th>
<th>Central Professional Staff</th>
<th>College Professional Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Security, parking, transport and traffic</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other - Student Life</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other - Facilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Buildings and property (including Kambri, teaching...)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Network, phones, internet and WiFi</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identity and IT security</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recruitment and employment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Timetabling</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audio visual and video conferencing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email, communication and collaboration tools</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What do our students care about and what are they saying?

**Student catering:** One-plate policy; one-size-fits-all “nutritionist-approved” portion sizes inadequate.

**Pastoral Care needs:** Removal of Deputy Head of Hall position; difficulty in accessing support services due to lack of staff capacity.

**Designated smoking areas and Smoking on Campus policy:** DOSA too close to accommodation windows; lack of enforcement for smoking elsewhere on campus.

**Library facilities:** Compliments for library content; concerns about library policy regarding desk use; students woken and moved on.

**Exam timetabling:** Packed timetables; back-to-back exams.

**Kambri:** New retail price points are above expected for student facilities; gym, pool and cafes too expensive for students.

**Parking for parents and carers:** Lack of parking spaces; difficulty parking past 9am does not accommodate children’s school schedules, flexibility for carers.

**Building cleanliness:** Cleaning service inadequate; concerns about bathroom hygiene.

**Waste management:** Garbage and recycling aren’t separated in cleaning; lack of recyclable containers and utensils from campus Cafes.
## 1. ANU TOTAL load by award level (career)

<table>
<thead>
<tr>
<th>Year</th>
<th>HDR Domestic</th>
<th>PGC Domestic</th>
<th>UG Domestic</th>
<th>Total Load</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>1,225.9</td>
<td>2,332.8</td>
<td>7,957.3</td>
<td>11,516.0</td>
</tr>
<tr>
<td>2019 Budget Load</td>
<td>1,129.1</td>
<td>2,484.0</td>
<td>7,916.7</td>
<td>11,529.7</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>1,193.8</td>
<td>2,132.8</td>
<td>8,109.3</td>
<td>11,436.0</td>
</tr>
<tr>
<td>2019 % of Budget</td>
<td>105.7%</td>
<td>85.9%</td>
<td>102.4%</td>
<td>99.2%</td>
</tr>
<tr>
<td>2019 Career % of total</td>
<td>6.0%</td>
<td>21.9%</td>
<td>42.3%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

## 2. ANU Domestic load by career

<table>
<thead>
<tr>
<th>Year</th>
<th>HDR Domestic</th>
<th>PGC Domestic</th>
<th>UG Domestic</th>
<th>Total Load</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>766.4</td>
<td>4,507.1</td>
<td>3,216.9</td>
<td>8,490.3</td>
</tr>
<tr>
<td>2019 Budget Load</td>
<td>758.3</td>
<td>4,392.3</td>
<td>3,251.2</td>
<td>8,401.9</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>817.0</td>
<td>4,346.0</td>
<td>3,224.0</td>
<td>8,387.0</td>
</tr>
<tr>
<td>2019 % of Budget</td>
<td>107.7%</td>
<td>98.9%</td>
<td>99.8%</td>
<td>99.6%</td>
</tr>
<tr>
<td>2019 Career % of total</td>
<td>4.1%</td>
<td>21.9%</td>
<td>42.3%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

## 3. ANU International load by career

<table>
<thead>
<tr>
<th>Year</th>
<th>HDR International</th>
<th>PGC International</th>
<th>UG International</th>
<th>Total Load</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>1,992.3</td>
<td>6,839.8</td>
<td>11,174.2</td>
<td>20,006.3</td>
</tr>
<tr>
<td>2019 Budget Load</td>
<td>1,887.4</td>
<td>6,877.4</td>
<td>11,166.7</td>
<td>19,931.5</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>2,010.8</td>
<td>6,478.8</td>
<td>11,333.3</td>
<td>19,823.0</td>
</tr>
<tr>
<td>2019 % of Budget</td>
<td>106.5%</td>
<td>94.2%</td>
<td>101.5%</td>
<td>99.5%</td>
</tr>
<tr>
<td>2019 % Domestic</td>
<td>59.4%</td>
<td>32.9%</td>
<td>71.6%</td>
<td>57.7%</td>
</tr>
<tr>
<td>2019 Career % of total</td>
<td>10.1%</td>
<td>32.7%</td>
<td>57.2%</td>
<td>100.0%</td>
</tr>
</tbody>
</table>
4. ANU COMMENCING load by award level (career)

<table>
<thead>
<tr>
<th></th>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Higher Degree Research</td>
<td>152.1</td>
<td>2,213.6</td>
<td>1,615.4</td>
</tr>
<tr>
<td>Postgraduate Coursework</td>
<td>177.1</td>
<td>2,045.6</td>
<td>1,669.4</td>
</tr>
<tr>
<td>Undergraduate</td>
<td>163.9</td>
<td>1,822.1</td>
<td>1,478.3</td>
</tr>
<tr>
<td>Total</td>
<td>493.0</td>
<td>5,081.3</td>
<td>3,563.1</td>
</tr>
</tbody>
</table>

5. ANU Domestic commencing load by career

<table>
<thead>
<tr>
<th></th>
<th>HDR domestic</th>
<th>PGC domestic</th>
<th>UG domestic</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>76.1</td>
<td>820.6</td>
<td>1,017.1</td>
<td>1,913.7</td>
</tr>
<tr>
<td>2019 Budget Load</td>
<td>95.3</td>
<td>815.6</td>
<td>1,137.0</td>
<td>2,047.9</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>92.0</td>
<td>653.6</td>
<td>1,053.0</td>
<td>1,798.7</td>
</tr>
</tbody>
</table>

| 2019 % of Budget | 96.6% | 80.1% | 92.6% | 87.8% |
| 2019 Career % of total | 2.7% | 18.9% | 30.4% | 51.9% |

6. ANU International commencing load by career

<table>
<thead>
<tr>
<th></th>
<th>HDR international</th>
<th>PGC international</th>
<th>UG international</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>76.1</td>
<td>1,393.0</td>
<td>598.4</td>
<td>2,067.4</td>
</tr>
<tr>
<td>2019 Budget Load</td>
<td>81.8</td>
<td>1,230.0</td>
<td>532.4</td>
<td>1,844.3</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>71.8</td>
<td>1,168.4</td>
<td>425.3</td>
<td>1,666.5</td>
</tr>
</tbody>
</table>

| 2019 % of Budget | 87.8% | 95.0% | 79.9% | 90.3% |
| 2019 Career % of total | 2.1% | 33.7% | 12.3% | 48.1% |
7. ANU Higher Degree Research: College TOTAL load by citizenship

- 2018
- 2019 Budget Load
- 2019 (as at 4 Nov)

<table>
<thead>
<tr>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>305.9</td>
<td>284.8</td>
</tr>
<tr>
<td>CAP</td>
<td>178.1</td>
<td>150.9</td>
</tr>
<tr>
<td>CBE</td>
<td>53.7</td>
<td>47.8</td>
</tr>
<tr>
<td>CECS</td>
<td>104.4</td>
<td>82.6</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>32.7</td>
<td>28.7</td>
</tr>
<tr>
<td>CHM</td>
<td>161.2</td>
<td>197.0</td>
</tr>
<tr>
<td>COS</td>
<td>360.3</td>
<td>329.4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>70.6</td>
<td>64.3</td>
</tr>
<tr>
<td>CAP</td>
<td>169.1</td>
<td>166.9</td>
</tr>
<tr>
<td>CBE</td>
<td>61.1</td>
<td>82.1</td>
</tr>
<tr>
<td>CECS</td>
<td>135.8</td>
<td>154.6</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>0.3</td>
<td>7.5</td>
</tr>
<tr>
<td>CHM</td>
<td>69.3</td>
<td>64.7</td>
</tr>
<tr>
<td>COS</td>
<td>259.2</td>
<td>226.5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic</td>
<td>79.3%</td>
<td>51.5%</td>
</tr>
<tr>
<td>International</td>
<td>112%</td>
<td>46.2%</td>
</tr>
</tbody>
</table>

Prepared by: PPM
Planning and Review Team
8. ANU Higher Degree Research: College COMMENCING load by citizenship

<table>
<thead>
<tr>
<th></th>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS Domestic</td>
<td>17.5</td>
<td>21.5</td>
<td>23.1</td>
</tr>
<tr>
<td>CAP Domestic</td>
<td>6.6</td>
<td>9.4</td>
<td>8.3</td>
</tr>
<tr>
<td>CBE Domestic</td>
<td>3.6</td>
<td>4.4</td>
<td>3.7</td>
</tr>
<tr>
<td>CECS Domestic</td>
<td>6.4</td>
<td>7.9</td>
<td>7.9</td>
</tr>
<tr>
<td>ANUCOL Domestic</td>
<td>1.3</td>
<td>3.0</td>
<td>1.1</td>
</tr>
<tr>
<td>CHM</td>
<td>15.9</td>
<td>19.1</td>
<td>22.9</td>
</tr>
<tr>
<td>COS</td>
<td>23.6</td>
<td>29.1</td>
<td>24.4</td>
</tr>
<tr>
<td>ANUCOL International</td>
<td>6.1</td>
<td>6.2</td>
<td>5.7</td>
</tr>
<tr>
<td>CHM International</td>
<td>10.0</td>
<td>14.1</td>
<td>14.1</td>
</tr>
<tr>
<td>COS International</td>
<td>8.3</td>
<td>8.3</td>
<td>9.0</td>
</tr>
<tr>
<td>ANUCOL Domestic</td>
<td>18.6</td>
<td>18.0</td>
<td>16.5</td>
</tr>
<tr>
<td>CHM Domestic</td>
<td>5.8</td>
<td>4.0</td>
<td>0.2</td>
</tr>
<tr>
<td>COS Domestic</td>
<td>27.2</td>
<td>24.3</td>
<td>7.1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2018 % of Budget</th>
<th>2019 % of Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic</td>
<td>107.5%</td>
<td>88.1%</td>
</tr>
<tr>
<td>International</td>
<td>84.3%</td>
<td>100.3%</td>
</tr>
<tr>
<td>ANUCOL Domestic</td>
<td>38.5%</td>
<td>120.0%</td>
</tr>
<tr>
<td>CHM</td>
<td>84.0%</td>
<td>0.0%</td>
</tr>
<tr>
<td>COS</td>
<td>92.6%</td>
<td>100.1%</td>
</tr>
<tr>
<td>ANUCOL Domestic</td>
<td>108.8%</td>
<td>91.6%</td>
</tr>
<tr>
<td>CHM Domestic</td>
<td>5.2%</td>
<td>103.2%</td>
</tr>
<tr>
<td>COS Domestic</td>
<td>78.5%</td>
<td></td>
</tr>
</tbody>
</table>
9. ANU Postgraduate Coursework: College TOTAL load by citizenship

- 2018
- 2019 Budget Load
- 2019 (as at 4 Nov)

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic</th>
<th>International</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>161.2</td>
<td>166.7</td>
</tr>
<tr>
<td>CAP</td>
<td>467.4</td>
<td>563.5</td>
</tr>
<tr>
<td>CBE</td>
<td>118.6</td>
<td>2891.6</td>
</tr>
<tr>
<td>CECS</td>
<td>46.7</td>
<td>489.3</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>1060.8</td>
<td>1121.2</td>
</tr>
<tr>
<td>CHM</td>
<td>403.8</td>
<td>396.3</td>
</tr>
<tr>
<td>COS</td>
<td>74.3</td>
<td>96.5</td>
</tr>
<tr>
<td>ANU</td>
<td>145.0</td>
<td>144.7</td>
</tr>
<tr>
<td>CAP</td>
<td>458.1</td>
<td>616.0</td>
</tr>
<tr>
<td>CBE</td>
<td>108.4</td>
<td>2700.4</td>
</tr>
<tr>
<td>CECS</td>
<td>88.4</td>
<td>489.5</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>82.6</td>
<td>92.4</td>
</tr>
<tr>
<td>CHM</td>
<td>395.2</td>
<td>82.4</td>
</tr>
<tr>
<td>COS</td>
<td>75.3</td>
<td>82.4</td>
</tr>
<tr>
<td>NCIS</td>
<td>0</td>
<td>264.5</td>
</tr>
</tbody>
</table>

 Prepared by: PPM
 Planning and Review Team
10. ANU Postgraduate Coursework: College COMMENCING load by citizenship

- 2018
- 2019 Budget Load
- 2019 (as at 4 Nov)

<table>
<thead>
<tr>
<th>College</th>
<th>2018</th>
<th>2019 Budget Load</th>
<th>2019 (as at 4 Nov)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic</td>
<td>41.5</td>
<td>58.2</td>
<td>32.2</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>197.3</td>
<td>209.5</td>
<td>192.8</td>
</tr>
<tr>
<td>CHM</td>
<td>9.8</td>
<td>16.3</td>
<td>23.9</td>
</tr>
<tr>
<td>COS</td>
<td>467.7</td>
<td>404.8</td>
<td>313.4</td>
</tr>
<tr>
<td>CEB</td>
<td>52.4</td>
<td>59.8</td>
<td>51.9</td>
</tr>
<tr>
<td>CBE</td>
<td>23.9</td>
<td>29.5</td>
<td>18.4</td>
</tr>
<tr>
<td>CECS</td>
<td>47.3</td>
<td>43.7</td>
<td>35.7</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>167.5</td>
<td>188.7</td>
<td>158.6</td>
</tr>
<tr>
<td>CHM</td>
<td>877.9</td>
<td>702.5</td>
<td>718.0</td>
</tr>
<tr>
<td>COS</td>
<td>168.3</td>
<td>153.4</td>
<td>167.3</td>
</tr>
<tr>
<td>CEB</td>
<td>40.7</td>
<td>35.9</td>
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<tr>
<td>CECS</td>
<td>21.2</td>
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<tr>
<td>ANUCOL</td>
<td>69.3</td>
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<tr>
<td>CEB</td>
<td>2019 % of Budget</td>
<td>2019 % Domestic</td>
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<tr>
<td>Domestic</td>
<td>55.2%</td>
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</tr>
<tr>
<td>International</td>
<td>63.8%</td>
<td>55%</td>
<td>3%</td>
</tr>
</tbody>
</table>

Prepared by: PPM
Planning and Review Team
# Council Load and Enrolment 2019 Performance

## Teaching Load Year to Date

### ANU Load as at 04 Nov 2019

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic</th>
<th>International</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>1,272.1</td>
<td>691.8</td>
<td>1,963.9</td>
</tr>
<tr>
<td>CAP</td>
<td>1,286.6</td>
<td>25.1</td>
<td>1,311.7</td>
</tr>
<tr>
<td>CBE</td>
<td>1,396.8</td>
<td>251.1</td>
<td>1,647.9</td>
</tr>
<tr>
<td>CECS</td>
<td>1,171.8</td>
<td>30.8</td>
<td>1,202.6</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>94.9</td>
<td>30.8</td>
<td>125.7</td>
</tr>
<tr>
<td>CHM</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td>COS</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3,653.3</strong></td>
<td><strong>368.8</strong></td>
<td><strong>4,022.1</strong></td>
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</table>

### 2018 Load

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic</th>
<th>International</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>1,272.4</td>
<td>69.1</td>
<td>1,341.5</td>
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<tr>
<td>CAP</td>
<td>1,286.7</td>
<td>25.1</td>
<td>1,311.8</td>
</tr>
<tr>
<td>CBE</td>
<td>1,396.8</td>
<td>251.1</td>
<td>1,647.9</td>
</tr>
<tr>
<td>CECS</td>
<td>1,171.8</td>
<td>30.8</td>
<td>1,202.6</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>95.0</td>
<td>30.8</td>
<td>125.8</td>
</tr>
<tr>
<td>CHM</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td>COS</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3,653.3</strong></td>
<td><strong>368.8</strong></td>
<td><strong>4,022.1</strong></td>
</tr>
</tbody>
</table>

### 2019 Budget Load

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic</th>
<th>International</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>1,272.4</td>
<td>69.1</td>
<td>1,341.5</td>
</tr>
<tr>
<td>CAP</td>
<td>1,286.7</td>
<td>25.1</td>
<td>1,311.8</td>
</tr>
<tr>
<td>CBE</td>
<td>1,396.8</td>
<td>251.1</td>
<td>1,647.9</td>
</tr>
<tr>
<td>CECS</td>
<td>1,171.8</td>
<td>30.8</td>
<td>1,202.6</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>95.0</td>
<td>30.8</td>
<td>125.8</td>
</tr>
<tr>
<td>CHM</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td>COS</td>
<td>91.8</td>
<td>166.2</td>
<td>258.0</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>3,653.3</strong></td>
<td><strong>368.8</strong></td>
<td><strong>4,022.1</strong></td>
</tr>
</tbody>
</table>

### 2019 % of Budget

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic</th>
<th>International</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>98.6%</td>
<td>30.8%</td>
<td>69.4%</td>
</tr>
<tr>
<td>CAP</td>
<td>98.6%</td>
<td>30.8%</td>
<td>69.4%</td>
</tr>
<tr>
<td>CBE</td>
<td>98.6%</td>
<td>30.8%</td>
<td>69.4%</td>
</tr>
<tr>
<td>CECS</td>
<td>98.6%</td>
<td>30.8%</td>
<td>69.4%</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>87.6%</td>
<td>30.8%</td>
<td>58.4%</td>
</tr>
<tr>
<td>CHM</td>
<td>87.6%</td>
<td>30.8%</td>
<td>58.4%</td>
</tr>
<tr>
<td>COS</td>
<td>87.6%</td>
<td>30.8%</td>
<td>58.4%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>98.6%</strong></td>
<td><strong>30.8%</strong></td>
<td><strong>69.4%</strong></td>
</tr>
</tbody>
</table>

Prepared by: PPM
Planning and Review Team

---

11. ANU Undergraduate: College TOTAL load by citizenship

- **2018**
- **2019 Budget Load**
- **2019 (as at 4 Nov)**
12. ANU Undergraduate: College COMMENCING load by citizenship

- 2018
- 2019 Budget Load
- 2019 (as at 4 Nov)

```
<table>
<thead>
<tr>
<th>College</th>
<th>Domestic 2018</th>
<th>Domestic 2019</th>
<th>International 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>383.8</td>
<td>375.1</td>
<td>103.2</td>
</tr>
<tr>
<td>CAP</td>
<td>90.9</td>
<td>91.8</td>
<td>3.8</td>
</tr>
<tr>
<td>CBE</td>
<td>171.9</td>
<td>162.5</td>
<td>86.5</td>
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<tr>
<td>CECS</td>
<td>52.6</td>
<td>62.7</td>
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</tr>
<tr>
<td>ANUCOL</td>
<td>38.8</td>
<td>43.8</td>
<td>6.8</td>
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<tr>
<td>CHM</td>
<td>38.1</td>
<td>55.7</td>
<td>112.6</td>
</tr>
<tr>
<td>COS</td>
<td>221.4</td>
<td>272.1</td>
<td>151.1</td>
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</table>

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic 2019</th>
<th>International 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>73.9</td>
<td>94.9</td>
</tr>
<tr>
<td>CAP</td>
<td>22.3</td>
<td>3.8</td>
</tr>
<tr>
<td>CBE</td>
<td>234.4</td>
<td>34.2</td>
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<tr>
<td>CECS</td>
<td>64.1</td>
<td>21.1</td>
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<tr>
<td>ANUCOL</td>
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<td>3.8</td>
</tr>
<tr>
<td>CHM</td>
<td>112.6</td>
<td>3.8</td>
</tr>
<tr>
<td>COS</td>
<td>251.3</td>
<td>34.2</td>
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</table>
```

<table>
<thead>
<tr>
<th>College</th>
<th>Domestic 2019 %</th>
<th>Domestic 2019 %</th>
<th>International 2019 %</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASS</td>
<td>89.8%</td>
<td>89.3%</td>
<td>90.0%</td>
</tr>
<tr>
<td>CAP</td>
<td>93.1%</td>
<td>92.2%</td>
<td>61.8%</td>
</tr>
<tr>
<td>CBE</td>
<td>103.4%</td>
<td>82.2%</td>
<td>71.2%</td>
</tr>
<tr>
<td>CECS</td>
<td>90.5%</td>
<td>90.5%</td>
<td>83.8%</td>
</tr>
<tr>
<td>ANUCOL</td>
<td>92.3%</td>
<td>92.3%</td>
<td>80.0%</td>
</tr>
<tr>
<td>CHM</td>
<td>100%</td>
<td>97.3%</td>
<td>97.3%</td>
</tr>
<tr>
<td>COS</td>
<td>74%</td>
<td>101.2%</td>
<td>87.5%</td>
</tr>
</tbody>
</table>

Prepared by: PPM
Planning and Review Team
13. ANU TOTAL enrolment by award level (career) and citizenship

<table>
<thead>
<tr>
<th>Year</th>
<th>Domestic Higher Degree Research</th>
<th>Domestic Postgraduate</th>
<th>Domestic Coursework</th>
<th>International Postgraduate</th>
<th>International Coursework</th>
<th>Domestic Undergraduate</th>
<th>Domestic International Higher Degree Research</th>
<th>International Postgraduate</th>
<th>International Coursework</th>
<th>International Undergraduate</th>
<th>ANU TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>1,985</td>
<td>5,738</td>
<td>3,136</td>
<td>8,633</td>
<td>2,219</td>
<td></td>
<td>63.7%</td>
<td>36.3%</td>
<td></td>
<td></td>
<td>947</td>
</tr>
<tr>
<td>2016</td>
<td>1,936</td>
<td>5,232</td>
<td>3,841</td>
<td>9,165</td>
<td>2,665</td>
<td></td>
<td>63.7%</td>
<td>36.3%</td>
<td></td>
<td></td>
<td>922</td>
</tr>
<tr>
<td>2017</td>
<td>1,906</td>
<td>4,755</td>
<td>4,964</td>
<td>9,793</td>
<td>3,205</td>
<td></td>
<td>63.7%</td>
<td>36.3%</td>
<td></td>
<td></td>
<td>909</td>
</tr>
<tr>
<td>2018</td>
<td>1,827</td>
<td>4,184</td>
<td>5,985</td>
<td>9,990</td>
<td>3,672</td>
<td></td>
<td>63.7%</td>
<td>36.3%</td>
<td></td>
<td></td>
<td>947</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
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<td>3,860</td>
<td>5,890</td>
<td>10,290</td>
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<td></td>
<td>63.7%</td>
<td>36.3%</td>
<td></td>
<td></td>
<td>997</td>
</tr>
</tbody>
</table>

% of ANU total:
- Domestic: 63.7% 36.3%
- International: 39.6% 60.4%

14. Domestic enrolment by state

<table>
<thead>
<tr>
<th>Year</th>
<th>ACT</th>
<th>NSW</th>
<th>Vic.</th>
<th>Qld</th>
<th>WA</th>
<th>SA</th>
<th>Tas.</th>
<th>NT</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>54.4%</td>
<td>22.6%</td>
<td>9.1%</td>
<td>4.8%</td>
<td>2.8%</td>
<td>2.2%</td>
<td>0.9%</td>
<td>0.8%</td>
<td>2.5%</td>
</tr>
<tr>
<td>2017</td>
<td>54.3%</td>
<td>23.1%</td>
<td>9.3%</td>
<td>4.6%</td>
<td>2.7%</td>
<td>2.0%</td>
<td>0.9%</td>
<td>0.7%</td>
<td>2.4%</td>
</tr>
<tr>
<td>2018</td>
<td>55.2%</td>
<td>22.8%</td>
<td>9.3%</td>
<td>4.5%</td>
<td>2.5%</td>
<td>1.9%</td>
<td>0.9%</td>
<td>0.5%</td>
<td>2.4%</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>55.9%</td>
<td>23.1%</td>
<td>9.1%</td>
<td>4.5%</td>
<td>2.2%</td>
<td>1.6%</td>
<td>0.9%</td>
<td>0.5%</td>
<td>2.3%</td>
</tr>
</tbody>
</table>

% of ANU total:
- Domestic: 6.6% 3.8%
- International: 14.6% 22.3%

15. International enrolment by region

<table>
<thead>
<tr>
<th>Year</th>
<th>NE Asia</th>
<th>SE Asia</th>
<th>S &amp; Cent Asia</th>
<th>Oceania</th>
<th>NW Europe</th>
<th>Americas</th>
<th>N Africa &amp; M East</th>
<th>SE Europe</th>
<th>Sub-Saharan Africa</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>66.9%</td>
<td>15.6%</td>
<td>8.5%</td>
<td>1.1%</td>
<td>1.6%</td>
<td>3.2%</td>
<td>1.6%</td>
<td>0.7%</td>
<td>0.6%</td>
</tr>
<tr>
<td>2017</td>
<td>71.9%</td>
<td>13.1%</td>
<td>8.3%</td>
<td>0.9%</td>
<td>1.1%</td>
<td>2.3%</td>
<td>1.2%</td>
<td>0.7%</td>
<td>0.5%</td>
</tr>
<tr>
<td>2018</td>
<td>75.0%</td>
<td>11.1%</td>
<td>8.3%</td>
<td>0.7%</td>
<td>1.1%</td>
<td>1.7%</td>
<td>1.0%</td>
<td>0.6%</td>
<td>0.5%</td>
</tr>
<tr>
<td>2019 (as at 4 Nov)</td>
<td>76.2%</td>
<td>10.5%</td>
<td>8.0%</td>
<td>0.7%</td>
<td>1.0%</td>
<td>1.6%</td>
<td>1.1%</td>
<td>0.5%</td>
<td>0.5%</td>
</tr>
</tbody>
</table>

% of ANU total:
- Domestic: 6.6% 3.8%
- International: 14.6% 22.3%
## 2019 ANU Finance Committee Self Assessment Survey

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Finance Committee Charter</strong></td>
<td></td>
</tr>
<tr>
<td>The Charter articulates the Committee's responsibilities and provides the Committee with the necessary authority to fulfil them.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Charter facilitates and supports the effective operation of the Committee.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td><strong>2. Skills and Experience</strong></td>
<td></td>
</tr>
<tr>
<td>The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has been able to analyse and critically evaluate information presented to it by management.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has access to appropriate internal and / or external expertise to assist with thorough examination of key issues brought before it.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has shown an openness to new ideas and different views in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been sufficiently probing and challenging in its deliberations.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee works in a collegial and cooperative manner to ensure it fulfils its duties.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td><strong>3. Understanding of the ANU</strong></td>
<td></td>
</tr>
<tr>
<td>New members of the Committee are provided with sufficient information about the University and the higher education sector as part of their induction program.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee is well informed about financial, budgetary, investment and commercial issues affecting the University.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td><strong>4. Meeting Administration Conduct</strong></td>
<td></td>
</tr>
<tr>
<td>The Committee meets on a sufficiently regular basis to enable it to properly discharge its duties.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Chair is actively involved in setting key agenda items for Committee consideration and approving the agenda for upcoming meetings.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>Agenda papers are issued in a timely manner to enable members to adequately prepare for the meeting.</td>
<td>Agree</td>
</tr>
<tr>
<td>Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee meetings are productive and well run, allowing sufficient time for members to discuss key agenda items.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>Committee minutes achieve the right balance between fulfilling record keeping obligations, disclosure requirements and ensuring Committee decisions/outcomes are clear and actionable.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Corporate Governance &amp; Risk Office is responsive and provides adequate service delivery to support the Committee.</td>
<td>Agree</td>
</tr>
</tbody>
</table>
### 5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has adequate oversight on its key deliberations and recommendations that are being tabled to Council.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee receives timely feedback on Council’s adoption of its recommendations and other relevant resolutions.</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### 6. PERFORMANCE MONITORING

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee is provided with sufficient information to enable it to obtain assurance that the University is complying with the financial, investment and commercial management aspects of the University's statutory and regulatory obligations.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>There is sufficient detail in the financial reports to enable the Committee to discharge its responsibilities effectively.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>

### 7. EFFECTIVE CONSIDERATIONS

In which of the areas outlined below has the Committee added value to the ANU?

<table>
<thead>
<tr>
<th>Responses</th>
<th>100%</th>
<th>50%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Performance Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Policies and Practices</td>
<td></td>
<td></td>
</tr>
<tr>
<td>External Accountability</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investment Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitoring of Commercial Activities</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
8. GENERAL

I believe the strengths of the Committee are:
- Robust discussions on important and complex issues.
- Providing advice that is both commercial and challenging to the management.
- Sounding board to management, providing broad oversight by appropriately qualified committee members.
- The knowledgeable and well-rounded membership with breadth of experience and expertise, who input on key finance and strategic issues driving appropriate outcomes and recommendations to Council.
- The independence of members allowing balanced contribution.
- Good quality of papers.
- High level of support from the CGRO team.

I believe the weaknesses of the Committee are:
- Reliance on management.
- Being bogged down in the detailed attributes that are not important.
- The Executive sometimes ignores decisions.

Are there issues that the Committee should focus on in respect of financial management and monitoring during the coming year?
- Recasting of future financial management and budgeting process.
- Monitoring the ANU College of Engineering & Computer Science (CECS) Reimagine Project.
- Monitoring performance against budget particularly the mix of students and its impact on revenue.
- Current expense and revenue trends.
- Understanding the future steady state of the university as CECS grows and ANU College of Business and Economics (CBE) contracts
- Information on internal workings, costs and effectiveness

Are there improvements that can be made to further strengthen the way the Committee functions?
- Delving more into cultural/organisational barriers to change.
- Continuing to focus on strategic major issues affecting ANU.
- Benchmarking analysis that can be monitored and reported on over time.
- Streamlined KPI analysis and reporting.
- If management is of the view that the Committee could be more challenging or innovative, the Committee could spend an hour in one of the meetings (in a workshop style) to reflect on what could be done differently.

Are there any skillsets that might be needed on the membership in the future?
- Commercial and investment experience.
- Infrastructure development experience.
- Strong accounting skills.

Does the FC need to reconsider how it interacts with Council? If yes, how?
- More emphasis on the flow of information between Committee and Council- which can be achieved via the Vice Chancellor and Council Members.

Other comments / issues not covered above?
- Rolling calendar of items for consideration is useful and ensures both charter compliance and regular deep dives on main issues.
- Succession planning for Chair after next year will be necessary.

9. OVERALL ASSESSMENT

The Finance Committee is an effective Committee of Council. | Strongly Agree |
## 2019 ANU ARMC SELF ASSESSMENT SURVEY

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. ARMC CHARTER</strong></td>
<td></td>
</tr>
<tr>
<td>The ARMC Charter articulates the Committee’s responsibilities and provides the Committee with the necessary authority to fulfil them.</td>
<td>Agree</td>
</tr>
<tr>
<td>The ARMC Charter facilitates and supports the effective operation of the Committee.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.</td>
<td>Agree</td>
</tr>
<tr>
<td><strong>2. SKILLS AND EXPERIENCE</strong></td>
<td></td>
</tr>
<tr>
<td>The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been able to analyse and critically evaluate information presented to it by management.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has responded appropriately or taken the required action where significant risks and/or control breakdowns have been brought to its attention</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has access to appropriate internal and/or external resources to assist it to thoroughly examine key issues brought before it.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee has shown an openness to new ideas and different views in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee has been sufficiently probing and challenging in its deliberations.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee works in a collegial and cooperative manner to ensure it fulfils their duties.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Committee receives appropriate briefings on existing and emerging risks, and developments in the areas of auditing and accounting standards, financial reporting and the environment in which the ANU operates.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td><strong>3. UNDERSTANDING OF THE ANU</strong></td>
<td></td>
</tr>
<tr>
<td>The Committee has sufficient understanding and appreciation of the University’s:</td>
<td></td>
</tr>
<tr>
<td>Entity-wide Risk Management Framework</td>
<td>Agree</td>
</tr>
<tr>
<td>Internal controls to mitigate significant risks</td>
<td>Agree</td>
</tr>
<tr>
<td>Financial and statutory reporting requirements</td>
<td>Agree</td>
</tr>
<tr>
<td>Legislative and policy arrangements</td>
<td>Agree</td>
</tr>
<tr>
<td>Fraud control environment</td>
<td>Agree</td>
</tr>
<tr>
<td><strong>4. MEETING ADMINISTRATION CONDUCT</strong></td>
<td></td>
</tr>
<tr>
<td>The Committee meets on a sufficiently regular basis to enable it to properly discharge its duties.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>The Chair is actively involved in setting key agenda items for Committee consideration and approving the agenda for upcoming meetings.</td>
<td>Agree</td>
</tr>
<tr>
<td>Agenda papers are issued in a timely manner to enable Members to adequately prepare for the meeting.</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>
### QUESTIONS

<table>
<thead>
<tr>
<th>Questions</th>
<th>Aggregated Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee meetings are productive and well run, allowing sufficient</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>time for members to discuss key agenda items.</td>
<td></td>
</tr>
<tr>
<td>Committee minutes achieve the right balance between fulfilling record</td>
<td>Strongly agree</td>
</tr>
<tr>
<td>keeping obligations, disclosure requirements and ensuring Committee</td>
<td></td>
</tr>
<tr>
<td>decisions and outcomes are clear and actionable.</td>
<td></td>
</tr>
<tr>
<td>The Committee has sufficient engagement with key University stakeholders</td>
<td>Agree</td>
</tr>
<tr>
<td>as appropriate.</td>
<td></td>
</tr>
<tr>
<td>The Corporate Governance &amp; Risk Office is responsive and provides adequate</td>
<td>Strongly agree</td>
</tr>
<tr>
<td>service delivery to support the Committee.</td>
<td></td>
</tr>
</tbody>
</table>

### 5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

<table>
<thead>
<tr>
<th>Questions</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has adequate oversight on its key deliberations and</td>
<td>Agree</td>
</tr>
<tr>
<td>recommendations that are being tabled to Council.</td>
<td></td>
</tr>
<tr>
<td>The Committee receives timely feedback on Council’s adoption of its</td>
<td>Agree</td>
</tr>
<tr>
<td>recommendations and other relevant resolutions.</td>
<td></td>
</tr>
</tbody>
</table>

### 6. MANAGEMENT INPUT

Information presented by management (nature, clarity, quality and timeliness) meets the Committee's expectations in respect of:

- (a) Risk identification and assessment, including the internal control process to identify and mitigate entity wide risks. **Agree**
- (b) Arrangements established by management to ensure compliance with regulations and internal policies. **Agree**
- (c) Financial reporting processes and the University's compliance with statutory and regulatory obligations. **Agree**
- (d) Performance reporting processes, including the framework for developing and reporting key performance indicators. **Agree**

### 7. INTERNAL AUDIT

<table>
<thead>
<tr>
<th>Questions</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee appropriately reviewed and approved the annual internal</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>audit plan.</td>
<td></td>
</tr>
<tr>
<td>The Committee appropriately reviewed and approved any significant changes</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>to the annual internal audit plan.</td>
<td></td>
</tr>
<tr>
<td>The Committee appropriately considered the performance of internal audit</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>plan.</td>
<td></td>
</tr>
<tr>
<td>The Committee addressed its responsibilities in respect of its review</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>and consideration of internal audit reports and identified issues.</td>
<td></td>
</tr>
<tr>
<td>The Committee reviews the Internal Audit Charter to ensure that</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>appropriate structures, authority, access and reporting arrangements are</td>
<td></td>
</tr>
<tr>
<td>in place.</td>
<td></td>
</tr>
</tbody>
</table>

### 8. EXTERNAL AUDIT

<table>
<thead>
<tr>
<th>Questions</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee appropriately considered and understood the ANAO audit</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>strategy.</td>
<td></td>
</tr>
<tr>
<td>The Committee reviewed external audit reports and management letters and</td>
<td>Strongly Agree</td>
</tr>
<tr>
<td>considered management responses to findings and recommendations.</td>
<td></td>
</tr>
<tr>
<td>The Committee provided input and feedback on external audit coverage and</td>
<td>Agree</td>
</tr>
<tr>
<td>performance.</td>
<td></td>
</tr>
</tbody>
</table>

### 9. RISK MANAGEMENT

<table>
<thead>
<tr>
<th>Questions</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>The objectives of risk management are well understood by the Committee.</td>
<td>Strongly Agree</td>
</tr>
</tbody>
</table>
### QUESTIONS

<table>
<thead>
<tr>
<th>QUESTIONS</th>
<th>AGGREGATED RESPONSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Committee has sufficient understanding and appreciation of the University's Entity-wide Risk Management Framework.</td>
<td>Agree</td>
</tr>
<tr>
<td>The Committee is adequately informed about the work in train to align risk management with the University's strategic objectives, through the strategic risk register</td>
<td>Agree</td>
</tr>
</tbody>
</table>

### 10. EFFECTIVE CONSIDERATIONS

In which of the areas outlined below has the Committee added value to the ANU?

<table>
<thead>
<tr>
<th>Answer</th>
<th>25%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies and practices</td>
<td></td>
</tr>
<tr>
<td>Risk Management</td>
<td>100%</td>
</tr>
<tr>
<td>Control environment</td>
<td>100%</td>
</tr>
<tr>
<td>External accountability</td>
<td>100%</td>
</tr>
</tbody>
</table>
## 11. GENERAL

### Strengths of the ARMC are:
- The range of capabilities represented. The frequency of meetings allows for continuity of exposure to issues management through the year.
- Good mix of skills and experience of members.
- All members prepare well for meetings, contribute and ask suitably probing questions.
- Good support from CGRO and secretariat.
- Collegiate approach and meetings well run.
- Briefings from the Chief Information Security Officer have been particularly beneficial in order for the Committee to understand issues relating to cyber breaches and ANU response.

### Weaknesses of the ARMC are:
- Need to develop ARMC’s role with performance reporting.
- Agenda can be better triaged.
- There are seldom briefings prior to meetings although this is being addressed in the context of financial and performance reporting. Should consider opportunities for confidential briefings on some matters prior to formal meeting, as and when appropriate. Could compensate by removing some standing items of lesser significance.
- The Committee engages with those stakeholders who are responsible for submission of papers. The Committee does not engage with stakeholders across the University community.

### Are there issues that the Committee should focus on in respect of audit and risk management during the coming year?
- Greater engagement with financial reporting and performance reporting.
- Risk management process are maturing and committee oversight could be further developed over the next year.
- Need more structured standing briefing on financial risk management.
- Cyber risk strategy.

### Are there improvements that can be made to further strengthen the way the Committee functions?
As above

### Are there any skillsets that might be needed on the membership in the future?
- The membership has good range of skillsets and preserving the skillset when membership changes will be important.

### Does the ARMC need to reconsider how it interacts with Council? If yes, how?
- No changes necessary. Council is confident in the work of ARMC.

### Other comments / issues not covered above?
- The survey is lengthy

## 12. OVERALL ASSESSMENT

The ARMC is an effective Committee of Council. | Strongly Agree
Section 1 - INTRODUCTION AND MARKET COMMENTARY

Australian equities (S&P/ASX 200 Accumulation Index including franking credits) fell by 2.08% in August, its first monthly fall since December 2018 and worst since October 2018. However, the recovery in September (2.04%) erased the majority of the losses. The 3Q return of 2.85% was attributable to the outperformance of Consumer Staples (12.16%) and Consumer Discretionary (8.85%) sectors. Materials (-2.98%) and Communication Services (-3.17%) detracted from the returns.

Source: Bloomberg

Global share prices (MSCI All Country World Index ex Australia) returned 0.13% in USD terms during the third quarter of 2019. However, the depreciating AUD resulted in a total return of 4.05% for the quarter. US equities (S&P 500 Index) returned 1.20% amid growing uncertainty of the US-China trade war. Increasing political tension in the UK and Italy, and concerns regarding the German economy weighed on the performance of Eurozone (MSCI Europe Index) shares (2.35% in AUD terms in 3Q2019). Energy (-1.53%) and Materials (-0.77%) underperformed given their high correlation to global economic slowdowns.

Emerging markets lost value as concerns of a global slowdown weighed on the region. The Chinese economy grew at an annualised rate of 6.2% in 2Q2019, its slowest growth in three decades. Growing social unrest in Hong Kong resulted in the market losing 8.52%. Argentina defaulted on US$101billion of debt.

September was a negative month for fixed income returns, despite an interest rate cut from the US Federal Reserve and the commencement of a new, open-ended asset purchase program from the European Central Bank. 10-year US Treasuries sold off by 0.17% to close the month at 1.66%. European high-yield credit returns were a little more cautious, with an excess return of 0.32% versus government bonds in September. In Australia, the Reserve Bank of Australia cut the cash rate again in October this year, reaching the historical low at 0.75%. Australian 10-year government bonds yields reached the all-time low at 0.89% in August and recovered by 0.13% to close around 1.00% in September. Australian investment-grade credit spreads were stable, delivering small but positive excess returns versus government bonds in 3Q2019.
Source: Aberdeen Standard Investments
### Section 2 - PORTFOLIO PERFORMANCE AND POSITION SUMMARY

As at 30 September 2019

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return 30 September 2019</th>
<th>% Index Return 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Domestic Equities S&amp;P/ASX 200 Accumulation Index GOFC</td>
<td>414.74</td>
<td>27.41%</td>
<td>25.22%</td>
<td>24.28%</td>
</tr>
<tr>
<td>International Equities Port Hedge International Equities Composite Benchmark</td>
<td>433.53</td>
<td>28.65%</td>
<td>19.51%</td>
<td>21.25%</td>
</tr>
<tr>
<td>Alternative Investments CPI Plus 5.5% p.a.</td>
<td>263.04</td>
<td>17.38%</td>
<td>10.67%</td>
<td>5.36%</td>
</tr>
<tr>
<td>Fixed Interest Bloomberg AusBond Composite 0+Yr Index</td>
<td>197.91</td>
<td>13.08%</td>
<td>8.17%</td>
<td>8.70%</td>
</tr>
<tr>
<td>Cash Bloomberg AusBond Bank Bill Index</td>
<td>193.33</td>
<td>12.78%</td>
<td>1.83%</td>
<td>1.26%</td>
</tr>
<tr>
<td>Property 8% p.a.</td>
<td>10.75</td>
<td>0.71%</td>
<td>9.78%</td>
<td>5.92%</td>
</tr>
<tr>
<td>Long Term Investment Pool LTIP SAA Composite Benchmark</td>
<td>1,513.31</td>
<td>100%</td>
<td>15.49%*</td>
<td>14.01%</td>
</tr>
</tbody>
</table>

Source: NAS Asset Servicing

* Performance net of Management Expense Ratio (MER)

### Summary of LTIP Performance and Positioning

- LTIP performance for the nine months ended 30 September 2019 of 15.49% (net of MER) was 1.48% ahead of the LTIP SAA composite benchmark of 14.01% as calculated by NAS.

- LTIP’s International equities portfolio returned 3.00% in 3Q2019 and 19.51% Calendar Year to 30 September 2019, underperforming the benchmark by 1.05% and 1.74% respectively.

- The Domestic equities portfolio manager outperformed their benchmark by 3bps in 3Q2019 and 94bps Calendar Year to 30 September 2019.

- The Fixed Income portfolio underperformed the benchmark by 8bps in 3Q2019 and 53bps Calendar Year to 30 September 2019.

- Alternative Investments generated a return of 10.67% Calendar Year to 30 September 2019, outperforming the benchmark of 5.36% by 5.31%.

- The overweight position in Domestic Equities compared to the strategic asset allocation (SAA) and increased allocation to Alternative Investments contributed to the outperformance of the LTIP.

- The allocation to Cash increased to 16.23% in August as a result of a $108m application into LTIP. Over the quarter, $50m was allocated to Alternative Investments and $10m to Domestic Equities. Subsequently, Cash is currently at 12.78% of the LTIP.
Section 3 - ASSET CLASS AND PORTFOLIO SUMMARY

Alternatives and Infrastructure Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Target Return CYTD – 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Infrastructure</td>
<td>183.38</td>
<td>12.12</td>
<td>10.67</td>
<td>5.36</td>
</tr>
<tr>
<td>Other AI</td>
<td>79.66</td>
<td>5.26</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

See Attachment 4.1(a) for the full Portfolio Manager Report.

Return Summary

- Magellan Listed Infrastructure (26.16%) and IFM Australian Infrastructure Fund (12.37%) were the largest contributors, outperforming the target return of 5.36% by 20.80% and 7.01% respectively.
- BlueBay Senior Loan Fund (2.03%) and EQT Mid-Market Credit Fund II (2.27%) underperformed the target return (5.36%). The AUD appreciating against the Euro was the main contributor to the underperformance.
- The ‘Other Alternative Investments’ sub portfolio returned 18.11% in 3Q2019. Bionomics Limited (12.59%) and Seeing Machines (7.22%) were the largest contributors to the quarterly returns.

Risk Summary

- Uncertainty around UK’s exit from the European Union may dampen lending activities.

Property Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Target Return CYTD - 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlisted Property</td>
<td>10.75</td>
<td>0.71</td>
<td>9.78</td>
<td>5.92</td>
</tr>
</tbody>
</table>

See Attachment 4.1(b) for the full Portfolio Manager Report.

Return Summary

- SA4 Carpark ANU (6.57%) was the largest contributor to the outperformance Calendar Year to 30 September 2019.
- The Gresham Property Fund No.3 Development Trust (GPF3DT) made a payment of $79,565.60 to the LTIP in February 2019.
- The IQ Investment Trust, a distressed asset, made a payment of $356,803.59 to the LTIP in July 2019. This represents a recovery value of Preference Units’ capital.

Risk Summary

- SA4 Carpark ANU reflects 96.90% of the Unlisted Property portfolio.
Fixed Interest and Cash Portfolios Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Index Return CYTD - 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>LTIP Fixed Interest</td>
<td>197.91</td>
<td>13.08</td>
<td>8.17</td>
<td>8.70</td>
</tr>
<tr>
<td>LTIP Cash</td>
<td>193.33</td>
<td>12.78</td>
<td>1.83</td>
<td>1.26</td>
</tr>
<tr>
<td>GCF</td>
<td>610.86</td>
<td>N/A</td>
<td>2.28</td>
<td>1.26</td>
</tr>
</tbody>
</table>

See Attachment 4.1(c) for the full Portfolio Manager Report.

Return Summary

- The LTIP Fixed Interest portfolio (8.17%) underperformed the Bloomberg AusBond Composite Index (8.70%) Calendar Year to 30 September 2019 by 53bps.
- The LTIP Cash portfolio (1.83%) outperformed the Bloomberg AusBond Bank Bill Index (1.26%) Calendar Year to 30 September 2019 by 57bps.
- The General Cash Flow (GCF) portfolio (2.28%) outperformed the Bloomberg AusBond Bank Bill Index (1.26%) Calendar Year to 30 September 2019 by 102bps.

Risk Summary

- At 30 September 2019, the Fixed Interest portfolio was overweight cash holding (2.33%) versus its index (0%), leading to underperformance when the fixed income market rallied.
- The Fixed Interest portfolio has an average credit rating of AA compared to AA+ for the benchmark.
- At 30 September 2019, Cash amounted to 73.90% of the LTIP Cash portfolio. Term Deposits and Floating Rates Notes accounted for 7.83% and 18.27% respectively.
- At 30 September 2019, Term Deposits comprised 41.53% of the GCF Cash portfolio. Floating Rate Notes and Cash accounted for 18.90% and 39.57% respectively.

Domestic Equities Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD – 30 September 2019</th>
<th>% Index Return CYTD – 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plato Enhanced Index</td>
<td>414.74</td>
<td>27.41</td>
<td>25.22</td>
<td>24.28</td>
</tr>
</tbody>
</table>

See Attachments 4.1 (d) and (f) for the full Portfolio Manager Report and the separate Plato report.

Return Summary

- Domestic equity portfolio returned 2.88% with 3bps of alpha over the September quarter with positive contributions from Financials (1.36%), Consumer Discretionary (0.85%), Consumer Staples (0.58%), Health Care (0.54%), Real Estate (0.26%), Utilities (0.12%), Industrials (0.07%), IT (0.03%), and Energy (0.02%) sectors.
- Detractions in Materials (-0.77%) and Communication Services (-0.19%) sectors.
- Outperformance due to the positive alpha model stock selection, especially in Consumer Discretionary (32bps of alpha) and Financials (18bps of alpha) sectors.
Risk Summary

- The S&P/ASX200 Accumulation Index fell by 2.08% in August, the first monthly fall since December 2018. However, the index recovered in September returning 2.04% for the month.
- The portfolio’s CO2 intensity is currently 30% lower than the benchmark and the portfolio’s ESG score is 10% higher than the benchmark.
- The tracking error of the portfolio is at 109bps, having increased from 106bps in 2Q2019.

Overseas Equities Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Quarterly Return – 3Q2019</th>
<th>% Quarterly Index Return – 3Q2019</th>
<th>% CYTD Return – 30 September 2019</th>
<th>% CYTD Index Return – 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Antipodes Overseas Equities</td>
<td>168.91</td>
<td>11.16%</td>
<td>0.92%</td>
<td></td>
<td>13.15%</td>
<td>21.25%</td>
</tr>
<tr>
<td>Magellan Overseas Equities</td>
<td>204.72</td>
<td>13.53%</td>
<td>5.10%</td>
<td>4.05%</td>
<td>24.94%</td>
<td></td>
</tr>
<tr>
<td>RBC Overseas Equity</td>
<td>59.50</td>
<td>3.93%</td>
<td>1.77%</td>
<td></td>
<td>24.56%</td>
<td></td>
</tr>
<tr>
<td>Overseas Equities Pre Hedge</td>
<td>433.14</td>
<td>28.62%</td>
<td>2.97%</td>
<td></td>
<td>19.01%</td>
<td></td>
</tr>
<tr>
<td>Overseas Equities Post Hedge</td>
<td>433.53</td>
<td>28.65%</td>
<td>3.00%</td>
<td></td>
<td>19.51%</td>
<td></td>
</tr>
</tbody>
</table>

Source: NAS Asset Servicing

Return Summary

- Magellan Overseas Equity Fund delivered a quarterly return of 5.10%, outperforming the benchmark return of 4.05% (MSCI AC World ex Australia Net) by 1.05% due to its superior allocation within sectors. Antipodes Overseas Equity Fund (0.92%) underperformed the benchmark by 3.13% due to an overweight exposure to emerging markets. RBC Overseas Equity Fund (1.77%) underperformed the benchmark for the quarter by 2.28% due to poor stock selection.
- Strong contributions over the quarter came from Utilities (9.97%) and Consumer Staples (7.61%).
- Developed markets (4.58%) outperformed emerging markets (-0.42%).

Risk Summary

- 28.65% of the LTIP was held in Overseas Equities, above the top end of the Strategic Asset Allocation (SAA) range of 17%-27%. However, total equity exposure for the LTIP was 56.05%, well within the 0%-60% recommended SAA range for equities.
- The Overseas Equity currency exposure was 59.23% USD, 13.63% EUR, 6.94% JPY, 6.23% CHF and 2.48% GBP.
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Alternatives and Infrastructure Investments

The LTIP Alternative Investment Portfolio consists of investments in the following:

- Direct and Listed Infrastructure
- European Loan Funds
- Other Alternative Investments
  - Venture Capital/Small Cap – Direct and Unlisted
  - Private Equity – Unlisted

Alternative Investments Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Index Return CYTD - 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICG Energy Infrastructure</td>
<td>38.20</td>
<td>2.52%</td>
<td>5.66</td>
<td></td>
</tr>
<tr>
<td>IFM Australian Infrastructure</td>
<td>32.51</td>
<td>2.15%</td>
<td>12.37</td>
<td></td>
</tr>
<tr>
<td>Magellan Listed Infrastructure</td>
<td>112.67</td>
<td>7.45%</td>
<td>26.16</td>
<td></td>
</tr>
<tr>
<td>Infrastructure Alternative Sub Asset Class</td>
<td>183.38</td>
<td>12.12%</td>
<td>16.23</td>
<td>5.36</td>
</tr>
<tr>
<td>Blue Bay Senior Loan Fund</td>
<td>43.72</td>
<td>2.89%</td>
<td>2.03</td>
<td></td>
</tr>
<tr>
<td>EQT Mid-Market Credit Fund II</td>
<td>27.42</td>
<td>1.81%</td>
<td>2.27</td>
<td></td>
</tr>
<tr>
<td>Other Alternative Investments</td>
<td>8.53</td>
<td>0.56%</td>
<td>4.59</td>
<td></td>
</tr>
<tr>
<td>Alternative Investments</td>
<td>263.04</td>
<td>17.38%</td>
<td>10.67</td>
<td></td>
</tr>
</tbody>
</table>

Source: NAS Asset Servicing

Magellan Listed Infrastructure

Magellan Listed Infrastructure had a return of 0.85% for September and 5.41% for 3Q2019, outperforming the benchmark by 0.21% and 3.43% respectively. Atmos Energy (US), Crown Castle International (US) and ADP (France) contributed the most to the quarterly return. Atmos Energy rose 8.40% on a view its expanding rate base heralded strong growth in revenue. Crown Castle International gained 7.50% as the communication towers owner reported a higher than expected profit in 2Q2019. ADP added 5.10% after the operator of Paris’ airport system reported higher than expected earnings for the first half year. Aena (-3.60%), Auckland International Airport (-7.40%) and CSX (-10.00%) detracted the most on a contribution basis.

Over the quarter, additional $50 million was invested into the Magellan Listed Infrastructure which followed the strategically investment plan of $10 million in July, $30 million in August and $10 million in September. As a result, Alternative Investment portfolio comprised 17.38% of the LTIP as at 30 September, increasing from 14.96% of the LTIP at the end of 2Q2019. The Alternative Investment portfolio was within the SAA Range of 15%-25% as at 30 September 2019.

IFM Australian Infrastructure Wholesale Fund

IFM Australian Infrastructure Fund returned 2.10% for September and 4.97% for 3Q2019, outperforming the benchmark by 1.46% and 2.99% respectively. The fund received distributions totalling $173.60 million (including franking credits) from 13 assets with the majority from Melbourne Airport (50.29%), NSW Ports (16.24%) and NT Airport (11.23%).

The principal drivers of the performance were IFM’s exposures in the Airport and Ports’ sectors. IFM acquired an additional stake in Brisbane Airport for $97.00 million, taking the overall holding of the asset to 19.76%.

ICG Energy Infrastructure
ICG Energy Infrastructure (ICG) returned 2.91% for 3Q2019, outperforming the benchmark by 0.93%. The fund received cash distributions totalling $31.40 million from seven assets with the majority from Newcastle Coal Infrastructure Group (NCIG, 35.99%) and Australian Income renewable Fund (AIRF, 26.75%) in 3Q2019. NCIG continues to perform in line with its business plan. Mumbida and Bald Hills Wind Farms in the AIRF had higher YTD EBITIDA than their forecasts due to higher generation this year.

**European Loan Funds**

EQT returned -1.11% for September and 0.64% for 3Q2019, underperformed the benchmark by 1.75% and 1.34% respectively. EQT made a EUR 2.02 million distribution payment, with the University receiving EUR 0.504 million. EQT’s commitment to investments amounts to EUR 1.20 billion of the total EUR 2.30 billion commitments of the fund. BlueBay returned 0.64% for 3Q2019 underperforming the benchmark by 1.34%. The underperformance was largely due to currency movements. EQT’s portfolio holds 31.80% in Euro cash and BlueBay holds 43.40%. For the third quarter, the Euro depreciated against the Australian Dollar by 0.34%, which had negative impacts on the performance of both EQT and BlueBay.

**Other Alternative Investments**

Other Alternative Investments (AI) returned 16.06% for September and 18.11% for 3Q2019, outperforming the benchmark by 15.42% and 16.13% respectively. The AI portfolio contains legacy Private Equity and Venture Capital investments in run-off mode. As shown below, Vantage Private Equity (-22.15%) and Stafford Private Equity (-4.60%) were responsible for the third quarter’s negative returns in the AI portfolio.

<table>
<thead>
<tr>
<th>Top 10 Securities</th>
<th>Weight</th>
<th>Weight +/-</th>
<th>Contrib to Return (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ANU ENTERPRISE LOAN 6-00 30/06/2022 (ANU)</td>
<td>31.17</td>
<td></td>
<td>0.53</td>
</tr>
<tr>
<td>SEEING MACHINES LTD</td>
<td>19.28</td>
<td>19.30</td>
<td>7.22</td>
</tr>
<tr>
<td>VANTAGE PRIVATE EQUITY GROWTH LIMITED</td>
<td>19.28</td>
<td>19.28</td>
<td>-4.27</td>
</tr>
<tr>
<td>ECONOMICS LIMITED</td>
<td>14.47</td>
<td>14.47</td>
<td>12.59</td>
</tr>
<tr>
<td>STAFFORD PRIVATE EQUITY 4 FUND</td>
<td>12.02</td>
<td>12.02</td>
<td>-0.58</td>
</tr>
<tr>
<td>CASH-AUD</td>
<td>3.11</td>
<td>3.11</td>
<td>0.00</td>
</tr>
<tr>
<td>GRESHAM PRIVATE EQUITY FUND NO. 2A</td>
<td>0.03</td>
<td>0.03</td>
<td>1.31</td>
</tr>
<tr>
<td>GRESHAM PRIVATE EQUITY FUND NO. 2B</td>
<td>0.03</td>
<td>0.03</td>
<td>1.31</td>
</tr>
</tbody>
</table>

Source: Statpro, NAS Asset Servicing
Finance Committee Report – November Meeting

Property Investments

Property Portfolio Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Index Return CYTD - 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unlisted Property</td>
<td>10.75</td>
<td>0.71</td>
<td>9.78</td>
<td>5.92</td>
</tr>
</tbody>
</table>

The LTIP has 0.71% exposure to the unlisted property. The portfolio returned 0.66% for September and 9.78% Calendar Year to 30 September 2019, outperforming the benchmark return by 0.03% and 3.86% respectively. SA4 Carpark ANU (6.36%) was the largest contributor for the Calendar Year to 30 September 2019, as depicted in the table below. IQ Investment Trust, a distressed asset, returned the final recovery of Preference Units' capital valued at $356,803.59 in July 2019.

<table>
<thead>
<tr>
<th>Name</th>
<th>% of the Property Portfolio</th>
<th>Portfolio Contribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>SA4 Carpark ANU</td>
<td>96.90</td>
<td>6.36%</td>
</tr>
<tr>
<td>IQ Investment</td>
<td>0.00</td>
<td>3.35%</td>
</tr>
<tr>
<td>V Plus Fund</td>
<td>0.01</td>
<td>0.04%</td>
</tr>
<tr>
<td>Gresham No.3 Investment</td>
<td>0.05</td>
<td>0.03%</td>
</tr>
<tr>
<td>Cash</td>
<td>2.46</td>
<td>0.01%</td>
</tr>
<tr>
<td>Gresham No.3 Development</td>
<td>0.58</td>
<td>0.00%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>100.00</strong></td>
<td><strong>9.78%</strong></td>
</tr>
</tbody>
</table>

Source: Statpro, NAS Asset Servicing
Finance Committee Report – November Meeting

Fixed Interest and Cash Portfolios

Fixed Interest and Cash Portfolios Summary

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>Holdings $m</th>
<th>% of the LTIP</th>
<th>% Return CYTD - 30 September 2019</th>
<th>% Index Return CYTD - 30 September 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>LTIP Fixed Interest</td>
<td>197.91</td>
<td>13.08%</td>
<td>8.17</td>
<td>8.70</td>
</tr>
<tr>
<td>LTIP Cash</td>
<td>193.33</td>
<td>12.78%</td>
<td>1.83</td>
<td>1.26</td>
</tr>
<tr>
<td>GCF</td>
<td>610.86</td>
<td>N/A</td>
<td>2.28</td>
<td>1.26</td>
</tr>
</tbody>
</table>

The table below shows the size of the LTIP Fixed Interest, LTIP Cash and GCF portfolios at 30 September 2019. The GCF portfolio had decreased in size from $731.1m at 31 March 2019 to $610.86m at 30 September 2019.

Since 31 March 2019, the LTIP Cash portfolio has increased in size from $158.1m to $193.33m. This increase was attributable to a $108m application into LTIP from GCF.

Since 31 March 2019, the LTIP Fixed Interest portfolio has increased in size from $188.56m to $197.91m. This increase was due to market movements.

Source: NAS Asset Servicing

Portfolio Size 31 March 2019 to 30 September 2019

<table>
<thead>
<tr>
<th>Portfolio</th>
<th>31-Mar-19</th>
<th>30-Sep-19</th>
</tr>
</thead>
<tbody>
<tr>
<td>GCF</td>
<td>731.08</td>
<td>610.86</td>
</tr>
<tr>
<td>LTIP CASH</td>
<td>158.10</td>
<td>193.33</td>
</tr>
<tr>
<td>LTIP FI</td>
<td>188.56</td>
<td>197.91</td>
</tr>
</tbody>
</table>

Source: NAS Asset Servicing

The table below illustrates the performance of each portfolio relative to their benchmark from 31 December 2018 to 30 September 2019. The GCF and LTIP Cash portfolios have outperformed the Bloomberg AusBond Bank Bill Index by 1.02% and 0.57% respectively. The LTIP Fixed Interest portfolio has underperformed the Bloomberg AusBond Composite Index by 0.53%.
At 30 September 2019, 81.60% of the portfolio was comprised of Fixed Coupon Bonds, 8.25% in Inflation-Linked Bonds and 8.14% in Floating Rate Notes, as depicted in the chart below. In terms of sector allocation, the portfolio was mainly comprised of Government Bonds (30.28%), Supra/Sovereign Bonds (20.99%) and Semi-Government Bonds (17.52%).

The Fixed Interest portfolio (8.17%) underperformed the Bloomberg AusBond Composite Index (8.70%) by 53bps Calendar Year to 30 September 2019 (see below). In September, the portfolio had higher duration (6.68 years) than the Benchmark (5.52 years), increased from the duration of portfolio (5.09 years) at the end of 2Q2019.
The Fixed Interest portfolio’s performance was in line with the benchmark for the first quarter (2.97%). From April to the end of July, however, the shorter than the benchmark duration contributed significantly to the underperformance in the second (-27bps) and third quarter (-25bps). The long dated government bonds rallied, with the 10-Year Australian Government Bond Yield Index fell 30bps to end the month of August at 0.89%, reaching the lowest level in Australia’s history. The Reserve Bank of Australia cut its cash rate for the third time in October this year, reaching the historical low at 0.75%. Globally, bond yields remain at very low levels as markets priced in further easing from major central banks.

10-Year Australian Commonwealth Government Bond Yield Index CYTD

As shown below, Commonwealth Government Bonds contributed the most (3.53%) to the Calendar Year to 30 September 2019 performance followed by the Semi-Government Bonds (2.56%). Overweight position in cash (4.24% versus benchmark 0%) was a drag on performance because it shortened the duration of the portfolio while the fixed income market rallied.
The LTIP Cash Portfolio received an application of $108m from the General Cash Float, increasing the allocation to cash to 16.23% in August 2019. Over the quarter, $50m was invested into Magellan Listed Infrastructure and $10m was invested into Plato Domestic Equity Portfolio. As a result, Cash comprises 12.78% ($193.33m) of the LTIP, above the top end of the SAA range of 2%-12%.

The asset allocation as at 30 September 2019 of the LTIP Cash Portfolio comprises of 73.90% cash, 7.83% term deposits and 18.27% floating rate notes. Increased allocation to cash is attributable to raising liquidity to fund Kapstream, the external money manager for the cash enhanced strategy.

The LTIP Cash Portfolio (0.45%) outperformed the Bloomberg AusBond Bank Bill Index (0.29%) by 16bps for the period 30 June 2019 to 30 September 2019. The BBSW curve illustrated below fell 22bps on average across all tenures during the third quarter of 2019. This directly impacted the term deposit rates available to institutional investors.
General Cash Float

The General Cash Float (GCF) decreased from $700.15m at the end of 2Q2019 to $610.86 million at the end of 3Q2019. The decline in the market value of the GCF is largely attributable to the application of $108m into LTIP from GCF in August 2019.

The asset allocation as at 30 September 2019 of the GCF comprises of 39.57% cash, 41.53% term deposits and 18.90% floating rate notes. Increased allocation to cash is attributable to raising liquidity to fund Kapstream, the external money manager for the cash enhanced strategy.

The GCF portfolio (0.16%) outperformed the Bloomberg AusBond Bank Bill Index (0.08%) by 8bps for the period 30 June 2019 to 30 September 2019. Performance is largely attributable to extending the
weighted average maturity of term deposits in January 2019 prior to the decline in BBSW in the following months.

At the September 2019 meeting, the Finance Committee approved the appointment of Kapstream as the external cash manager for the GCF and LTIP Cash Portfolio in segregated accounts. The monthly performance (before fees) timeline of the strategy is depicted below.

Source: Kapstream Capital
Domestic Equities

3Q 2019 General Market Commentary

![S&P/ASX200 Accumulation Index 3Q2019](image)

<table>
<thead>
<tr>
<th>Market Sector</th>
<th>Index Return (September Quarter)</th>
<th>Index Return (CYTD)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Market</td>
<td>2.85%</td>
<td>24.28%</td>
</tr>
<tr>
<td>Consumer Staples</td>
<td>12.16%</td>
<td>25.47%</td>
</tr>
<tr>
<td>Consumer Discretionary</td>
<td>8.85%</td>
<td>30.31%</td>
</tr>
<tr>
<td>Health Care</td>
<td>7.09%</td>
<td>26.08%</td>
</tr>
<tr>
<td>IT</td>
<td>4.72%</td>
<td>31.54%</td>
</tr>
<tr>
<td>Financials</td>
<td>3.68%</td>
<td>23.21%</td>
</tr>
<tr>
<td>REITs</td>
<td>3.31%</td>
<td>22.85%</td>
</tr>
<tr>
<td>Utilities</td>
<td>1.10%</td>
<td>15.56%</td>
</tr>
<tr>
<td>Industrials</td>
<td>1.10%</td>
<td>22.97%</td>
</tr>
<tr>
<td>Energy</td>
<td>0.88%</td>
<td>16.97%</td>
</tr>
<tr>
<td>Materials</td>
<td>-2.98%</td>
<td>23.72%</td>
</tr>
<tr>
<td>Communication Services</td>
<td>-3.17%</td>
<td>27.58%</td>
</tr>
</tbody>
</table>

Source: Bloomberg

**General Market Commentary and Outlook**

After a difficult July and August for risk assets, investors returned to a bullish mood and drove equities higher in September leaving both domestic and global equities broadly flat for the quarter. The S&P/ASX 200 Accumulation Index (including franking credits) rose by 2.85% in 3Q2019, achieving its third consecutive quarterly gain (11.61% in Q1 and 8.26% in Q2). The domestic equity benchmark underperformed the global equity benchmark (MSCI ACWI ex Aus Index Net) return of 4.05% by 120bps. The dividend yield (unfranked) and the P/E were 4.60% and 19.47 respectively for 3Q2019.

The S&P/ASX 200 Accumulation Index returned 24.28% Calendar Year to 30 September 2019. Returns from the Healthcare sector fell from 10.68% in 2Q2019 to 7.09% in 3Q2019. However, Health Care remains as one of the highest performing market sectors of 2019, having returned 26.08% for the first three quarters of the year.
Materials and Communication sectors experienced negative return in 3Q2019. Slowing demand for housing finance continued to be observed as REITs returned only 3.13% for the quarter – a fall from 4.11% and 14.42% recorded in 1Q2019 and 2Q2019.

In Consumer Staples, the highest performing sector of 3Q, Coles and Woolworths groups were strong performers with 19.72% and 14.68% returns respectively. The period of trend underperformance by the financial sector levelled out in the September quarter with a return of 3.68%. BHP Group and Telstra Corp lagged with negative returns of 6.75% and 6.00%.

**Portfolio Position**

The LTIP's asset allocation to domestic equities at 30 September 2019 was 27.41%, in line with the mid-point of the SAA range of 27%.

**Plato**

- The September Plato Report is at Attachment 4.1(f).
- During 3Q2019, the ANU Enhanced Index Portfolio managed by Plato returned 2.88% (as measured by NAS) outperformed the benchmark (S&P/ASX200 Accumulation Index including franking credits) return of 2.85% by 3bps.
- The portfolio is consistent with the ESG and Carbon intensity parameters. At the end of September 2019 the portfolio’s CO₂ intensity was 30% lower than the S&P/ASX 200 benchmark and the portfolio’s ESG score was around 10% higher than the benchmark.
- At the end of September, the portfolio tracking error was 109bps, in line with the 100bps target.

During 3Q2019, Plato's performance is attributable to superior stock selection (22bps of alpha) driven by its alpha model. On the other hand, its poor allocation detracted 20bps of alpha.

Superior stock selection in Consumer Discretionary sector added 32bps of alpha, mostly attributable to JB HI-FI (13bps of alpha). Additionally, stock selection in Financials sector added 18bps of alpha. Infigen Energy was a major contributor to the Utilities sector which added 12bps of alpha.

Underweight position in Materials sector (17.67 % vs benchmark’s 18.06%) added 2bps of alpha as the sector experienced overall negative return in the quarter. However, stock selection detracted 24bps of alpha mostly attributable to not holding some of the highest performers of the sector such as Independence Group, Nufarm, James Hardie Industries, and Ausdrill.
**Overseas Equities**

**3Q 2019 General Market Commentary**

The third quarter of 2019 saw global equities make small gains. The MSCI All Country World Total Return Index (MSCI ACWI) ex Australia was up 0.13% in USD terms, however depreciating AUD resulted in a total return of 4.18% in AUD terms. The AUD fell against most major currencies in 3Q 2019, including a -3.85% fall against the USD.

US equities made modest gains in 3Q2019 with the S&P 500 Index returning 1.20%. Growing concerns over the ongoing US-China trade war added to uncertainty and any potential resolution remained elusive. The Federal Reserve cut rates by 25bps in July and September, amid strong unemployment data (3.7%) but weak non-farm job additions and consumer confidence. Less economically sensitive areas such as Utilities (8.40%), Real Estate (6.88%), and Consumer Staples (5.36%) outperformed while Energy (-7.25%), Healthcare (-2.71%), and Materials (-0.68%) underperformed.

Eurozone (MSCI Europe Index) shares returned 2.35% in AUD terms in 3Q2019 following lacklustre economic data from the previous quarter. Political uncertainty in Italy and growing concerns about Germany’s economy weighed on the region’s performance. The Eurozone economy expanded by 0.2% in Q2 with an annual inflation of 1.0%. The European Central Bank restarted quantitative easing and committed to buying assets until inflation target (2%) is reached.

UK equities (MSCI UK Index) returned 1.25% in AUD terms in 3Q2019 amid elevated Brexit and domestic political uncertainty. Positive return is attributable to strong performance from quality growth stocks and other defensive sectors. In contrast, economically-sensitive areas of the market performed poorly, including Materials (-10.43%) and Information Technology (-18.17%).

Chinese stocks (MSCI China Index) returned -0.99% in AUD terms in 3Q2019 as elevating trade tensions with the US weighed on the economy. In September 2019, the US implemented a 10% trade tariff on $300 billion of goods imported from China. Subsequently, the Renminbi weakened beyond the seven-per-dollar threshold. In October, the US announced an increase in existing tariffs on $250 billion of Chinese goods from 25% to 30%, following which China announced tariffs on $75 billion of US goods.

Emerging markets lost value in 3Q2019, with the MSCI Emerging Market Index and MSCI Asia excluding Japan Index returning -0.42% and -0.72% respectively in AUD terms. Deteriorating confidence in globalization and trade uncertainties weighed on the region. Hong Kong was the weakest market (-8.52%) as local protests and social unrest continued. India (-1.32%) and Korea (-0.93) posted negative returns.

### MSCI Regional Index Performance (AUD)

<table>
<thead>
<tr>
<th>Region</th>
<th>September Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Developed Markets</td>
<td>4.58%</td>
</tr>
<tr>
<td>Europe</td>
<td>2.35%</td>
</tr>
<tr>
<td>Emerging Markets</td>
<td>-0.42%</td>
</tr>
<tr>
<td>Asia ex Japan</td>
<td>-0.72%</td>
</tr>
</tbody>
</table>

### MSCI Country Index Performance (AUD)

<table>
<thead>
<tr>
<th>Country</th>
<th>September Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Japan</td>
<td>7.24%</td>
</tr>
<tr>
<td>US</td>
<td>5.51%</td>
</tr>
<tr>
<td>Australia</td>
<td>3.15%</td>
</tr>
<tr>
<td>France</td>
<td>2.47%</td>
</tr>
<tr>
<td>UK</td>
<td>1.25%</td>
</tr>
<tr>
<td>Germany</td>
<td>-0.03%</td>
</tr>
<tr>
<td>Korea</td>
<td>-0.93%</td>
</tr>
<tr>
<td>India</td>
<td>-1.32%</td>
</tr>
<tr>
<td>Hong Kong</td>
<td>-8.52%</td>
</tr>
</tbody>
</table>

### MSCI ACWI Sector Performance (AUD)

<table>
<thead>
<tr>
<th>Sector</th>
<th>September Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Utility</td>
<td>9.86%</td>
</tr>
<tr>
<td>Consumer Staples</td>
<td>7.73%</td>
</tr>
<tr>
<td>Real Estate</td>
<td>6.99%</td>
</tr>
<tr>
<td>Information Technology</td>
<td>6.70%</td>
</tr>
<tr>
<td>Communication Services</td>
<td>4.34%</td>
</tr>
<tr>
<td>Consumer Discretionary</td>
<td>3.72%</td>
</tr>
<tr>
<td>Industrials</td>
<td>3.01%</td>
</tr>
<tr>
<td>Finance</td>
<td>2.81%</td>
</tr>
<tr>
<td>Health Care</td>
<td>2.56%</td>
</tr>
<tr>
<td>Material</td>
<td>-0.77%</td>
</tr>
<tr>
<td>Energy</td>
<td>-1.53%</td>
</tr>
</tbody>
</table>

### Currency Performance

<table>
<thead>
<tr>
<th>Currency</th>
<th>3Q 2019 Change</th>
<th>CYTD Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUD/EUR</td>
<td>0.34%</td>
<td>0.67%</td>
</tr>
<tr>
<td>AUD/CNY</td>
<td>0.10%</td>
<td>-0.54%</td>
</tr>
<tr>
<td>AUD/GBP</td>
<td>-0.86%</td>
<td>-0.78%</td>
</tr>
<tr>
<td>AUD/CHF</td>
<td>-1.74%</td>
<td>-2.73%</td>
</tr>
<tr>
<td>AUD/USD</td>
<td>-3.85%</td>
<td>-4.30%</td>
</tr>
<tr>
<td>AUD/JPY</td>
<td>-1.74%</td>
<td>-6.74%</td>
</tr>
</tbody>
</table>
In aggregate, the LTIP Overseas Equities portfolio returned 3.00% in 3Q2019, underperforming the MSCI All Countries World Index (ex Australia net) return of 4.05% by 1.05%. Magellan Overseas Equity Fund (5.10%) was the top performer, exceeding benchmark return by 1.05%. RBC Overseas Equity Fund (1.77%) and Antipodes Overseas Equity Fund (0.92%) underperformed the benchmark by 2.28% and 3.13% respectively.

Magellan Overseas Equity Fund’s outperformance is attributable to superior allocation within sectors. Overweight position in the IT sector (26.52% vs benchmark’s 16.62%) added 32bps of alpha. Zero exposure to Energy stocks added 30bps of alpha. Holdings in cash (7.72% of the portfolio as at 30 September 2019) added 31bps of alpha. However, poor stock selection in the Health Care sector detracted alpha (-58bps) as HAC Healthcare fell by 7.00% over the quarter. Holdings in SAP (-11.02%) detracted 56 basis point of alpha as the company reported lower margins and a decline in growth in new cloud bookings for the second quarter. Alibaba and Eversource were new additions to the portfolio. The strategy exited positions in American Express, Berkshire Hathaway, Lowe’s and Oracle.

RBC Overseas Equity Fund’s underperformance was driven by poor stock selection which detracted 1.81% of alpha over the quarter. Underweighted allocation to Energy (4.70% vs benchmark’s 5.56%) added 3bps of alpha, however poor stock selected detracted 56bps of alpha largely attributable to holdings in EOG Resources (-16.83%). Overweight allocation to Financials (18.67% vs benchmark’s 16.19%) detracted 4bps of alpha and poor stock selection within Financials detracted 62bps of alpha attributable to HDCF Bank (-8.54%), AIA Group (-8.48%) and St James’s Place (-8.32%). Orsted (Energy – Denmark), Prosus NV (Consumer Discretionary – Netherlands) and Workday (Information Technology – US) were new additions to the portfolio.

Antipodes Overseas Equity Fund’s underperformance was largely attributable to an overweight exposure to emerging markets (20.48% vs benchmark’s 11.45%) which detracted 30bps of alpha. In addition to this, poor stock selection throughout the portfolio detracted 2.33% of alpha. Holdings in Tapestry Inc (-40bps alpha), SAP SE (-30bps alpha), and EDF Energy (-28bps of alpha) were the largest detractors over the quarter. There were thirteen new additions to the portfolio, most notably Coca-Cola, Pepsi, Uber, and Lyft. The strategy exited positions in nine holdings, including Baidu, KT Corp, Intel, and Jiangsu Yanghe Brewery.
ANU Enhanced Index Portfolio

Performance update as at 30/09/2019

The ANU enhanced index portfolio ('Portfolio') delivered a total after tax return of 1.86% over the month, underperforming the S&P/ASX200 after tax index, and after fees by 0.18%.

The Portfolio's CO2 Intensity was 30.3% lower than the Benchmark's total market CO2 Intensity.

The Portfolio's ESG exposure was tilted towards positive ranked ESG names and away from negatively ranked companies with a total exposure of around 11.2% higher scores than the Benchmark.

The Australian market rose 2% (including franking credits) in September, in line with global developed markets. Australia’s 10-year bond yield rose 13bps during the month following a similar move in U.S. bond yields which sparked a large outperformance of value stocks over growth. Defensive (including gold) stocks, which had previously been outperforming growth stocks as bond yields fell this calendar year, also underperformed. The top performing sectors were Financials and Energy in contrast to the defensive Telecoms, Healthcare and Real Estate sectors which lagged.

In strategy based attribution, factor performance was mixed as Value came back to life, performing strongly (particularly in large caps) in contrast to earnings and price momentum factors which underperformed significantly as bond yields reversed their prior trends. This value rally was contained to less than a week, with momentum and growth partially reversing losses later in the month.

Tracking error currently is 1.09% p.a. as measured by Barra.

Summary

The ANU enhanced index portfolio ('Portfolio') delivered a total after tax return of 1.86% over the month, underperforming the S&P/ASX200 after tax index, and after fees by 0.18%.

The Portfolio’s CO2 Intensity was 30.3% lower than the Benchmark’s total market CO2 Intensity. The Portfolio’s ESG exposure was tilted towards positive ranked ESG names and away from negatively ranked companies with a total exposure of around 11.2% higher scores than the Benchmark.

The Australian market rose 2% (including franking credits) in September, in line with global developed markets. Australia’s 10-year bond yield rose 13bps during the month following a similar move in U.S. bond yields which sparked a large outperformance of value stocks over growth. Defensive (including gold) stocks, which had previously been outperforming growth stocks as bond yields fell this calendar year, also underperformed. The top performing sectors were Financials and Energy in contrast to the defensive Telecoms, Healthcare and Real Estate sectors which lagged.

In strategy based attribution, factor performance was mixed as Value came back to life, performing strongly (particularly in large caps) in contrast to earnings and price momentum factors which underperformed significantly as bond yields reversed their prior trends. This value rally was contained to less than a week, with momentum and growth partially reversing losses later in the month.

Tracking error currently is 1.09% p.a. as measured by Barra.
## Portfolio details

<table>
<thead>
<tr>
<th>Investment manager</th>
<th>Plato Investment Management Limited</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective</td>
<td>Delivering total returns of 1% p.a. higher than the Benchmark after tax</td>
</tr>
<tr>
<td></td>
<td>Holding 30% less carbon intense than the Benchmark</td>
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<tr>
<td></td>
<td>Portfolio’s ESG exposure improvement of 10%</td>
</tr>
<tr>
<td>Investments</td>
<td>ASX listed entities and listed SPI futures</td>
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<tr>
<td></td>
<td>Cash</td>
</tr>
<tr>
<td>Benchmark/Index</td>
<td>S&amp;P/ASX200 Accumulation Index (including Franking credits)</td>
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<tr>
<td>Investment approach</td>
<td>The Portfolio is specifically managed from the perspective of a zero tax investor</td>
</tr>
<tr>
<td></td>
<td>The Portfolio will invest in long only Australian shares</td>
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<td>Ex-ante tracking error limit of 1.5%</td>
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<td>Portfolio allocation</td>
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<td></td>
<td>0% - 10% invested in cash</td>
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<td>Exclusions</td>
<td>Coal, tobacco, gambling and pornography</td>
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<tr>
<td>Contact Information</td>
<td>Portfolio Management</td>
</tr>
<tr>
<td></td>
<td>Don Hamson <a href="mailto:don.hamson@plato.com.au">don.hamson@plato.com.au</a> 02 8970 7900</td>
</tr>
<tr>
<td></td>
<td>Todd Kennedy <a href="mailto:todd.kennedy@plato.com.au">todd.kennedy@plato.com.au</a> 02 8970 7902</td>
</tr>
<tr>
<td></td>
<td>Manoj Wanzare <a href="mailto:manoj.wanzare@plato.com.au">manoj.wanzare@plato.com.au</a> 02 8970 7901</td>
</tr>
<tr>
<td>Portfolio Enquiries</td>
<td>Rob Behrendorff <a href="mailto:rob.behrendorff@pinnacleinvestment.com.au">rob.behrendorff@pinnacleinvestment.com.au</a> 07 3107 2810</td>
</tr>
<tr>
<td></td>
<td>Alex Ihlenfeldt <a href="mailto:alex.ihlenfeldt@pinnacleinvestment.com.au">alex.ihlenfeldt@pinnacleinvestment.com.au</a> 07 3107 2801</td>
</tr>
<tr>
<td>Management costs</td>
<td>0.14% p.a. (exclusive of the net effect of GST)</td>
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</tbody>
</table>

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Australian National University

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- Rationale
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- Related Research
Rationale

The 'AA+' rating on the Australian National University (ANU) reflects its standalone credit profile, which we assess at 'aa+', based on its extremely strong enterprise profile and very strong financial profile. We expect that ANU will maintain its excellent market position and high level of student demand, which will help it to continue to post robust operating margins. The ratings also reflect our opinion that there is a high likelihood that the Australian government would provide extraordinary support to ANU in a financial distress scenario.

Excellent reputation and performance in international rankings help to sustain student demand
ANU, established by an act of parliament in 1946, is a midsize, research-intensive university with a main campus in the Australian capital city of Canberra. Its performance in global university rankings underpins its competitive position. It placed 50th in the 2020 edition of the Times Higher Education World University Rankings and 76th in the Academic Ranking of World Universities in 2019. It is also the highest-placed Australian institution in the 2020 edition of the QS World University Rankings, placing equal 29th. ANU leads the nation in research, with 96% of its research outputs recognized as being above world standard in the latest "Excellence in Research for Australia" results.

We consider the higher-education industry globally to be low risk because it tends to be characterized by countercyclical revenues, considerable barriers to entry from startups, and stable but slim industry profit margins. Australia’s wealthy economy, with a GDP per capita of around US$54,900, supports the fundamentals of the domestic higher-education sector.

Student quality at ANU is high, as evidenced by the fact that new commencing students have a median Australian Tertiary Admissions Rank (ATAR) of about 96.85 out of a possible 99.95. In addition to students, ANU is able to attract first-rate faculty members. Some 87% of its academic staff hold a PhD qualification, the highest proportion in Australia. There are six Nobel laureates among ANU’s alumni and staff, including Professor Brian Schmidt AC, who is the vice-chancellor (the university’s president and chief executive officer). Growth has been robust during the past few years. Full-time equivalent student numbers, excluding those in nonaward programs, grew by 8% last year to about 20,000. However, we expect student numbers to begin to plateau this year as ANU becomes more selective, particularly for international students.

ANU’s retention rate for undergraduates remains high, at about 92% in 2018. The university guarantees accommodation for all first-year, first-semester undergraduate students. Compared with its domestic peers, ANU has a large postgraduate cohort, with postgraduate enrolments representing about 44% of its full-time equivalent student base. We note that ANU has rolled out a new model for student admissions. From 2020, ANU will consider extracurricular factors alongside the ATAR in assessing undergraduate applications. It is too early to assess what impact this new model will have on student demand, if any.

In response to a significant data breach, the university has recently stepped up its cybersecurity efforts in cooperation
with government agencies. In June 2019, ANU disclosed that it had been the victim of a breach, with an external party gaining unauthorized access to a significant amount of personal staff, student, and visitor data. ANU published an incident report on the matter in October 2019. The breach does not appear to have led to any regulatory penalties, commercial losses, or reputational damage. It does not weigh on our assessment of ANU’s enterprise profile at present.

The university is governed by a 15-member council, seven members of which are appointed by the federal minister for education. Day-to-day management is delegated to the vice-chancellor. The current vice-chancellor was first appointed for a five-year term in January 2016. Meanwhile, the chancellor (head of council) is set to retire at the end of 2019 and a new chancellor, The Hon Julie Bishop, is due to commence a three-year term in January 2020.

ANU is a member of Australia's elite, research-focused "Group of Eight" universities, as well as the International Alliance of Research Universities and the Association of Pacific Rim Universities. Like all of its domestic peers, ANU is accredited by the Tertiary Education Quality and Standards Agency (TEQSA), the Australian government regulator. ANU produces financial statements on a calendar-year basis and is audited by the Australian National Audit Office. Like its peers, ANU does not release interim or half-yearly results. Its annual reports are tabled in the Australian parliament.

**High financial resources and low debt service; strong operating margin driven by international student fees**

ANU derives its revenue from a range of sources, including Commonwealth Grant Scheme (CGS) funding, research grants, tuition fees, and funding from government departments for commissioned research. The university has an excellent track record in winning competitive grants from the Australian Research Council, the National Health and Medical Research Council, and other grant providers. Uniquely among Australian universities, ANU also receives about A$200 million from the Australian government in the form of a National Institutes Grant, which allows it to pursue research in areas of public policy priority.

In December 2017, the Australian government announced significant changes to its higher-education policy settings. For calendar years 2018 and 2019, the government capped at 2017 levels the funding it provides to universities under the CGS, which supports the teaching of domestic bachelor degree students. From 2020, CGS funding will resume growing, in line with adult population growth, but with additional funds subject to universities meeting certain performance measures. The 2017 reforms brought an end to the "demand driven" system of higher-education funding that had prevailed for half a decade. We believe these reforms will have minimal impact on ANU, given its smaller undergraduate cohort and strong revenue streams from other sources, particularly full-fee-paying students, who are unaffected by the CGS changes.

ANU has posted very strong operating margins of 12.9% of total operating expenses between 2016 and 2018, based on our three-year weighted-average measure. The strong operating result is attributable in part to growth in income from foreign students studying onshore. This revenue source grew 28% in 2018 to reach A$318 million, having risen 33% the preceding year. ANU's revenue flexibility is somewhat limited by legislated caps on domestic student tuition fees, and expenditure flexibility is constrained by the high proportion of employee expenses in its cost base. In line with international trends, ANU has gradually become more reliant on revenue from students and less on government funding. We exclude nonrecurring capital grants, such as a A$69.2 million grant received in 2018 for a new
supercomputer, from our operating margin metrics.

Like many of its domestic peers, ANU has benefited from rapid growth in students from China and other Asian countries, though we expect that this trend will moderate in the near future. Foreign students make up about 40% of ANU’s full-time equivalent student base. We believe that the concentration in students from North Asia presents an element of risk to Australian universities because student flows are susceptible to geopolitical factors that are outside of a university's control. Nevertheless, we believe ANU would likely maintain sound operating surpluses if foreign student demand were to ebb.

ANU is currently in the middle of a large capital development program. 2019 saw the completion of the A$273 million redevelopment of the Kambri precinct. We expect that capital expenditure during the next few years on new academic and student accommodation buildings will be funded from internal resources and operating cash flow and that the university will not need to raise new debt in the near future. ANU's outstanding debt as of Dec. 31, 2018 consists of unsecured indexed annuity bonds, issued in October 2004 with a net value of A$83 million and a maturity of 25 years, and A$200 million in fixed-rate medium-term notes, issued in November 2015 with a maturity of 10 years. The annuity bonds are repayable by quarterly instalments of principal and interest that are indexed to the inflation rate (i.e., the Australian Consumer Price Index). ANU's maximum annual debt service, as a proportion of its adjusted operating expenses, stands at a low 3.4%.

In May 2018, the university recruited a new vice-president for advancement to refresh its fundraising efforts. At present, income from donations and bequests is a relatively small component of ANU's revenue base, though in 2016 the university received a donation equivalent to about A$100 million to build two new student halls of residence and to fund a scholarship program.

In 2016, ANU signed a 30-year concession agreement with private investors for its portfolio of student residences. In return for an upfront payment to the university, the investor consortium will receive revenue from the net rental stream for the next 30 years. ANU retains ultimate ownership of the residences, and the private investors have no recourse to the university. As such, we do not treat this arrangement as a form of on- or off-balance sheet debt. In addition, ANU reports quantifiable contingent liabilities of about A$125 million, with most of this related to uncalled capital for its unlisted financial investments and possible future workers' compensation claims.

In our view, the university has very strong liquidity. Its consolidated cash and investments remained stable in 2018 at approximately A$1.8 billion, or 6.3x total debt. Most of ANU’s financial assets are managed as part of a long-term investment pool, which is invested in a diversified portfolio that includes Australian and overseas equities, alternatives, fixed-income securities, cash, and property. The level of unrestricted financial resources available for debt service stands at about A$714 million, or 2.5x total debt. Our analysis of available resources excludes ANU's endowment fund, Commonwealth Superannuation Scheme (CSS) assets, and other special-purpose reserves, because these assets are generally restricted and not available to service debt. ANU's CSS account, which is used to meet emerging defined-benefit pension liabilities, is fully funded on an actuarial basis.

**High likelihood of extraordinary government support**

Our view of a high likelihood of extraordinary government support reflects our assessment of ANU's very important role and strong link to the Australian government.
ANU is an independent, not-for-profit entity that fulfils a very important public policy role in its delivery of higher-education and research. In addition, ANU is the only Australian university to receive funding through the National Institutes Grant. The grant allows ANU to undertake basic and applied research to address issues that are critical to the nation.

ANU's link with the Australian government is strong, as evidenced by the latter's track record of funding and oversight of the higher-education sector. ANU was established under Commonwealth legislation, and the minister for education appoints seven members of the university's governing council. ANU reports on its spending of government funds to the Australian Department of Education. TEQSA regulates the university sector, and it sets standards that registered higher-education providers must meet to maintain their registrations. In addition, the Australian government administers the Higher Education Loan Program, an income-contingent loan scheme that helps eligible students to defer payment of their tuition fees.

**Outlook**

The stable outlook reflects our expectation that, within our two-year rating horizon, ANU will maintain its excellent market position and student demand profile, which will help it to continue to post robust operating margins. At the same time, we expect that ANU's debt burden will be largely stable, that its level of financial resources will remain high even after new capital expenditure, and that its relationship to the Australian government is likely to remain unchanged.

**Downside scenario**

Downward pressure on the ratings is unlikely in the next two years but could occur if ANU's enterprise or financial profiles were to weaken significantly. This could eventuate if, for instance, student perceptions of ANU's reputation and prestige were to deteriorate, resulting in a large drop in demand. The financial profile could weaken if the Australian government were to substantially reduce its financial support, resulting in declining financial resources and the need for new borrowing.

Downward pressure could also arise from a combination of a deteriorating standalone credit profile and a weakening of ANU's role and link to the Australian government.

**Upside scenario**

Upward pressure on the ratings could eventuate if ANU were to demonstrate greater revenue and expenditure flexibility through, for example, accumulating a large endowment fund like some of its 'AAA' rated international peers. This could help to support ANU's financial profile during periods of stress.
### Australian National University: Financial Statistics

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<thead>
<tr>
<th>Enrollment and demand</th>
<th>2018</th>
<th>2017</th>
<th>2016</th>
<th>2015</th>
<th>2014</th>
<th>2018</th>
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<tbody>
<tr>
<td>Headcount</td>
<td>26,605</td>
<td>25,533</td>
<td>23,761</td>
<td>22,654</td>
<td>22,597</td>
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<tr>
<td>Full-time equivalent</td>
<td>20,006</td>
<td>18,575</td>
<td>16,840</td>
<td>15,986</td>
<td>15,403</td>
<td>35,846</td>
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<tr>
<td>First-year acceptance rate (%)</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>67.8</td>
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<td>First-year matriculation rate (%)</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>N.A.</td>
<td>MNR</td>
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<tr>
<td>Undergraduates as a % of total enrollment (%)</td>
<td>51.4</td>
<td>50.9</td>
<td>49.8</td>
<td>48.2</td>
<td>46.7</td>
<td>78.6</td>
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<tr>
<td>First-year retention (%)</td>
<td>92.0</td>
<td>92.0</td>
<td>92.0</td>
<td>92.0</td>
<td>92.0</td>
<td>86.0</td>
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<td>Graduation rates (six years) (%)</td>
<td>N.A.</td>
<td>79.5</td>
<td>82.7</td>
<td>81.0</td>
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<tbody>
<tr>
<td>Adjusted operating revenue ($000s)</td>
<td>1,306,569</td>
<td>1,245,805</td>
<td>1,153,419</td>
<td>1,131,802</td>
<td>1,042,096</td>
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<td>Adjusted operating expense ($000s)</td>
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<td>1,085,742</td>
<td>1,085,734</td>
<td>1,096,007</td>
<td>1,010,084</td>
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<tr>
<td>Net adjusted operating income ($000s)</td>
<td>164,830</td>
<td>160,063</td>
<td>67,685</td>
<td>35,795</td>
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<td>Net adjusted operating margin (%)</td>
<td>14.4</td>
<td>14.7</td>
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<td>State operating appropriations ($000s)</td>
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<td>405,055</td>
<td>382,732</td>
<td>396,521</td>
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<td>Student appropriations to revenue (%)</td>
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<td>33</td>
<td>33</td>
<td>35</td>
<td>35</td>
<td>19</td>
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<td>Research dependence (%)</td>
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<td>29.7</td>
<td>27.2</td>
<td>23</td>
<td>22.2</td>
<td>39.7</td>
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<tr>
<td>Endowment and investment income dependence (%)</td>
<td>5.8</td>
<td>8.7</td>
<td>11.4</td>
<td>13.6</td>
<td>10.6</td>
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<th>Debt</th>
<th>2018</th>
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<th>2016</th>
<th>2015</th>
<th>2014</th>
<th>2018</th>
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<td>Outstanding debt ($000s)</td>
<td>282,743</td>
<td>285,033</td>
<td>291,423</td>
<td>477,708</td>
<td>289,805</td>
<td>828,692</td>
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<td>Current debt service burden (%)</td>
<td>1.5</td>
<td>1.5</td>
<td>18.1</td>
<td>2.5</td>
<td>2.7</td>
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<tr>
<td>Current MADS burden (%)</td>
<td>3.4</td>
<td>3.6</td>
<td>3.6</td>
<td>5.0</td>
<td>3.8</td>
<td>3.5</td>
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<tbody>
<tr>
<td>Endowment market value ($000s)</td>
<td>321,045</td>
<td>299,925</td>
<td>291,435</td>
<td>276,129</td>
<td>257,034</td>
<td>990,083</td>
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<td>Cash and investments ($000s)</td>
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<td>Adjusted UFR ($000s)</td>
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<td>824,617</td>
<td>425,823</td>
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<td>Cash and investments to operations (%)</td>
<td>156.8</td>
<td>167.6</td>
<td>159.9</td>
<td>126.2</td>
<td>112.2</td>
<td>54.0</td>
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<td>Cash and investments to debt (%)</td>
<td>633.0</td>
<td>638.2</td>
<td>595.6</td>
<td>289.6</td>
<td>391.0</td>
<td>168.3</td>
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<td>Adjusted UFR to operations (%)</td>
<td>62.5</td>
<td>74.9</td>
<td>76.0</td>
<td>38.9</td>
<td>18.1</td>
<td>35.3</td>
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<tr>
<td>Adjusted UFR plus debt service reserve to debt (%)</td>
<td>252.5</td>
<td>285.2</td>
<td>283.0</td>
<td>89.1</td>
<td>63.2</td>
<td>97.8</td>
</tr>
<tr>
<td>Average age of plant (years)</td>
<td>4.5</td>
<td>4.7</td>
<td>3.3</td>
<td>3.3</td>
<td>3.7</td>
<td>13.0</td>
</tr>
</tbody>
</table>
Australian National University: Financial Statistics (cont.)

<table>
<thead>
<tr>
<th>Year ended Dec. 31</th>
<th>Medians for 'AA' rated public colleges and universities*</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018</td>
<td>N.A.</td>
</tr>
<tr>
<td>2017</td>
<td>N.A.</td>
</tr>
<tr>
<td>2016</td>
<td>N.A.</td>
</tr>
<tr>
<td>2015</td>
<td>N.A.</td>
</tr>
<tr>
<td>2014</td>
<td>N.A.</td>
</tr>
<tr>
<td>2018</td>
<td>MNR</td>
</tr>
</tbody>
</table>

OPEB liability to total liabilities (%)

*Median figures are in U.S. dollars. N.A.--Not available. MNR--Median not reported. MADS--Maximum annual debt service. OPEB--Other postemployment benefits. UFR--Unrestricted financial resources. Average age of plant = accumulated depreciation/depreciation and amortization expense.

Related Criteria

- General Criteria: Methodology For Linking Long-Term And Short-Term Ratings, April 7, 2017
- General Criteria: Methodology: Not-For-Profit Public And Private Colleges And Universities, Jan. 6, 2016
- General Criteria: Rating Government-Related Entities: Methodology And Assumptions, March 25, 2015
- General Criteria: Use Of CreditWatch And Outlooks, Sept. 14, 2009

Related Research

- U.S. Public College And University Fiscal 2018 Median Ratios: The Disparity Between Higher- And Lower-Rated Entities Persists, June 26, 2019
- Global Not-For-Profit Higher Education 2019 Sector Outlook: Credit Pressures Proliferate, Jan. 24, 2019

S&P Global Ratings Australia Pty Ltd holds Australian financial services license number 337565 under the Corporations Act 2001. S&P Global Ratings' credit ratings and related research are not intended for and must not be distributed to any person in Australia other than a wholesale client (as defined in Chapter 7 of the Corporations Act).

Ratings Detail (As Of October 14, 2019)*

**Australian National University (The)**

Issuer Credit Rating: AA+/Stable/A-1+

Senior Unsecured: AA+

**Issuer Credit Ratings History**

- 27-Jul-2016: AA+/Stable/A-1+
- 18-Jul-2016: AA+/Negative/A-1+
- 14-Jan-2003: AA+/Stable/A-1+

*Unless otherwise noted, all ratings in this report are global scale ratings. S&P Global Ratings’ credit ratings on the global scale are comparable across countries. S&P Global Ratings’ credit ratings on a national scale are relative to obligors or obligations within that specific country. Issue and debt ratings could include debt guaranteed by another entity, and rated debt that an entity guarantees.
<table>
<thead>
<tr>
<th>Date</th>
<th>Venue</th>
<th>Host Area</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 September</td>
<td>Molonglo Theatre</td>
<td>Crawford School of Public Policy</td>
<td>2019 Mitchell Oration to be delivered by Dr Natalia Kanem, Executive Director of UNFPA. Dinner following oration.</td>
</tr>
<tr>
<td>13 September</td>
<td>Drill Hall Gallery</td>
<td>SCAPA/OVC</td>
<td>Chris Grange's Farewell event.</td>
</tr>
<tr>
<td>16 September</td>
<td>Cinema Kambri</td>
<td>SCAPA</td>
<td>Meet the Author: Jasper Forde in conversation with Colin Steele. Approx. 210 people attended.</td>
</tr>
<tr>
<td>17 September</td>
<td>Mills Room</td>
<td>Crawford School of Public Policy</td>
<td>German high level delegation on energy.</td>
</tr>
<tr>
<td>17 September</td>
<td>ANU School of Art Gallery</td>
<td>School of Art &amp; Design</td>
<td>Exhibition - Piksa Inap Tol Contemporary Art from Papua New Guinea. High Commissioner of PNG in attendance.</td>
</tr>
<tr>
<td>18 September</td>
<td>Ottoman Restaurant</td>
<td>Energy Change Institute</td>
<td>Dinner preceding the Grand Challenges Zero Carbon launch by the Vice-Chancellor.</td>
</tr>
<tr>
<td>19 September</td>
<td>Mural Hall, Parliament House</td>
<td>Energy Change Institute</td>
<td>Grand challenges launched by the Vice-Chancellor around the theme of zero carbon energy for the Asia Pacific.</td>
</tr>
<tr>
<td>19 September</td>
<td>The Hall, University House</td>
<td>Humanities Research Centre</td>
<td>Freilich Project 20 year anniversary reception. The Chancellor gave a keynote address.</td>
</tr>
<tr>
<td>20 September</td>
<td>Weston Theatre, JG Crawford Building</td>
<td>Strategic Partnerships, CAP</td>
<td>Korean Update 2019. Ambassador of Korea to Australia and the Australian Ambassador to Korea were in attendance.</td>
</tr>
<tr>
<td>20 September</td>
<td>Residence of the Vice-Chancellor</td>
<td>SCAPA</td>
<td>Vice-Chancellor Drinks.</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Location</td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>------------------------------------------------------------------------</td>
<td>-------------------</td>
<td></td>
</tr>
<tr>
<td>21 September</td>
<td>Student Engagement Conference 2019: Crossing boundaries through research. Associate Professor Ann Evans in participation.</td>
<td>Marie Reay Teaching Centre</td>
<td></td>
</tr>
<tr>
<td>23 September</td>
<td>Residence of the Vice-Chancellor SAGE announcement and celebration hosted by the Vice-Chancellor.</td>
<td>Manning Clark Hall</td>
<td></td>
</tr>
<tr>
<td>23 September</td>
<td>Meet the Author: Shaun Micallef in conversation with Alex Sloan. Approx. 546 people attended.</td>
<td>Hedley Bull</td>
<td></td>
</tr>
<tr>
<td>24 September</td>
<td>Meet the Author: Allan Fels in conversation with Andrew Leigh. Approx. 121 people attended.</td>
<td>China in the World</td>
<td></td>
</tr>
<tr>
<td>26 September</td>
<td>College of Asia and the Pacific and the College of Asia and the Pacific Students’ Society afternoon tea with Ambassadors.</td>
<td>Mills Room</td>
<td></td>
</tr>
<tr>
<td></td>
<td>VIP Guests:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Her Excellency Ma. Hellen B. De La Vega, Ambassador Philippine Embassy</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Mr. Nicolas Manoppo (Counsellor/Political) Embassy of Indonesia</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Mr. P.S. Karthigeyan, Deputy High Commissioner of India</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Mr Shutaro Ohmura, Deputy Chief of Mission, Embassy of Japan</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Ms Marie-Anne Mortellette, Political Counselor in charge and environment and Pacific affairs, Embassy of France</td>
<td></td>
<td></td>
</tr>
<tr>
<td>26 September</td>
<td>Lecture: A southern perspective on things - China, Climate change and ghosts.</td>
<td>China in the World</td>
<td></td>
</tr>
<tr>
<td>26 September</td>
<td>2019 Schumann lecture delivered by the Chancellor.</td>
<td>University House</td>
<td></td>
</tr>
<tr>
<td>30 September</td>
<td>Pizza with the Vice-Chancellor (open forum for students).</td>
<td>Brian Kenyon</td>
<td></td>
</tr>
</tbody>
</table>

SIGNIFICANT VISITS & EVENTS, GRANTS & CONSULTANCIES
1 October
Harry Hartog  SCAPA
Meet the Author: Chris Hammer in conversation with Mike Bowers. Approx. 47 people attended.

1 October
Atrium, Hedley Bull  Coral Bell
Book launch: National versus human security by the Governor-General.

3 October
T2 Kambri  SCAPA
Meet the Author: Brian Toohey in conversation with Clinton Fernandes. Approx. 234 people attended.

3 October
Charles Darwin University  OVC
HC “Nugget” Coombs Memorial Lecture delivered by the Hon Linda Burney MP at Charles Darwin University. Approx. 230 people attended.

8 October
QT Hotel  JCOS
2019 ANU Science, Health and Medicine Prizes and scholarships.

10 October
China in the World
Department of Pacific Affairs, Coral Bell
Bougainville Referendum Symposium.

10 October
School of Music.  SCAPA/Counselling
World Mental Health Day - panel event. Provost attended and Professor Foley spoke to about 70 participants.

15 October
China in the World
Coral Bell School of Asia Pacific Affairs
ANU Emeritus Lecture and Dinner, speech by the Provost.

16 October
Leonard Huxley  Energy Change Institute
Energy Change Institute lecture with Baroness Brown. Deputy Vice-Chancellor of Research and Innovation in attendance.

16 October
Llewellyn Hall  SCAPA
Meet the Author: Paul Kildea will give an illustrated lecture. Approx. 230 people attended.

18 October
Hedley Bull  Gender Institute
Gender Institute Prize giving. Announced by Vice-Chancellor.

18 October
Centre for European Studies  Centre for European Studies
Jean Monnet Centre of Excellence for EU-Australia economic cooperation policy roundtable. Attended by:
- Mr Martin Tlapa, Deputy Minister of Foreign Affairs for Non-European Countries, Economic and Development Cooperation, Czech Republic.
• His Excellency Mr Tomáš Dub, Ambassador of the Czech Republic to Australia.

• Her Excellency Mrs Martha Mavrommati, High Commissioner for the Republic of Cyprus to Australia

• Mr Bence Ruff, Trade Commissioner, Embassy of Hungary in Canberra

• Mr Peter Harrington, First Secretary, British High Commission in Canberra

• Mr Bruce Hockman – Chief Economist at the Australian Bureau of Statistics

19 October
Fellows Oval BBQ ANU Labor Students Club
Barbeque with ACT Chief Minister.

21 October
Tjabal Centre Tjabal Centre
Aboriginal and Torres Strait Islander Education book launch. Presented by the Vice-Chancellor.

21 October
Tjabal Centre Tjabal Centre
Aboriginal and Torres Strait Islander Education book launch. Presented by the Vice-Chancellor.

22 October
Kambri SCAPA/ISP
King's College President Professor Ed Byrne delivered public lecture on *The University Challenge*. Vice-Chancellor delivered introduction. Approx. 200 people attended.

24 October
Marie Reay Teaching Centre Australian National Internships Program
ANIP Showcase. Provost attending to meeting and greet. VIPs in attendance:

• His Excellency Izzat Abdulhadi, Ambassador, Embassy of the State of Palestine

• His Excellency Abel Guterres, Ambassador, Embassy of Timor-Leste

• His Excellency Eduardo Peña Haller, Ambassador, Embassy of Mexico

• Mr Andrew Laming MP, Member for Bowman, Queensland

25 October
National Arboretum International Forestry Students Association
Vice-Chancellor receiving hero tree planting.

25 October
ANU Preschool Centre ANU Preschool Centre
Provost spoke at ANU preschool and childcare centre 50th anniversary.
<table>
<thead>
<tr>
<th>Date</th>
<th>Location</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>29 October</td>
<td>Hedley Bull, ANU Medical School</td>
<td>Data sovereignty translation and health tools assessment. Her Excellency the Hon Dame Annette King, High Commissioner for New Zealand attended and the Dean of CHM opened.</td>
</tr>
<tr>
<td>29 October</td>
<td>Kambri Cinema, SCAPA</td>
<td>Meet the Author: William Dalrymple in conversation with Meera Ashar. Approx. 358 people attended.</td>
</tr>
<tr>
<td>5 November</td>
<td>Kambri Cinema, SCAPA</td>
<td>Meet the Author: Dr Karl Talk. Approx. 372 people in attendance.</td>
</tr>
<tr>
<td>7 November</td>
<td>China in the World, Fenner</td>
<td>Patrick Troy memorial lecture. Provost gave opening speech.</td>
</tr>
<tr>
<td>7 November</td>
<td>Research School of Population Health, SCAPA</td>
<td>5th Forum of the Association of Spanish Researchers. Provost in attendance. VIP guests included the Spanish Ambassador, His Excellency Mr Manuel Cacho.</td>
</tr>
<tr>
<td>7 November</td>
<td>Kambri Cinema, SCAPA</td>
<td>Meet the Author: Tony Jones and Mark Kenny in conversation. Approx. 200 people attended.</td>
</tr>
<tr>
<td>11 November</td>
<td>JCSMR, National Centre for Indigenous Genomics</td>
<td>Galiwin’ku Samples Handover Ceremony.</td>
</tr>
<tr>
<td>11 November</td>
<td>Hedley Bull, SCAPA/International Strategies and Partnerships</td>
<td>Prime Minister of Cook Islands coming, as a guest of government. Seminar in Hedley Bull then at College of Law. Vice-Chancellor gave opening speech. High Commissioner of Samoa in attendance.</td>
</tr>
<tr>
<td>11 November</td>
<td>China in the World, China in the World</td>
<td>Hong Kong Public forum - an anatomy of the public protest.</td>
</tr>
<tr>
<td>11 November</td>
<td>Allan Barton Forum, CBE, Marketing and Student Recruitment</td>
<td>ANU hosted 38 offshore agents for the 2019 Agent Familiarisation Visit. The Provost gave a welcoming speech to begin the visit.</td>
</tr>
<tr>
<td>12 November</td>
<td>Marie Reay Teaching Centre, Energy Change Institute</td>
<td>The Energy Change Institute at Australian National University (ANU) and the Norwegian Embassy co-hosted a Norway-Australia Energy Transition Symposium. VIP guests:</td>
</tr>
</tbody>
</table>
• Her Excellency Ms Annette King, High Commissioner, New Zealand High Commission
• His Excellency Mr Miguel Palomino De La Gala Ambassador, Ambassador, Embassy of Peru
• His Excellency Mr Abel Guterres, Ambassador Embassy of Timor Leste
• Mr Walter Diamana, Acting High Commissioner, Solomon Islands High Commission
• Mrs Aliaa Abou El Naga, Charge d'Affaires, Embassy of the Arab Republic of Egypt
• Mr Fahad Al-Hamar, Second Secretary, The Embassy of the State of Qatar
• Mr Abolfazl Azimi Counsellor, Embassy of Iran
• Dr Marie Kronberg, Head of Economic and Trade Affairs, German Embassy
• Mr Dario Polski Embassy Secretary, Embassy of Argentina
• Mrs Alexandra Reyes, Attaché, The Embassy of the Republic of Ecuador
• Ms Samuel Soares, First Secretary for Economic and Political Affairs, Embassy of Timor-Leste

12 November National Security College, Director's Office

Meeting between NSC and Maldives Defence for Minister Ms Mariya Didi.

12 November Atrium, CAP

Book Launch by Dame Meg Taylor Secretary General, Pacific Islands Forum Secretariat. Provost gave opening speech, VIPs in attendance included:

• Dame Meg Taylor Secretary General, Pacific Islands Forum Secretariat
• Professor Geoffrey Wiseman, Director, Asia-Pacific College of Diplomacy, ANU
Greg Fry, Honorary Associate Professor, Asia-Pacific College of Diplomacy, ANU (AUTHOR)

His Excellency Mr Patricio Powell, Ambassador of Chile

His Excellency Mr Karim Medrek, Ambassador of Morocco

His Excellency Mr Eduardo Peña Haller, Ambassador of Mexico

His Excellency Mr Miguel Palomino De La Gala, Ambassador of Peru

Her Excellency Mrs Ma Hellen De La Vega, Ambassador of the Philippines

Ms Tepaeru Herrmann, Secretary at Cook Islands Ministry of Foreign Affairs and Immigration

Ms Isabelle Martin, Deputy High Commissioner, High Commission of Canada

Mr Kevin Payendee, First Secretary, Mauritius High Commission

Ms Abi Poole, Second Secretary, New Zealand High Commission

Mr Jet Gacusan, Second Secretary, British High Commission

Mr Hiroyuki Saruhashi, First Secretary, Embassy of Japan

Mr Tokuro Furuya, Minister for Political Affairs, Embassy of Japan

Australian Studies Institute annual lecture with Josh Frydenberg MP. Professor Sally Wheeler gave welcoming speech, VIPs in attendance included:

- His Excellency Mark Glauser (High Commissioner for Canada)
- His Excellency Miguel Palomino (Ambassador of Peru in Australia)
- Her Excellency Joyce Kakurama (High Commissioner for the Republic of Uganda)
- His Excellency Abel Guterres (Ambassador for Timor Leste in Australia)
• Aliaa Abou el Naga (Charge d’Affaires, Embassy of the Arab Republic of Egypt)
• Faridah Husian (Counsellor, High Commission of Malaysia)
• Bing HU (Attaché, Embassy of the People’s Republic of China)
• Mingxi SUN (Counsellor, Embassy of the People’s Republic of China)

13 November
Hedley Bull
Public Policy and Societal Impact Hub

Following on from the First Nations Governance Forum in 2018, The ANU hosted a forum on the issue of treaty.

13 November
Hedley Bull
Australia Pacific Security College

Launch of Australia Pacific Security College with Hon Alex Hawke MP, Minister for International Development and the Pacific. Vice-Chancellor gave opening speech, VIPs in attendance:

• Her Excellency Hinauri Petana, High Commissioner of Samoa
• His Excellency Mr Mark Glauser, High Commissioner of Canada
• Mr Walter Diamana, Acting High Commissioner to Solomon Islands
• Mr Tasimani Duifken Telefoni, Acting High Commissioner of Tonga
• Dame Meg Taylor DBE, Secretary-General, Pacific Islands Forum
• Ms Julie Duhaut Bedos, Deputy Head of Mission, Embassy of France
• Dr Andreas Radtke, Deputy Head of Mission, Embassy of Germany
• Mr Shutaro Omura, Deputy Chief of Mission, Embassy of Japan
• Mrs Ingrid Southworth, Deputy High Commissioner of the United Kingdom
• Mr Evaristo Chalet, Dep Head of Mission, Embassy of Vanuatu
• Mr Samson Fare, Head of Mission Designate, Vanuatu
• Air Chief Marshal Mark Binskin AC, Royal Australian Air Force
• Ms Frances Adamson, Secretary, DFAT
Mr Ewen McDonald, Head of Office of Pacific, DFAT
Mr Michael Ketchen, Counsellor, High Commission of New Zealand

The EU After Brexit - Pat Cox Public Lecture.
No members of the executive were available.
VIP guests included:

- Mr Pat Cox, ex-President of the European Parliament
- His Excellency Mr Lars Backström, Ambassador of Finland
- His Excellency Dr Basim Hattab Altumma, Ambassador of Iraq
- His Excellency Dr Bernhard Zimburg, Ambassador of Austria


Penny Wong - Women in Security private talk.

Agent familiarisation visit event: Coffee and cake with the Vice-Chancellor.

Lynda Burney MP and Alicia Payne MP met with ANUSA and PARSA representatives.

Book launch: Australian Menzies and Suez: Australian policy-making on the Middle East before, during and after the Suez Crisis. Chancellor speaking.

Launch of 'Rincon de UNAM' with Mexican Embassy.

Launch by the Vice-Chancellor: Institute for Integrated Research on Disaster Risk Science.
15 November  
Llewellyn Hall  
SCAPA/NCIS/School of Music


18 November  
Kambri Cinema  
Mexican Embassy

Special screening of documentary "Hernan Cortes: A man between God and the Devil" followed by Q&A session.

19 November  
Sir Roland Wilson Building  
Mexican Embassy

ANCLAS Panel: "Indigenous Reconciliation": A conversation between Mexico and Australia.

19 November  
Museum of Contemporary Advancement Art

Sydney alumni reception and dinner. Vice-Chancellor attending.

19 November  
Fellows Room, University House  
National Security College

National Security College Advisory Board meeting. The Vice-Chancellor attended in addition to the following VIP guests:

- Ms Frances Adamson, Secretary of the Department of Foreign Affairs
- Mr Mike Pezzullo, Secretary of Home Affairs
- Mr Nick Warner, Director General of the Office of National Intelligence
- Ms Caroline Miller, National Security Advisor, Prime Minister and Cabinet
- Mr Chris Moraitis, Secretary of Attorney-General’s Department
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>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Carmel O'Shannessy</td>
<td>Tracking language development of Indigenous children in Central Australia</td>
<td>$773,900</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Katrine Beauregard</td>
<td>Gender, political parties and representation: A virtuous circle? <em>(under strict embargo)</em></td>
<td>$411,167</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Elisa deCourcy</td>
<td>Capturing foundational Australian photography in a globalising world <em>(under strict embargo)</em></td>
<td>$343,526</td>
</tr>
</tbody>
</table>

### College of Asia and the Pacific

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof R Quentin Grafton</td>
<td>Water Justice: Indigenous Water Valuation and Resilient Decision-making</td>
<td>$3,336,000</td>
</tr>
<tr>
<td>Commonwealth Dept of Foreign Affairs &amp; Trade, Australian Cnt for International Agricultural Res(ACIAR)</td>
<td>A/Prof Chunlai Chen</td>
<td>Understanding the Drivers of Successful and Inclusive Rural Regional Transformation</td>
<td>$1,207,828</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Stuart Hawkins</td>
<td>Early animal husbandry and socio-political complexity in the Asia-Pacific <em>(under strict embargo)</em></td>
<td>$409,297</td>
</tr>
<tr>
<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
<td>Dr Garth Pratten</td>
<td>AusCSCAP 2019-20 (DFAT portion)</td>
<td>$50,000</td>
</tr>
<tr>
<td>Firebird Foundation For Anthropological Research Inc.</td>
<td>Dr Grant Aiton</td>
<td>Firebird Foundation Fellowship (US)</td>
<td>$8,613</td>
</tr>
<tr>
<td>Commonwealth Department of Defence, Army</td>
<td>Dr Andrew Carr</td>
<td>‘Owning Time’: Tempo in Army’s future land combat</td>
<td>funding amount TBC</td>
</tr>
</tbody>
</table>
## College of Business and Economics

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Francis Hui</td>
<td>Modern statistical methods for complex multivariate longitudinal data <em>(under strict embargo)</em></td>
<td>$365,039</td>
</tr>
<tr>
<td>Alfred P. Sloan Foundation</td>
<td>Prof John Stachurski</td>
<td>Next Generation Scientific Textbooks</td>
<td>funding amount TBC</td>
</tr>
</tbody>
</table>

## College of Engineering and Computer Science

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Defense Advanced Research Projects Agency</td>
<td>Prof Jochen Renz</td>
<td>Novelty Characterization and Generation in a Physical Environment: The Physics Puzzle Game Angry Birds</td>
<td>$2,179,336</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>A/Prof Parastoo Sadeghi</td>
<td>Data sharing with strong privacy against inference attacks</td>
<td>$996,000</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Prof Antonio Tricoli</td>
<td>Early-Stage Medical Diagnostics by Plasmon-Mediated Gas Sensing</td>
<td>$434,300</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Xiaolin Wang</td>
<td>Mass transfer enhancement for hydrate based carbon capture and cold storage <em>(under strict embargo)</em></td>
<td>$425,231</td>
</tr>
<tr>
<td>Australian Research Council (ARC)</td>
<td>Dr Liang Zheng</td>
<td>Data synthesis to quantitatively understand and improve vision systems <em>(under strict embargo)</em></td>
<td>$400,998</td>
</tr>
<tr>
<td>Commonwealth Department of Defence, Australian Signals Directorate</td>
<td>Dr Charles Gretton</td>
<td>Some Small Steps Towards an Even Better SAT Solver.</td>
<td>funding amount TBC</td>
</tr>
</tbody>
</table>
### College of Health and Medicine

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
</tr>
</thead>
<tbody>
<tr>
<td>National Blood Authority (NBA)</td>
<td>Dr Philip Crispin</td>
<td>NBA Project Grant 2020</td>
<td>$51,243</td>
</tr>
<tr>
<td>Relationships Australia Inc</td>
<td>Dr Tegan Cruwys</td>
<td>Neighbour Day Partnership 2019-2020</td>
<td>$29,600</td>
</tr>
<tr>
<td>World Health Organisation (WHO)</td>
<td>Dr Meru Sheel</td>
<td>Characterising acute public health events in the South East Asia Region of the WHO using Event-Based Surveillance</td>
<td>$27,434</td>
</tr>
<tr>
<td>Universities Australia</td>
<td>Dr Gaetan Burgio</td>
<td>Harnessing CRISPR type V system for gene editing applications</td>
<td>funding amount TBC</td>
</tr>
<tr>
<td>Suicide Prevention Australia</td>
<td>A/Prof Philip Batterham</td>
<td>A mobile phone messaging intervention to support people bereaved by suicide</td>
<td>funding amount TBC</td>
</tr>
<tr>
<td>Ian Potter Foundation</td>
<td>Prof Ross Hannan</td>
<td>ANU High-Throughput 3D Cell and Organism Screening Facility</td>
<td>funding amount TBC</td>
</tr>
</tbody>
</table>

### College of Law

<table>
<thead>
<tr>
<th>Primary Funds Provider</th>
<th>Primary Investigator</th>
<th>Title</th>
<th>Total Amount Awarded</th>
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<td>National Blood Authority (NBA)</td>
<td>Dr Philip Crispin</td>
<td>NBA Project Grant 2020</td>
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<td>Relationships Australia Inc</td>
<td>Dr Tegan Cruwys</td>
<td>Neighbour Day Partnership 2019-2020</td>
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<td>Astronomy Australia Ltd</td>
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<td>Commonwealth Department of Foreign Affairs and Trade (DFAT)</td>
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<td>Exploring options for climate change mitigation in the Pacific</td>
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<td>Cooperativity by Design: Unlocking Metal-Metal-Ligand Cooperativity <em>(under strict embargo)</em></td>
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<td>Universities Australia</td>
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<td>Australian Academy of Science</td>
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<td>Dr Matt Thompson</td>
<td>Effect of helium bubble formation on the recrystallization and mechanical properties of tungsten</td>
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## College of Science

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<td>Universities Australia</td>
<td>A/Prof Luke Connal</td>
<td>3D-printable, colour-changing polymer colloids</td>
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