



COUNCIL

The 437th meeting of the Council will be held at 9:15 am on Friday 2 December 2016 in the R C Mills Room, Chancery. Any additional papers and briefing materials will be available in the Mills Room from 8.30 am.

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

Kate Molloy
 Director
 Corporate Governance and Risk Office

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IMPORTANT INFORMATION FOR MEMBERS

CONFIDENTIALITY

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

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

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

CONDUCT OF COUNCIL MEMBERS

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

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

Duty of Care & Diligence

A member of the Council must exercise their powers, perform their functions and discharge their duties with the degree of care and diligence that a reasonable person would exercise if they:

- were a member of the Council in the University's circumstances; and
- occupied the position held by, and had the same responsibilities within the University as, the member of the Council.

Duty to Act in Good Faith and for Proper Purpose

A member of the Council must exercise their powers, perform their functions, and discharge their duties in good faith and for a proper purpose.

Duty in Relation to Use of Position

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

Duty in Relation to Use of Information

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

Duty to Disclose Interests

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

SUBMISSION OF ITEMS BY MEMBERS OF COUNCIL

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

AGENDA ON THE INTERNET

The agenda and minutes for meetings of Council are available on the Internet at:

<http://www.anu.edu.au/about/governance/committees/council>

PART 1 – PROCEDURAL ITEMS*** 1 ANNOUNCEMENTS AND APOLOGIES**

There are no apologies for this meeting.

The Chair may speak.

*** 2 LEAVE OF ABSENCE**

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

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

*** 3 DISCLOSURE OF MATERIAL PERSONAL INTEREST**

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

*** 4 ARRANGEMENT OF AGENDA**

1. The Chair will ask whether any further items should be considered confidential.
2. The Chair will ask whether any further items should be starred for discussion.
3. The Vice-Chancellor will move that the unstarred items be dealt with as proposed in the agenda.
4. The Chair will invite members to foreshadow matters to be raised under Agenda Item 39, Other Business.
5. The Chair will ask if there are any agenda items that need to be re-sequenced.

***C5. MINUTES**

RECOMMENDATION It is recommended that Council confirm the resolution without a meeting of 15 August 2016 (764/2016) and the minutes of the meeting held on 30 September 2016 (759/2016) as correct records.
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CONFIDENTIAL

ANU COUNCIL

RESOLUTION WITHOUT A MEETING

15 AUGUST 2016

Confidential until confirmed by Council

THE AUSTRALIAN NATIONAL UNIVERSITY

COUNCIL MINUTES

CONFIDENTIAL

The 436th meeting of the Council was held at 9:15 am on Friday 30 September 2016, in the R C Mills Room, Level 4, Chancelry Building, ANU campus, Canberra.

Confidential until confirmed by Council

PART 2 – KEY BUSINESS ITEMS

***C6 - 10.** *Confidential to Council Members*

PART 3 – STRATEGIC ISSUES***11. ANU RESEARCH AND INNOVATION**

PURPOSE	To consider the issues identified in the presentation about ANU research and innovation.
PREPARED BY	Deputy Vice-Chancellor (Research)
REVIEWED BY	Vice-Chancellor
APPROVED BY	Vice-Chancellor
SPONSOR	Vice-Chancellor

RECOMMENDATION That Council consider the issues identified in the presentation about ANU research and innovation.

ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

BACKGROUND

The Deputy Vice Chancellor (Research) will make a presentation to the Council on research and innovation at ANU. The presentation will include:

- high level statistics about our performance in NHMRC relative to the sector;
- a focus on our need to diversify resources (MRFF, commercialisation, industry, philanthropy) and to improve quality of our research (citations, N&S, hics), as well as
- an articulation of the impact and translation of our research and partnering with industry/business.

ATTACHMENT

[11.1 Presentation: ANU Research and Innovation \(1254/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

PART 4 – OTHER MATTERS FOR DECISION***12. ANNUAL GOVERNANCE CONFORMANCE STATEMENT 2016**

PURPOSE	To consider the University's conformance with the governance requirements of the <i>Australian National University Act 1991, Public Governance, Performance and Accountability Act 2013, Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance, and Voluntary Code of Best Practice for the Governance of Australian Universities.</i>
PREPARED BY	Associate Director, Corporate Governance and Policy
REVIEWED BY	Director, Corporate Governance and Risk Office
APPROVED BY	Vice-Chancellor
SPONSOR	Chancellor

RECOMMENDATION	That Council, for the 2016 reporting period, confirm the University's conformance with the: <ul style="list-style-type: none"> ➤ <i>Australian National University Act 1991,</i> ➤ <i>Public Governance, Performance and Accountability Act 2013,</i> ➤ <i>Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance, and</i> ➤ <i>Voluntary Code of Best Practice for the Governance of Australian Universities.</i>
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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 three statutory mandates, those being the *Australian National University Act 1991, Public Governance, Performance and Accountability Act 2013, Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance.* In addition, Council adopted the *Voluntary Code of Best Practice for the Governance of Australian Universities* on 23 September 2011.

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 2016 review, has considered all sources of authority for governance, to provide Council with a comprehensive account of conformance with mandated governance arrangements and processes.

SUMMARY OF ISSUES

The Corporate Governance and Risk Office (CGRO) has undertaken an assessment of each individual requirements within the four source authorities for the governance arrangements and processes of the University. The full assessment of conformance runs to 44 pages and so has not been included in the Council papers. It is however available on the Council secure server (December 2016 meeting folder) for Council members to review should they wish. A summary of the analysis is presented below.

Australian National University Act 1991

Consistent with the findings and recommendations of the Walker Review 2014 the University continues to demonstrate a high standard of governance. Substantive work, led by CGRO, has seen almost all of the Walker Review recommendations implemented, thus further lifting the standard of governance in the University.

The detailed analysis by CGRO also confirms compliance with all requirements of the *Australian National University Act 1991* for the 2016 reporting period.

Public Governance, Performance and Accountability Act 2013

Since commencement of the *Public Governance, Performance and Accountability Act 2013* the University has been working to adjust relevant existing arrangements, and putting in place new arrangements, to conform to legislative requirements. The detailed analysis by CGRO also confirms that in 2016 the University has in place arrangements to respond and comply with all requirements.

The University has been liaising with the Department of Finance to ensure that the preparation of its new strategic meets the requirements under this Act for a 'corporate plan'. With the Department's agreement, the strategic plan will be submitted to the relevant Ministers and published as required in February 2017 (following consideration and approval by the Council at its 2 December 2016 meeting). Preparation of performance statements (within the Annual Report), reporting on the strategic plan, as required by the Act, will formally occur for the first time in the 2017 Annual Report (noting the University has reported on its performance in the Annual Report in other ways for many years).

Higher Education Standards Framework (Threshold Standards) 2011: Section 3 Corporate and academic governance

The detailed analysis by CGRO also confirms compliance in 2016 with all requirements of the Higher Education Standards Framework (Threshold Standards) 2011.

In addition, Council should note that the Higher Education Standards Framework (Threshold Standards) 2015 have been enacted by the Australian Government, and come into effect on 1 January 2017. These replace the current Higher Education Standards Framework (Threshold Standards) 2011. An assessment of the new threshold standards in respect of 'Governance and Accountability' indicates that the University will continue to satisfy conformance requirements.

Voluntary Code of Best Practice for the Governance of Australian Universities

In response to the Walker Review recommendations, the University has further strengthened its governance arrangements processes. There has been no diminution of governance standards since the last occasion the Council affirmed its view the University complied with the requirements of the Voluntary Code. The detailed analysis by CGRO also confirms compliance with all requirements of the Voluntary Code over the 2016 reporting period.

Council members can access the annual governance conformance statement, as a separate file, via the secure server.

ATTACHMENT

[12.1 Voluntary Code of Best Practice in University Governance \(147/2011\)](#)

COMMUNICATION

For public release For internal release Not for release

A statement confirming Council's attestation that the University conforms to the mandated and voluntary governance requirements will be included in the 2016 Annual Report.

13. ANNUAL INTERNAL AUDIT WORK PLAN 2017

PURPOSE	To approve the annual Internal Audit Work Plan for 2017.
PREPARED BY	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	Audit and Risk Management Committee

RECOMMENDATION	That Council approve the annual Internal Audit Work Plan for 2017 (832/2016).
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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 2017 Internal Audit Work Plan (IAWP) was developed by the Corporate Governance & Risk Office (CGRO) in consultation with EY. In developing the 2017 IAWP the following documents were considered:

- ANU Entity-wide Risk Management Framework;
- ANU Entity-wide Risk Profile;
- Service Improvement Heat map;
- 2016 Administrative Services Survey Report; and
- Previous audit activities, findings or issues.

Additionally, the ANU Executive and Service Division Directors were consulted to seek their advice on potential audit topics and areas of focus.

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. Proposed internal audit topics include:

Internal Audit Topic	Timeframes
Student Life (Career and Employment Support Services)	Q1
Electronic Records Management System	Q1
Alumni Relations	Q2
Governance of Building Projects	Q2
Performance Management	Q3
NHMRC/ARC Grants	Q3
Budget modelling	Q4

ATTACHMENT

[13.1 2017 Internal Audit Work Plan \(832/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

14. CAP/CASS GOVERNANCE PROJECT – PROGRESS REPORT, NOVEMBER 2016

PURPOSE	To update Council on progress to date for the <i>CAP CASS Governance Project</i> .
PREPARED BY	Professor Michael Wesley, Dean, ANU College of Asia and the Pacific Professor Paul Pickering, Interim Dean, ANU College of Arts and Social Science
REVIEWED BY	Vice-Chancellor
APPROVED BY	Vice-Chancellor
SPONSOR	Vice-Chancellor

RECOMMENDATION	That Council consider the report and supporting materials from the <i>CAP CASS Governance Project</i> .
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ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

BACKGROUND

This report provides an overview of the progress between July and November 2016 for the *CAP CASS Governance Project* (the project), as formally requested by University Council in December 2015.

The project seeks to secure the pre-eminence of the ANU College of Asia and the Pacific and the ANU College of Arts & Social Sciences nationally and internationally, and position them to overcome the resourcing challenges facing HASS disciplines. It also aims to foster a uniformly excellent and supportive student experience in both Colleges, and to reaffirm the ANU as a leader in HASS education and training.

To achieve this, priority areas have been identified by the Deans and senior leadership which have been mapped out across a multi-year project plan. Throughout the first year (2016), the project has concentrated on three key areas for build out:

1. **Curriculum design and planning:** coordinated analysis of curriculum across shared disciplines and undergraduate student programs;
2. **The student experience and student services delivery:** engagement with student groups; development and delivery of key student-focused events/activities; analysis of student service processes and mechanisms
3. **Staff engagement:** development of a program of both academic and professional staff interactions that build on existing collaborations.

Work completed since last report (July - November 2016)

1. **Curriculum design and planning**
 - i. Recommendation reports - Joint Discipline Advisory Group analysis of courses and programs in **Archaeology, Politics and International Relations, History and Languages**

- ii. Establishment of shared curriculum design and planning principles
2. **The student experience and student services delivery**
- i. Delivery of joint 2017 Undergraduate Guide
 - ii. ANU Open Day (August 27): full integration of CAP CASS information and staffing
 - iii. Joint Student Services Working Party: review of shared approach to the delivery of student services; developed and implemented processes review and knowledge sharing program;
 - iv. Development of a student engagement plan with ANUSA to facilitate the integration of student feedback into the project and to determine the key issues for students and what changes are student priorities
3. **Staff engagement**
- i. Delivery of joint professional staff best practice workshops and joint training initiatives;
 - ii. Establishment of 'Future Leaders' series for academic staff.

The July-December milestones are outlined below in Attachment 14.3, *Figure 1*. Additional detail for each work item can be found in Attachment 14.1.

2017 project milestones and constraints

This is a multi-year project with a large and varied group of stakeholders and activities. Attachment 14.4, *Figure 2*, outlines the 2017 project milestones, which includes the commencement of new work items.

The development and implementation of feedback mechanisms throughout 2017 will enable the project to establish and measure progress against key performance indicators. These results will form part of the ongoing reporting commitments for the duration of the project.

2018 is projected as a key milestone because that would be the effective date for significant changes to programs and courses to take effect after passing through the university approvals process.

RISK MANAGEMENT

Since the last report there have been a number of changes to key senior personnel across the two Colleges; two new General Managers, a new CAP Associate Dean (Education), two new Associate Deans (HDR), a new CAP Associate Dean (Students) and a new CAP Dean. In July 2017 there will be a new CASS Dean commencing. While the transition phase associated with these staff movements have slowed the progress in some areas, the project has maintained sufficient momentum to ensure that key aspects were delivered with minimal disruption.

Ongoing risks are outlined in Attachment 14.2.

ATTACHMENTS

[14.1 CAP CASS Governance Project – Progress Report to Council - Nov 2016 \(1231/2016\).](#)

[14.2 CAP CASS Governance Project - Risk Management Framework \(1232/2016\).](#)

[14.3 Figure 1 July -- December 2016 milestones \(1233/2016\).](#)

[14.4 Figure 2 2017 milestones \(1234/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

15. AMENDMENT OF POSTGRADUATE AND RESEARCH STUDENTS ASSOCIATION INCORPORATED CONSTITUTION

PURPOSE	To consider changes to the Postgraduate and Research Students' Association (PARSA) Constitution, as approved by the PARSA Ordinary General Meeting on 2 November 2016.
PREPARED BY	President, Postgraduate and Research Students' Association (PARSA)
REVIEWED BY	Associate Director, Corporate Governance and Policy
APPROVED BY	Deputy Vice-Chancellor (Academic)
SPONSOR	Vice-Chancellor

RECOMMENDATION	That Council: <ol style="list-style-type: none"> approve the changes to the Postgraduate and Research Students' Association Constitution, as approved by the PARSA Ordinary General Meeting held on 2 November 2016; and note the proposed amendments to the Election Regulations of the Postgraduate and Research Students' Association.
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ACTION REQUIRED

- For discussion
 For decision
 For information

CONSULTATION

- Staff
 Students
 Alumni
 Government
 Other
 Not applicable

BACKGROUND

As per section 33 of the PARSA Constitution all constitutional amendments must be ratified by the University Council.

Three sections of the PARSA constitution were changed at the PARSA Ordinary General Meeting on 2 November 2016, all of which related to altering the Constitution to bring it in line with the 2014 Walker Review and the Council (Elections) Statute 2016.

Aside from substantive changes that related to the Walker Review and Elections Statute, which separates the PARSA President as the Council member, there was some minor formatting changes within the relevant sections, in order to account for the changes being made.

The proposed changes to the PARSA Constitution have been developed with the ANU Corporate Governance and Risk Office and with the assistance of PARSA's Principal Lawyer and PARSA's General Secretary. The changes passed by the PARSA Ordinary General Meeting on 2 November 2016 were the same substantive changes put to the PARSA membership in PARSA's Annual General Meeting in May, which were not approved by the PARSA membership at the time.

SUMMARY OF ISSUES

Student Members of Council

Following the recommendations of the 2014 Walker Review and subsequent endorsement from Council, PARSA has passed changes to discontinue the practice of automatically having the PARSA President as a member of the ANU Council.

To give effect to this, the ANU Council has enacted a new legislative instrument, the *Council (Elections) Statute 2016*. This Statute will be supported by related legislative instruments, namely, the *Council (Elections) Rule 2016* and the *Council (Elections) Order 2016*. Copies of these instruments can be found at: <http://www.anu.edu.au/about/governance/legislation>.

The following will be key features of the new arrangements:

- The new arrangements will come into practical effect for the 2017 elections of PARSA.
- The President of PARSA for 2016/17 will not be affected by this change in arrangements, and will serve as Council member for the balance of her term. However, from 1 January 2017, should a casual vacancy occur, a bi-election will be required.
- PARSA has been empowered under the Statute to conduct the election of the postgraduate student member of the Council each year
- These elections are to occur at the same time as the annual elections held by PARSA for their own office-bearers
- As long as they are elected separately to the Council positions, there is nothing to stop the students electing the PARSA President to the Council. Equally, the students may elect a different student to the Council if that is their collective will.

Attachment 15.1 outlines the proposed changes to the constitution. Attachment 15.2 provides, for information only, the election regulations that PARSA intends to put in place to support their constitution. Council is only required to approve the constitutional amendments, not the election regulations. The Corporate Governance and Risk Office has been working with PARSA to ensure their election regulations meet the requirements of the *Council (Elections) Statute 2016*.

ATTACHMENTS

[15.1 Proposed amendments to PARSA constitution \(1258/2016\).](#)

[15.2 Proposed amendments to PARSA election regulations \(1259/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

PARSA will be notified of the decision by Council and will be advised that they may communicate the decision to their membership.

16. REGULATORY INSTITUTIONS NETWORK - CHANGE OF SCHOOL NAME

PURPOSE	To change the name of the Regulatory Institutions Network to the School of Regulation and Global Governance
PREPARED BY	Professor Michael Wesley, Dean, ANU College of Asia and the Pacific
REVIEWED BY	Professor Sharon Friel, Director, Regulatory Institutions Network
APPROVED BY	Professor Michael Wesley, Dean, ANU College of Asia and the Pacific
SPONSOR	Vice-Chancellor

RECOMMENDATION That Council approve the renaming of the Regulatory Institutions Network to the School of Regulation and Global Governance, with effect from 2 December 2016.

ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

All staff and HDR students in the Regulatory Institutions Network were consulted about the proposed name change. The change was endorsed by the School Governance Group, the College Executive Committee and the Dean of CAP. Following discussion and endorsement by the ANU Executive, the Vice-Chancellor has endorsed the name change, for Council's consideration and approval.

BACKGROUND

As part of the review of university's organizational chart and its *Centres and Institutes Policy*, the Deputy Vice-Chancellor (Research) suggested that the College of Asia and the Pacific (CAP) consider re-naming the Regulatory Institutions Network, which is one of the four Schools and Centres that make up CAP. Colleagues within RegNet and the College considered this advice and agreed with it.

ISSUE

The 'Regulatory Institutions Network' does not convey the organizational status of a School, the prestige that this research-intensive School commands within and outside ANU, or the breadth of the School's current intellectual mission. Like many units within ANU, the Regulatory Institutions Network is informally known by its acronym – 'RegNet' (usage consistent with the other informal 'brands' at ANU including CIW, SDSC, SSGM, APCD and NCEPH).

Having a School name that better represents the School's scope and expertise is particularly important in a competitive funding environment, where attracting new national and international partners is vital for research and education opportunities.

REQUEST & RATIONALE

Accordingly, the Regulatory Institutions Network seeks Council's approval to change its name to the School of Regulation and Global Governance. We would like to continue using RegNet as the informal name.

In the view of the School and the College, the proposed name better encapsulates the work that the School is now undertaking in five thematic clusters: (1) Climate, Energy and the Environment; (2)

Human rights; (3) Law and Justice; (4) Society, Safety and Health; and (5) Trade, Investment and Intellectual Property.

Much of our work focuses on the global and how this interfaces with what happens at the national level. All senior and mid-level staff work with the formal UN system - the Security Council, ECOSOC, UN Standing Committee on Nutrition, WHO, WTO, WIPO, UNHABITAT, UNDP and more. The School also works closely with the wider global governance non-state actors including big international NGOs and the private sector, particularly in areas of investment, rule of law, peace building and global health. Much of our work asks questions of how the global governance architecture, decision making processes and resulting policies and actions interact and affect nation states sovereignty and policy space in a whole variety of policy and regulatory areas.

The School believes that this focus on the global sets us and the ANU apart from many other universities both in Australia and internationally. A name that messages that global work will help us win grants, and builds on a reputation and brand already known externally (not based on the name since this is new, but on the scope of work that is externally recognized and applauded).

PROCEDURAL HISTORY

The Regulatory Institutions Network (RegNet) was established in 2001 as a Tier 4 unit, following a successful competitive bid for funding from the ANU Institute Planning Committee to establish a high-performing, research intensive University Centre. Over the next 15 years RegNet delivered and expanded on this mandate, growing to host two ARC Federation Fellowships, an ARC Centre of Excellence, and an ARC Laureate project and five interdisciplinary thematic clusters.

RegNet became a foundational School for CAP when the College was formed in 2010, incorporating the Australia Pacific College of Diplomacy (APCD) to form the School of Regulation, Justice and Diplomacy. When APCD relocated to the (now) Coral Bell School of Asia Pacific Affairs in 2013-14 the School reverted to the name Regulatory Institutions Network (RegNet).

Note that the Business Case accompanying this brief to Council requested a name change to 'RegNet: School of Regulation and Global Governance'. That formulation was rejected by the university executive; the university executive and Vice Chancellor concurred in support of 'School of Regulation and Global Governance', with (RegNet) as the informal acronym.

SUMMARY OF ISSUES

No significant risks or negative consequences from the proposed move or change of name have been identified.

All relevant stakeholders endorse the proposed name change.

ATTACHMENT

[16.1 Business Case – RegNet renaming plan 2015 \(786/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

The following text is proposed to be included in the "Council News" update released to staff and students through the On Campus e-newsletter and the Council website:

Renaming of Regulatory Institutions Network

Council has approved the renaming of the Regulatory Institutions Network to the School of Regulation and Global Governance. The School of Regulation and Global Governance is a small, research-intensive interdisciplinary School within the College of Asia and the Pacific. The proposed name change will enhance the School's capacity for national and international engagement make clearer its status as a School within the University's unit structure.

PART 5 – OTHER MATTERS FOR NOTING***17. COUNCIL AND COUNCIL COMMITTEE MEMBERS - SKILLS MATRIX**

PURPOSE	To inform Council about the range of available skills, experience and networks of members of Council and Council Committees, as provided in the accompanying skills matrix.
PREPARED BY	Associate Director, Corporate Governance and Policy
REVIEWED BY	Director, Corporate Governance and Risk Office
APPROVED BY	Chancellor
SPONSOR	Chancellor

RECOMMENDATION	That Council: <ol style="list-style-type: none"> 1. Endorse the updated ANU Council and Council Committee Skills Matrix; 2. Note that the skills matrix will inform Council and Council Committee succession planning and will continue to be updated annually, or as, and when, new appointments are made; and 3. Consider identified gaps and advise the Nominations Committee, as appropriate, when determining priorities for future Council membership.
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ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

All members of Council and Council Committees were provided with a copy of the draft update to ANU Council and Council Committee Skills Matrix and were for feedback by 7 November 2016. The accompanying matrix reflects the feedback provided by members.

BACKGROUND

In 2014, the Walker Review of the Australian National University Act 1991 and Governance Arrangements recommended:

Recommendation 14

It is recommended that the Nominations Committee should develop a 'skills register' to ensure that the members of Council, collectively, meet the needs of a skills-based board. (Finding 4)

The Corporate Governance and Risk Office developed a framework for the skills register, which was approved by Council at its 4 December 2015 meeting. To update the skills register, the Corporate Governance and Risk Office have again undertaken an initial assessment of the skill sets of all members of Council and Council Committees, which has then been supplemented with feedback from members of Council and Council Committees.

Council should note that Ms Robin Hughes will conclude her term on 30 June 2017, after 13 years' service. In February 2017, the Nominations Committee will need to nominate a replacement for Ms Hughes, to the Minister. Council members may wish to offer their views on either the attributes of the nominee or the name of a possible nominee to the Chancellor.

The members of the Nominations Committee are:

- Chancellor
- Pro-Chancellor
- Vice-Chancellor
- Professor Carmen Lawrence
- Ms Hilary McPhee
- Ms Julie Steiner
- Professor Kieran Kirk

SUMMARY OF ISSUES

The ANU Act requires that:

- there is a balance of skills, expertise and gender among members of the Council;
- at least two of the members appointed by the Minister must have a high level of relevant financial expertise; and
- at least one member appointed by the Minister must have a high level of relevant commercial expertise.

The Council has also identified the following key attributes:

- people who are regarded as fit and proper persons;
- people who have an appreciation of the values of the University, its core activities of teaching and research, its exercise of independence and academic freedom, and the capacity to appreciate what the University's external community needs from it;
- a balance of members who reside amongst the States and Territories of Australia; and
- the need for the Council membership to include indigenous Australians.

Some key features and skills gaps in the membership which Council may wish to note or deliberate on:

- Council maintains high levels of relevant financial and commercial expertise (currently provided by Naomi Flutter, Graeme Samuel, Doug McTaggart and Peter Yu.
- The gender balance of the Council is now 53% female/ 47% male.
- The Council now has members drawn from New South Wales, Victoria, South Australia, Queensland, Western Australia and the Australian Capital Territory.
- One Council or Committee member identifies as being an indigenous Australian.
- The limited number of Council or Committee members with relevant philanthropic networks.
- The absence of experience in campus/urban planning, estate management, or a related field.

ATTACHMENT

[17.1 ANU Council and Council Committee Skills Matrix \(1229/2016\).](#)

COMMUNICATION

- For public release For internal release Not for release

18. FINANCE COMMITTEE REPORT ON 2016 PERFORMANCE

PURPOSE	To brief the Council on the results of the 2016 Finance Committee self-assessment of its 2016 performance.
PREPARED BY	Manager, Audit and Risk
REVIEWED BY	Director, Corporate Governance and Risk Office
APPROVED BY	Director, Corporate Governance and Risk Office
SPONSOR	Chair, Finance Committee

RECOMMENDATION That Council note the results of the 2016 Finance Committee self-assessment of its 2016 performance.

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

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 to provide the opportunity for evaluation of the Committee's performance.

Respondents provided the following positive feedback:

- The Committee and University Management have worked together effectively to provide financial diligence and expert stewardship of the University's financial affairs in many complex areas;
- University Management has been exemplary in provision of information and working with the Committee for better outcomes;
- The quality of papers have been excellent, provided on a timely basis and enable a high level of analysis and discussion;
- The Committee has a well-balanced membership, willing to raise matters and engage in open and robust discussion.

Respondents noted improvement opportunities in the areas outlined below:

- Increase the visibility of, and feedback to, members in respect of Council's adoption of the Committee's recommendations and other decisions by Council that may be relevant to the Committee;
- Incorporate a dashboard report in the agenda papers (similar to ARMC's Responsibilities and Scheduled Program) that tracks the Committee's Charter against its performance to serve as a reminder of aspects that might have been overlooked;

- Address governance and delegations around the University's investment functions.

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

ATTACHMENT

[18.1 2016 Finance Committee Report on 2016 Performance - Self-Assessment Survey Results \(1255/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

19. AUDIT AND RISK MANAGEMENT COMMITTEE REPORT ON 2016 PERFORMANCE

PURPOSE	To brief the Council on the results of the 2016 ARMC self-assessment of its 2016 performance.
PREPARED BY	Auditor, Corporate Governance & Risk
REVIEWED BY	Manager, Audit & Risk, Corporate Governance & Risk
APPROVED BY	Director, Corporate Governance & Risk
SPONSOR	Chair, Audit & Risk Management Committee

RECOMMENDATION	That the Council note the results of the ARMC self-assessment of its 2016 performance.
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ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

Members of the Audit & Risk Management Committee were invited to complete a survey to assess the Committee's performance for 2016.

COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION

Finance Audit & Risk Management Campus Planning Remuneration
 Major Projects Honorary Degrees Nominations Academic Board

BACKGROUND

Clause 33 of the ANU Audit & Risk Management Committee (ARMC) Charter requires that the ARMC conducts a review of its performance on a self-assessment basis each year.

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

Respondents commended the excellent service from CGRO in preparing the agenda and ARMC meetings.

The respondents noted improvement opportunities in the areas outlined below:

- Further development and coverage of the University's risk management environment, noting the work undertaken in 2016 and planned for future years.
- The need for a formal standing agenda item on risk management, including emerging risks and the financial risk matters considered by the Finance Committee.
- Further focus on the University's performance reporting obligations.
- Increased visibility on communication to/from Council in respect of ARMC recommendations and other resolutions.
- Better awareness and understanding of the University-wide internal controls to mitigate risk.
- Stronger engagement with key University stakeholders who are subject to audit through attendance at ARMC meetings.

- Timing issues with respect to the ANAO's audit reporting as the ARMC often receives the audit report on the interim audit process at the same meeting where they are endorsing the completed financial statements to the Council for signing. The closing audit report, as a draft, should be available to the ARMC before the meeting where it is to be endorsed.
- Implications of revised or new accounting standards.

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

ATTACHMENT

[19.1 2016 ARMC Report on 2016 Performance - Self-Assessment Survey Results \(1241/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

***20. 2016 WORLD UNIVERSITY RANKINGS**

PURPOSE	To provide an overview of the world rankings results for 2016.
PREPARED BY	Deputy Director Planning & Performance Management
REVIEWED BY	Deputy Vice-Chancellor (Research)
APPROVED BY	Deputy Vice-Chancellor (Research)
SPONSOR	Vice-Chancellor

RECOMMENDATION That Council note the outcomes in the World University Rankings report for 2016.

ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

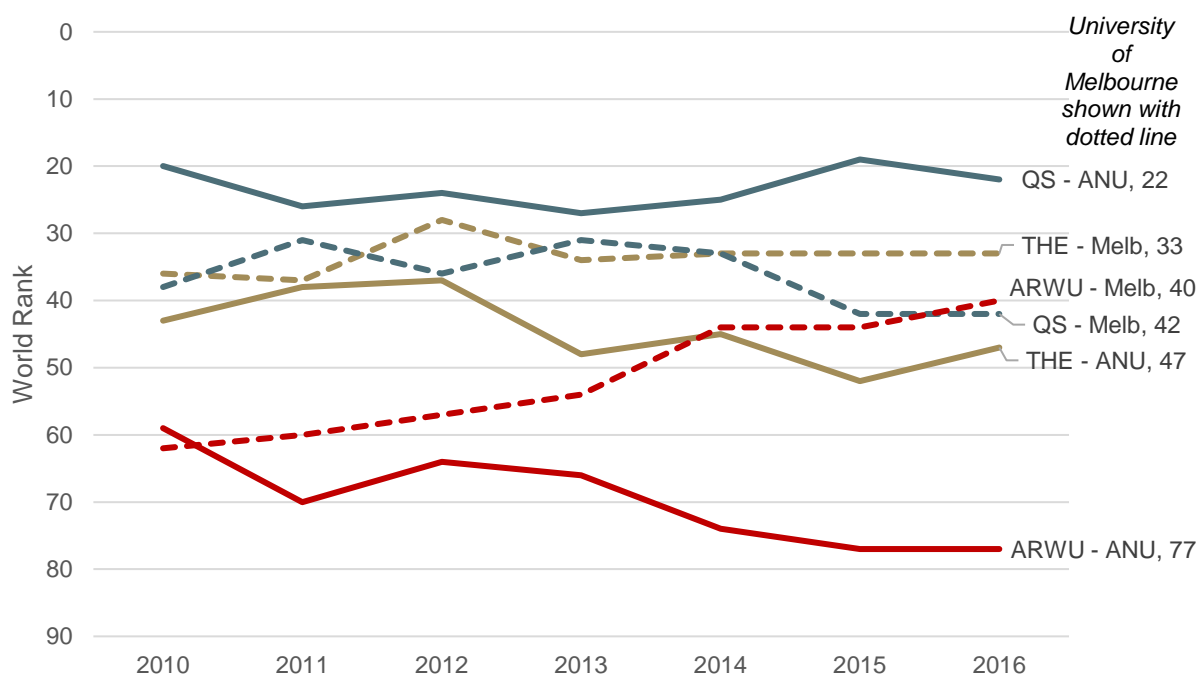
BACKGROUND AND SUMMARY OF ISSUES

Ranking position is vital to attracting the top students (and staff) across the world. ANU performance across the three main world university rankings is as follows:

- QS ranking fell 3 places to 22 in the world; 1st in Australia, ahead of Melbourne (42)
- Times Higher Education (THE) ranking improved five places to 47; 2nd in Australia behind Melbourne (33)
- Academic Ranking of World Universities (ARWU) maintained position at 77; declining to 3rd in Australia, behind Melbourne (40) and UQ (55).

TREND DATA SNAPSHOT

Comparison of QS, THE and ARWU rankings for 2010-2016 for ANU and University of Melbourne.



Full data and analysis on each ranking agency is included in Attachment 20.1, Appendices A-C, below.

IMPLICATIONS FOR ANU

There are three types of measures used by ranking agencies:

- **Reputational surveys** - ANU performs very well in reputation surveys, which are used extensively by QS and Times Higher Education.
- **Objective external data such as citations and publications** – citation performance has generally fallen for ANU, although this varies by discipline. Papers in high-impact journals (Nature and Science) have fallen.
- **Data requested from each institution, such as staff and student numbers** – this has been optimised with positive results in the relevant criteria, any further optimisation will likely have minimal impact.

While ANU has an excellent international reputation based on research excellence across a number of fields, the data shows that where previously the University's research performance was far ahead of other Australian universities, competitors such as University of Melbourne, University of Queensland have improved at a greater rate than ANU.

There are few short-cuts to improving citation metrics and increasing top-tier journal publications, metrics that are within our control and are indicators of high quality research in many disciplines. Sector data, in particular highly cited researchers at other Universities who have increased in this metric, indicates that these researchers have all been at those Universities for many years. Further changes to the ARWU ranking methodology in 2016 will negatively impact the ANU ranking.

It is essential that ANU pursues an aggressive hiring strategy of early and mid-career researchers, and invests in them for the long term. The introduction of the new performance development framework, including reference to individual staff member research performance details, is also a critical tool in setting expectations for Schools and Colleges to set threshold targets and reward and incentivise staff in disciplines where citation metrics are important. It is important to note, however, that peer-reviewed disciplines and much of our research in public policy, engagement with industry and business, and in the national interest, will have no impact on our performance in world rankings.

SUBJECT RANKINGS

In addition to the university ranking, QS, THE, and ARWU break down rankings at a subject level, but using different measures to the overall world rankings.

In QS subject rankings, ANU is ranked in the top 20 in the world in 12 disciplines of a possible 31 (excludes disciplines where research is not normally undertaken at ANU such as education and dentistry):

Top 20		Top 50		>50	
Anthropology	7	Mathematics	21	Physics & Astronomy	55
Development Studies	8	English Language & Literature	22	Engineering - Mechanical	63
Archaeology (new)	8	Environmental Sciences	24	Art and design	67
Politics & International Studies	8	Modern Languages	26	Medicine	86
Agriculture & Forestry	11	Accounting & Finance	28	Chemistry	92
Earth & Marine Sciences	12	Psychology	29	Materials Science	98
History	12	Statistics & Operational Research	30		
Social Policy and Administration	14	Economics & Econometrics	30		
Law and Legal Studies	15	Computer Science & Info Systems	31		
Sociology	16	Linguistics	32		
Geography	17	Biological Sciences	36		
Philosophy	20	Engineering - Electrical	42		
		Business & Mgt studies	45		

In THE subject rankings, ANU was ranked first nationally in Arts and Humanities, Business and Economics, Life Sciences and Computer Science. Engineering and Technology has fallen out of the rankings from its 90 position last year and Clinical, Pre-clinical & Health is in for the first time since the subject rankings inception in 2011, placing 86 in the world and equal 6 nationally with UWA. Arts & Humanities and Physical Sciences both improved their position, up 18 and 13 places respectively, with a change in the methodology to include books and book chapters, which has had a positive impact on our Arts & Humanities result.

ATTACHMENT

[20.1 Appendices A-C – Detailed Analysis of QS, Times Higher Education and AWRU world rankings \(1238/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

***C21 - 29.** *Confidential to Council Members*

30. ACADEMIC BOARD REPORT

PURPOSE To note the report from the meeting of Academic Board held on 4 October 2016.

AUTHOR Chair, Academic Board

SPONSOR Vice-Chancellor

RECOMMENDATION That Council note the report from the meeting of Academic Board held on 4 October 2016 (559/2016).

ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

ATTACHMENT

[30.1 Academic Board report 5/2016, 4 October 2016 \(559/2016\)](#)

COMMUNICATION

For public release For internal release Not for release

31. POWER OF ATTORNEY

PURPOSE	To note a list of documents signed under Power of Attorney by the Investment Manager, and Acting Investment Managers, between 8 September 2016 and 7 November 2016.
PREPARED BY	Investment Manager
REVIEWED BY	Chief Financial Officer
APPROVED BY	Chief Financial Officer
SPONSOR	Vice-Chancellor

RECOMMENDATION	That Council note the list of transactions over which the Investment Manager, and Acting Investment Managers, exercised Power of Attorney between 8 September 2016 and 7 November 2016.
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ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

BACKGROUND AND SUMMARY OF ISSUES

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

Attachment 31.1 provides the list of transactions signed under Power of Attorney by the Investment Manager, between 8 September 2016 and 7 November 2016.

ATTACHMENT

[31.1 List of transactions signed under Power of Attorney between 8 September 2016 and 7 November 2016 \(1228/2016\)](#)

COMMUNICATION

For public release For internal release Not for release

32. UNIVERSITY SEAL REPORT**PURPOSE** To inform Council of the uses of the University Seal.**PREPARED BY** Director, Office of the Vice-Chancellor**SPONSOR** Vice-Chancellor**RECOMMENDATION** That Council note the documents to which the University Seal has been affixed since the meeting of Council held on 30 September 2016.**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.

A list of documents to which the University Seal has been affixed since the meeting of Council held on 30 September 2016 is as follows:

4 October 2016	Deed of Indemnity and Access – Catherine Waldby, Council member
4 October 2016	Deed of Indemnity and Access – Peter Yu, Council member
4 October 2016	Deed of Indemnity and Access – Alyssa Shaw, Council member
5 October 2016	Agreement to Establish Sino-Foreign Cooperative Educational Institution at Shandong University between the ANU and Shandong University
7 November 2016	Deed of Indemnity and Access – James Connolly, Council member

COMMUNICATIONFor public release For internal release Not for release

33. SIGNIFICANT VISITS AND EVENTS, GRANTS AND CONSULTANCIES

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

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

REVIEWED BY Vice-Chancellor

APPROVED BY Vice-Chancellor

SPONSOR Vice-Chancellor

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

ACTION REQUIRED

For discussion For decision For information

ATTACHMENT

[33.1 Report of significant visits and events, grants and consultancies \(1236/2016\)](#)

34. LEGISLATION – NATIONAL CENTRE FOR INDIGENOUS GENOMICS STATUTE 2016

PURPOSE	To provide background in relation to, and in support for the making of, the <i>National Centre for Indigenous Genomics Statute 2016</i>
PREPARED BY	University General Counsel
REVIEWED BY	Deputy Vice-Chancellor (Research)
APPROVED BY	Deputy Vice-Chancellor (Research)
SPONSOR	Vice-Chancellor

RECOMMENDATION That Council make the *National Centre for Indigenous Genomics Statute 2016* under section 50 of the *Australian National University Act 1991* (834/2016).

ACTION REQUIRED

For discussion For decision For information

CONSULTATION

Staff Students Alumni Government Other Not applicable

The current Governance Board of the National Centre for Indigenous Genomics has been consulted, expressing the overwhelming view that it would prefer to remain within the University; relying on the expertise and resources of the University to house and maintain the Collection; while formalising its governance as an independent, Indigenous-majority statutory Board.

COUNCIL COMMITTEE / ACADEMIC BOARD CONSIDERATION

Finance Audit & Risk Management Campus Planning Remuneration
 Major Projects Honorary Degrees Nominations Academic Board

BACKGROUND***National Centre for Indigenous Genomics (NCIG)***

NCIG currently holds a substantial repository of biological samples collected for research purposes in the second half of the 20th century from approximately 7,000 people in 43 Indigenous communities across northern and western Australia (the Collection).

The Collection includes documentation detailing genealogies from those who gave blood. It is envisaged that the Collection will grow over time, if it is embraced by contemporary Indigenous people and researchers.

Governance of the NCIG

NCIG is presently governed by an Indigenous-majority Governance Board and receives advice from a Research Advisory Committee and a Collection Access Committee. The Governance Board is chaired by Mick Gooda and the current membership comprises five external members, and three ANU members (Director National Centre for Indigenous Studies, Centre Director, Deputy Vice-Chancellor Research). NCIG is hosted within the John Curtin School of Medical Research (JCSMR), although without formal governance rights.

The Governance Board would like to see a greater formality in relation to its agreed role, as the custodian of the Collection, to ensure that decisions regarding the use of the collection are made by the Indigenous-majority Board, with the Director of the NCIG and its employees being bound by the

usual policies and employment arrangements of the University. The current governance structure is effectively as an Advisory Board, with decisions made by the Board regarding the collection able to be over-turned, or not accepted by, staff within ANU holding the relevant delegations including the College Dean and the Director JCSMR.

SUMMARY OF ISSUES

The purpose of the Statute is to create a type of statutory Board, providing its majority-Indigenous membership with the greatest assurance that the University is able to provide, that the custodianship of the Collection will be maintained by that Board. Hence, the Statute contains a direct delegation, from Council to the Board, of custodianship of the Collection.

The University has explained to the Board members that a delegation of this kind can ultimately only be overridden by the Council passing another Statute, and that it could not be overridden by the Commonwealth, unless it passed an Act to quash or vary the Statute. In that sense, the University is providing the statutory Board with the strongest form of independence that it can in the context of the governance of the University as a whole.

The Statute also formally establishes the National Centre for Indigenous Genomics; creates a position of Director of the Centre (who will be an ANU staff member); and, establishes the statutory Board. The latter's primary function is to be the custodian of the Collection.

Detailed provision is made for the appointment of Board members, the Chair and Deputy Chair, conflicts of interest, and termination of appointments. The Director, who supports the Board, will operate under the oversight of the Deputy Vice-Chancellor (Research) who will work with the Director and the Board to ensure an appropriate level of resources, support and infrastructure for the functions of the Centre and the Board.

Accountability of the Board is also assured by requirements of annual reports and operational plans to be provided to the Vice-Chancellor, with annual reports also being presented to Council.

ATTACHMENT

[34.1 Proposed National Centre for Indigenous Genomics Statute 2016 \(834/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

The new legislation has been published on the [ANU legislation webpage](#) and the [Federal Legislation website](#)

C35. *Confidential to Council Members*

36. INTERNAL AUDIT EXECUTIVE SUMMARY – ANNUAL GIVING PROGRAM

PURPOSE	To present to the Council the executive summary of the Annual Giving Program internal audit report, together with management's response to the audit findings.
PREPARED BY	Auditor, Corporate Governance & Risk
REVIEWED BY	Manager, Audit & Risk, Corporate Governance & Risk
APPROVED BY	Director, Corporate Governance & Risk
SPONSOR	Audit & Risk Management Committee

RECOMMENDATION	That the Council note the executive summary of the Annual Giving Program internal audit report and management's response to the audit findings.
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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

At its meeting on 15 November 2016, the Audit and Risk Management Committee recommended that a summary of the findings and recommendations from the internal audit of the annual giving program be presented to the December meeting of Council, in recognition of the strategic importance of the Advancement program of work being implemented by Alumni Relations and Philanthropy.

BACKGROUND

An internal audit of the Annual Giving Program was recently completed through a co-sourced arrangement between the Corporate Governance & Risk Office (CGRO) and Ernst & Young (EY). The objective of this internal audit was to review the Annual Giving Program ('the Program') in terms of:

- The governance arrangements and oversight of the Program.
- The level of interdependency between the Program's processes with other portfolios within Alumni Relations and Philanthropy, Colleges and other Service Divisions, namely, the Marketing Office, Strategic Communications and Public Affairs (SCAPA) and Information Technology Services (ITS). Attachment 36.3 outlines the Program's interdependencies.
- The adequacy of business processes in place to support the Program and any improvement opportunities to enable the program to meet its five broad strategic goals for 2016.
- Assessment of the performance of the Program against the targets outlined in the ARP's 2015 Annual Giving Strategy as well as an evaluation of associated cost of funds raised.
- Comparison of the Program externally against other Go8 Universities in respect of overall outputs of the Program.

SUMMARY OF ISSUES

The internal audit identified 2 high findings and 1 moderate finding summarised below:

- There is currently no long term strategic plan for the Annual Giving Program and planning is conducted internally within Alumni Relations & Philanthropy (ARP) on an annual basis.
- There is no oversight or visibility of all alumni initiatives across the ANU, presenting a risk in respect of inconsistent messaging, wastage through duplication of events, or potential disengagement of alumni through overexposure.
- Internal audit identified issues in respect of resourcing and data limitations (the Program being unable to analyse and segment alumni data in a manner to allow for enhanced alumni targeting or to implement a University wide Staff Giving Program, and unable to report on Program outcomes in an effective and efficient manner).

The report proposed 7 recommendations for implementation by management. Attachment 36.1 provides an executive summary of the audit findings and recommendations. Management comments have been provided at Attachment 36.2.

ATTACHMENTS

[36.1 Executive summary of the Annual Giving Program internal audit report \(1262/2016\).](#)

[36.2 Annual Giving Program - Management comments \(1263/2016\).](#)

[36.3 Mapping of Annual Giving Program interdependencies \(1264/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

37. INTERNAL AUDIT EXECUTIVE SUMMARY – LEARNING AND DEVELOPMENT FOR ACADEMIC STAFF

PURPOSE	To present to the Council the executive summary of the Learning & Development for Academic Staff internal audit report, together with management's response to the audit findings.
PREPARED BY	Auditor, Corporate Governance & Risk
REVIEWED BY	Manager, Audit & Risk, Corporate Governance & Risk
APPROVED BY	Director, Corporate Governance & Risk
SPONSOR	Audit & Risk Management Committee

RECOMMENDATION	That the Council note the executive summary of the Learning & Development for Academic Staff internal audit report, together with management's response to the audit findings.
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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

At its meeting on 15 November 2016, the Audit and Risk Management Committee recommended that a summary of the findings and recommendations from the internal audit of the University's learning and development offerings for academic staff, be presented to the December meeting of Council, in recognition of the strategic importance being placed on initiatives to build a culture of academic excellence at ANU.

BACKGROUND

An internal audit of the Learning and Development for Academic Staff was recently completed through a co-sourced arrangement between the Corporate Governance & Risk Office (CGRO) and Ernst & Young (EY). The objective of this internal audit was to evaluate whether learning and development programs for academics were meeting the needs of academic staff and the University. This included the evaluation of:

- Learning and development programs offered to ANU academic staff from all areas of the University;
- Policies, procedures and processes that supported the development and retention of academics including the adequacy of supervision and mentoring;
- Systems, technology and reporting frameworks specific to learning and development programs; and
- The service delivery model in relation to learning and development programs that support academic staff.

SUMMARY OF ISSUES

The internal audit identified 4 moderate findings summarised below:

- Absence of a strategic focus on the contribution learning and development makes to meeting the careers needs of academics and achieving the objectives articulated in *ANU by 2020*.
- Little or no motivation in many areas of the University for a change in approach to learning and development despite acknowledging that academic staff teach skills were variable and improvements were needed.
- No coherent narrative around what constitutes foundation academic knowledge and skills that are aligned an academic career path or career stage.
- Academic staff attendance to learning and development courses offered by the University appears to be driven from the need to improve skills in their research subject area rather from a need to focus on improving teaching skills, passing on knowledge, or professional and personal development.

The report proposed 12 recommendations for implementation by management. Attachment 37.1 provides an executive summary of the audit findings and recommendations. Management comments have been provided at attachment 37.2.

ATTACHMENTS

[37.1 Executive summary of the Learning and Development for academic staff internal audit report \(1265/2016\).](#)

[37.2 Learning and Development for Academic Staff - Management comments \(1266/2016\).](#)

COMMUNICATION

For public release For internal release Not for release

PART 6 – OTHER BUSINESS

***38. QUESTION TIME**

PURPOSE For Council members to ask questions.

SPONSOR Chancellor

RECOMMENDATION That Council note any matters raised in question time.

ACTION REQUIRED

For discussion

For decision

For information

***39. OTHER BUSINESS**

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

SPONSOR Chancellor

RECOMMENDATION That the Council consider any other business raised.

ACTION REQUIRED

For discussion

For decision

For information

40. NEXT MEETING

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

SPONSOR Chancellor

RECOMMENDATION That it be noted that the next business meeting of Council and Council's planning day will be held over Thursday 16 and Friday 17 February 2017, at ANU House, Melbourne.

ACTION REQUIRED

For discussion

For decision

For information

ATTACHMENTS

ANU Research & Innovation

University Council
2 December 2016

Margaret Harding
Deputy Vice-Chancellor (Research)



Future Success

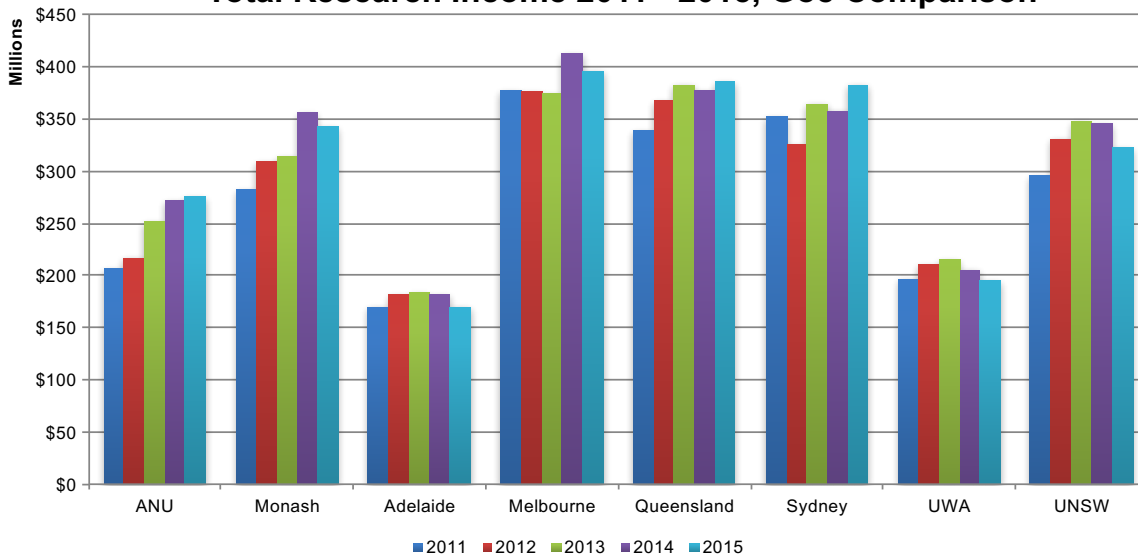
1. Revenue Diversity
2. Partnering with Industry and Business
3. Culture and Performance Standards
4. Redeployment of Funds and Support for Strategic Opportunities



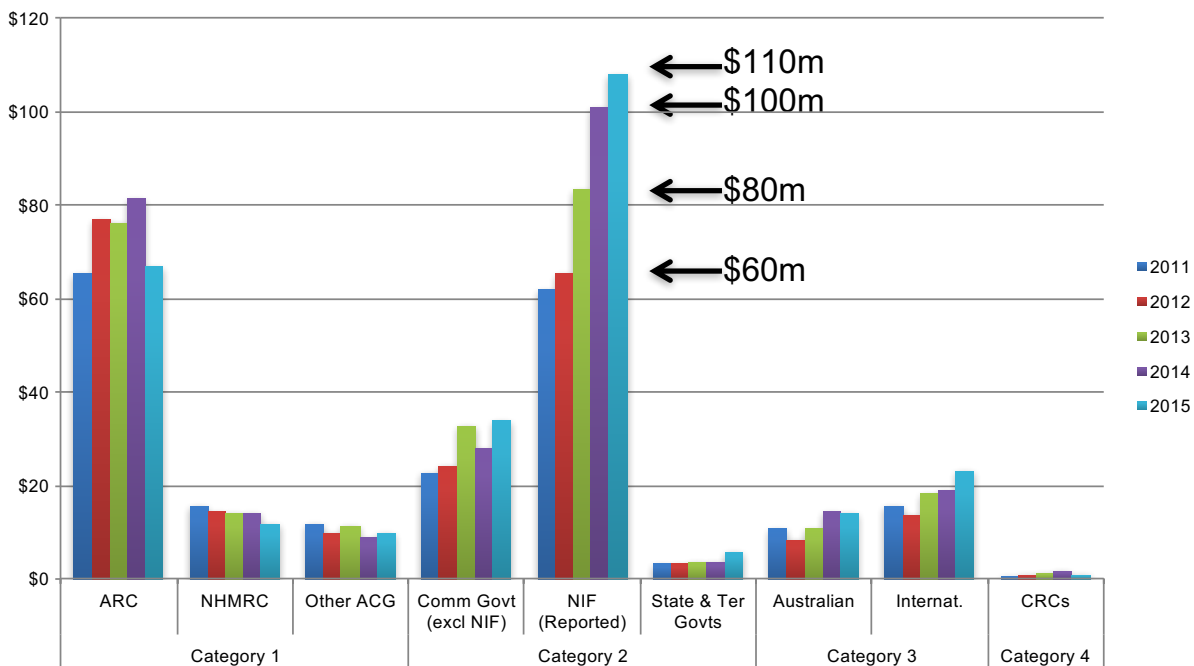
1. Revenue Diversity

Higher Education Research Data Collection (HERDC) submitted 30 June 2016

Total Research Income 2011 - 2015, Go8 Comparison



2015 ANU HERDC research income by category, submitted 30 June 2016



34 cents per \$

17 cents per \$ (NB: will increase >30c in future)

2016 Research Funding Highlights

Competitive Funding (Category 1)

- ARC Futures Fellows (15/100 nationally **38.5% success rate** vs national 30.5%)
- ARC Early Career Research Awards (26/134 nationally: **33.8% success rate** vs national 30.9%)
- NHMRC 5 Fellowships; increase 73% funding Project Grants, **success rate 25.3%** (8.5% in 2016)
- ARC Centres of Excellence: 1/9 nationally \$30M and partner in 7 Centres **\$48M over 7 years**
- ARC Industry Training Centres: Partner in 2 Centres (Engineering)

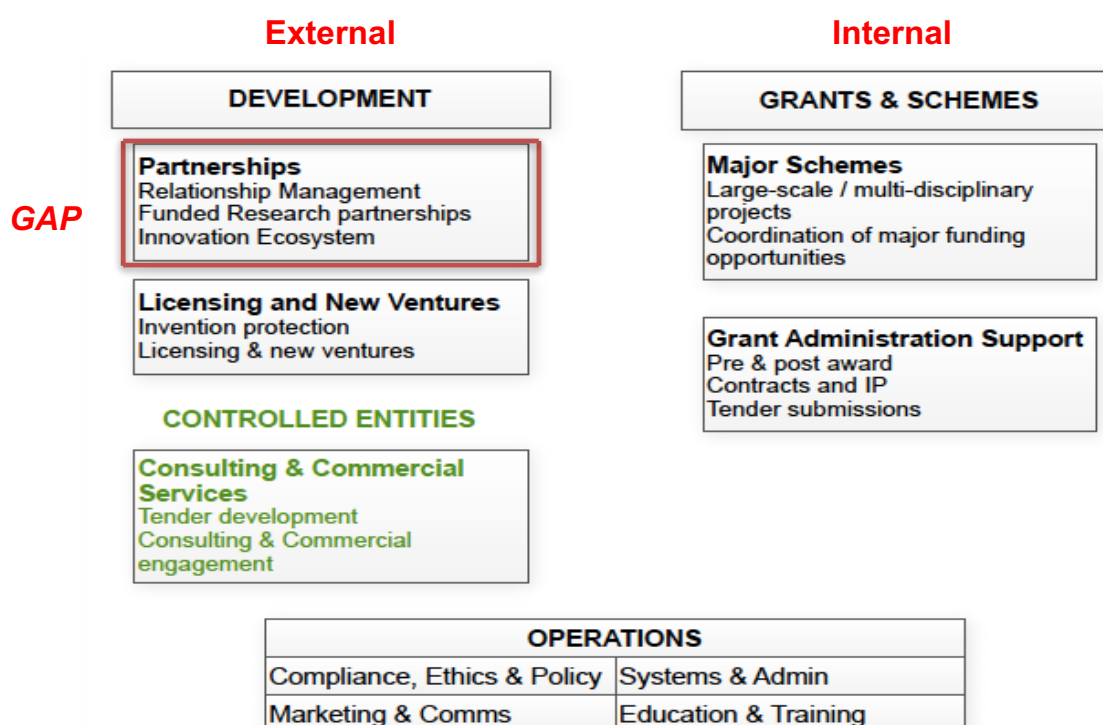
Industry & Government contracts/tenders, international (Category 2, 3)

- DFAT: Indonesia Project **\$5M**; Languages Tender (with ANUE) pending: **\$5-20M**
- Defence: Capability and Technology Program Grants: **\$2.9M**
- PMC: Indigenous populations and socioeconomic trends **\$1.6M**
- ACT Govt Energy Research Partnerships: **\$4M Battery Storage**

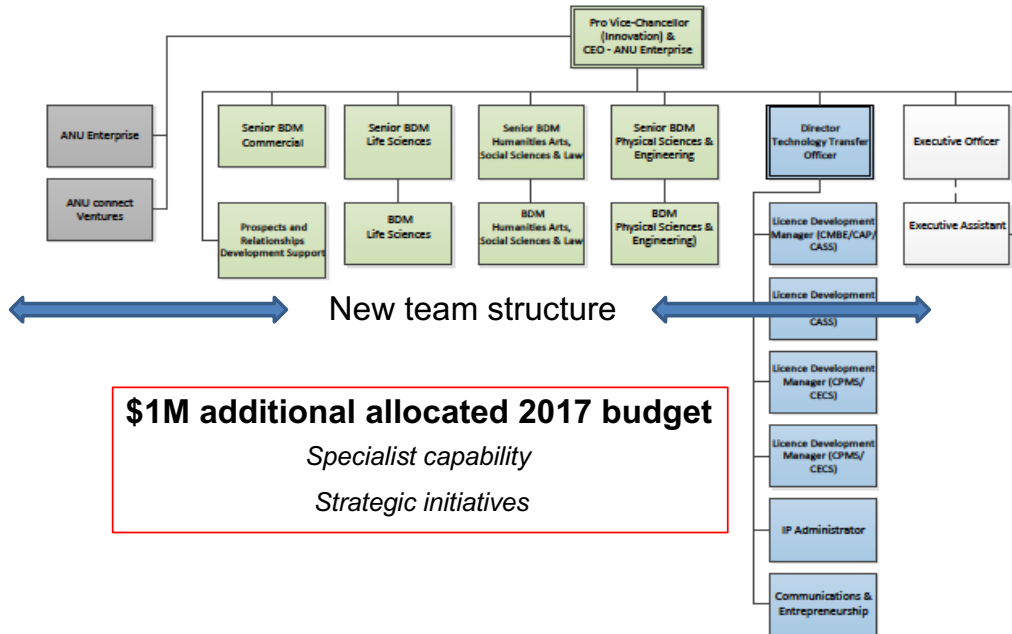
Cooperative Research Centres (Category 4)

- Australian Centre for Cybersecurity Research Institute (ACRSI)
- Cybersecurity Cooperative Research Centre (CRC) – **interview 24 November**

2. Partnering with Industry & Business

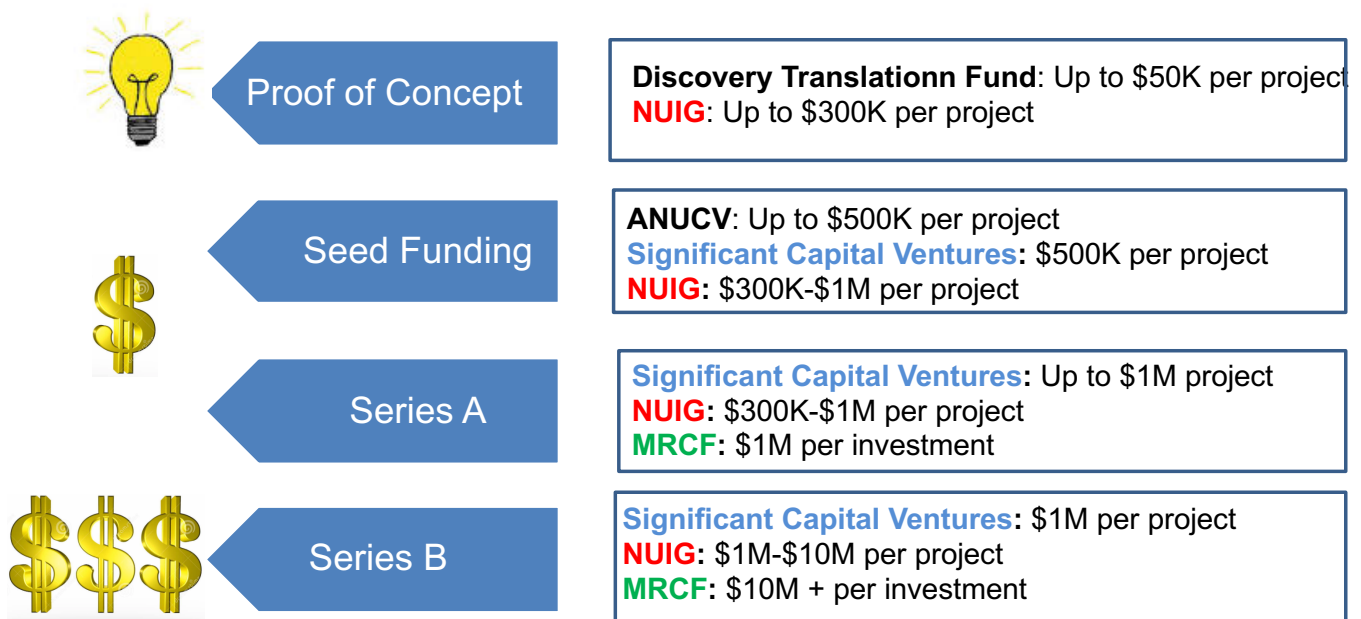


Integrated Support: Phase I



- Intellectual Property Policy revised to remove perceived impediments to commercialisation
- Phase II: Research Office 2017

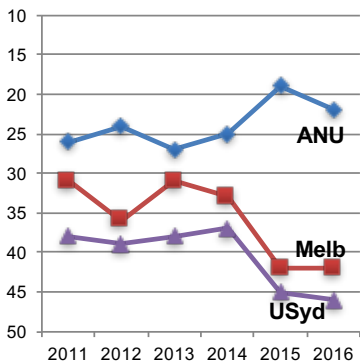
Investment Funding



NUIG: National Universities Innovation Group (Go8); **MRCF:** Medical Research Commercialisation Fund

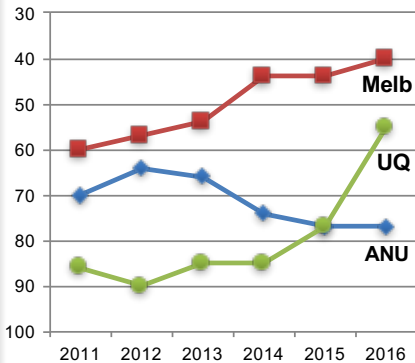
3. Culture & Performance Standards

Quacquarelli Symonds (QS)



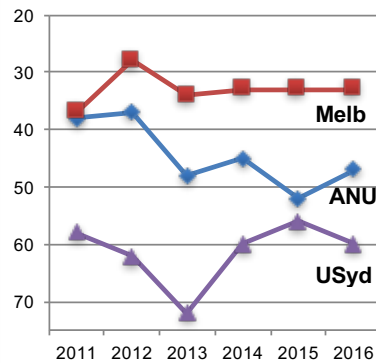
- Academic survey
- Employer survey
- Citations

Academic Ranking World Universities



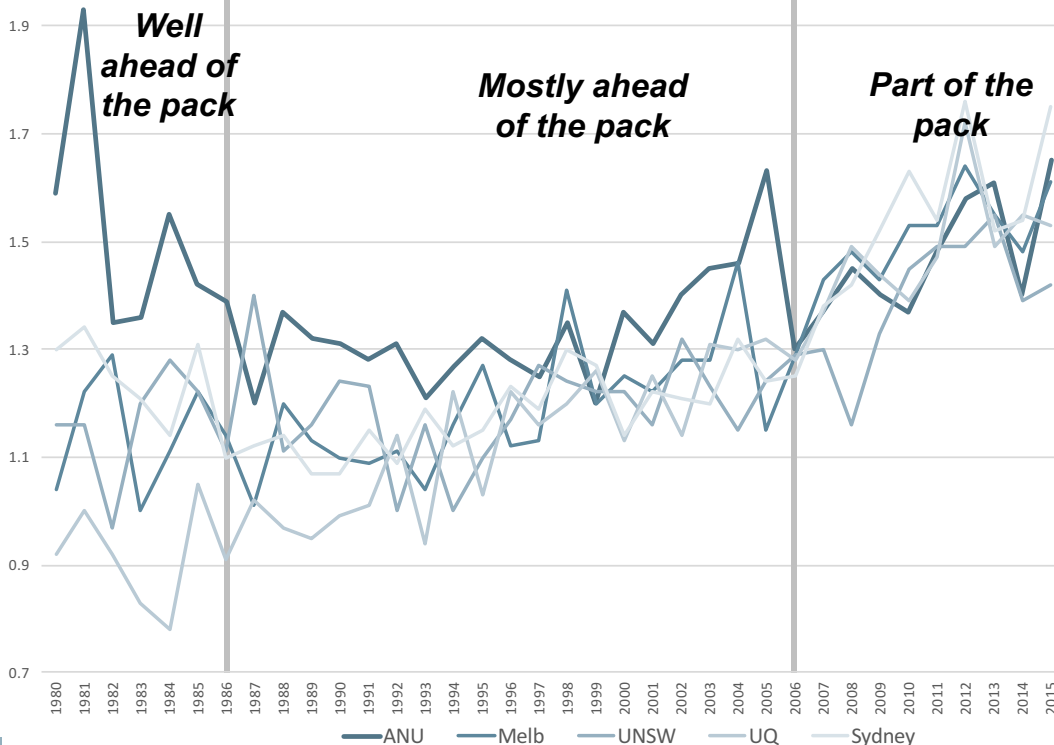
- Nature & Science papers
- Nobel Laureates
- Highly cited staff

Times Higher Education

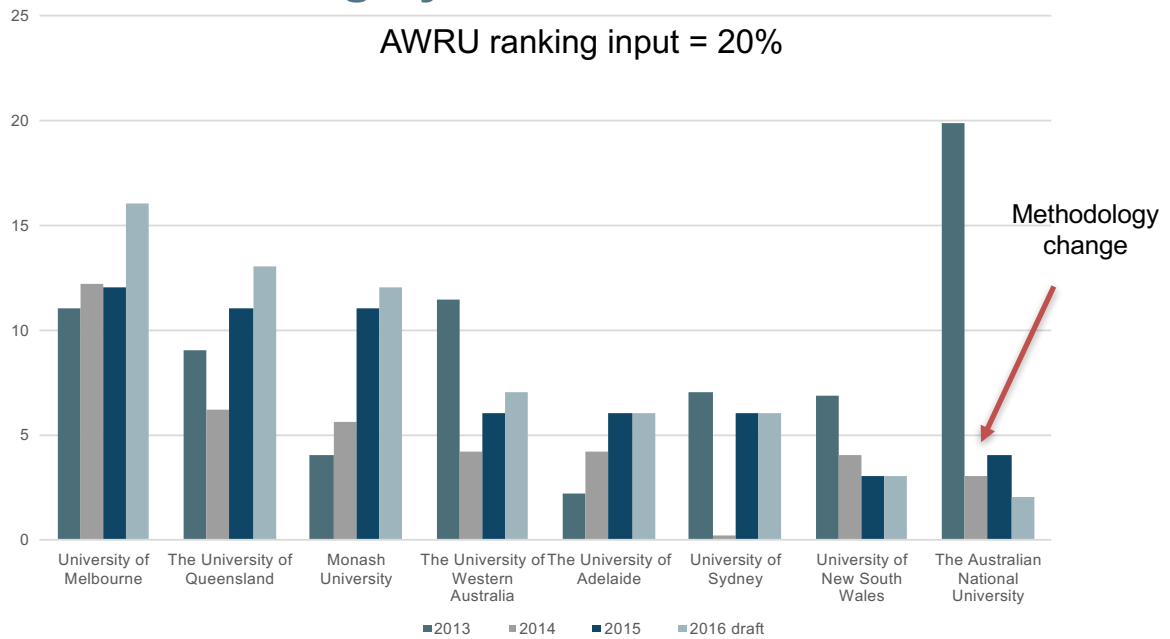


- Reputation
- Citations
- Research Volume

Normalised Citation Impact by year (1980-2015)

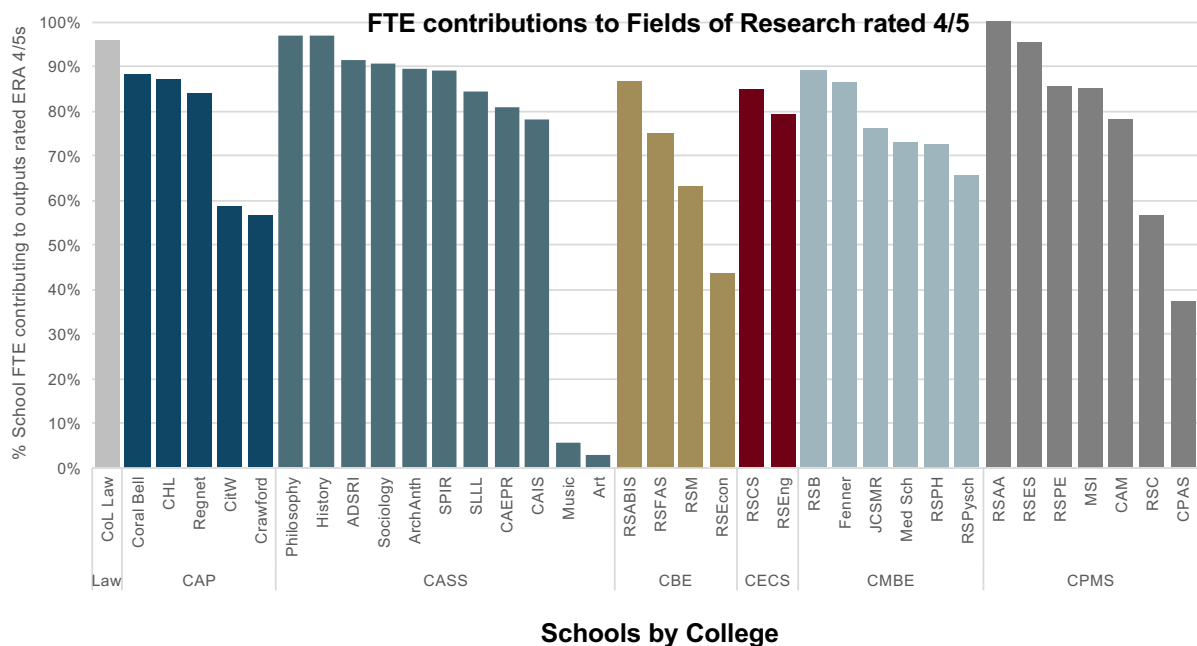


Highly Cited Researchers



National Rankings: ERA2015

KPT: Improvement in the proportion of academic staff contributing to ERA level-4 (above world standard) and level-5 (well above world standard) results



Statement of Academic Activity

- Performance Development Framework
- School Reviews
- Accountability

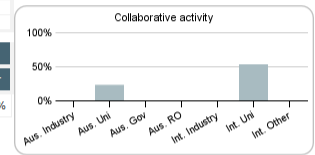
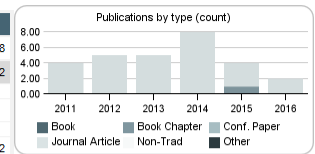
Workload distribution: Research: 20% Education: 10% Service: 70%

[\[Create PDF\]](#)

PUBLICATIONS 2011-2016 [\[Detailed report\]](#)

HERDC publications	2011	2012	2013	2014	2015	2016
HERDC Points	1.0	1.0	0.9	1.2	1.7	0.8
Publication Count	4	5	5	8	4	2
Book						
Book Chapter					1	
Conf. Paper						
Journal Article	4	5	5	8	3	2
Non-Trad						
Other						

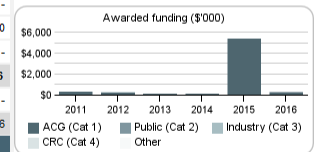
Collaborative activity	Australia				International		
	Industry	Uni	Gov	RO	Industry	Uni	Other
% Publications	0.0%	23.3%	0.0%	0.0%	0.0%	53.3%	0.0%



AWARDED FUNDING 2011-2016 [\[Detailed report\]](#)

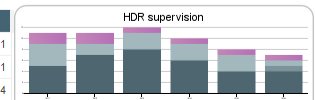
Amount \$'000	2011	2012	2013	2014	2015	2016
ACG (Cat 1)	\$347	\$214	\$122	\$132	\$5,399	\$276
Public (Cat 2)	-	-	-	-	-	-
Industry (Cat 3)	-	\$65	-	-	\$10	\$10
CRC (Cat 4)	-	-	-	-	-	-
HERDC total	\$347	\$279	\$122	\$132	\$5,409	\$286
Other	-	-	-	-	-	-
Total funding awarded	\$347	\$279	\$122	\$132	\$5,409	\$286

Grant applications	2011	2012	2013	2014	2015	2016
Successful Count	0	1	1	0	3	0
Unsuccessful Count	0	1	1	2	2	1
Success Rate	-	50.0%	50.0%	0.0%	60.0%	0.0%



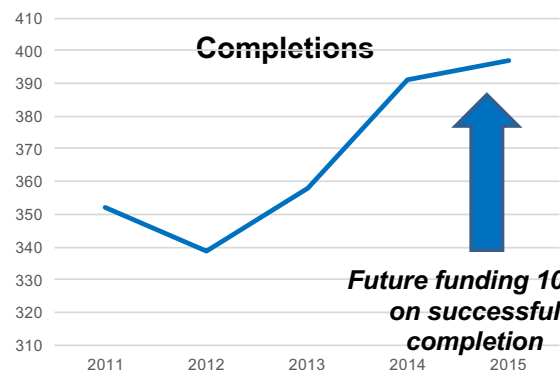
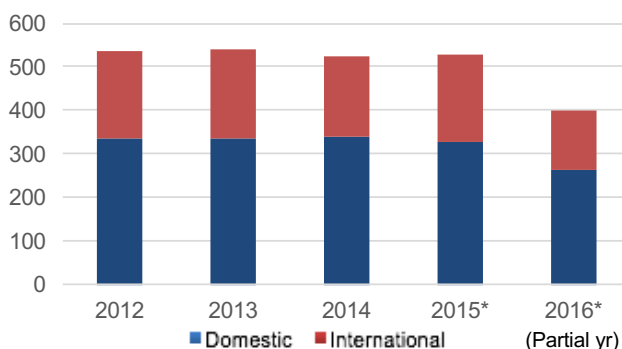
HDR 2011-2016 [\[Detailed report\]](#)

HDR supervision	2011	2012	2013	2014	2015	2016
Chair of Panel	4	2	3	3	3	1
Supervisor	2	2	1	1	1	1
Adviser	5	7	8	6	4	4



Higher Degree Research Students

Commencing Students



Future funding 100% on successful completion

New policy Environment

- Flagship PhD – 4 years, up to \$40K
- Training in priority areas
- Innovative training/placements/experience to ensure employment (Industry PhDs)

2017 : New Dean HDR + centralised support model

4. Strategic Opportunities

- Redeployment of funds and strategic allocation of National Institutes Grant (NIG)
- Scale, cross-disciplinary, contestable funding (Global Challenges Scheme)
- High impact goals over 5 – 7 year period, end-user input
- Academic champions, Relationship Manager

Opportunities (Industry)

- Food and Agriculture - Bayer, Monsanto (CSIRO)
- Space and Satellite Science - Lockheed Martin
- Health and Medical
- Engineering

Eric Stone (North Carolina) – July 2016

Anna Moore (Caltech) – Jan 2017

Entrep Hire– in discussions

Entrep Hire– announcement imminent

Opportunities (National)

- Indigenous Health and Medical Research

University Research Committee endorsed

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Research & Innovation Plan

PEOPLE

ANU Futures Scheme
Entrepreneurial Hires
ANU PhD programme

PERFORMANCE

Global Challenges Scheme
Strategic Support & Partnerships Unit

TRANSLATION & IMPACT

Innovation Institutes
Industry Advisory Board
Investment funding schemes

16



VOLUNTARY CODE OF BEST PRACTICE FOR THE GOVERNANCE OF AUSTRALIAN UNIVERSITIES

- 1: A university should have its objectives and/or functions specified in its enabling legislation¹.
- 2: A university's governing body should adopt a statement of its primary responsibilities, to include:
 - (a) appointing the Vice-Chancellor as the Chief Executive Officer of the university, and monitoring his/her performance;
 - (b) appointing other senior officers of the university as considered appropriate;
 - (c) approving the mission and strategic direction of the university, as well as the annual budget and business plan;
 - (d) overseeing and reviewing the management of the university and its performance;
 - (e) establishing policy and procedural principles, consistent with legal requirements and community expectations;
 - (f) approving and monitoring systems of control and accountability, including general overview of any controlled entities. A controlled entity is one that satisfies the test of control in s.50AA of the *Corporations Act*;
 - (g) overseeing and monitoring the assessment and management of risk across the university, including commercial undertakings;
 - (h) overseeing and monitoring the academic activities of the university;
 - (i) approving significant commercial activities of the university.

A university's governing body, while retaining its ultimate governance responsibilities, may have an appropriate system of delegations to ensure the effective discharge of these responsibilities.

- 3: A university should have the duties of the members of its governing body and sanctions for the breach of these duties specified in its enabling legislation. Other than the Chancellor, the Vice-Chancellor and the Presiding Member of the Academic Board, each member should be appointed or elected *ad personam*. All members of the

¹ In the case of a university established under the *Corporations Act*, a reference to enabling legislation is taken to mean its constitution and/or, where applicable, the *Corporations Act*.

governing body should be responsible and accountable to the governing body. When exercising the functions of a member of the governing body, a member of the governing body should always act in the best interests of the university.

Duties of members should include the requirements to:

- (a) act always in the best interests of the university as a whole, with this obligation to be observed in priority to any duty a member may owe to those electing or appointing him or her;
- (b) act in good faith, honestly and for a proper purpose;
- (c) exercise appropriate care and diligence;
- (d) not improperly use their position to gain an advantage for themselves or someone else; and
- (e) disclose and avoid conflicts of interest (with appropriate procedures for that purpose similar to those for public companies).

There should be safeguards, exemptions and protections for members of a university's governing body for matters or things done or omitted in good faith in pursuance of the relevant legislation. Without limitation, this should include such safeguards, exemptions and protections as are the equivalent of those that would be available were the member a director under the *Corporations Act*. A university (with the exception of those subject to the *Corporations Act*) should have a requirement included in its enabling legislation that its governing body has the power (by a two-thirds majority) to remove any member of the governing body from office if the member breaches the duties specified above. A member should be required, automatically, to vacate the office if he or she is, or becomes, disqualified from acting as a Director of a company or managing corporations under Part 2D.6 of the *Corporations Act*.

- 4: If permitted by its enabling legislation, a university should develop procedures;
 - a) to provide that the Chancellor and Deputy Chancellor hold office subject to retaining the confidence of the governing body; and
 - b) to deal with removal from office if the governing body determines that such confidence is no longer held.
- 5: Each governing body should make available a programme of induction and professional development for members to build the expertise of the governing body and to ensure that all members are aware of the nature of their duties and responsibilities.
- 6: On a regular basis, at least once each two years, the governing body should assess its performance, the performance of its members and the performance of its committees. The Chancellor should have responsibility for organising the assessment process, drawing on external resources if required. 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.
- 7: The size of the governing body should not exceed 22 members. There should be at least two members having financial expertise (as demonstrated by relevant

qualifications and financial management experience at a senior level in the public or private sector) and at least one member with commercial expertise (as demonstrated by relevant experience at a senior level in the public or private sector). Where the size of the governing body is limited to less than 10 members, one member with financial expertise and one with commercial expertise would be considered as meeting the requirements. There should be a majority of external independent members who are neither enrolled as a student nor employed by the university. There should not be current members of any State or Commonwealth parliament or legislative assembly other than where specifically selected by the governing body itself.

- 8: A university should adopt systematic procedures for the nomination of prospective members of the governing body for those categories of members that are not elected. The responsibility for proposing such nominations for the governing body may be delegated to a nominations committee of the governing body that the Chancellor would ordinarily chair.

Members so appointed should be selected on the basis of their ability to contribute to the effective working of the governing body by having needed skills, knowledge and experience, an appreciation of the values of a university and its core activities of teaching and research, its independence and academic freedom and the capacity to appreciate what a university's external community needs from it.

To provide for the introduction of new members consistent with maintaining continuity and experience, members' terms should generally overlap and governing bodies should establish a maximum continuous period to be served. This should not generally exceed 12 years unless otherwise specifically agreed by the majority of the governing body.

- 9: A university should codify its internal grievance procedures and publish them with information about the procedure for submitting complaints to the relevant ombudsman or the equivalent relevant agency.
- 10: The annual report of a university should be used for reporting on high level outcomes.
- 11: The annual report of a university should include a report on risk management within the organisation.
- 12: The governing body should oversee controlled entities by:
- (a) ensuring that the entity's board possesses the skills, knowledge and experience necessary to provide proper stewardship and control of the entity;
 - (b) appointing some directors to the board of the entity who are not members of the governing body or officers or students of the university;
 - (c) ensuring that the board of the entity adopts and regularly evaluates a written statement of its own governance principles;
 - (d) ensuring that the board documents a clear corporate and business strategy which reports on and updates annually the entity's long-term objectives and includes an

annual business plan containing achievable and measurable performance targets and milestones; and

- (e) establishing and documenting clear expectations of reporting to the governing body, such as a draft business plan for consideration and approval before the commencement of each financial year and at least quarterly reports against the business plan.

- 13: A university should assess the risk arising from its involvement in the ownership of any entity (including an associated company as defined in the Accounting Standards issued by the Australian Accounting Standards Board), partnership and joint venture. The governing body of a university should, where appropriate in light of the risk assessment, use its best endeavours to obtain an auditor's report (including audit certification and management letter) of the entity by a State, Territory or Commonwealth Auditor-General or by an external auditor.
- 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.

This Code was approved out-of-session by the Ministerial Council for Tertiary Education and Employment on 27 July 2011.

2017 Internal Audit Work Plan

Australian National University

17 November 2016



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1. Introduction

1.1 Overview

*ANU by 2020*¹ is a plan that aims to build on the distinctive excellence of the Australian National University (ANU/University) both as Australia's national university and Australia's finest university. This strategic document is due to be superseded by the University's new strategic plan towards the end of 2016, however, for the purpose of this document, ANU 2020 has been used as a reference.

The ANU has a distinct national mission which differentiates it from other higher education institutions, and unique concentrations of excellence which have given ANU a reputation second to none. ANU is a research-intensive, research-led university. Research is central to everything ANU does. That research culture shapes its other core objectives of education provision and being a national and international policy resource. At the same time, ANU is one of Australia's leading teaching universities, and these goals are reflected in its corporate strategy goals:

- Enhancing the distinctive excellence of ANU;
- Strategies for Success: Core objectives – Excellence in Research, Excellence in Education, Excellence as a National Policy Resource; and
- Strategies for Success: Building Blocks – World-class Staff, Inspired Students, Engaged Alumni, National Outreach, International Outreach, Embedded Access and Equity, Effective Organisation, High-Quality Infrastructure & Broad Research Base.

1.2 Purpose of this document

The Internal Audit Work Plan (IAWP/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, which 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?

'Internal Audit is an independent, objective assurance and advisory activity designed to add value to and improve the University's operations. Internal Audit helps the ANU to achieve its objectives by bringing a systematic and disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.' (ANU Internal Audit Charter, March 2014).

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 to minimise duplication of audit activity and maximise the University's preparedness for external scrutiny.

¹ The ANU Strategic Plan 2016-2020 is scheduled for approval by the Council at its 2 December 2016 meeting and will supersede ANU by 2020. Thus, the 2017 Internal Audit Work Plan has considered the strategic objectives articulated in the draft ANU Strategic Plan 2016-2020.

1.4 Approach

The 2017 IAWP was developed by the CGRO in consultation with EY. When developing the 2017 IAWP the following documentation was considered:

- ANU Entity-wide Risk Management Framework and Risk Profile;
- Service Improvement heat map;
- 2016 Administrative Services survey report;
- Previous audit activities, findings or issues; and
- Emerging issues across the Tertiary Education sector.

Additionally, interviews were conducted with a number of the ANU Executive and Service Division Directors to seek their advice on potential audit topics and areas of focus.

1.5 ANU Entity-wide Risk Profile

Table 1 on the following page is an extract from the University's Entity-wide Risk Profile (dated September 2014). The internal audit plan has been structured to specifically respond to this profile, to ensure that risks are subject to the most effective audit regime, with every risk receiving a proportionate amount of assurance in response to the exposure it represents to the ANU.

The ANU Entity-wide Risk Profile (ERP) is designed to outline the categories of risk the ANU is exposed to in the course of its operations. The risk profile is both a strategic and operational part of the University's overall risk management. It is strategic in that it is reflective of risks faced by the University in achieving its strategic objectives and operational as it reflect the risks posed to the operational elements of the University's work that enables it to pursue its strategic objectives.

Structure:

The profile is split across two levels of detail. Tier 1 captures the broad areas of strategic risk the ANU is exposed to. Tier 2 captures the operational risk categories. Through an annual review of the ERP risks are re-evaluated to ensure the profile are still relevant and appropriate.

By structuring the ERP in this way, it provides an entity-wide view of exposure that allows the user to access a level of practical detail to inform decision making across a range of projects and initiatives.

Guiding Principles:

- 1) The ERP is designed to enable staff to conduct risk assessments (in conjunction with the ANU Risk Matrix) for projects (or initiatives) and develop a risk profile specific to the project whilst ensuring that consideration has been given to the University's strategic risks.
- 2) The risk profile will be reviewed and updated annually to ensure that it captures new and emerging risks, staff should refer to the ERP regularly to ensure any risk profile developed is reflective of the University's risk exposure.

Table 1: Extract from the University's Entity-wide Risk Profile



2. Mapping of Internal Audit Activity to the ANU's Risk Profile

The proposed internal audit activity to address the University's Risk Profile is represented in Table 2 below. Please note other forms of assurance over risks are not represented in this table, however in addition to the internal audit activities listed, the ANU also relies upon the following forms of assurance to address risk:

- ANU-wide control self-assessment;
- Annual Financial Statements external audit;
- Grant acquittal process;
- Completion of the ANU Fraud Risk Assessments every two years;
- Annual updates to the business continuity plans; and
- Integrating risk management plans in the operational plans (future project).

The internal audit plan has been structured to specifically respond to the risk profile of, and other assurance activities undertaken by, the ANU. As outlined in Table 2 below, every risk is receiving a proportionate amount of assurance in response to the exposure it represents to the ANU as determined by management.

Table 2: Internal Audit coverage of University's Risk Profile

Internal Audit Topics	ANU Entity-wide Risks																	
	Governance			Research, Teaching & Learning		Reputation		Financial Management		Information Technology			Business Administration			People		
	Leadership	Internal Controls	Compliance	Research	Teaching and Learning	Brand	External Affairs	Income / Funding	Expenditure	Data	Security	Maintenance and Management	Site Security	Infrastructure and Assets	Business Management	Students	Staff	Contractors / Visitors
Proposed for 2017																		
1	Alumni Relations	✓				✓	✓	✓	✓	✓				✓	✓	✓		
2	Performance Management	✓				✓	✓			✓				✓		✓		
3	Governance of Building Projects	✓	✓	✓		✓	✓		✓	✓		✓	✓	✓		✓	✓	✓
4	Student Life (Career and Employment Support Services)	✓				✓	✓		✓					✓	✓	✓		
5	Electronic Records Management System	✓				✓			✓	✓	✓			✓		✓		
6	NHMRC/ARC Grants		✓	✓	✓	✓	✓	✓	✓					✓		✓		
7	Budget modelling	✓	✓		✓	✓	✓	✓	✓	✓				✓	✓	✓	✓	✓
Completed In 2016																		
1	Education Services for Overseas Students		✓	✓	✓	✓	✓							✓	✓			
2	ANU Project Management	✓	✓	✓				✓	✓					✓	✓	✓	✓	✓
3	ANU Web Transformation Project	✓	✓		✓	✓	✓		✓	✓	✓	✓		✓	✓	✓	✓	✓
4	Annual Giving Program	✓				✓	✓	✓		✓				✓	✓	✓		
5	FBS Transformation Project	✓			✓	✓		✓	✓	✓	✓	✓						
6	Research Information Management System Governance	✓			✓	✓	✓	✓	✓					✓		✓		✓
7	IT Security Health Check - College level		✓			✓	✓			✓	✓		✓	✓	✓	✓	✓	✓
8	Physical Security					✓	✓		✓				✓	✓	✓	✓	✓	✓
Completed In 2015																		
1	Commercialisation of Intellectual Property	✓	✓	✓		✓		✓		✓				✓				
2	Learning & Development for Academic Staff	✓			✓	✓	✓		✓					✓	✓	✓		
3	HERDC Process		✓	✓	✓		✓	✓		✓								
4	Learning Management System		✓		✓	✓				✓	✓				✓	✓		
5	Commercial Lease Exposures	✓	✓			✓	✓	✓				✓	✓	✓	✓			✓
6	Remote Sites		✓			✓			✓	✓	✓	✓	✓		✓	✓	✓	✓

Internal Audit Topics		ANU Entity-wide Risks																	
		Governance			Research, Teaching & Learning		Reputation		Financial Management		Information Technology			Business Administration			People		
		Leadership	Internal Controls	Compliance	Research	Teaching and Learning	Brand	External Affairs	Income / Funding	Expenditure	Data	Security	Maintenance and Management	Site Security	Infrastructure and Assets	Business Management	Students	Staff	Contractors / Visitors
7	NHMRC and ARC Grants			✓	✓	✓	✓	✓	✓						✓		✓		
8	IT Security Health Check		✓				✓	✓		✓	✓		✓	✓	✓	✓	✓	✓	
Completed In 2014																			
1	Alumni Relations	✓					✓	✓	✓		✓				✓	✓	✓		
2	Marketing and Brand Management	✓	✓		✓		✓	✓	✓	✓				✓	✓	✓	✓		
3	Identity and Access Management Phase 2		✓	✓						✓	✓		✓	✓	✓	✓	✓		
4	Student Fee Setting	✓	✓		✓		✓		✓	✓					✓	✓	✓		
5	Contract Management		✓	✓				✓	✓			✓		✓	✓			✓	
6	Social Media	✓	✓		✓		✓	✓	✓	✓				✓	✓	✓	✓		
7	Crises Management Phase 2 - excluding IT Disaster Recovery	✓	✓				✓	✓			✓		✓	✓		✓	✓	✓	
8	Managing Enterprise Systems		✓	✓					✓	✓	✓		✓	✓	✓	✓	✓		
9	Delegations Framework	✓	✓	✓					✓	✓				✓	✓		✓		
10	HR Controls - Leave Management		✓	✓					✓	✓	✓			✓	✓	✓	✓		
Completed In 2013																			
1	Strategic and Operational Planning	✓	✓				✓		✓	✓	✓				✓				
2	Commercial and Non-Commercial Operations on ANU Campuses		✓	✓				✓	✓			✓		✓	✓			✓	
3	Preferred Supplier Arrangements		✓	✓				✓	✓					✓	✓			✓	
4	IT Enterprise Architecture	✓	✓							✓	✓	✓							
5	Identity Access & Management Phase 1		✓	✓						✓	✓		✓	✓	✓	✓	✓		
6	Policy and Procedures Framework	✓	✓	✓				✓	✓			✓			✓				
7	Student Lifecycle - Establishment				✓	✓	✓	✓	✓							✓	✓	✓	
8	Research Ethics Approval Processes	✓	✓	✓	✓	✓	✓								✓				
9	Insurance Practices and Management	✓	✓	✓				✓	✓						✓				
10	Crises Management Phase 1	✓	✓				✓	✓				✓		✓		✓	✓	✓	

Internal Audit Topics		ANU Entity-wide Risks																	
		Governance			Research, Teaching & Learning		Reputation		Financial Management		Information Technology			Business Administration			People		
		Leadership	Internal Controls	Compliance	Research	Teaching and Learning	Brand	External Affairs	Income / Funding	Expenditure	Data	Security	Maintenance and Management	Site Security	Infrastructure and Assets	Business Management	Students	Staff	Contractors / Visitors
11	Loans, Accounts Receivable and Transfers		✓	✓					✓	✓					✓				
12	Crises Management Phase 2 - IT Disaster Recovery	✓	✓				✓	✓			✓	✓	✓	✓	✓				

Figure 1 below highlights internal audit coverage over the University’s Entity-wide Risks. The graph highlights that each category of Risk has been addressed through internal audit engagements over the period 2013 to 2017.

Figure 1: Coverage of Entity-wide Risk Category



3. Proposed 2017 Internal Audit Work Plan (A List)

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.

In the scoping and conduct of internal audit engagements, EY will draw on their proprietary internal audit differentiators to ensure that:

1. Internal Audits are planned and structured appropriately in respect of the nature of the engagement and associated complexity. This will be achieved through the use of the Audit Response Methodology (ARM); and
2. Explicit consideration is made of the underlying behaviours and culture upon which the University's controls are built and implemented. The Behavioural Auditing Methodology (BEAM) allows internal audit to improve the University's control environment through consideration of the behavioural root cause of issues.

Ref	Internal Audit Topic	ANU Executive Portfolio	Proposed Objectives	Proposed Audit duration ²	Timeframes
1	Student Life (Career and Employment Support Services)	Academic	The objective of this review is to assess the University's support processes for students enrolled on campus. The focus will be on the career and employment support services provided to students, and whether they are sufficient to meet the needs and expectations of students undertaking study at the University.	25 days	Q1
2	Electronic Records Management System	Administration & Planning	The objective of this review is to conduct a post-implementation review of the Electronic Records Management System (ERMS). The focus of this audit will be the measurement and realisation of benefits, as articulated in Appendix B of the ERMS Business Implementation Plan.	30 days	Q1
3	Alumni Relations	Vice- Chancellor	<p>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.</p> <p>Furthermore, there will be validation on the model for performance and engagement metrics, return on investment and cost of funding. The following metrics will be measured and assessed to determine the success of the Advancement Plan, under Appendix 2:</p> <ul style="list-style-type: none"> • Contactable metric; and • Cost of Fundraising ratio. 	30 Days	Q2

² Days listed here are estimates and will be confirmed during the detailed audit scoping phase in line with final management approval.

Ref	Internal Audit Topic	ANU Executive Portfolio	Proposed Objectives	Proposed Audit duration ²	Timeframes
4	Governance of Building Projects	Administration & Planning	<p>The University is committed to providing the highest quality facilities on its campus. From 2010 to 2015, ANU invested heavily in facilities infrastructure with refurbishments and new buildings amounting to \$635m. The University is continuing with capital investment and current commitments totalling \$801m.</p> <p>The objective of this engagement will be specifically to review a sample of building projects currently underway to assess the level of transparent governance processes and appropriateness of current business practices. This will include (but is not limited to):</p> <ul style="list-style-type: none"> • Review of business practices and compliance with governance processes for the initiation, approval, commissioning, implementation, monitoring and reporting of building projects; • Review of risk assessments undertaken for the sampled projects; • Review of procurement and probity activities; • Review of compliance with requirements in relation to the management of conflicts of interest for projects; and • An assessment of quality assurance processes for capital projects. 	40 days	Q2
5	Performance Management	Administration & Planning	<p>The objective of this engagement is a review of the implementation of the new performance development process for the University and an assessment as to whether it is meeting the expectations of the professional and academic staff cohort in relation to:</p> <ul style="list-style-type: none"> • Adequacy of policies, procedures, and training on the process; • Guidance on the development of individual performance objectives, performance measures and its linkages between individual staff objectives and the University's strategic and operational goals; • Transparency of the performance evaluation assessments conducted by supervisors; • Reporting and analysis capability including the reliability of source data; <p>Strengthening a performance-based culture across ANU.</p>	30 Days	Q3
6	NHMRC/ARC Grants	Research	<p>The objective of this audit is to assess the University's compliance with the management of Commonwealth funding. There will be focus on the requirements of grant funding agreements from the ARC and NHMRC through testing a sample of grants with respect to usage of funds and achievements of milestones. Where non-compliances are identified, further analysis will be performed to determine the root cause.</p> <p>In addition, follow up and assessment on the implementation of audit recommendations from the NHMRC/ARC audit performed in 2015 will also be conducted.</p>	40 days	Q3

Ref	Internal Audit Topic	ANU Executive Portfolio	Proposed Objectives	Proposed Audit duration ²	Timeframes
7	Budget modelling	Administration & Planning	This audit will examine the end-to-end processes followed in preparing the University's annual budget, including the processes for allocation resources (and re-allocating unspent funds) in accordance with strategic and operational objectives. The integrity of the financial data used and the assumptions developed to support the budget preparation will be tested. In addition, the adequacy of transparency and stakeholder communication processes in relation of the budget process will be examined.	30 days	Q4
	TOTAL			225 days	

4. Timeline of Internal Audit Activity

Table 3 below provides indicative timeframes for when each internal audit engagement is planned to commence.

Table 3: Timeline of Internal Audit Activity

Ref	Internal Audit Topic	Quarter 1			Quarter 2			Quarter 3			Quarter 4		
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
1	Student Life (Career and Employment Support Services)		✓	✓									
2	Electronic Records Management System	✓	✓	✓									
3	Alumni Relations				✓	✓	✓						
4	Governance of Building Projects				✓	✓	✓						
5	Performance Management							✓	✓	✓			
6	NHMRC/ARC Grants							✓	✓	✓			
7	Budget modelling										✓	✓	

5. Reserve topics for the Internal Work Audit Plan (B list)

The following B 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 2017. The order of topics in the following list reflects the order of priority.

Ref	Suggested Internal Audit Topic	Proposed Objectives
1	ANU Investment Office	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.
2	Delegations Framework	<p>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.</p> <p>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.</p> <p>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:</p> <ul style="list-style-type: none"> • 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.
3	Student Recruitment (Domestic Students)	The objective of this review is to assess domestic recruitment processes undertaken at the Division of Student Recruitment and Admissions and College levels to identify where efficiencies (and potentially cost savings) may be realised and whether there is any duplication of effort. In addition, it may also provide insights and better practice initiatives on how domestic student recruitment is undertaken in different areas. The impact of marketing content directed at domestic students will not be in scope for this review.
4	Student Administration (Scholarships)	The objective of this review is to assess the University's business processes in relation to the administration of student scholarships. In particular, there will be a key focus on the processes involved for monitoring the performance of scholarship holders and the adequacy of financial governance arrangements.
5	College level Business Continuity Planning (BCP) assessment	<p>This review will assess the Business Continuity Plans (BCP) for each of the University's seven colleges. This will include a review of the:</p> <ul style="list-style-type: none"> • Elements of the BCPs against best practice in relation to completeness, maturity and awareness; • Interdependencies with the University's Crisis Management Plan; • Awareness of the BCP among College level employees; • Governance structure overseeing College level BCPs; and • Effectiveness of the BCPs with respect to a recovery process.
6	IT Incident Management	<p>The objective of this review is to assess ITS' processes for incident management, with a focus on:</p> <ul style="list-style-type: none"> • 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.
7	IT 3 rd Party Management	The objective of this review is to assess the University's management of 3rd party software or storage providers. This will include a focus on the:

Ref	Suggested Internal Audit Topic	Proposed Objectives
		<ul style="list-style-type: none"> • The governance structure for the management of third parties delivering IT Services to the University; • External and internal penetration testing to identify vulnerabilities; and • Adequacy of 3rd party risk assessment performed by the University in relation to IT Security and whether the University has sufficient risk mitigation strategies to address IT Security risks.
8	IT Asset Management	<p>The objective of this engagement is to assess the adequacy and appropriateness of the security measures to protect the University's asset inventory and data, with particular focus on:</p> <ul style="list-style-type: none"> • Processes for ensuring completeness and accuracy of recorded inventory; • Application of security measures such as authentication, encryption and logging to protect the integrity of asset inventory and data; • Identification of data that is most useful for the University and assessing the security capabilities in place; • Backup and restoring processes; and • Security requirements for the management of portable devices.
9	ANU Carshare Initiative	<p>The objective of this review is to assess the effectiveness of the ANU Carshare project as to whether:</p> <ul style="list-style-type: none"> • There is in place, appropriate governance arrangements to effectively manage the project; • The project has met its defined objective and whether the objectives are sufficient to meet the expectations of stakeholders; and • Return on Investment (RoI).
10	ANU Car Parking	This audit will evaluate the adequacy of the design and operating effectiveness of the new ANU Car Parking framework.
11	Fraud Control	<p>The objective of this engagement is an independent quality assurance review over the University's fraud control environment. In particular, the review will focus on the University's development and completeness against best practice for the following:</p> <ul style="list-style-type: none"> • Fraud Control Framework; • Fraud Control Policy and Procedure; • Fraud Risk Assessments; and • Fraud Awareness Training.
12	Campaign management (Marketing)	<p>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.</p> <p>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.</p>

Ref	Suggested Internal Audit Topic	Proposed Objectives
13	Procurement and Contract management processes	<p>The objective of this review is to assess the University's implementation of recommendations raised in the:</p> <ul style="list-style-type: none"> • Internal Audit of Contract Management, 2014; and • Internal Audit of Procurement Processes, 2012.
14	Policy Framework	To assess the success of ANU in relation to the consolidation, streamlining and staff understanding of the Policy framework across the ANU.
15	ANU Workers Compensation Self-Insurance	<p>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:</p> <ul style="list-style-type: none"> • 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.

6. Allocation of planned audit activity

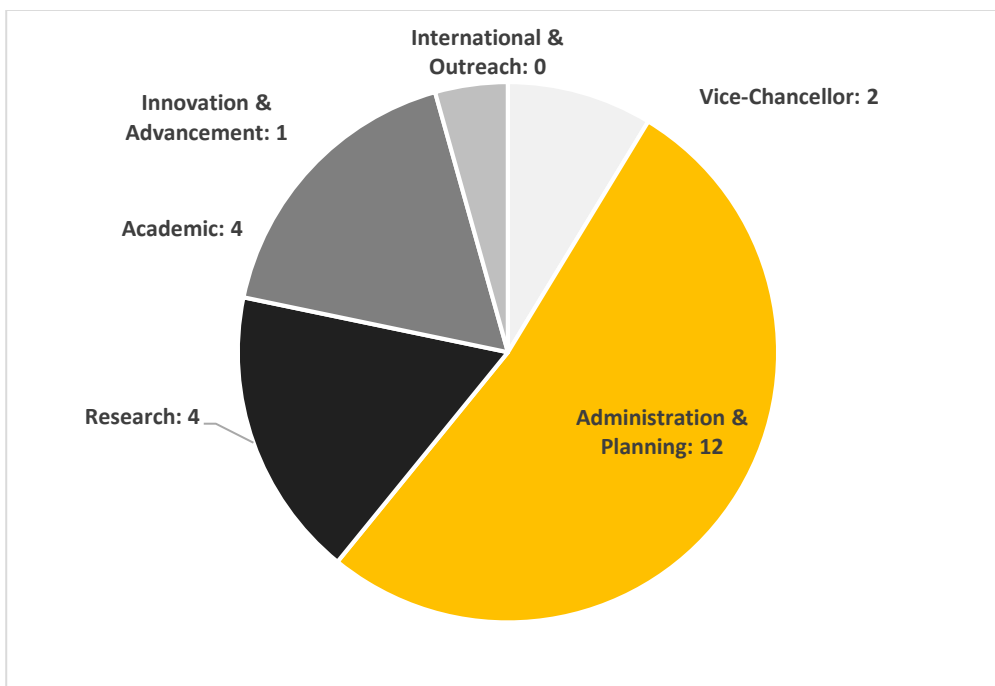
Table 4 below highlights the number of audits by ANU Executive Portfolio.

Table 4: ANU Executive Portfolio spread of audit topics

ANU Executive Portfolio	2015	2016	2017
Vice-Chancellor	▶ Nil	▶ Annual Giving Program	▶ Alumni Relations
Administration & Planning	▶ Commercial Spaces ▶ Remote Sites ▶ IT Security Health Check	▶ ANU Project Management ▶ ANU Web Transformation Project ▶ Finance and Business Services (FBS) Transformation ▶ IT Security Health Check - College level ▶ Physical Security	▶ Performance management ▶ Governance of building projects ▶ Electronic Records Management System ▶ Budgeting
Research	▶ HERDC Process ▶ NHMRC and ARC Grants	▶ Research Information Management System Governance	▶ NHMRC and ARC Grants
Academic	▶ Learning & Development for Academic Staff ▶ Learning Management System	▶ Education Services for Overseas Students (ESOS)	▶ Student Life (Career and Employment Support Services)
Innovation & Advancement	▶ Commercialisation of Intellectual Property	▶ Nil	▶ Nil
International & Outreach	▶ Nil	▶ Nil	▶ Nil
TOTAL	8	8	7

Figure 2 below shows the allocation of internal audit activity by ANU Executive Portfolio for the period 2015 to 2017:

Figure 2: Internal Audit Activity by Portfolio



7. Internal Audit Plan Assessment

Table 5 below 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 5: ANAO Better Practice Guide on Public Sector Audit Committees suggestions

#	Question(s)/Task	Commentary
1	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?	The plan was developed after consultation with members of the executive management staff. All reviews, where relevant, are linked to the available entity-wide risk information.
2	Does the internal audit work plan support the independence of the internal audit function from the activities it audits?	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.
3	Does the prioritisation of proposed audit topics align with the entity's risk management plan and internal audit's own risk assessment?	Yes. These topics were selected following a review of the entity-wide risks of the ANU and through discussions with management.
4	Does the internal audit work plan take into account past internal and external audit activity, findings and recommendations?	Yes. Past internal and external audit activity have contributed to the development of this plan.
5	Is the internal audit plan an appropriate mix between compliance audits, performance improvement audits and advisory services?	Yes. A detailed table and graph provides an overview of the audit topics included within this plan.
6	Does the audit work plan adequately detail the objective, scope, resource requirements and timeframe for each of the audit topics proposed?	Yes. The Internal Audit Work Plan includes a detailed table that provides an overview of the objective, scope, resource requirements and timeframe for each proposed audit topic.
7	Has the scope of proposed internal audit activity been impacted adversely by resource constraints?	No. The internal audit coverage is driven by the University's entity-wide risks and this informs the program. Resource constraints were not a factor in the development of this plan.



Australian
National
University

CAP CASS Governance Project

Progress Report to ANU Council

November 2016

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Introduction

The performance and contribution of the HASS disciplines at the ANU has long underpinned the university's success in rankings and reputation. The CAP CASS Governance Project seeks to secure the pre-eminence of the two Colleges nationally and internationally and position them to overcome the resourcing challenges facing HASS disciplines.

At the centre of the project is a focus on ensuring a continuity of student experience in HASS at ANU, at all levels of education and for the duration of the entire student lifecycle. The long term strategic goal is to reaffirm the two Colleges' position as leaders in HASS education and training, both nationally and internationally, and to provide students with a world-class educational experience.

Background and Purpose

In mid-2015, the then Vice-Chancellor Ian Young, on behalf of the University Council and University Executive, asked the Deans of CAP and CASS to develop a work program to ensure the financial position, sustainability and standing of the Colleges. Council endorsed the work plan in December 2015. This is the second progress report on the *CAP CASS Governance Project*, with the first report submitted to Council in July 2016.

Project Progress to Date

Student Experience and Student Services

Joint Marketing and Communications Working Group.

Led by the General Managers, the Marketing and Communications Working Group brings together professional staff from each College to identify and build out opportunities for joint marketing and student recruitment. For ANU Open Day 2016, the Joint Marketing and Communications Working Group successfully co-located CAP and CASS booths and delivered a holistic representation of its disciplines at ANU for the prospective student audience. This included the production of joint visualisations and collateral, a joint undergraduate guide, coordinated discipline presentations and a joint pre-briefing session for CAP and CASS staff. Following on from the implementation of these initiatives at Open Day 2016, the following recommendations have been put forward for future collaboration between colleges:

1. Evaluate the effectiveness of the joint CAP CASS Undergraduate Guide and develop a plan for how this will be further used by the Colleges and colleagues in the Division of Student Recruitment and Admissions (DRSA)
2. Continue to deliver joint discipline presentations where appropriate (Marketing Teams to map this for 2017)
3. Explore opportunities for future joint discipline collaboration
4. Explore opportunities for joint engagement with change of preference

These recommendations will be considered by the Joint Marketing and Communications Working Group and will inform the 2017 work plan.

Student Services and Student Experience Working Group.

The CAP Education Services team and CASS Student and Education Office have continued their program of collaboration and knowledge exchange with plans to continue these through to May 2017. The Working Group activities have included:

- Sharing Knowledge Program – a series of workshops enabling cross training on program requirements and local area processes, to enable each area to address or direct enquiries appropriately. This process included the establishment of data collection at the point of enquiry.
- Process Review training for staff
- Process Review: developed common processes for the following activities:
 - Direct admissions
 - Degree transfers
 - Late enrolments
 - Reduced study load
 - Overloading
- Scheduled additional Process Reviews for the following activities:
 - Allocation of credit
 - Permission codes
 - Prizes
 - Undergraduate scholarships
 - Cross-institutional study
 - ECoEs
- Planned joint activities for Orientation Week 2017 including:
 - Combined welcome by College Deans, Associate Deans and Student Managers
 - Joint drop-in advisory sessions
 - Joint discipline presentations

Other areas of collaboration outside the Working Group's program include:

- Sharing of knowledge between the Secretariats of College Education Committees
- Assistance provided by the CASS Education Development Studio to the CAP Digital Education Team.

Student Roundtable Sessions

The CAP and CASS Executive Officers met with representatives from ANUSA in late July to discuss options for undergraduate student consultation regarding the CAP CASS Governance Project.

The meeting revealed several key observations:

- The Project needs to clearly articulate why students should care about what is being done (i.e. precisely how will the activities within the Project affect students)
- Options such as large scale, public information sessions were discouraged as these may inadvertently prevent students from voicing their opinions or suggestions
- Post-consultation evidence of how student feedback is integrated into the project will assist in garnering future student participation and feedback over the three year project

Following this meeting an email from the Deans was distributed to all CAP and CASS undergraduate students, welcoming students to the information gathering phase of the Project, and outlining key objectives and how students can be involved (Student Roundtable Discussions).

ANUSA and the two College Marketing Teams assisted in disseminating information via their social media channels.

Four roundtable discussions have since been held, led by senior academic staff 13 students attended in total. Feedback from the student participants will feed into the development of a discussion summary and recommendations, which will be provided to the students for their feedback. This report will then be submitted to the Project Steering Committee (PSC) for consideration. The PSC will then formulate a response to be provided to the participants and ANUSA which will outline how the Project will address the student feedback.

Formal Student Focus Groups conducted by the Planning and Performance Measurement are planned for 2017 to ensure further student feedback is properly captured, evaluated and incorporated into the project.

Curriculum Design and Planning

Joint Discipline Advisory Groups – Tranche 1

Four of the nine Joint Discipline Advisory Groups (JDAGs) have reviewed the current compulsory and elective course offerings at the undergraduate, postgraduate and HDR levels at both Colleges and provided advice on whether current course combinations demonstrate world-class quality, if there are any duplication and/or gaps in the current offerings, and whether they are delivered in an optimal manner.

Tranche 1 JDAGs which have submitted reports to the Associate Deans (Education):

- Politics and International Relations
- History
- Languages
- Archaeology

Tranche 2 JDAGs scheduled to meet during Semester One 2017:

- Anthropology
- Public Policy
- National Security
- Linguistics

Tranche 3 JDAGs scheduled to meet during Semester Two 2017:

- Criminology

- Area Studies
- Gender Studies
- Literature

Staff Engagement

Convened joint professional staff best practice workshops

Providing opportunities for professional staff to undertake joint training and updates on systems, policies and processes that impact the operations of the Colleges was identified as an area for development. Two best practice workshops have been held to date:

- Electronic Records Management Systems (ERMS),
- Payroll Costings Analysis (PCA) Reporting

These workshops brought together professional staff from across the two Colleges, both at the College level and from the Schools/Centres, and was an opportunity to share best practice and to refresh existing knowledge.

Suggestions for future best practice workshops have been sought from professional staff in order to develop a program for 2017.

Established and convened 'Future Leaders' series

The 'Future Leaders' series has been designed to engage small groups of Level C and D academics from CAP and CASS to talk about hot topics within academia or the tertiary sector, strategic issues facing the University and how to develop academic leadership and management skills.

Participants were nominated by their School/Centre Director, with preference given for participants who are not currently in or earmarked to be in a leadership or administrative role but may wish to pursue one in the future. This event is a development and networking opportunity for mid-career academics who have not yet had a role or experience in management and/or academic leadership, as well as being a capacity building opportunity for the Schools/Centres.

Hosted by the two Deans, the first event was held over breakfast and was attended by 22 academics from across the Colleges. Topics for discussion included:

- Planning your growth as a leader
- Identifying success and dealing with failure
- Leading and following in times of growth and change
- Building your toolbox of essential management skills

The series will continue throughout Semester One, 2017.

CAP CASS Governance Project – Risk Management Framework

Since the last report there have been a number of changes to key senior personnel across the two Colleges; two new General Managers, a new CAP Associate Dean (Education), two new Associate Deans (HDR), a new CAP Associate Dean (Students) and a new CAP Dean. In July 2017 there will be a new CASS Dean commencing. While the transition phase associated with these staff movements have slowed the progress in some areas, the project has maintained sufficient momentum to ensure that key aspects were delivered with minimal disruption. Ongoing risks are outlined in the table below.

Risk ID	Category	Risk Description	Preventative Control	Risk Owner	Pre-Treatment Rating	Post Treatment Rating
1	Internal work environment	Multiple University-led activities undertaken concurrent to the CAP CASS Governance Project create an environment of heightened sensitivity and directly impact the ability to meet project milestones.	Project team to monitor the University work environment and advise the Steering Committee of potentially impactful University-led activities. Project activities to be timed to avoid University-level strategic planning activities and avoid impinging on teaching workloads.	Steering Committee	15	9
2	Engagement	The scale of the project restricts the ability to engage with all affected stakeholders in a timely manner. Stakeholders are not or are perceived as not being provided with adequate opportunities to engage with or provide input to the project.	Determine staff and student engagement plan. Use the web site to publish all engagement opportunities. During initial forums, discuss with staff and students how and when they want to be engaged.	Steering Committee	15	9
3	Engagement	The CAP CASS Governance Project is a multi-year project and the momentum required to successfully deliver outcomes will not be maintained over the entire period.	Determine major and minor project outcomes to be achieved at various project stages. Ensure achievements are adequately communicated to stakeholders and staff ownership of the project is fostered.	Steering Committee	11	7
4	Resources	The project is not sufficiently resourced to achieve its objectives. Funding is provided through operational savings and dedicated project FTE is minimal. For the project to proceed and accelerate more dedicated funding and staff resources will be required.	Both Colleges to allocate strategic funding and resources in the 2016-17 budget cycle. Resourcing impact to be monitored by project team and Steering Committee to be provided with visibility over resource requirements.	Steering Committee	11	6
5	Leadership	Changes in the make-up of the Executive (leadership) team and the natural attrition of key staff will result in the loss of knowledge required to achieve project outcomes.	Central repository of project documents to be maintained by the project team and consistent reporting to Steering Committee to enable project oversight. Both Colleges to undertake succession planning to support knowledge transfer between key staff.	Steering Committee	11	6

CAP CASS Governance Project – Risk Management Framework

		Impact				
		Minor	Moderate	Major	Extreme	
Likelihood	Almost Certain	Event is expected to occur	5	8	15	16
	Likely	Event is likely to occur	3	7	11	14
	Possible	Event could occur at some time	2	6	10	13
	Unlikely	Event may only occur in exceptional circumstances	1	4	9	12

Risk Rating	Description
Very High (15-16)	The impact of this risk occurring would be so severe that the related activity would need to cease immediately Risk must be treated immediately, and reviewed and reported on a weekly basis In some circumstances, the risk may need to be escalated
High (10-14)	The risk cannot be accepted Treatment strategies aimed at reducing the risk level should be developed and implemented as soon as possible Risk must be reviewed and reported on a monthly basis
Medium (5-9)	The risk should be treated if easily and economically implemented
Low(1-4)	The risk can be accepted if there are no treatment strategies that can be easily and economically implemented

CAP CASS Governance Project Milestones: July - December 2016

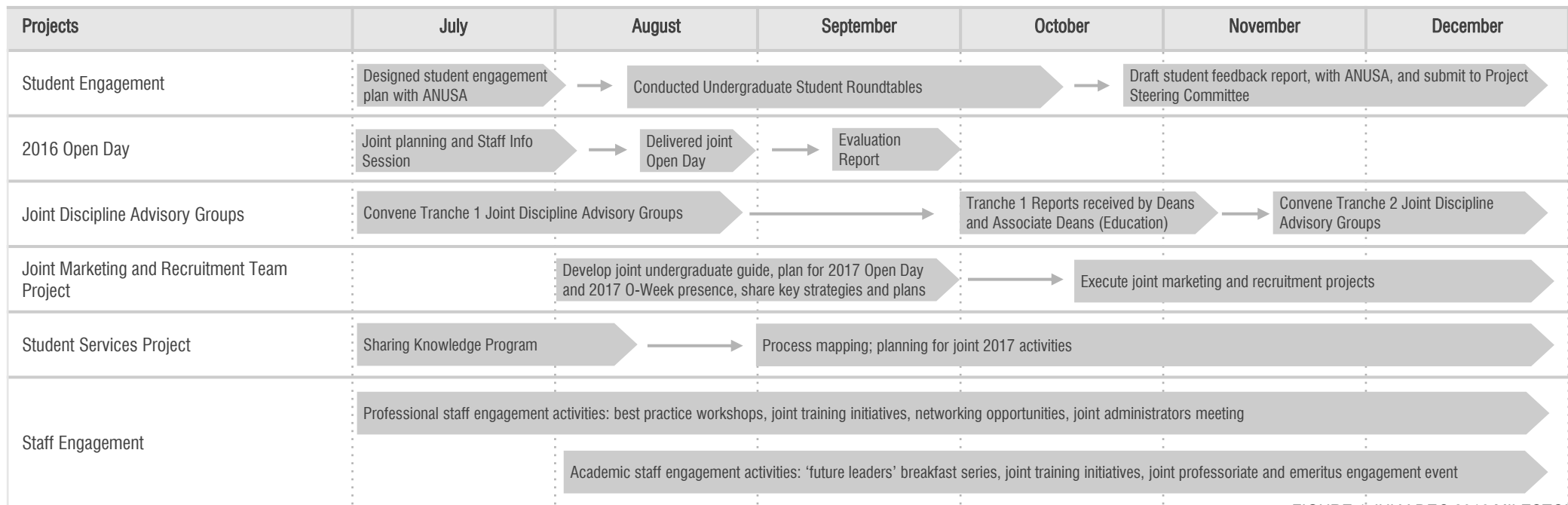


FIGURE 1 JULY-DEC 2016 MILESTONES

CAP CASS Governance Project Milestones: 2017

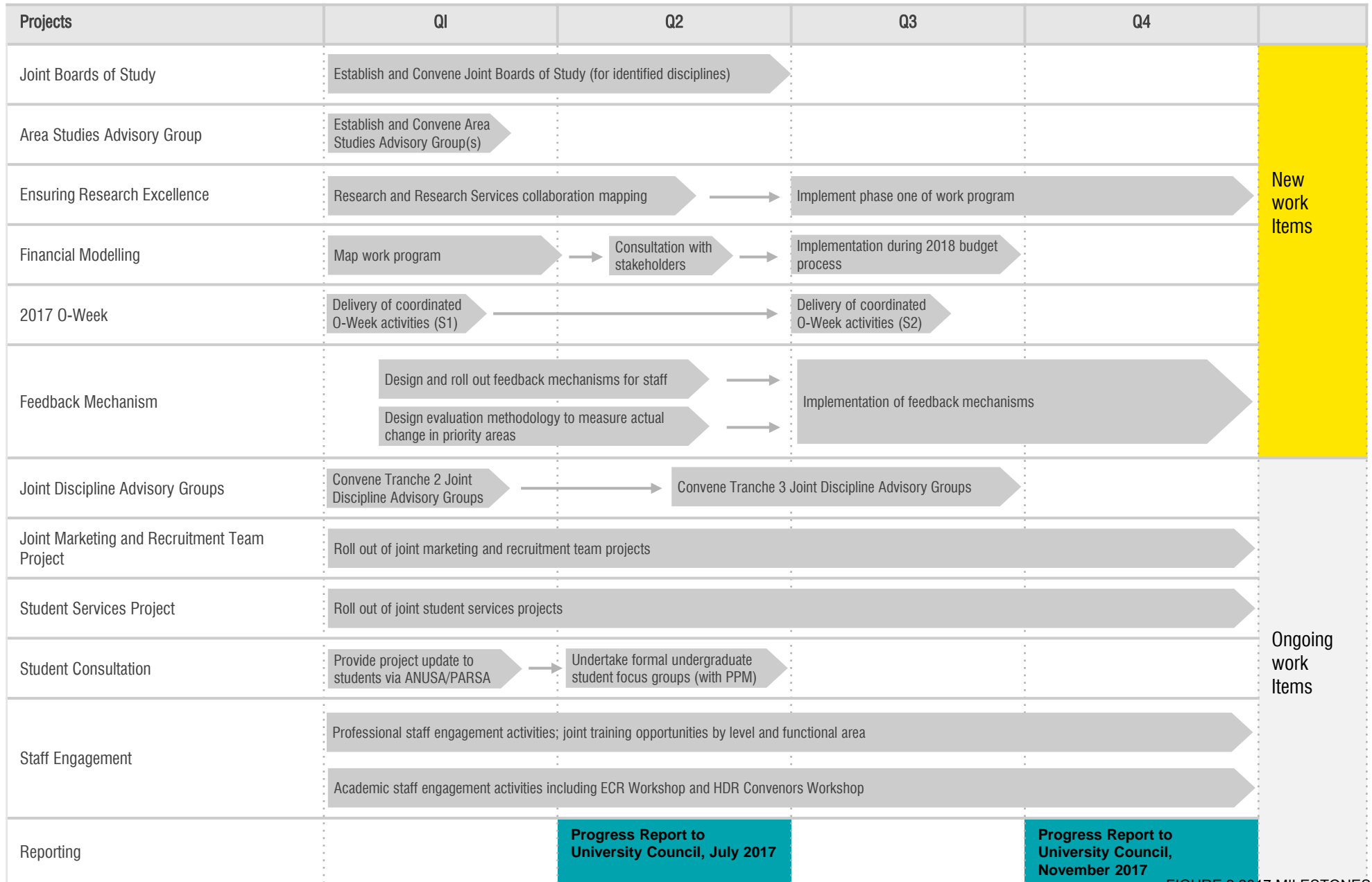


FIGURE 2 2017 MILESTONES

The Australian National University
Postgraduate and Research Students' Association
Incorporated



Constitution

(adopted 2/11/2016)

Part 1 Preliminary

1 Name

- (1) The name of the Association is "The Australian National University Postgraduate and Research Students' Association Incorporated".

2 Definitions

In this Constitution—

- (1) "AGM" means the Annual General Meeting of the Association;
- (2) "ANU College" means a College established by the Council, including:
 - (a) The ANU College of Arts and Social Sciences;
 - (b) The ANU College of Asia and the Pacific;
 - (c) The ANU College of Business and Economics;
 - (d) The ANU College of Engineering and Computer Science;
 - (e) The ANU College of Law;
 - (f) The ANU College of Medicine, Biology and Environment; and
 - (g) The ANU College of Physical and Mathematical Sciences.

- (3) "Association" means The Australian National University Postgraduate and Research Students' Association Incorporated;
- (4) "Council" means the Council of the Australian National University; (e) "postgraduate course" includes, for the purposes of this Constitution, the 'Bachelor of Medicine and Bachelor of Surgery' (MBBS) at the ANU Medical School.
- (5) "Postgraduate Student" means any University student enrolled in a postgraduate course at the University.
- (6) "PRC" means the Postgraduate Representative Council;
- (7) "University" means The Australian National University.

3 Objects

- (1) The objects of the Association are—
 - (a) to promote the welfare and further the interests of Postgraduate Students; and
 - (b) to afford a recognised means of representation for Postgraduate Students both within and outside the University, and a recognised means of communication between Postgraduate Students and the University authorities.

Part 2 Membership

4 Membership

- (1) There are three classes of membership: ordinary membership, associate membership and honorary life membership.
- (2) Any person who—
 - (a) is a Postgraduate Student; and
 - (b) has not stated that she/he does not wish to be a member is an **ordinary member** of the Association.
- (3) Any person who—
 - (a) has been an ordinary member of the Association for twelve (12) months or more;
 - (b) is not currently an ordinary member;
 - (c) has not been awarded the degree for, or failed, that postgraduate course in which she/he was enrolled; and
 - (d) has not stated that she/he does not wish to be a member is an **associate member** of the Association.
- (4) **Honorary life membership** of the Association may be conferred upon any person by a meeting of the PRC.
- (5) Associate members and honorary life members shall not vote at any meeting or election of the Association, shall not constitute a quorum, and shall not be eligible for election to the PRC, but shall otherwise have rights equal to ordinary members.
- (6) An ordinary or associate member ceases to be a member of the Association at such time as she/he ceases to fulfil the conditions in sub-sections 4(2) or 4(3) respectively. An honorary life member ceases to be a member if her/his membership is revoked by a meeting of the PRC.
- (7) There shall be no fee payable for membership of the Association as an ordinary, associate or honorary life member.

Part 3 The PRC

5 Powers of the PRC

- (1) The PRC, subject to the Act, the regulation, this Constitution, and to any resolution passed by the association in general meeting—
 - (a) controls and manages the affairs of the association; and
 - (b) may exercise all functions that may be exercised by the association other than those functions that are required by these rules to be exercised by the association in general meeting; and
 - (c) has power to perform all acts and do all things that appear to the committee to be necessary or desirable for the proper management of the affairs of the association.
- (2) The PRC is the Committee of the Association for the purposes of the Associations Incorporation Act 1991 (A.C.T.)

6 Composition and membership of the PRC

(1) The PRC consists of three types of member—

- (a) the Officers of the Association; and
- (b) College Representatives; and
- (c) General Representatives

each of whom must be elected or appointed under the Election Regulations made under Section 8 of this Constitution, or under Section 13 of this Constitution.

(2) The **Officers of the Association** are—

- (a) the President; and
- (b) the Vice-President; and
- (c) the General Secretary; and
- (d) the Treasurer; and
- (e) the Equity Officer; and
- (f) the Indigenous Australian Officer; and
- (g) the International Student Officer; and
- (h) the Social Officer; and
- (i) the Environmental Officer; and
- (j) the Communications Officer; and
- (k) the Education Officer; and
- (l) the Women's Officer.

(3) For each ANU College, there are two (2) **College Representatives**.

(4) Five (5) **General Representatives** are representative of the general student body at large.

(5) Each member of the PRC holds office, subject to this Constitution, until the declaration of results for annual general election in the election subsequent to the date of the member's election, but may stand for re-election subject to the provisions of the Election Regulations.

(6) The Executive of Association consists of the President, Vice-President, General Secretary, Treasurer and such of the Officers appointed from time to time by the President to serve on the Executive.

(7) The Executive is a committee of the PRC and reports to the PRC.

(8) If a vacancy arises in the membership of the committee, the PRC must follow the procedure in Section 13 of this Constitution.

7 Roles, duties, and responsibilities of PRC members and committees

- (1) The PRC may, subject to this Constitution, provide instructions, directions, or guidance to any member of the PRC or any committee of the PRC with respect to any aspect of the roles, duties, or responsibilities of the member or committee.
- (2) The President is the chief executive officer of the Association.
- (3) Subject to this Constitution and subject to specific direction given to the President by the PRC or by a general meeting (including an AGM), the President shall, in consultation with other members of the PRC—
 - (a) carry out the Association's business, including the conduct of all correspondence on behalf of the association;
 - (b) take such actions as are necessary to give effect to the objects of the Association;
 - ~~(c)~~ represent postgraduate students on the University Council, as required by Section 10 of the Australian National University Act 1991;
 - ~~(d)~~ (c) report on the Association's business to the AGM; and
 - ~~(e)~~ (d) delegate such responsibilities as she/he sees fit to delegate to any other member of the PRC.
- (4) The Treasurer must—
 - (a) collect and receive all amounts owing to the association and make all payments authorised by the association; and
 - (b) keep correct accounts and books showing the financial affairs of the association with full details of all receipts and expenditure connected with the activities of the association;
 - (c) Carry out any other roles and duties assigned by this Constitution or by the PRC.
- (5) No public or official statement may be made on behalf of the Association except—
 - (a) by the President; or
 - (b) by the authority of the President; or
 - (c) by the authority of the PRC.

8 Election of the PRC and Postgraduate student member of the ANU Council

- (1) An annual general election must be held to elect the PRC in accordance with the Election Regulations ~~under the supervision of a Returning Officer appointed in accordance with the Election Regulations.~~
- ~~(2)~~ All members of the PRC shall be directly elected by the ordinary members of the Association.
- ~~(3)~~ An election of a postgraduate student member of the Council must be conducted concurrently with the PRC election. The election shall be conducted in accordance with any relevant Statute or Rule of the University and under the same Election Regulations as specified in subsection (1).
- ~~(2)~~ (4) Elections must be conducted by a Returning Officer appointed in accordance with the Electoral Regulations.

9 Removal of Executives or Members of the PRC

There are two ways in which disciplinary matters and disputes involving a PRC member may be resolved—

- (1) A PRC member may be removed from office by the members of the Association as set out in Section 10 of this Constitution.
- (2) A PRC member ~~may~~ be disciplined as set out in Sections 11 and 12 of this Constitution.

10 Removal of PRC Member Not Enjoying the Continued Support of the Membership

- (1) The Association in general meeting may by resolution of no confidence carried in accordance with this clause by a 75% majority of those present and voting, remove any member or members of the PRC from office before the end of their term of office.
- (2) A resolution of the Association under subsection (1) is of no effect unless:
 - (a) the motion names the member or members of the PRC subject of the motion.
 - (b) the motion is signed by at least 100 members of the Association (including 5 members of the PRC);

- (c) notice of the general meeting is provided in accordance with the requirements of this Constitution to members of the Association, and to the officers affected by the proposed resolution;
 - (d) the officers affected by the proposed resolution are provided with an adequate opportunity to speak against the motion and to participate in debate concerning it; and
 - (e) no less than 20 ordinary members of the Association are present when the motion is voted on, in accordance with Part 4.
- (3) Subject to subsection (4), a motion of no confidence must state the grounds for lack of confidence in the member or members of the PRC named in the motion.
 - (4) A motion of no confidence and debate on it, must not raise allegations of misconduct or conduct prejudicial to the Association, which should be dealt with in accordance with section 11 of this Constitution.
 - (5) On a successful resolution of no confidence, the affected members of the PRC are deemed to no longer enjoy the continued support of the Association's membership and the affected positions are vacant.
 - (6) If all positions on the executive are vacant as a result of a successful resolution of no confidence, the general meeting must appoint a caretaker committee of three members of the PRC who shall exercise caretaker powers of the executive on behalf of the Association, pending the filling of the vacancies in accordance with this Constitution.
 - (7) Only business contemplated by this clause, may be carried out at a general meeting called to consider a motion of no confidence.
 - (8) Throughout this process, the Association must comply with the rules of natural justice, at least to the extent required by Section 50 of the Associations Incorporation Act 1991.

Explanation: Section 50 of the Associations Incorporation Act 1991, which is available online, provides that the rules of natural justice must be complied with in any process of this kind.

11 Discipline of Members of the PRC

- (1) For the purposes of this clause misconduct means—
 - (a) wilful conduct contrary to a provision of this Constitution, or a regulation or policy of the Association ; or
 - (b) wilful conduct prejudicial to the reputation or interests of the Association.
- (2) If a member of the Association believes that a member of the PRC has engaged in misconduct as defined in this clause, the member may write to the Administrator setting out the alleged basis of the misconduct and providing any evidence supporting the allegations.
- (3) The Administrator must refer the allegations to the Disputes Committee established under section 34.
- (4) The Disputes Committee must, as soon as practicable, serve a written notice on the member—
 - (a) setting out the allegations raised against the member in sufficient detail for the member to be able to respond to the allegations; and
 - (b) stating that the member may address the Disputes Committee at a meeting to be held not earlier than 14 days and not later than 28 days after service of the notice; and
 - (c) stating the date, place and time of that meeting; and
 - (d) informing the member that the member may do either or both of the following:
 - (i) attend and speak at that meeting;
 - (ii) submit to the Disputes Committee at or before the date of that meeting written representations relating to the allegations.
- (5) At a meeting of the Disputes Committee mentioned in subsection (4), the committee must—
 - (a) give to the member mentioned in subsection (4) an opportunity to make oral representations; and
 - (b) give due consideration to any written representations submitted to the PRC by that member at or before the meeting; and
 - (c) decide whether a claim of misconduct is made out against the member.
- (6) The Disputes Committee must comply with subsection 34(4) of this Constitution.

Note: Section 34(4) requires that the Disputes Committee comply with the rules of natural justice.

- (7) If after careful enquiry in accordance with this section, the Disputes Committee concludes that the member has engaged in misconduct the Committee must, in writing, inform the member and the PRC of its decision, setting out the Committee's findings, reasons and decisions and may —
- (a) remove the member from the PRC; or
 - (b) suspend the member from the PRC for a specified period; or
 - (c) withhold a payment amount of not more than \$500 from the PRC member from an amount they are otherwise entitled to receive from the Association as an honorarium; or
 - (d) issue the PRC member with a formal letter reprimanding the PRC member; or
 - (e) any combination of the above.
- (8) If the Disputes Committee does not make a finding of misconduct, it must inform the member in writing that no finding of misconduct has been made and that the enquiry will be closed.
- (9) If the Disputes Committee reasonably believes the allegations it has received credibly disclose possible criminal conduct, the Disputes Committee must refer the allegations to the police, and may also proceed in accordance with this section.
- (10) Other than for the proper performance of its functions, the Disputes Committee shall treat allegations referred to it, as confidential.
- (11) Other than a decision removing or suspending a member, which takes effect immediately, a decision of the Disputes Committee under subsection (7) does not take effect—
- (a) until the end of the period within which the member is entitled to appeal against the resolution if the member does not exercise the right of appeal within that period; or
 - (b) if within that period the member exercises the right of appeal—unless and until the Association holds a meeting in accordance with section 12 (4) to consider the member's appeal.

12 Right of appeal of disciplined PRC member

- (1) A member may appeal to the Association in general meeting against a decision of the Disputes Committee under section 11(7), within 7 days after notice of the resolution is served on the member, by lodging with the Administrator a notice to that effect.
- (2) On receipt of a notice under subsection (1), the Administrator must notify the PRC which must call a general meeting of the Association to be held within 21 days after the date when the Administrator received the notice or as soon as possible after that date.
- (3) Subject to Section 50 of the Associations Incorporation Act 1991, at a general meeting of the Association called under subsection (2)—
- (a) no business other than the question of the appeal may be transacted; and
 - (b) the PRC, a representative of the Disputes Committee and the member must be given the opportunity to make representations in relation to the appeal orally or in writing, or both; and
 - (c) the members present must vote by secret ballot on the question of whether the decision of the Disputes Committee made under section 11(7) should be revoked.
- Explanation: Section 50 of the Associations Incorporation Act 1991, which is available online, provides that the rules of natural justice must be complied with in any process of this kind.*
- (4) Unless the meeting passes a special resolution in favour of revoking a decision of the Disputes Committee made under section 11(7), that decision is confirmed.

13 Vacancies ~~on the PRC~~

- (1) For this Constitution, a vacancy in the office of a member of the PRC happens if the PRC member—
- (a) dies; or
 - (b) resigns the office; or
 - (c) ceases to be an ordinary member of the Association; or
 - (d) is removed from the PRC by either of the processes identified in Section ~~98~~ of this Constitution; or
 - (e) is absent without the consent of the PRC from three consecutive meetings of the PRC; ~~or~~
~~(f) in the case of the President, if he or she ceases to be qualified for membership of the University Council, he or she will cease to hold the office of President.~~
- (2) If a vacancy arises under Section 13(1) the PRC must as soon as practicable either—
- (a) fill the vacancy by an election held in accordance with the Election Regulations; or
 - (b) fill the vacancy by decision of the PRC to appoint a named individual to the vacancy.
- (3) Pending the filling of a vacancy under subsection (2), the most senior serving member of the Executive may carry out or delegate the functions of the vacant office, other than any power to vote connected with that office.
- (4) If a member of the PRC is appointed under Section 13(2)(b) to fill a vacancy in another position on the PRC, that appointment creates a vacancy, if the person was previously a General Representative, in the position of General Representative, if the person was previously a College Representative, in the position of College Representative, and if the person previously held a position as an officer in the PRC, that position.
- (5) The postgraduate student member of the Council holds office subject only to the provisions of the Australian National University Act and any relevant Statute or Rule of the University.
- ~~(4)(6) A vacancy in the office of postgraduate student member of the Council, shall be filled in accordance with the Australian National University Act, any relevant Statute or Rule of the University, and as provided for in the Election Regulations specified in subsection 8 (3).~~

14 Operation of the PRC

- (1) The PRC shall meet no less frequently than six (6) times a year. The first meeting of the PRC shall be held not more than two (2) weeks after the declaration by the Returning Officer of the results of the annual general election electing the PRC. Subsequent meetings shall be convened by the Administrator, at the direction of the President or of the PRC.
- (2) Each member of the PRC shall be given seven (7) days' notice in writing of the time, place and agenda of the next PRC meeting, except that the President or, in her/his absence, a Vice-President may call an emergency PRC meeting with one (1) days' notice. Any resolutions adopted by the PRC at an emergency meeting shall be considered at the next ordinary meeting of the PRC.
- (3) Any representative on the PRC may ask for item(s) to be included on the agenda.
- (4) Meetings of the PRC shall be open to all members of the Association, and all members of the Association shall have the right to speak to any motion or item of business.
- (5) At every meeting of the PRC, quorum shall be constituted by at least two of the President, Vice-President, General Secretary and Treasurer and at least half of the total elected members of the PRC.
- (6) At meetings of the PRC, the chairperson shall be the President, or the Vice President in the absence of the President. If neither the President nor the Vice President is present, the President's nominee shall be the chairperson.
- (7) Any decision of the PRC shall be by a majority vote of PRC members present. In the event of a tie, the chairperson shall have a casting as well as a deliberative vote.

15 Pecuniary interest and membership eligibility

(1) Where—

- (a) a member of the PRC has a direct or indirect pecuniary interest in a contract or other arrangement which has been made, or is proposed to be made, with the Association; and
- (b) that member of the PRC is present at a meeting of the PRC at which that contract or other arrangement is considered;

that representative shall disclose the nature of the pecuniary interest to the meeting, and may participate in the discussion, but may not vote on the matter.

- (2) A disclosure of pecuniary interest made under Section 15(1) shall be recorded in the minutes of the meeting.
- (3) During the period that any member of the PRC holds office, the Administrator is entitled to seek and obtain information from the University concerning the person's enrolment status as a postgraduate or research student.
- (4) If the Administrator is satisfied that a particular person is ineligible to be, or to continue to be, a member of the PRC, the Administrator must so inform the President and the chairperson of any meeting of the Association at which that person attends.

16 Regulations and standing orders

- (1) Subject to this Constitution, the PRC may make such regulations or standing orders as it sees fit to assist the convenient conduct of the Association's business. These regulations or standing orders may include, but are not necessarily limited to— standing orders to govern the conduct of any meeting of the Association or its members;
 - (a) methods by which meetings of the PRC or of the Association are to be advertised; and
 - (b) Election Regulations to govern the conduct of any election held by the Association in accordance with Section 8 of this Constitution.
- (2) Any regulations or orders made by the PRC must be advertised and made available to all members within seven (7) days of being made by the PRC.
- (3) Notwithstanding anything in this Section, any changes to regulations relating to the conduct of Association elections shall not take effect until three (3) months after their adoption by the PRC.

Part 4 General meetings**17 General meetings: calling of, procedure, and quorum**

- (1) A general meeting of the Association shall be called by the Administrator at the direction of the President, or at the direction of the PRC, or upon receipt of a written request signed by at least twenty (20) ordinary members of the Association. There shall be no limit to the number of general meetings held each year provided general meetings are called in accordance with this clause.
- (2) A general meeting shall only be held between ANU Orientation Week (usually mid-February) and the publication of examination results (usually late November).
 - (3) Except where the nature of the business proposed to be dealt with at a general meeting requires a special resolution of the Association, notice of the time, place and provisional agenda of a general meeting shall be given by advertisement to members at least seven (7) days prior to the meeting.
- (4) Advertisement shall be effected by—
 - (a) the placement of a public notice in a newspaper of the Australian Capital Territory; and
 - (b) the placement of a notice in an official newspaper, website, or similar publication that the University might produce; and
 - (c) such other means as the PRC may, from time to time, determine under section 16.
- (5) Matters for inclusion on the agenda of a general meeting, other than those matters requiring a special resolution, may be submitted by any member and must be given to the Administrator at least one (1) day prior to the meeting. In any case there shall be an item on the agenda under which any other business may be raised by those present at the meeting.

- (6) The quorum at a general meeting shall be twenty (20) ordinary members except that where a quorum is not achieved, the meeting may be reconvened with a quorum of eleven (11) ordinary members, under the following conditions—
- (a) that seven (7) days' notice of the reconvened meeting be given by advertisement;
 - (b) that such a meeting be designated a reconvened general meeting; and
 - (c) that all items and only those items on the original agenda, except for the item 'any other business', shall constitute the agenda of the reconvened general meeting.
- (7) The chairperson at a general or reconvened general meeting shall be the President or, in her/his absence, the Vice-President or, in their absence, a representative on the PRC appointed by the President.
- (8) All business at a general or reconvened general meeting shall be carried out in accordance with any standing orders made by the PRC under section 16.
- (9) Decisions at a general or reconvened general meeting shall be by a majority vote of ordinary members present. In the event of a tie, the chairperson shall have a casting vote as well as a deliberative vote. At the request of any five (5) ordinary members present at the general meeting, a secret ballot shall be held. Voting by proxy shall not be permitted at any general meeting of the Association.

18 Annual general meetings: calling of, procedure, and quorum

- (1) The Annual General Meeting (AGM) of the Association shall be convened by the Administrator within five (5) months of the end of the financial year.
- (2) The President's Annual Report, the Treasurer's Annual Report, Draft Budget and duly audited Annual Financial Statements and such other reports as the PRC determines shall be presented at the AGM and shall be made available for inspection by members at least fourteen (14) days before the AGM.
- (3) The AGM shall be conducted in accordance with the rules for general meetings as outlined in Section 17 of this Constitution, with the additional requirement that a notice of the AGM shall also be sent by email to every member of the Association for whom the Association has a University email address.

Part 5 Administration and finances

19 The Administrator

- (1) The PRC shall appoint an Administrator.
- (2) The Administrator may be a member of the Association.
- (3) Notwithstanding any other provision of this Constitution, the Administrator shall not vote at any general meeting of the Association (including the AGM) or at any PRC meeting, and may not speak at any such meeting except by invitation of the chairperson or by direction of the meeting.
- (4) The duties of the Administrator shall include—
 - (a) attending all general meetings (including AGMs) and PRC meetings, except where she/he has sought leave from the President, and taking minutes of these meetings, including a list of all members present; and
 - (b) such other duties required by this Constitution and as directed by the PRC or by the President.
- (5) If the position of Administrator becomes vacant, or if the Administrator is unavailable to perform her/his duties—
 - (a) the President shall appoint one of the members of the PRC to act as Administrator pro tem; and
 - (b) The Administrator pro tem shall assume all the duties and responsibilities of the Administrator until a new Administrator is appointed, except that the Administrator pro tem shall not be subject to the restrictions placed upon the Administrator by Section 19(3) of this Constitution.

20 Public Officer

- (1) The PRC shall appoint a person, normally the Administrator, to be the Public Officer of the Association.
- (2) The Public Officer shall, fourteen (14) days after her/his appointment, notify the relevant authority in writing of the appointment and supply her/his full name and address.

- (3) The Public Officer shall also supply any and all documents required by the relevant authority and shall perform any other duties as required by the relevant legislation.
- (4) The office of Public Officer becomes vacant if the person holding that office—
 - (a) dies;
 - (b) becomes bankrupt, applies to take the benefits of a law for the relief of bankrupt or insolvent debtors or compounds with her/his creditors;
 - (c) becomes of unsound mind;
 - (d) resigns her/his office by writing to the President; (e) ceases to be resident in the ACT.
- (5) If the office of Public Officer becomes vacant, the PRC shall within fourteen (14) days after it becomes vacant, appoint another person to fill the vacancy.

21 Auditor and audit

- (1) An auditor shall be appointed by the PRC and shall audit the financial affairs of the Association and certify as to the correctness of the Annual Financial Statement and Balance Sheet.
- (2) The auditor must not be a member of the Association.
- (3) The Treasurer shall ensure that the audit is completed at least fourteen (14) days before the AGM.

22 Finances and funding

- (1) The assets and income of the organisation shall be applied solely in furtherance of its above-mentioned objects and no portion shall be distributed directly or indirectly to the members of the organisation except as bona fide compensation for services rendered or expenses incurred on behalf of the organization
- (2) The Association derives its funds from the Student Associations Finance Committee of the Australian National University, from any external sponsorship which may be obtained, and any investments held.
- (3) No member of the Association shall be personally liable to contribute towards the payment of the debts and liabilities of the Association or the costs, charges and any expenses of the dissolution or winding up of the Association.

23 Budget and Treasurer's Report

- (1) The Treasurer and President shall prepare a budget to be presented to the PRC for approval.
- (2) The Treasurer shall prepare an Annual Report and Annual Financial Statement and Balance Sheet for audit and presentation to the AGM.
- (3) In accordance with the Associations Incorporation Act 1991, the Administrator shall lodge the annual return of the Association within six (6) months of the end of each financial year.

24 Financial year

The financial year of the Association shall commence on the first day of January in each year.

25 Bank accounts, liabilities, and expenditures

- (1) The Association shall maintain such bank accounts in its name as the Treasurer deems necessary.
- (2) Withdrawal of moneys from any account shall be authorised by—
 - (a) the signatures (including electronic approval) of any two (2) members of the Executive of the Association; or
 - (b) the signatures (including electronic approval) of any member of the Executive of the Association and the Administrator.
- (3) No person shall incur liabilities on behalf of the Association without consulting the Treasurer or the President. Should a situation arise where actions taken in good faith have caused expenditure to exceed a budget estimate, then this fact shall be reported to the next meeting of the PRC.
- (4) Between the start of a financial year and approval of that year's budget, the Treasurer shall authorise expenditure to continue the ordinary business of the Association or to meet any outstanding liability incurred by the Association.

26 Association's books

- (1) Subject to the provisions of the Associations Incorporation Act 1991, the Regulations made under that Act, and the provisions of this Constitution, the Administrator shall keep in her/his custody or under her/his control all records, books, and other documents relating to the Association.

- (2) The records, books and other documents of the Association shall be open to inspection in the office of the Association at any reasonable hour.

27 President may be paid honorarium

- (1) Subject to this section, the President may be paid an honorarium of not more than the net sum equivalent to:

- (a) An ANU PhD Annual basic stipend (after any related taxes); and
 (b) 30% of the difference between:

- (i) the Association's funds at the time of the proposed payment of the first instalment plus reasonably expected income for the rest of that year of office; and
 (ii) reasonably estimated financial liabilities for the rest of that year of office.

- (2) In this section "year of office" means the period from one Annual General Meeting until the next.
 (3) The first instalment of the President's honorarium must not be made earlier than 6 months after the previous election of the PRC. The second instalment must not be made earlier than 11 months after the previous election of the PRC.
 (4) If during the year of office the person elected as President ceases to hold that office and one or more other persons subsequently holds that office, the honorarium for that year of office is to be divided between the holders of the office of President proportionately to the length of time they each held that office, and is to be paid at a time or times determined by the PRC.
 (5) If the office of President is vacant for more than 4 weeks, the honorarium for that year of office is to be reduced by an amount proportionate to the length of time of the vacancy.
 (6) The President may waive the right to receive some or all of the honorarium, and if she or he does so, the President may recommend to the PRC, which may approve, that the relevant amount be paid instead to one or more other officers as nominated by the President.

28 Freedom of information

- (1) Upon receipt of a request in writing, the President shall supply to any member of the Association within fourteen (14) days copies of—
- (a) this Constitution, as amended;
 (b) any regulations or standing orders of the Association;
 (c) the minutes of any general meeting (including an AGM) or the minutes of any PRC meeting;
 (d) audited financial statements and Treasurer's reports; and
 (e) the current draft budget or approved budget.
- (2) Upon receipt of a request in writing, the President shall within fourteen (14) days grant to any member of the Association access to documents or electronic records other than those referred to in Section 28(1) of this Constitution produced by the Association, its officers, employees or the PRC, except that the President may restrict access to protect the confidentiality of any document or records.
- (3) Access to any document or record not produced by the Association, its officers, employees or the PRC but which has been submitted to or is held by the Association explicitly or implicitly in confidence, shall only be granted with the permission of the other parties to that document or record. All disputes concerning access shall be resolved by the PRC.

29 Common seal

- (1) The common seal of the Association shall be kept by the Administrator.
 (2) The common seal shall be affixed by authority of the PRC, and any two of the President, Vice- President, and Treasurer shall sign below the seal.

30 Interpretation

- (1) The President shall be empowered to interpret this Constitution except that, at any meeting of the Association or of the PRC, the chairperson shall interpret the Constitution subject to the direction of the meeting.

31 Indemnity

- (1) All members and employees of the Association shall be and are hereby indemnified by the Association against losses or expenses incurred by them in or about the discharge of their respective duties except against any liability that by law would otherwise attach to her/him in respect of any negligence, default, breach of duty, breach of trust or unlawful conduct of which she/he may be guilty in relation to the Association.

32 Dissolution or Winding-up

- (1) A motion to dissolve or wind up the Association may be considered at any general meeting (including an AGM) in accordance with the rules for general meetings in section 17 except that
 - (a) at least 21 days' notice of such a general meeting shall be given to members; and
 - (b) such notice shall be accompanied by a notice of intention to propose a motion to dissolve or wind up the Association.
- (2) A motion to dissolve or wind up the Association must be passed by a majority of at least 75% of the votes of those ordinary members of the Association who, being entitled to vote, vote in person at the general meeting.
- (3) In the event of the organisation being dissolved, the amount that remains after such dissolution and the satisfaction of all debts and liabilities shall be transferred to another organisation with similar purposes which is not carried on for the profit or gain of its individual members.

33 Alteration of the Constitution

- (1) This Constitution may be amended by special resolution at any general meeting (including an AGM) in accordance with the rules for general meetings in sections 17 and 18 of this Constitution, except that
 - (a) at least twenty-one (21) days' notice of the special resolution shall be given to members of the Association; and
 - (b) a decision to amend the Constitution shall require the support of seventy-five per centum (75%), to the nearest whole number, of ordinary members present and voting.
- (2) Full notice of proposed amendments to the Constitution shall be given to members at the same time and in the same way as notice of the general meeting at which the amendments are to be proposed.
- (3) The Administrator shall ensure that, once passed at a general meeting, amendments to the Constitution are submitted to the Council for ratification and thence to the relevant local authority.
- (4) No amendment to the Constitution shall have any effect until ratified by the Council and, if necessary, by the relevant local authority.

34 Disputes Committee

- (1) There is to be a Disputes Committee, which must be established and operate under this Section 34.
- (2) No sooner than 3 months and no later than 6 months after the election of the PRC, the PRC must appoint a Disputes Committee.
- (3) The Disputes Committee is established to determine any allegation of misconduct against a member of the PRC.
- (4) In exercising its functions, the Disputes Committee must comply with the principles of natural justice.

Explanation: Section 50 of the Associations Incorporation Act 1991, which is available online, provides that the rules of natural justice must be complied with in any process of this kind.

- (5) The Disputes Committee must consist of not less than 3 and not more than 5 individuals.
- (6) In appointing the members of the Disputes Committee, the PRC must ensure that:
 - (i) one member of the Disputes Committee is not a member of the Association at the time of the appointment;
 - (ii) other than the member appointed under Section 34(6)(i), all other members of the Disputes Committee must be members of the Association at the time of the appointment; and
 - (iii) no member of the Disputes Committee is a member of the PRC at the time of the appointment.

Explanation: the requirements in Section 34(6) are intended to bolster the independence of the Disputes Committee. The appointment under Section 34(6)(i) might be, for example, an appointment of an ANU lecturer, an undergraduate student, a lawyer, or a graduated past president of PARSA, or anyone else not a member of PARSA at the time of their appointment.

- (7) For the avoidance of doubt, no serving member of the PRC may serve on the Disputes Committee at any time.
- (8) The Disputes Committee has the power to view any document in the possession of the Association relevant to the performance of the Committee's functions.
- (9) The Disputes Committee must appoint one member of their Committee to act as chair.
- (10) Decisions of the Disputes Committee must be by majority vote.
- (11) In addition to their vote as a member of the Committee, the chair of the Committee has a casting vote in the case of a tied vote on a motion before the Committee.
- (12) A member of the Disputes Committee hold office until:
 - (a) (in the case of a member of the Committee who was a member of the Association when appointed to the Committee under Section 34(6)(ii)) the member is no longer a member of the Association;
 - (b) (in the case of a member of the Committee who was not a member of the Association when appointed to the Committee under Section 34(6)(i)) the member becomes a member of the Association;
 - (c) The member resigns, in writing, to the Administrator of the Association;
 - (d) The member is removed by a resolution carried by a two-thirds majority of those present and voting at a general meeting of the Association;
 - (e) The member became a member of the PRC; or
 - (f) A new Disputes Committee is appointed by the PRC in accordance with subsection 34(2)

35 Discipline of Member of the Association

- (1) Except for those provisions of this Constitution relating to the disciplinary processes for members of the PRC as members of the PRC, this Constitution makes no provision for the disciplining of members of the Association.

36 Transitional Provisions

- (1) This Constitution supersedes and revokes the previous constitution of the Association.

PARSA Election Regulations – Proposed amendments

1. Overview

- Delete section 1(g) to (i) and insert instead:
 - (g) *As provided in Section 4 of the PARSA Constitution, only ordinary members of the Association are eligible to vote for, or stand for election to, a representative position within the Association.*
 - (h) *All enrolled Postgraduate Students, regardless of the membership status in the Association, are eligible to vote for, or stand for election to the position of postgraduate student member of the Council.*
 - (i) *An annual general election must be held to elect the PRC and the postgraduate student member of the Council in accordance with these Election Regulations under the supervision of the Returning Officer appointed in accordance with these Regulations.*
 - (j) *All members of the PRC and the postgraduate student member of the Council, shall be directly elected by the members of the Association and Postgraduate Students respectively.*

2. Application of Regulations

- Delete section 2(a) and insert instead:
 - (a) *These Regulations apply to:*
 - (i) *annual general elections for the PARSA PRC and the postgraduate student member of the Council; and*
 - (ii) *any election conducted in accordance with Section 13 of the PARSA Constitution to fill a casual vacancy or vacancies on the PARSA PRC or a casual vacancy in the position of postgraduate student member of the Council.*

3. Returning Officer

- Delete section 3 (a) and (b) and insert instead:
 - (a) *At least eight weeks before any annual general election is to be held and at least six weeks before any election to fill a casual vacancy, the PRC must appoint a Returning Officer to conduct the election. The appointment of the Returning Officer must be approved by the Vice-Chancellor of the University before it can take effect. If not approved by the Vice-Chancellor, the Vice-Chancellor must provide reasons in writing for non-approval.*
 - (b) *The Returning Officer:*
 - (i) *may not be a proposer, seconder, or nominee in the election for which she or he is Returning Officer;*
 - (ii) *must not have been a member of the PARSA PRC or the Council at any time during the academic year in which the election is held; and*

(iii) must not have been an employee of PARSA at any time during the academic year in which the election is held.

- Delete section 3 (e) and insert instead:

(e) The Returning Officer may appoint delegates to assist the Returning Officer with the conduct of the election, especially, but not limited to assisting with the collection and administration of nominations, the configuration and execution of the Voting system (“voting system”) agreed to by President and Returning Officer, unless directed otherwise by the PRC, and any other work required for the proper conduct of the election.

4. Electoral Systems and Eligible Voters

- Delete section 4 (c) and insert instead:

(f) The positions to be filled by the voting system are:

(i) for an annual general election for the PARSA PRC, those positions identified in Section 6 of the PARSA Constitution; and

(ii) for an annual general election for the position of postgraduate student member of the Council; or

(iii) for an election to fill a casual vacancy or vacancies on the PARSA PRC, the position or positions that have become vacant under Section 13 of the PARSA Constitution.

5. College Representatives: candidates and voters

- Delete section 5 (a) and insert instead:

(a) A member of PARSA can only stand in the same election for

(i) election to One Officer Position;

(ii) election either as a General Representative or a College Representative; and

(iii) election as the Postgraduate Member of the University Council.

- At the end of section 5 insert sub-section (e):

(e) Section 5 has no bearing on the eligibility of a Postgraduate Student to stand for election to the position of postgraduate student member of the Council concurrently with another position elected under these Regulations.

6. Election dates

- Delete section 6(c) and (d) and insert instead:

(c) In setting the election date, the PRC must ensure that the period during which voters may vote at elections is:

(i) for an annual general election for the PARSA PRC and the postgraduate student member of the Council, five (5) consecutive academic days;

(ii) for an election to fill a casual vacancy or vacancies on the PARSA PRC or a casual vacancy of the postgraduate student member of Council, at least two (2) consecutive Academic Days and no more than five (5) consecutive Academic Days.

(d) The Returning Officer has the discretion to subdivide the election period into consecutive ballots for elections in the following order:

(i) Ballot for election of Officers and the election of a postgraduate student member of Council;

(ii) Ballot for election of College Representatives and General Representatives.

7. Counting of Votes and Declaration of Poll

- Delete section 7 (c) and insert instead:

(c) The Returning Officer shall determine the results for each position in the following order:

(i) election as an Officer;

(ii) election as a College Representative and General Representative;

(iii) election as a postgraduate student member of the Council.

- Delete section 7(e) and insert instead:

(e) The results of the voting system will be declared by the Returning Officer by notice placed on the PARSA website and by notice displayed prominently at the PARSA place of business as soon as practicable, but no later than 24 hours after the results of the election are declared. The Returning Officer must notify the Vice-Chancellor of the University of the result of the election of a postgraduate student member of the Council no later than 24 hours after the results of the election are declared. The Returning Officer must provide a written report on any election to the PRC or the postgraduate member of Council as soon as practicable after the poll is declared, and no later than the second PRC meeting after the poll is declared, and the PRC must ensure the report can be viewed by PARSA members on request. The report must include: ...

9. Nominations

- Delete section 9 (a) and insert instead:

(a) For the annual general elections, the Returning Officer must issue a call for nominations for each position identified in Section 6 of the PARSA Constitution, and for the postgraduate student member of the Council, identified in Section 8 of the PARSA Constitution.

- Delete section 9 (r) and insert instead:

(r) If the number of candidates nominated for any PRC position is below the number required to be elected, an election for that position is not required, and any unfilled position is to be considered a casual vacancy, and must be filled in accordance with section 13 of the PARSA Constitution.

- *Insert new section 9(s) after section 9(r):*
 - (s) *If there are no nominations for the position of postgraduate student member of the Council, the Returning Officer must call for nominations again, repeating the process as specified in section 9, until at least one nomination is received.*
- *Renumber section 9(s), (t) and (u) as 9(t), (u) and (v).*

10. Polling Procedure

- *Delete section 10(a) to (c) and insert instead:*
 - (a) *The Returning Officer must ensure that procedures are in place to:*
 - (i) *limit each eligible voter to voting no more than once for each position; and*
 - (ii) *ensure that the way in which any eligible voter votes is not revealed, either when that member votes or at any later stage.*
 - (b) *Where a person claiming to be an eligible voter attempts to log on to the voting system and is unable to do so, the Returning Officer or their nominee must provide to the person a declaration vote envelope and a set of ballot papers for the elections for which the person claims they are eligible to vote, with each ballot paper bearing the word "declaration".*
 - (c) *Where an eligible voter is issued ballot papers under Clause 10(b), the member shall mark their ballot papers as if it were the voting system, enclose the ballot papers in the declaration vote envelope provided, sign the declaration on the envelope, and return the envelope to the Returning Officer or their nominee who issued the ballot papers to the member.*

12. Tickets and Registration of Ticket Names

- *Delete section 12 (e)(vii) and insert instead:*
 - (vii) *The application for registration of the ticket name is signed by at least 5 eligible voters who have not been signatories to the application for registration of another registered ticket name; and*

13. Electoral Offences

- *Delete section 13(f)(ii) and insert instead:*
 - (ii) *for a person who is not an eligible voter to campaign on behalf of a candidate or ticket during an election.*
- *Delete section 13(j)(v) and insert instead:*
 - (v) *remove a member's right to stand for any PRC office in the Association for a specified period, not exceeding 2 years;*



Australian
National
University

Renaming Plan – Regulatory Institutions Network (RegNet) Business Case

Endorsed by the Director
Regulatory Institutions Network (RegNet):



Professor Sharon Friel

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CRICOS Provider No. 00120C

Introduction

The Regulatory Institutions Network (RegNet), in the College of Asia and the Pacific is an ANU Tier 4 unit (School/Centre). RegNet is currently undergoing a period of growth and development and is also entering into a new five-year strategic planning period. To highlight this growth and maximise its competitive edge, RegNet is proposing a name change: ***RegNet: School of Regulation and Global Governance***.

The primary objectives of this proposal are to enhance RegNet's research, education and engagement programs by:

- Articulating RegNet as an international leader in research and education in regulation and governance.
- Harnessing the power of RegNet's existing reputation to deepen and extend engagement with current stakeholders.
- Clarifying RegNet's core business in order to expand engagement and collaboration in research and education with new stakeholders and audiences.

The proposed name change will also make clearer RegNet's existing status as a School within the University's unit structure and remove the confusion of its status identified in the recent Australian National University (ANU) review of the *Centres and Institutes Policy*.

Background – The RegNet Story

RegNet was established as a Tier 4 unit in 2001, following a successful competitive bid for funding from the ANU's Institute Planning Committee to establish a University Centre made up of networks of researchers, visiting practitioners and academics dedicated to research and education in the field of regulation and governance.

RegNet has over the past 14 years delivered and expanded on this mandate, earning a reputation as a dynamic community of scholars from different disciplines leading research in regulation and governance locally, nationally and globally. RegNet has also become a model for interdisciplinarity generally.

RegNet entered into a new phase in its leadership in mid-2014 that saw its narrative evolve to include clearly defined principles of justice, sustainability and human well-being that are pursued through rigorous interdisciplinary research in regulation and governance.

RegNet's research is now organised around five intersecting thematic Clusters: Climate, Energy & the Environment; Human Rights; Law & Justice; Society, Safety & Health; Trade, Investment & Intellectual Property.

RegNet's interdisciplinarity has been extended to include public health, criminology, economics, human geography, international relations, law, philosophy, psychology, public administration, and sociology. It also includes partnering between natural and social

Renaming Plan – Regulatory Institutions Network (RegNet): Business Case

scientists, and uses innovative forms of knowledge translation in collaboration with policy makers, practitioners and community groups internationally and within Australia to tackle complex social and environmental problems.

RegNet works across Asia-Pacific in countries such as Afghanistan, Bangladesh, Cambodia, China, East Timor, Indonesia, Japan, Mongolia, Myanmar, Pakistan, Papua New Guinea, South Korea, and Vanuatu, and with projects and partners also in Europe, North and South America and Africa.

RegNet's collaborators include international and UN agencies such as the World Health Organisation, International Committee of the Red Cross, International Court of Justice, Office of the High Commissioner for Human Rights, UN Permanent Forum on Indigenous Issues and other foreign and Australian government agencies including the Australian Federal Police, the Attorney-General's Department, the Department of Foreign Affairs and Trade (DFAT), Safe Work Australia, Rural Industries Research and Development Corporation (see attachment 1 for a list of funders and collaborators).

Proposal

Current name – catalyst for change

As higher education sector funding becomes more competitive, the need to attract new national and international audiences to RegNet for collaboration and engagement in research and education activities is essential. RegNet's revised vision and associated narrative, its expanded scope of research expertise and current recruitment round of mid and senior level academic staff, positions RegNet well to capitalise and build on its research excellence, knowledge translation expertise and diversify its education portfolio.

RegNet is a name well known within academia, government, business and community groups. Its longevity over the past decade and a half, its recognition as a go-to place for interdisciplinary study and expertise in evidence for policy and regulatory practice illustrates its relevance and place in the market.

However, as the growth and evolution of the past few years have widened the breadth of RegNet's vision, personnel, and activities, it is now apparent that the name 'RegNet' alone does not easily communicate its mission. Changing RegNet's title is a straightforward way to help address the issue. The challenge in this, however, is to ensure that the reputational capital of the name 'RegNet' is protected while enabling better definition of its focus and its capacity to evolve in new research and educational directions.

Proposed action

We propose to rename RegNet to **RegNet: School of Regulation and Global Governance**. The anticipated result of this change will:

1. **Articulate RegNet as an international leader in research and education in regulation and global governance:**

RegNet is already recognised as a leader in interdisciplinary research in regulation and global governance. The name change will convey this easily and immediately to new audiences and to remind existing collaborators.

2. **Harness the power of RegNet's existing reputation to deepen and extend engagement with current stakeholders:**

RegNet's current stakeholders identify with the original shorthand name (RegNet) and retaining this in the new name capitalises on the reputation built over the preceding 15 years. It also allows for these stakeholders to be engaged and participate in the evolution and building of the School into the future.

3. **Clarify RegNet's core business in order to expand engagement and collaboration in research and education to new stakeholders and audiences:**

The inclusion of *School of Regulation and Global Governance* into RegNet's name clearly defines its research, education and engagement agenda and readily identifies its scope and ambition to new audiences. The new name also clearly identifies the unique focus on regulation, which is not available elsewhere in the university. Another distinctive aspect of RegNet research is its attention to a variety of levels of governance: local, national, regional and global. This reach is captured in the proposed title.

The abbreviated reference for the School will remain 'RegNet'. The decision to retain the abbreviated form mitigates any confusion that may arise within the University and our wider stakeholders.

Renaming Plan – Regulatory Institutions Network (RegNet): Business Case

Strategic alignment within ANU

Strategic Plan	Goal	Proposal alignment to Goal
ANU by 2020	<p>Enhance the distinctive excellence of ANU</p> <p>Engagement with government and building critical mass of research and education excellence in public policy</p>	<p>Confirms and makes explicit RegNet's commitment to being a leader in the field of regulation and governance.</p> <p>Enables stronger relations and engagement with government and policy makers in Australian and international agencies – many of whom are already, and increasingly, reaching out to RegNet for support around issues of best practice regulation and optimal modes of governance for complex policy problems.</p>

Risk assessment

Risk	Likelihood	Impact	Rating	Mitigation
Resistance from personnel	Unlikely	Moderate	Low	Clear communication and inclusion of personnel in the renaming process which emphasises that the well-established and highly regarded name of RegNet will not be lost and that the new name will enhance this reputation.
Confusion from stakeholders	Unlikely	Moderate-high	Low	Clear communication strategy with networks to launch the new name emphasising that this will provide greater clarity to our stakeholders.

Timeline for implementation

The implementation of the change of name will develop as follows:

Date	Action
6 October 2015	Socialising with RegNet personnel at the Centre meeting and beyond
4 November 2015	Proposal submitted to College Executive for approval and for onward submission by CAP Dean to the ANU Vice Chancellor for approval
14 December 2015- 31 January 2016	Rebranding – signs, stationery, and internal ANU references
February/March 2016	Launch of RegNet: School of Regulation and Global Governance

RegNet's network of funders and non-academic collaborators (current and historic)

Category 1

- Australian Research Council
- Department of Family and Community Services
- Department of Foreign Affairs and Trade
- National Drug Law Enforcement Research Fund
- National Health and Medical Research Council
- Rural Industries Research and Development Corporation

Category 2-4

- ACT Gambling & Racing Commission
- ACT Police
- AIDS Trust
- Australian Aid
- Australian Civil Military Centre
- Australian Competition and Consumer Commission
- Australian Council for Safety and Quality in Health Care
- Australian Federal Police
- Australian Institute of Criminology
- Australian Taxation Office
- Attorney General's Department
- Biodiversity Fund of Hivos and Novib
- British Home office and Metropolitan Police
- Canadian International Development Agency
- Chiquita
- Deutsche Gesellschaft für Technische Zusammenarbeit GmbH
- EPA Victoria
- Esmaee Fairbairn Foundation
- Gambling Research Panel, Victoria
- Government of Finland
- Interchurch Organisation for Development Cooperation
- Japanese Department of Education
- John T and Catherine D MacArthur Foundation
- Menzies Foundation
- National Occupational Health and Safety Commission

Renaming Plan – Regulatory Institutions Network (RegNet): Business Case

- Netherlands Organization of Scientific Research
- Rockefeller Foundation
- Safework Australia
- Social Sciences and Research Council (Government of Canada)
- South African/Norwegian Programme for Research Cooperation
- Swedish International Development Agency
- UK Economic and Social Research Council
- UniTAB
- United Nations including World Health Organisation; UNESCO
- Victoria Police
- Worksafe Victoria

ANU Council and Council Committee Skills Matrix

Membership category	Council member	Mandatory		Desirable (skills, experience or qualifications)																	Other qualities				
		Financial (2)	Commercial (1)	Higher education	Research and Public Policy	Recent student experience	Alumni perspectives	Board-level experience / Governance specialist	Strategic planning	Executive recruitment and remuneration	Audit and Risk Management	Investment	Campus/urban planning	Legal	International networks and/or business experience	Relevant industry networks	Relevant government networks	Relevant community networks	Relevant philanthropic networks	Media and external communications management	Gender	State of residence	Indigenous	Independent	Years of service (at end of current term)
Chancellor	Professor Gareth Evans AC			✓	✓			✓	✓	✓				✓	✓		✓		✓	M	VIC		✓	9	
Vice-Chancellor	Professor Brian P. Schmidt AC			✓	✓									✓	✓	✓	✓	✓	✓	M	ACT			5	
Ministerial appointed members	Ms Robin Hughes AO			✓	✓			✓	✓	✓	✓			✓			✓		✓	F	NSW		✓	13	
	Professor Suzanne Cory AC			✓	✓			✓						✓			✓			F	VIC		✓	4	
	Ms Naomi Flutter	✓	✓		✓		✓	✓	✓		✓		✓	✓	✓					F	NSW		✓	4	
	Mr Graeme Samuel AC	✓	✓		✓			✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	M	VIC		✓	8	
	Dr Doug McTaggart	✓	✓	✓	✓		✓	✓	✓	✓	✓			✓	✓	✓				M	QLD		✓	8	
	Mr Peter Yu	✓	✓		✓			✓	✓								✓	✓		✓	M	WA	✓	✓	4
	Ms Natasha Stott Despoja AM			✓	✓			✓	✓					✓	✓		✓	✓		✓	F	SA		✓	4
Elected members	Professor Catherine Waldby			✓	✓									✓						F	ACT			2	
	Professor Jan Provis			✓	✓			✓									✓			F	ACT			1.2	
	Professor Tim Senden		✓	✓	✓		✓	✓	✓					✓	✓	✓				M	ACT			4	
	Ms Deborah Veness			✓		✓			✓					✓			✓			F	ACT			2	
	Ms Alyssa Shaw			✓		✓	✓	✓									✓			F	ACT			1	
	Mr James Connolly			✓		✓											✓			M	ACT			1	

ANU Council and Council Committee Skills Matrix

Membership category	Council member	Mandatory		Desirable (skills, experience or qualifications)																	Other qualities				
		Financial (2)	Commercial (1)	Higher education	Research and Public Policy	Recent student experience	Alumni perspectives	Board-level experience / Governance specialist	Strategic planning	Executive recruitment and remuneration	Audit and Risk Management	Investment	Campus/urban planning	Legal	International networks and/or business experience	Relevant industry networks	Relevant government networks	Relevant community networks	Relevant philanthropic networks	Media and external communications management	Gender	State of residence	Indigenous	Independent	Years of service (at end of current term)
Council Committee members	Mr Geoff Knuckey	✓	✓				✓	✓		✓					✓	✓				M	ACT		✓	8	
	Mr Jeremy Chandler	✓	✓				✓	✓	✓	✓					✓	✓				M	ACT		✓	4	
	Mr Mark Ridley	✓	✓				✓			✓					✓	✓				M	ACT		✓	6.2	
	Ms Janine McMinn	✓	✓				✓	✓	✓	✓					✓	✓				F	ACT		✓	4	
	Mr Darren Keogh	✓	✓				✓	✓	✓		✓			✓	✓					M	NSW		✓	4	
	Dr Geoff Warren	✓	✓	✓	✓	✓	✓			✓	✓				✓	✓				M	NSW		✓	2	
	Ms Merran Kelsall	✓	✓	✓			✓	✓	✓	✓	✓			✓	✓					F	VIC		✓	2	
	Mr Tony McGrath	✓	✓				✓	✓	✓	✓	✓	✓			✓				✓	M	NSW		✓	2	
	Professor Carmen Lawrence	✓		✓	✓		✓	✓	✓							✓	✓		✓	F	WA		✓	6	
	Ms Hilary McPhee				✓		✓	✓	✓					✓	✓					F	VIC		✓	6	
	Ms Julie Steiner		✓	✓			✓	✓	✓					✓	✓	✓			✓	F	NSW		✓	3	
	Professor Kieran Kirk			✓	✓		✓	✓						✓		✓				M	ACT			6	
	Mr Malcolm Snow		✓				✓	✓				✓			✓	✓				M	ACT		✓	2	
	Professor Sue Holliday		✓	✓	✓	✓	✓	✓				✓			✓	✓	✓			F	NSW		✓	3	
	Mr Stephen Byron	✓	✓				✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	M	ACT		✓	2	
Professor Chennupati Jagadish AC			✓	✓			✓	✓					✓	✓	✓	✓			M	ACT			2		
Professor Ann McGrath			✓	✓			✓	✓					✓						F	ACT			2		

2016 FINANCE COMMITTEE SELF ASSESSMENT SURVEY

QUESTIONS	AGGREGATED RESPONSES
1. FINANCE COMMITTEE CHARTER	
The Charter articulates the Committee's responsibilities and provides the Committee with the necessary authority to fulfil them.	Agree
The Charter facilitates and supports the effective operation of the Committee.	Strongly Agree
The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.	Strongly Agree
2. SKILLS AND EXPERIENCE	
The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.	Strongly Agree
The Committee has been able to analyse and critically evaluate information presented to it by management.	Agree
The Committee has access to appropriate internal and / or external expertise to assist with thorough examination of key issues brought before it.	Strongly Agree
The Committee has shown an openness to new ideas and different views in its deliberations.	Strongly Agree
The Committee has been sufficiently probing and challenging in its deliberations.	Strongly Agree
The Committee works in a collegial and cooperative manner to ensure it fulfils its duties.	Strongly Agree
3. UNDERSTANDING OF THE ANU	
New members of the Committee are provided with sufficient information about the University and the higher education sector as part of their induction program.	Agree
The Committee is well informed about financial, budgetary, investment and commercial issues affecting the University.	Strongly Agree
4. MEETING ADMINISTRATION CONDUCT	
The Committee meets on a sufficiently regular basis to enable it to properly discharge its duties.	Strongly Agree
The Chair is actively involved in setting key agenda items for Committee consideration and approving the agenda for upcoming meetings.	Agree
Agenda papers are issued in a timely manner to enable members to adequately prepare for the meeting.	Strongly Agree
Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.	Neither Agree nor Disagree
The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.	Agree
The Committee meetings are productive and well run, allowing sufficient time for members to discuss key agenda items.	Strongly Agree

QUESTIONS	AGGREGATED RESPONSES
Committee minutes achieve the right balance between fulfilling record keeping obligations, disclosure requirements and ensuring Committee decisions/outcomes are clear and actionable.	Strongly Agree
The Corporate Governance & Risk Office is responsive and provides adequate service delivery to support the Committee.	Strongly Agree

5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

The Committee has adequate oversight on its key deliberations and recommendations that are being tabled to Council.	Agree
The Committee receives timely feedback on Council's adoption of its recommendations and other relevant resolutions.	Neither Agree or Disagree

6. PERFORMANCE MONITORING

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.	Strongly Agree
There is sufficient detail in the financial reports to enable the Committee to discharge its responsibilities effectively.	Strongly Agree

7. EFFECTIVE CONSIDERATIONS

In which of the areas outlined below has the Committee added value to the ANU?

Responses:	
Financial Performance Management	100%
Policies and Practices	63%
Legislative and Policy Compliance	25%
External Accountability	75%
Investment Management	100%
Monitoring of Commercial Activities	88%

8. GENERAL	
I believe the strengths of the Committee are:	<ul style="list-style-type: none"> • Good balance, and strong financial experience within membership • The Committee is well chaired and taken seriously by management who attend at appropriate levels • The Committee and management have worked together very effectively to provide financial diligence and expert stewardship of the University's financial affairs in many complex areas • Willingness to raise matters, and engage in open and robust discussion.
I believe the weaknesses of the Committee are:	<ul style="list-style-type: none"> • Its evolving role in relation to investment management
Are there issues that the Committee should focus on in respect of financial management and monitoring during the coming year?	<ul style="list-style-type: none"> • Streamlining of College-based finance processes • Governance around delegation of asset allocation to the Investment Office • Discussion in relation to the CSS liability
Are there improvements that can be made to further strengthen the way the Committee functions?	nil
Are there any skillsets that might be needed on the membership in the future?	<ul style="list-style-type: none"> • Current membership skills are appropriate
Does the FC need to reconsider how it interacts with Council? If yes, how?	<ul style="list-style-type: none"> • More engagement from Council on its deliberations.
Other comments / issues not covered above?	nil

9. OVERALL ASSESSMENT	
The Finance Committee is an effective Committee of Council.	Strongly Agree

ARMC REPORT ON 2016 PERFORMANCE

SELF ASSESSMENT SURVEY

QUESTIONS	AGGREGATED RESPONSES
1. ARMC CHARTER	
The ARMC Charter articulates the Committee's responsibilities and provides the Committee with the necessary authority to fulfil them.	Strongly agree
The ARMC Charter facilitates and supports the effective operation of the Committee.	Agree
The Committee adequately addressed all of its responsibilities as detailed in its Charter during the past 12 months.	Agree
2. SKILLS AND EXPERIENCE	
The mix of skills on the Committee allows it to effectively perform its assigned responsibilities.	Strongly agree
The Committee has been able to analyse and critically evaluate information presented to it by management.	Agree
The Committee has responded appropriately or taken the required action where significant risks and/or control breakdowns have been brought to its attention	Agree
The Committee has access to appropriate internal and / or external resources to assist it to thoroughly examine key issues brought before it.	Agree
The Committee has shown an openness to new ideas and different views in its deliberations.	Strongly agree
The Committee has been sufficiently probing and challenging in its deliberations.	Agree
The Committee works in a collegial and cooperative manner to ensure it fulfils their duties.	Strongly Agree
The Committee receives appropriate training/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.	Agree
3. UNDERSTANDING OF THE ANU	
The Committee has sufficient understanding and appreciation of the University's:	
Entity-wide Risk Management Framework	Agree
Internal controls to mitigate significant risks	Agree
Financial and statutory reporting requirements	Agree
Legislative and policy arrangements	Agree
Fraud control environment	Agree
4. MEETING ADMINISTRATION CONDUCT	
The Committee meets on a sufficiently regular basis to enable it to properly discharge its duties.	Strongly agree
The Chair is actively involved in setting key agenda items for Committee consideration and approving the agenda for upcoming meetings.	Strongly agree

QUESTIONS	AGGREGATED RESPONSES
Agenda papers are issued in a timely manner to enable Members to adequately prepare for the meeting.	Strongly agree
Committee members are given the opportunity to be briefed prior to meetings and these briefings are useful.	Agree
The Committee agenda and supporting papers are of sufficient clarity and quality to make informed decisions.	Strongly agree
The Committee meetings are productive and well run, allowing sufficient time for members to discuss key agenda items.	Strongly agree
Committee minutes achieve the right balance between fulfilling record keeping obligations, disclosure requirements and ensuring Committee decisions and outcomes are clear and actionable.	Agree
The Committee has sufficient engagement with key University stakeholders as appropriate.	Agree
The Corporate Governance & Risk Office is responsive and provides adequate service delivery to support the Committee.	Strongly agree

5. VICE-CHANCELLOR / COUNCIL COMMUNICATIONS

The Committee has adequate oversight on its key deliberations and recommendations that are being tabled to Council.	Neither agree or disagree
The Committee receives timely feedback on Council's adoption of its recommendations and other relevant resolutions.	Neither agree or disagree

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

The Committee appropriately reviewed and approved the annual internal audit plan.	Agree
The Committee appropriately reviewed and approved any significant changes to the annual internal audit plan.	Agree
The Committee appropriately considered the performance of internal audit.	Agree
The Committee addressed its responsibilities in respect of its review and consideration of internal audit reports and identified issues.	Agree
The Committee reviews the Internal Audit Charter to ensure that appropriate structures, authority, access and reporting arrangements are in place.	Strongly agree

QUESTIONS	AGGREGATED RESPONSES
8. EXTERNAL AUDIT	
The Committee appropriately considered and understood the ANAO audit strategy.	Agree
The Committee reviewed external audit reports and management letters and considered management responses to findings and recommendations.	Agree
The Committee provided input and feedback on external audit coverage and performance.	Agree
9. RISK MANAGEMENT	
The objectives of risk management are well understood by the Committee.	Agree
The Committee has sufficient understanding and appreciation of the University's Entity-wide Risk Management Framework.	Agree
The Committee is adequately informed about the work in train to align risk management with the University's strategic objectives, through the development of risk appetite statements.	Agree
10. EFFECTIVE CONSIDERATIONS	
In which of the areas outlined below has the Committee added value to the ANU?	
Answer	
Policies and practices	80%
Risk Management	80%
Control environment	100%
Legislative and policy compliance	40%
External accountability	60%

11. GENERAL	
I believe the strengths of the ARMC are:	<ul style="list-style-type: none"> • Breadth of experience and expertise of the Members; • Good leadership and a willingness to enquire and challenge management responses. • Organised, prepared and holistic in their approach; and • Well managed agendas and secretariat support.
I believe the weaknesses of the ARMC are:	<ul style="list-style-type: none"> • Limited risk management discussion. • Difficulty in getting into the detail of the agenda papers. • Concern that the Internal Audit Work Plan is slipping behind the desired timetable. • Depth of knowledge in relation to knowledge of the ANU and its operations due to the high proportion of external and independent ARMC Members.
Are there issues that the Committee should focus on in respect of audit and risk management during the coming year?	<ul style="list-style-type: none"> • Formal standing agenda on risk management, including emerging risks and financial risk matters considered by the Finance Committee. • More examples of performance reporting. • Update on the Enterprise Risk Management Framework • Fraud and the merits of group wide financial and enterprise systems.
Are there improvements that can be made to further strengthen the way the Committee functions?	
Are there any skillsets that might be needed on the membership in the future?	
Does the ARMC need to reconsider how it interacts with Council? If yes, how?	<ul style="list-style-type: none"> • Need more visibility on what is reported to Council.
Other comments / issues not covered above?	

12. OVERALL ASSESSMENT	
The ARMC is an effective Committee of Council.	Strongly agree.

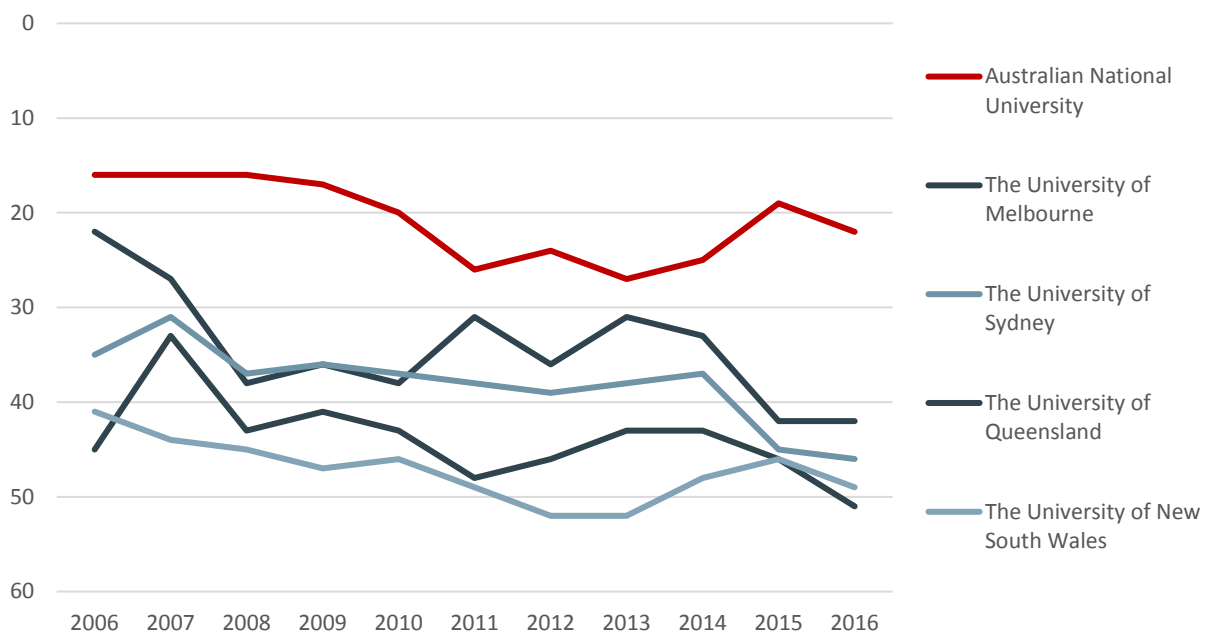
Appendix A. QS WORLD RANKING

QS World Ranking was released on 6 September 2016. ANU has fallen 3 places to 22 in the world, maintaining its position as 1st in Australia. Melbourne stayed at 42, and Monash increased to 65. All other Group of Eight (Go8) universities fell. Adelaide had the greatest fall with a loss of 12 places.

Figure 2 – QS world rank by Go8

	2013	2014	2015	2016	Diff
Australian National University	27	25	19	22	-3
The University of Melbourne	31	33	42	42	0
The University of Sydney	38	37	45	46	-1
The University of New South Wales	52	48	46	49	-3
The University of Queensland	43	43	46	51	-5
Monash University	69	70	67	65	2
The University of Western Australia	84	89	98	102	-4
The University of Adelaide	104	100	113	125	-12

Figure 3 – Comparison of QS world ranking with key competitors



Performance by indicator

QS uses six indicators¹ to rank institutions. Each score is calculated proportionally from the top ranked institution equalling 100 points (currently Massachusetts Institute of Technology). The performance against each of the ranking criteria are shown in Figure 4.

Figure 4 – ANU QS score by indicator

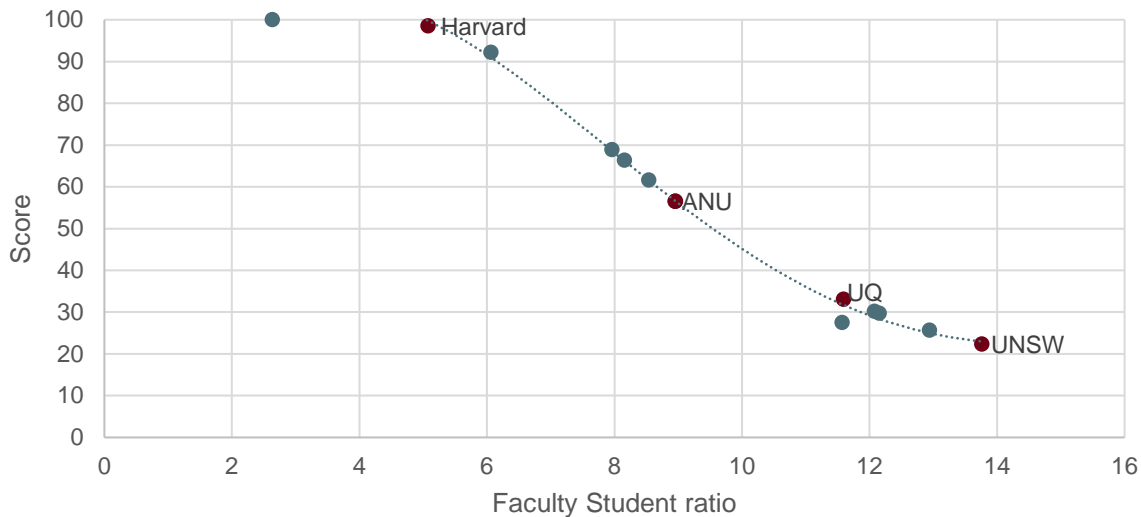
	Weight		2012	2013	2014	2015	2016	Diff	Weighted diff
World rank		score	87.6	88.5	89.7	91	87.3	-3.7	
		Rank	24	27	25	19	22	-3	
Academic Reputation	40%	score	99.7	99.7	99.6	99.6	99.1	-0.5	-0.2
		rank	21	23	25	26	25	1	
	10%	score	82.5	92.4	95.8	94.4	89.6	-4.8	-0.48

¹ Methodology can be found at <http://www.topuniversities.com/university-rankings-articles/world-university-rankings/qs-world-university-rankings-methodology>

Employer Reputation		rank	56	44	47	59	62	-3	
Faculty Student ratio	20%	score	79.6	83.4	76.9	68.9	56.5	-12.4	-2.48
		rank	109	100	147	191	229	-38	
Citations per Faculty	20%	score	64.3	63.2	74.2	89.4	86.9	-2.5	-0.50
		rank	134	145	129	61	54	7	
International Faculty	5%	score	100	99.9	100	100	100	0	0
		rank	1	22	33	30	30	0	
International Students	5%	score	96.3	94.1	96.4	96.7	96.3	-0.4	-0.02
		rank	39	47	50	53	69	-16	

The most significant score decline was in **Faculty to Student** ratio, decreasing 12.4 points placing ANU at 229 in the world in this criterion, down from 191. However, this is still the best result nationally followed by Bond at 269 and UQ at 394. The decrease in score and the ensuing rank was a result of an increase in student numbers by 4.1% and a decrease in staff numbers by 1.8%, changing our ratio from 8.45 to 8.96, compared to UQ at 11.7.

Figure 5 – Faculty to Student ratio and score comparison



The underlying data shows that the total ANU citation count (excluding self-citations) has improved by 26.8% from last year from 74,519 to 94,498. This contributed to the **Normalised Citations per Academic Staff** indicator improving seven places to 54 in the world, top in Australia followed by UQ ranked 80. There was a minor change to the methodology in this criterion to exclude papers with more than 10 authors. This should not have impacted significantly on the results as no more than 0.1% of paper were excluded under this change.

There was a minor decrease in score for **Academic Reputation** from 99.6 points to 99.1, second nationally behind Melbourne at 99.7. However, the ANU world rank in this measure improved one place to 25 which means the points drop is most likely due to variation of the top ranked institutions from which all other scores are derived. **Employee Reputation** fell 4.8 points to 89.6; ranked at 62 in the world, down from 59 last year. Nationally, ANU ranks 5 in this criterion behind Melbourne, UNSW, Sydney and Monash.

ANU maintained the top possible score of 100 for Proportion of **International Faculty**. **International Students** proportion decreased by 0.4 points to 96.3, falling 16 places to 69. Fourth nationally, behind Melbourne, Adelaide and Monash.

Appendix B. TIMES HIGHER EDUCATION

Times Higher World Ranking was released on 21 September 2016. THE use 13 indicators aggregated to five broad categories. The performance against each of the broad ranking criteria (Figure 7) shows the most significant contributor to the increase in overall score and world rank was the **Citations** metric, contributing 2.8 points to the total score, this was offset slightly by a fall in the **Teaching** and **Research** indicators.

The **Citations** methodology was changed significantly this year to include books and book chapters for the first time. This is likely to have been advantageous to ANU, though is it not possible to confirm with publically available Scopus data from which it is derived.

Figure 7 – Times Higher score and rank

Broad indicator			2014	2015	2016	Diff.	Weighted	Uni Melb.	
								2016	Var to ANU
Teaching	30%	Score	53.7	54.7	54	-0.7	-0.2	65.4	11.4
		Rank	59	61	71	-10		42	29
Research	30%	Score	70.9	77.3	73.9	-3.4	-1.0	73.6	-0.3
		Rank	34	31	35	-4		37	-2
Citations	30%	Score	71.1	72.3	81.7	9.4	2.8	88.1	6.4
		Rank	148	223	162	61		96	66
International Outlook	7.5%	Score	91.3	93.3	93.9	0.6	0.0	88.3	-5.6
		Rank	9	25	26	-1		69	-43
Industry Income	2.5%	Score	38.9	48	53.5	5.5	0.1	63.7	10.2
		Rank	147	245	208	37		147	61
Total		Score	66.5	69.5	71.3	1.8		76.3	5
World Rank		Rank	45	52	47	5		33	14

The detailed indicators are not released publically but are provided to each institution individually (Figure 8). While **Citations** made the greatest positive contribution to the score (2.82 points), **Research Reputation** had the most significant negative result (-1.17 points), followed by **Teaching Reputation** (-0.63 points) shown at Figure 6. Both results are based on a survey of academic staff; in 2016 there were 10,323 respondents worldwide.

Figure 8 –Times Higher Scores

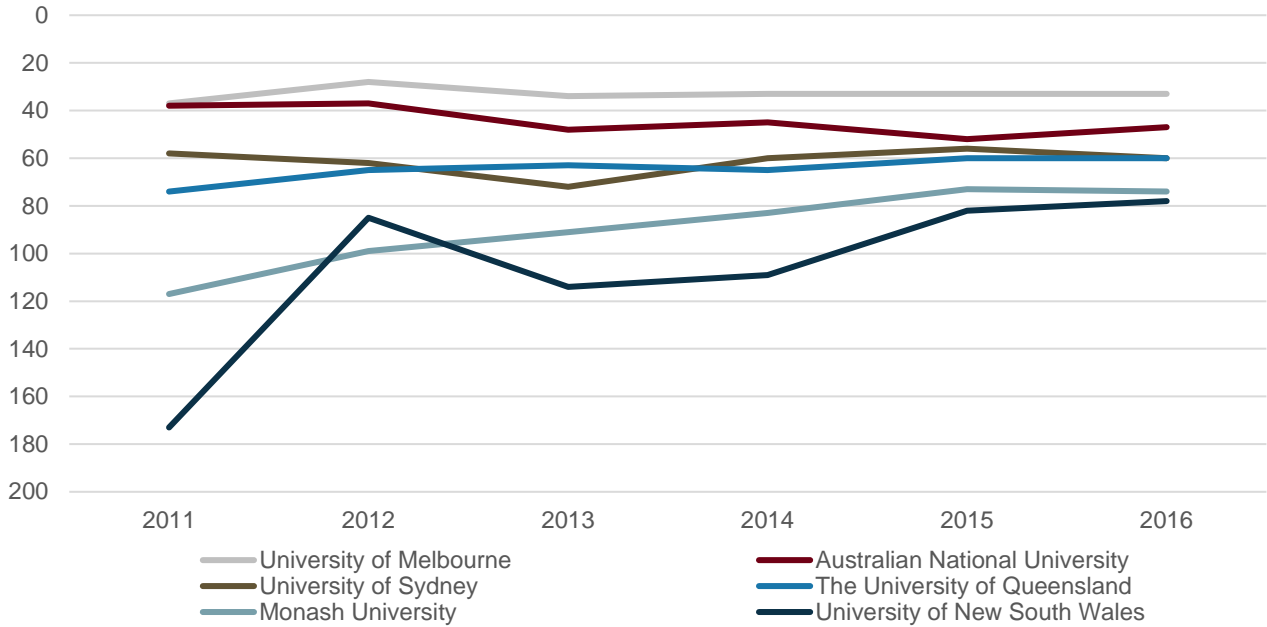
	Weight	2013	2014	2015	2016	15-16 Diff.	Weighted score
Teaching Indicators	30%	51.8	53.7	54.7	54	-0.7	-0.21
Academic staff/students *	5%	38	41	38.6	35.6	-3	-0.14
PhD awarded/UG awarded *	2%	47	46	49.6	50.5	0.9	0.02
PhD awarded/FTE staff *	6%	89	77	81.5	83.8	2.3	0.14
Teaching reputation	15%	38	45	48.5	44.3	-4.2	-0.63
Inst Income per FTE *	2.25%	83	84	61.5	79.2	17.7	0.40
Research Indicators	30.0%	65.1	70.9	77.3	73.9	-3.4	-1.02
Papers per FTE *	6%	89	96	96.5	99.4	2.9	0.17
Income per FTE *	6%	100	100	100	99.9	-0.1	-0.01
Research Reputation	18%	46	53	63.3	56.8	-6.5	-1.17
Citations	30.0%	71.2	71.1	72.3	81.7	9.4	2.82
Citations per paper	30%	71	71	72	82	9.4	2.82
International Outlook Indicators	7.5%	91.4	91	93.3	93.9	0.6	0.05
Int'l to domestic FTE *	2.5%	97	97	99.6	99.7	0.1	0.00
Int'l to domestic EFTSL *	2.5%	96	95	98.2	97.9	-0.3	-0.01
Int'l co-authorship	2.5%	81	82	82.2	84.1	1.9	0.05
Industry Income	2.5%	44.8	38.9	48	53.5	5.5	0.14

Industry Income per FTE *	2.5%	44.8	38.9	48	53.5	5.5	0.14
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Data submitted to THE contributes to approximately 35% the overall rank and is optimised where it is possible to do so within the flexibility of the rules. The majority of these indicators had a positive outcome this year.

Student to Staff ratio was the main exception, growth in student numbers and the fall in staff in the reference period was tempered slightly but could not be moderated fully within the specifications.

Figure 9 –Times Higher Go8 performance comparison



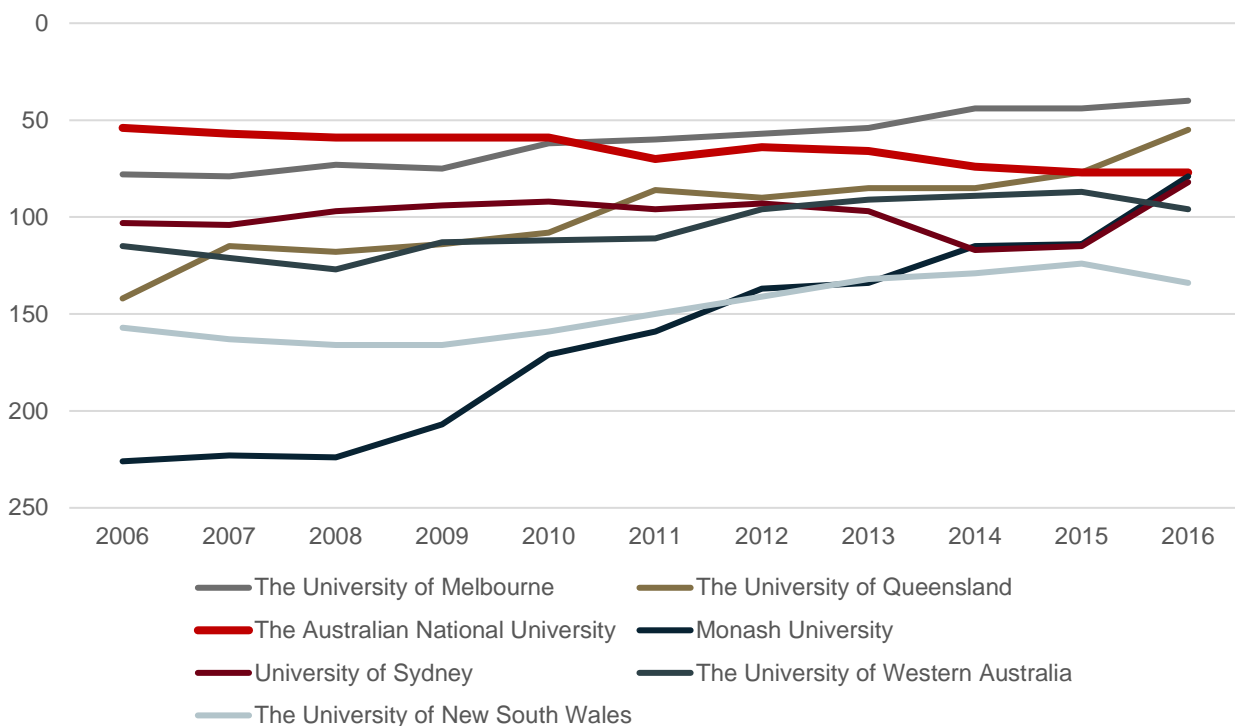
Appendix C. ACADEMIC RANKING OF WORLD UNIVERSITIES (ARWU – Shanghai Jiao Tong)

ARWU was released on 15 September 2016. ANU has maintained its position at 77 in the world. Melbourne improved their position by 4 places (40), retaining their position as 1st nationally. Notably, UQ improved by 22 places to be 55 in the world and 2nd nationally. Monash and Sydney improved their positions significantly to 79 and 82 respectively. The remaining Go8 institutions declined in this ranking.

Figure 10 – ARWU rank for Group of Eight

University	2011	2012	2013	2014	2015	2016	Diff
University of Melbourne	60	57	54	44	44	40	4
The University of Queensland	86	90	85	85	77	55	22
The Australian National University	70	64	66	74	77	77	0
Monash University	159	137	134	115	114	79	35
University of Sydney	96	93	97	117	115	82	33
University of Western Australia	111	96	91	89	87	96	-9
University of New South Wales	150	141	132	129	124	134	-10
The University of Adelaide	207	221	212	184	169	139	30

Figure 11 - Comparison of world ranking with key competitors



Summary performance by indicator

ARWU uses six indicators to rank institutions. Each score is calculated proportionally from the top ranked institution equalling 100 points². The performance against each of the ranking criteria are shown in Figure 12.

The **Highly Cited** researchers' indicator has had the greatest impact on the University's ranking position over the past five year. ANU fell from top nationally in this criteria in 2013, down to 9 in 2016, 55 in the world down to 129 (Figure 13). All other Go8s have improved over the same period. There was a change in **Highly Cited** methodology in 2013 to reduce the publication window from 30 years to 10 years, reducing ANU HiCi staff from approximately 20 down to three. The results were moderated until 2016 in which the full impact is now

² Methodology <http://www.shanghairanking.com/ARWU-Methodology-2016.html>

applied. This highlights ANU had been relying on high performing researchers of two to three decades earlier, whilst paying insufficient attention to more recent performance.

ANU is ranked 7 nationally in **Number of Publications** (20% weighting). As this measure is not normalised by size of institution, ANU is disadvantaged compared to competitors. ANU has approximate a third of the academic staff levels of Melbourne and half that of UNSW.

ANU increased its ranking in the **Nature and Science** criterion by 31 places in 2016 to 82 in the world, though this is still below pre-2014 ranking levels of 80 and above. ANU is currently ranked 3 nationally behind UQ and Melbourne. The 2015 and early 2016 numbers are positive for ANU and should reflect improved scores next year.

Figure 12 – ANU ARWU score by indicator

	ANU								Melb.
	2009	2010	2011	2012	2013	2014	2015	2016	2016
Alumni	15.1	15.1	15.6	14.3	14.1	13.9	13.6	13.6	17
Award	12.6	12.6	12.6	19.8	19.4	19.2	19.2	19.2	13.3
HiCi	36	36	33.9	32.3	32.3	24.8	24.8	20.5	35.5
Nature & Science	27.8	27.8	26.3	24.4	24	22.8	20.1	23.0	24.8
Publications	43.8	43.8	43.5	43.1	43	45.1	45.1	46.4	67.9
Per Capita	31.1	31.1	29.2	28.9	29.3	29.1	29.1	30.9	32.2
Total	29.6	29.6	28.6	29.1	28.9	27.4	26.7	26.9	33.9

Figure 13 – ANU rank by indicator

Rank	Weight	World					Aust				
		2012	2013	2014	2015	2016	2012	2013	2014	2015	2016
Alumni	10%	112	114	116	117	118	5	4	4	5	4
Award	20%	69	71	73	77	80	1	1	1	1	1
HiCi	20%	55	55	86	88	129	1	1	1	2	9
Nature & Science	20%	73	80	87	113	82	1	2	2	4	3
Publications	20%	142	139	130	125	123	7	7	7	7	7
Per Capita	10%	41	45	56	64	76	1	1	1	3	4
Total		64	66	74	77	77	2	2	2	2	3

Analysis undertaken of the HiCis of our key competitors shows that two thirds of the HiCi Researchers have been with their institutions for at least a decade, they are not new hires. Many commenced their academic career with that institution. The median years is 12 with their affiliated institution, across a broad range of disciplines.



ACADEMIC BOARD

Meeting No. 5/2016 of the Academic Board was held on Tuesday 4 October 2016 at 9.30 am in the Mills Rm Room, Chancelry.

Present: Professor Close (Chair), Professor Schmidt, Professor Harding, Professor Cardew-Hall, Professor Leitch, Professor Baker, Dr Milnes (for Ms Mathey), Ms Angel, Professor Wesley, Professor Whitford, Professor Bottomley, Professor Cowan, Dr Hendriks (for Assoc Professor Newitt), Ms Missingham, Professor Clement, Professor Abhayapala, Dr Gustavson, Dr Craig, Dr Kennedy, Dr Schmidt, Dr Lahiri-Dutt, Associate Professor Sault, Professor Pitchfor, Dr Lu, Dr Hijazi, Dr Banwell, Dr van Kerkhoff, Dr Robins, Ms Nott, Ms Snowball, Ms Shaw, Mr Connolly (for Mr Gill).

Observers: Mr Evans, Ms Cheney, Ms Hawkins, Mr Martin.

Apologies: Professor Jacqueline Lo, Professor Hughes-Warrington, Professor Huntington, Professor Kirk, Associate Professor Newitt, Ms Mathey, Professor Dodson, Professor Bicknell, Dr Blaxland, Dr Whiting, Dr Tricoli, Dr Saunders, Dr Rajendran, Associate Professor Gani, Professor Goh, Mr Gill, Ms Martin.

In Attendance: Ms Easton and Ms Caughey Hutt.

Unconfirmed Minutes

Part 1 – Procedural Items

Item 1 Apologies and Announcements

Item 1.1 Apologies

The apologies recorded above were noted.

Item 1.2 Announcements

The Chair, on behalf of the Academic Board made the following announcements:

- Professor Michael Wesley has joined Academic Board as the Dean of the ANU College of Asia & the Pacific.
- Ms Alyssa Shaw has joined Academic Board as the Postgraduate Student Representative Member. Ms Shaw is the President of the ANU Postgraduate and Research Students Association.
- Mr James Connolly will be joining Academic Board as the Undergraduate Student Representative Member. Mr Connolly will commence as the President of the ANU Students Association on 1 December 2016.
- Professor Jenny Corbett has served on Academic Board as Pro Vice-Chancellor (Research and Research Training) since late in 2012. Professor Corbett has

provided valuable insight and advice to the Board and on behalf of the Board, I thank Professor Corbett and wish her great success in her new role.

- Professor Veronica Taylor has served on Academic Board as the Dean of the ANU College of Asia & the Pacific. Professor Taylor has been a valued member of the Board and on behalf of the Board, I thank Professor Taylor and wish her ongoing success with her next endeavours.
- Christopher Wilson's term as Postgraduate Student Representative has concluded. Mr Wilson has represented postgraduate students since June 2015. He has served PARSA well and on behalf of the Board, I thank Mr Wilson and wish him continuing success in his academic and professional pursuits.

***Item 2 Conduct of Academic Board Members**

Resolution

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

***Item 3 Starred items**

The starred items were: 1-5, 7-11, 13-14, 18, 21-23, 31-36.

Resolution

The Academic Board resolved to approve unstarred items.

***Item 4 Minutes**

Resolution

The Academic Board accepted the minutes (542/2016) of meeting 4/2016 of the Academic Board held on 21 June 2016 as a true and accurate record.

***Item 5 Matters Arising from the Minutes & Action Items**

Resolution

The Academic Board noted the current action items list (492a/2016) and updates on action items as reported below.

Item 6 2017 Committee Dates

Resolution

The Academic Board approved the 2017 meeting dates.

***Item 7 Confidential items**

There were no confidential items at the meeting.

Part 2 – Information Flow

***Item 8 Report from the Vice-Chancellor**

The Vice-Chancellor provided a written report in the Agenda papers and highlighted the following in the meeting:

- The announcements at the ANU 70th Birthday celebrations will help the ANU pursue the strategic plan.

- Professor Michael Wesley has commenced as the Dean of the ANU College of Asia & the Pacific.
- Offers are pending for the Dean of the ANU College of Arts and Social Sciences and the Dean, Higher Degree by Research
- Recruitment processes are being planned or have commenced for Registrar, Student Administration, Dean of the ANU College of Business and Economics, Dean of the ANU Medical School and Head of ANU School of Music.
- The Vice-Chancellor acknowledged and thanked Professor Veronica Taylor for her efforts as Dean, ANU College of Asia & the Pacific.
- The Vice-Chancellor acknowledged and thanked Professor Jenny Corbett for her service as Pro Vice-Chancellor (Research & Research Training).
- The role of the Business and Industry Advisory Board is to understand the roles of business and ANU and explain how ANU should manage relationships between business and the University.
- A draft plan will be presented to council in December and is due to be released at the end of January 2017.
- ANU needs to be careful on chasing rankings but they are useful as a tool for considering the University's overall performance.
- [The Report on the ANU School of Music by Professor Andrew Podger AO](#) will be released at 11:30am on 4 October.
- After an overall fall in research funding there have had a number of significant successes.

Resolution

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

*Item 9 Report from the Deputy Vice-Chancellor (Academic)

The Deputy Vice-Chancellor (Academic) provided a written report in the Agenda papers.

Resolutions

The Academic Board noted the Report.

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

The Deputy Vice Chancellor (Research) provided a report at the meeting, highlighting the following points:

- The Research & Innovation Newsletter will be sent out today (4 October) with more updates.
- The government has released the R&D Tax Incentive Review Report and is inviting comments on the report's findings.
- There will be work undertaken to assess and measure impact and engagement and public policy, which will commence in the ANU College of Asia & the Pacific but will also go broadly across the Colleges to be presented to the University Research Committee.
- Joshua Chu-Tan from the ANU John Curtain School of Medical Research won the 2016 Asia-Pacific 3MT Competition, beating 50 applicants from around Australia. Mr Chu-Tan won a \$5,000 research travel grant and is invited to the 2016 Falling Walls Lab Final and Conference in Berlin.
- The Vice-Chancellor, Professor Mick Dodson and Deputy Vice-Chancellor (Research) will be attending a lecture at North Australia Research Unit (NARU) to better understand how to build valuable and lasting relationships indigenous communities.

Resolutions

The Academic Board noted the Report.

*Item 11 Report from the Chair

The Chair provided a written report in the Agenda papers and highlighted the following:

- The Academic Board Working Party is discussing the role and function of Academic Board.
- **Action:** Volunteers to review the findings of the working party, please contact secretary.academic.board@anu.edu.au
- There is growing concern regarding Academic Integrity and research indications that punitive regimes alone are not sufficient. Universities need a culture that encourages students to engage in good academic practices. The Academic Integrity Working Party will document current practice and benchmark best practice and present a hot topic to Academic Board meeting 6/2016.
- Coffee catchups with the Chair, Academic Board are being held in October. If you are not able to the session you have been invited to, please email secretary.academic.board@anu.edu.au for alternative times.
- ANUSA enquired whether there will be any consultation with other universities about student representation on Academic Board.
- **Action:** Chair, Academic Board to provide a response to ANUSA.

Resolution

The Academic Board noted the report from the Chair.

Item 12 Approvals by Executive Action

Approvals by Executive Action:

- Executive action by the Chair 8/2016: Out-of-session approval for new Awards, amendments and disestablishments
- Executive action by the Chair 9/2016:
 - Out-of-session approval for new Graduate Coursework Award
 - Out-of-session approval for MicroMasters credit for CBE/RSM PG programs
- Executive action by the Chair 10/2016: Out-of-session approval for new Graduate Coursework Award
- Executive action by the Chair 11/2016: Out-of-session approval of PILOT - Acceptance of Polytechnic Diplomas from Singapore for admission to the Bachelor of Laws (Honours) and the Flexible Double Law degrees by international students.

Resolution

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

*Item 13 General Question Time

There were no question raised.

Part 3 – Strategy & Planning

*Item 14 Hot Topic: Industry, Business and Entrepreneurial Academic and Professional Appointments

Professor Michael Cardew-Hall, Pro Vice-Chancellor (Innovation), presented the Hot Topic, noting:

- There is a big push for greater collaboration of universities with business and industry. There has always been a need to demonstrate this engagement but following the Watt review this issue has been more in the forefront.
- It seems that the current culture does not sufficiently value researchers who collaborate with industry. There is a need to change this culture but how does ANU do that? The Vice-Chancellor has announced an entrepreneurial Professorship Program but other programs are still needed.
- There are three programs recommended within this paper:
 1. academic promotion
 2. entrepreneurial fellowship
 3. appointment of practitioners – limited term appointments at professorial level

The Board discussed the Hot Topic:

Academic promotions:

- The Pro Vice-Chancellor (Innovation) noted that the criteria regarding industry engagement for academic promotions are very broad which hinders the way they are implemented. This could be prevented if the criteria was more explicit.
- The ANU College of Engineering and Computer Science (ANU CECS) supported the addition of more expressly defined metrics.
- **Action:** Dr Hassan Hijazi to send list of metrics used by ANU CECS to Professor Michael Cardew-Hall.
- The ANU College of Business and Economics noted that work with industry already be taken into account where the external work has academic merit but that it can be difficult to disentangle outside employment verse engagement. How do you separate those two things? There is a concern that at worst, it could skew research.
- The Pro Vice-Chancellor (Innovation) noted that there is an inherent value in researchers doing consulting and that ANU have policies in place to try any balance this. Could the criteria be more explicit that work under the '52 Day Rule' is not considered.
- The ANU College of Medicine, Biology & Environment (ANU CMBE) noted that there is support for greater recognition of industry engagement but there is a need to better define industry engagement. Enhancing promotion indicators to recognise industry engagement is critical. The measures of success need to be connected to the impact or benefit for the university. The broad definition is confusing and there could be slippage to a focus on private sector engagement.
- The Deputy Vice-Chancellor (Research) noted that the indicators were designed and changed so that academic staff engagement with industry is captured
- The Deputy Vice-Chancellor (Research) asked the Board if they felt the current indicators allow for fair promotion of academic staff. The board was divided on the issue.
- ANU CMBE noted that there is no message to junior researchers that engaging with industry is a pathway that is open to them and that they need to be encouraged to engage.

Entrepreneurial fellowships:

- The Pro Vice-Chancellor (Innovation) noted that the purpose of the fellowship is to provide training for non-academic careers and provide opportunities for researchers outside of academia so they can be a bridge between business and industry and universities.
- ANU CMBE noted that there is a place for a program such as this but it needs to include government as this is where many entrepreneurial fellows would find employment.
- ANU has been making inroads on expanding on its current programs e.g. Westpac Research Fellowships.
- ANU Colleges and Schools would need to engage for this program to work.

- ANU CECS noted they do not want this to be a short term project within a research fellowship, but a standalone program to offer an alternative career path.
- The Pro Vice-Chancellor (Innovation) noted that researchers would select the path they wish to take, academia or entrepreneurial.
- ANU CMBE noted that there would need to be strategies to ensure that fellows has a connection with ANU and were contributing value to the University. The ANU College of Asia & the Pacific agreed the program would need to have value for the ANU.

Professors of professional practice:

- ANU has been appointing this type of position an ad hoc fashion
- There needs to be recognition of the significance of this type of positions but there is contention about what title to give the role. Current practices favour the use of 'fellow' over 'professor'

ANU CAP noted the potential for an additional program that placed academic staff within industry, for example placing staff in government departments.

The Chair thanked Professor Cardew-Hall and the members for their contributions.

Item 15 UAC Strategy for 2017

Resolutions

The Academic Board:

1. Approved the 2017 UAC offer round strategy for domestic undergraduate admission
2. Noted the proposed participation of offer rounds is in-line with the 2016 UAC strategy, with the following exceptions:
 - a. non-participation in May Round 1 (5 May 2017) and July Round 2 (21 July 2017)
 - b. participation in June Round 3 (30 June 2017)

Part 4 – Academic Quality & Standards

Item 16 ESOS Audit and Implementation Plan

Resolutions

The Academic Board noted and approved:

1. The outcomes of the ESOS audit;
2. The actions outlined in the ESOS audit implementation plan;
3. That the ESOS audit implementation plan constitute a standing item for ESQC until all items are completed.

Item 17 Calculation of Honours Results where a Course is Failed

Resolution

The Academic Board noted the method for calculation of honours results.

***Item 18: Academic integrity items**

Resolution

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

Item 19 ANU Associate Degree and Diplomas final grades Semester 1, 2016

Resolution

The Academic Board noted the final grades for ANU Associate Degree and Diplomas and the moderation processes utilised by ANU College.

Item 20 Undergraduate Specialisations Definition

Resolution

The Academic Board noted the revised definition of the undergraduate specialisation.

*Item 21 Review of Admission Requirements for Graduate Coursework Programs

The Pro-Vice Chancellor (Education & Global Engagement) requested any updates to be sent offline to Ewan Evans (Ewan.Evans@anu.edu.au).

The ANU College of Arts & Social Sciences (ANU CASS) noted that table one on page 68 does not include Masters Advanced requirement for a GPA 6. Although the requirements for Masters Advanced were approved at Academic Board meeting 4/2016, ANU CASS noted the wording of the table would override that decision.

Qualification Type	Notional Length	Admission Requirements Description
Graduate Certificate	0.5 year full time/1 year part time	Bachelor degree – GPA 4
Graduate Diploma	1 year full time/2 years part time	Bachelor degree – GPA 4
Masters (coursework)	1 year full time/2 years part time	Bachelor Honours degree, graduate certificate, or graduate diploma in the same discipline or cognate area (interdisciplinary programs) – GPA 5
Masters (coursework)	1.5 years full time/3 years part time	Bachelor degree in the same discipline or in a cognate area (interdisciplinary programs), graduate certificate or diploma in any discipline – GPA 5
Masters (coursework)	2 years full time/4 years part time	Bachelor degree – GPA 5
Masters (Advanced)	2 years full time/4 years part time	GPA 6
Masters (extended)	2–3 years full time/4–6 years part time	Bachelor degree – GPA 6 (excluding Juris Doctor and MChD)

Resolutions

That Academic Board approved:

1. That any programs using the new default admission standard are automatically endorsed for 2017.
2. That non-default graduate coursework admission standards for particular programs outlined in **Appendix A** be endorsed for 2017.

*Item 22 Risk assessment for ANU from Crime and Corruption Commission report on a matter of governance from Murdoch University

The Pro-Vice Chancellor (Education & Global Engagement) informed Academic Board that the points on use of non-university emails for university business should be noted and flagged.

Some staff members find that the ANU email system doesn't work very well.

ANU College of Law requested clarification on the process when students send staff an email from a non-student email account.

The Pro-Vice Chancellor (Education & Global Engagement) noted there are significant risks in responding to non-ANU email and that clarification will be sought on policy.

The Division of Student Administration confirmed that students make a declaration each year that they will use their student email and that ANU cannot guarantee emails from other accounts will be delivered.

The ANU College of Arts & Social Sciences noted that staff should not initiate emails to non-ANU email accounts but sought clarification about how to respond to emails from non-ANU email accounts.

The Chair noted that email is an insecure medium.

Action: Deputy Vice-Chancellor (Academic), to seek clarification on the process for when students send staff an email from a non-student email account and report to Academic Board meeting 6/2016.

Resolutions

The Academic Board:

1. noted the risk assessment for ANU from Crime and Corruption Commission report on a matter of governance from Murdoch University, in particular the following four areas:
 - a. Appointment procedures and conflicts of interest
 - b. Use of personal email
 - c. Destruction of University records
 - d. Computer Use policy
2. circulated this paper to relevant colleagues as a reminder on individual staff conduct requirements at ANU.

*Item 23 ANU College of Asia and the Pacific Student Enrolment Incident Report – ASIA2301

The Dean ANU College of Asia & the Pacific informed Academic Board that it was a matter of multiple miscommunications and a resolution has been developed.

Resolution

The Academic Board noted the report provided by the ANU College of Asia and the Pacific relating to a Student Enrolment Incident that occurred in Semester 1, 2016.

Item 24 2016 Orientation and transition survey

Resolution

The Academic Board noted the results of the 2016 Orientation and Transition survey and the Division of Student Life action plan developed in response to student feedback.

Part 5 – Policy

Item 25 Academic Statements Policy and Procedure

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the Academic Statements Policy and Procedure.

Item 26 Policy Amendments from 2017 12 Week Semesters

Resolutions

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to:

1. Procedure: Return of Title IV Funds
2. Procedure: Student Surveys and Evaluations
3. Policy: Glossary: Student Policies and Procedures

Item 27 Criminal record screening for students undertaking clinical placements in health facilities policy and procedure

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the Criminal record screening for students undertaking clinical placements in health facilities policy and procedure.

Item 28 Rescinding and surrendering of awards policy and procedure

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the rescinding and surrendering of awards policy and procedure policy and procedure.

Item 29 Student Critical Incident Policy and Procedure Review

Resolution

The Academic Board endorsed for transmission to the Vice-Chancellor for approval, the proposed revisions to the Student Critical Incident policy and procedure.

Part 6 – Reports from Committees

Item 30 Report from University Education Committee

Resolution

The Academic Board noted the report.

Item 30.1 Approvals by Executive Action

Resolution

The Academic Board noted the report on approvals by Executive Action by the Chair, UEC.

***Item 31 Report from University Research Committee**

The Chair noted the approval process for approval of establishment and disestablishment of centres and institutes are set out in sections 2 and 16-18 of the [Centres and Institutes Procedure](#).

Resolution

The Academic Board noted the report.

***Item *31.1 Establishment of Institutes - Malaysia and Indonesia Institutes**

Resolution

The Academic Board noted the establishment of the Indonesia Institute and the Malaysia Institute within the College of Asia and the Pacific.

***Item 31.2 Disestablishment of Schools - Disestablishment of Research School of Asia and the Pacific**

Resolution

The Academic Board noted the disestablishment of the Research School of Asia and the Pacific (RSAP)

Part 7 – Accreditation

Item 32.1 Proposed Credit Arrangement with Shandong University

The ANU College of Physical & Mathematical Sciences informed Academic Board that final approval is pending as to whether a joint college should go ahead. Students who have completed two years at Shandong University will receive 48 units towards their ANU degree. The ANU College of Asia and the Pacific questioned how articulation arrangements are funded.

The ANU College of Physical & Mathematical Sciences confirmed that a risk assessment has been undertaken and the College is funding the arrangement.

Resolution

The Academic Board approved the proposed credit arrangements that will form part of a virtual 'joint-college' at SDU Weihai, China. The endorsement will be conditional on a strategic decision by the University on whether to establish a 'joint-college' with SDU.

Item 32.2 Proposal for an Articulation Agreement between CAP (Crawford) and Fudan University

The Dean ANU College of Asia & the Pacific informed Academic Board that Fudan University students who have completed the first year of Master of Economics and meet GPA and English requirements will be able to complete their second year at the Crawford School. Fudan University is one of China's top universities.

Resolution

The Academic Board noted the articulation agreement proposal between CAP and Fudan University.

Item 32.3 ANU College of Business and Economics (CBE) articulation agreement with INTI a University in Malaysia

The ANU College of Business and Economics informed Academic Board that the program has been approved by College Education Committee.

Resolution

The Academic Board noted the articulation agreement between the ANU College of Business and Economics and INTI University in Malaysia.

Item 32.4 ANU College of Business and Economics (CBE) articulation agreement with a Universitas Gadjah Mada (UGM) in Indonesia.

The ANU College of Business and Economics informed Academic Board that the program has been approved by College Education Committee.

Resolution

The Academic Board noted the articulation agreement between the ANU College of Business and Economics and Universitas Gadjah Mada (UGM) in Indonesia.

Item 33.1 New Undergraduate Awards*Resolution**

The Academic Board approved the following undergraduate Award is accredited without conditions until 31 December 2020.

College	Code	Award
CPMS	HMASC	Bachelor of Mathematical Sciences (Honours)

***Item 33.2 Amendments to Undergraduate Awards**

CASS requested the following amendments:

a)

CAP	BINSS	Bachelor of International Security Studies	<p><i>Due to termination of several courses from the third BINSS major list (from which students must take 12 units), we desire to (1) add courses thereto, (2) eliminate the second group of courses listed as part of the International Security Major (from which students are currently required to take 6 units), and (3) move all courses currently in group 2 to group 3 [thereby (a) eliminating current group 2 list, and (b) further expanding student offerings].</i></p> <p><i>In addition, Dr Andrew Banfield has, in coordination with CAP Associate Dean (Education) Peter Dean, agreed to transfer responsibility for POLS2099/2124/2131/2132 and HIST2141 to SDSC. SDSC requests formal recognition of this transfer.</i></p>
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b)

Removal of “*In addition, Dr Andrew Banfield has, in coordination with CAP Associate Dean (Education) Peter Dean, agreed to transfer responsibility for POLS2099/2124/2131/2132 and HIST2141 to SDSC. SDSC requests formal recognition of this transfer.*” from the summary in the proposal.

Resolution

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

College	Code	Award
CAP	BINSS	Bachelor of International Security Studies
CASS	BARPC	Bachelor of Archaeological Practice
CASS	HAPRC	Bachelor of Archaeological Practice (Honours)
CASS	BARTS	Bachelor of Arts
CASS	BCRIM	Bachelor of Criminology
CASS	BEURO	Bachelor of European Studies
CASS	BLANG	Bachelor of Languages
CASS	HLANG	Bachelor of Languages (Honours)
CASS	BLAMS	Bachelor of Latin American Studies
CASS	BMECA	Bachelor of Middle Eastern and Central Asian Studies
CASS	APHAR	Bachelor of Philosophy (Honours) – Arts and Social Sciences;
CASS	BPPE	Bachelor of Politics, Philosophy and Economics
CASS	ELIBS	Diploma of Liberal Studies
CBE	BCOMM	Bachelor of Commerce
CBE	AFEST	Bachelor of Finance, Economics and Statistics (Honours)

CBE	ASSAE	Bachelor of Social Sciences (Honours in Actuarial Studies and Economics)
CBE	BSTAT	Bachelor of Statistics
CECS	AACOM	Bachelor of Advanced Computing (Honours)
CECS	AACRD	Bachelor of Advanced Computing (Research and Development) (Honours)
CECS	BIT	Bachelor of Information Technology
CECS	ASENG	Bachelor of Software Engineering (Honours)
JCOS	BSC	Bachelor of Science
JCOS	ASCAD	Bachelor of Science Advanced (Honours)

*Item 33.3 Disestablishment of Vertical Double Degrees

Resolution

The Academic Board approved the disestablishment of the following vertical double degrees from 1 January 2017 as detailed below.

College	Code	Award
CASS	BARTVMIA	Bachelor of Arts/Master of International Affairs
CASS	BPPEVMJD	Bachelor of Politics, Philosophy and Economics/Juris
CAP	BASIVMGLOB	Bachelor of Asian Studies/ Master of Globalisation

*Item 33.4 New Undergraduate Majors, Minors and Specialisations

Resolution

The Academic Board approved the following new undergraduate majors, minors and specialisations are approved as recommended by the relevant College education committee.

Type	College	Name
Minor	CAP	Mongolian Language
Minor	CAP	Tetum Language
Minor	CASS	Advanced Arabic
Minor	CASS	Advanced Environmental Archaeology
Minor	CASS	Advanced Forensic and Evolutionary Archaeology
Minor	CASS	Advanced Global Archaeology
Minor	CASS	Advanced Persian
Minor	CASS	Human Evolutionary Biology
Major	CASS	Human Evolutionary Biology
Major	CBE	Applied Statistics
Spec	CBE	Economics Honours
Major	CBE	Probability and Stochastic Processes
Major	CBE	Statistical Data Analytics
Major	CBE	Theoretical Statistics
Major	CECS	Data Science
Spec	CECS	Intelligent Systems
Spec	CECS	Systems and Architecture
Spec	CECS	Theoretical Computer Science
Spec	CMBE	Advanced Quantitative Biology and Bioinformatics
Spec	CMBE	Biomedical Science
Minor	CMBE	Business Psychology
Major	CMBE	Cell and Molecular Biology

Major	CMBE	Evolution, Ecology and Organismal Biology
Spec	CMBE	Evolution and Ecology
Spec	CMBE	Genetics
Major	CMBE	Human Biology
Major	CMBE	Environmental Science
Major	CMBE	Resource and Environmental Management
Major	CMBE	Sustainability Studies
Spec	CMBE	Microbiology and Immunology

***Item 33.5 Disestablishment of Undergraduate Majors, Minors and Specialisations**

Resolution

The Academic Board approved the following undergraduate majors, minors and specialisations are disestablished from 1 January 2017.

Type	College	Name
Major	CAP	International Security Studies
Spec	CASS	Environmental Archaeology
Spec	CASS	Forensic and Evolutionary Archaeology
Spec	CASS	Regional Archaeology
Spec	CASS	Regional Studies in Development
Major	CBE	Corporate Finance and Investment Management
Spec	CECS	Algorithms and Data
Major	CECS	Computational Foundations
Major	CECS	Computer Engineering
Major	CECS	Human-Centric Computing
Spec	CECS	Human-Centric Computing
Minor	CECS	Information Systems
Major	CECS	Information-Intensive Computing
Major	CECS	Intelligent Systems
Minor	CECS	Software Development
Major	CMBE	Biology
Major	CMBE	Environmental and Landscape Sciences
Minor	CMBE	Evolution and Ecology
Minor	CMBE	Genetics
Minor	CMBE	Integrative Methods in Environment and Society
Minor	CMBE	Microbiology and Immunology
Minor	CMBE	Molecular Biology
Major	CMBE	Natural Resource Management
Major	CMBE	Sustainability Science
Spec	CMBE	Quantitative Biology and Bioinformatics

***Item 33.6 College-approved amendments**

Resolution

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

Type	College	Name
Award	CASS	Bachelor of International Relations
Award	CBE	Bachelor of Actuarial Studies
Award	CBE	Bachelor of Economics

Award	CBE	Bachelor of Economics (Honours)
Award	CBE	Bachelor of Finance
Major	CECS	Computer Systems
Major	CECS	Information Systems
Major	CECS	Renewable Energy Systems
Major	CECS	Software Development
Major	CECS	Sustainable Systems
Major	CPMS	Science Communication
Major	CMBE	Geography
Minor	CECS	Renewable Energy Systems
Minor	CMBE	Developmental Psychology
Minor	CPMS	Chemistry
Minor	CPMS	Science Communication
Minor	CMBE	Environmental Policy
Minor	CMBE	Geography
Minor	CMBE	Human Ecology
Minor	CMBE	Sustainable Development
Spec	CMBE	Neuroscience and Physiology
Spec	CMBE	Plant Science
Spec	CPMS	Advanced Mathematics
Spec	CPMS	Professional Science Engagement
Hons spec	CASS	Language Studies Honours

*Item 34.1 New Graduate Coursework Awards

Resolution

The Academic Board approved the following graduate coursework Awards are accredited without conditions until 31 December 2021.

College	Code	Award
CAP	MANPS	Master of Asian and Pacific Studies
CAP	VANPS	Master of Asian and Pacific Studies (Advanced)
CAP	VEMDV	Master of Environmental Management and Development (Advanced)
CAP	MPPAU MPPUT	Master of Public Policy – ANU-Tokyo
CASS	VDEMO	Master of Demography (Advanced)
CBE	DBUSI	Graduate Diploma of Business

*Item 34.2 Amendments to Graduate Coursework Awards

Resolution

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

College	Code	Award
CAP	VDIPL	Master of Diplomacy (Advanced)
CAP	MEMDV	Master of Environmental Management and Development
CAP	MEMOL	Master of Environmental Management and Development - online
CAP	MEREC	Master of Environmental and Resource Economics
CAP	MIDEC	Master of International and Development Economics

CAP	VINTR	Master of International Relations (Advanced)
CAP	7829XMMDS	Master of Military and Defence Studies
CAP	7828XMMDSA	Master of Military and Defence Studies (Advanced)
CAP	MNSPO	Master of National Security Policy
CAP	VNSPO	Master of National Security Policy (Advanced)
CAP	MPUBP	Master of Public Policy
CAP	NPPDP	Master of Public Policy in Development Policy
CAP	NPPEP	Master of Public Policy in Economic Policy
CAP	NPPPA	Master of Public Policy in Policy Analysis
CAP	VSTST	Master of Strategic Studies (Advanced)
CASS	7050	Flexible Double Masters
CASS	MANTH	Master of Anthropology
CASS	VANTH	Master of Anthropology (Advanced)
CASS	MAAPD	Master of Applied Anthropology and Participatory Development
CASS	MAAOL	Master of Applied Anthropology and Participatory Development - online
CASS	VAAPD	Master of Applied Anthropology and Participatory Development (Advanced)
CASS	VAAOL	Master of Applied Anthropology and Participatory Development (Advanced) - online
CASS	VARSC	Master of Archaeological Science (Advanced)
CASS	MBIAN	Master of Biological Anthropology
CASS	VBIAN	Master of Biological Anthropology (Advanced)
CASS	VCHAM	Master of Culture, Health and Medicine (Advanced)
CASS	VLING	Master of General and Applied Linguistics (Advanced)
CASS	MIIMW	Master of Islam in the Modern World
CASS	VIIMW	Master of Islam in the Modern World (Advanced)
CASS	MSRES	Master of Social Research
CASS	VSRES	Master of Social Research (Advanced)
CASS	VTRAN	Master of Translation (Advanced)
CBE	6459XGCACC	Graduate Certificate of Accounting
CBE	7414XMACCT	Master of Accounting
CBE	7421XMAPFN	Master of Applied Finance
CBE	7412XMCOM	Master of Commerce
CBE	7418XMFIN	Master of Finance
CBE	MFIEC	Master of Financial Economics
CBE	MFINM	Master of Financial Management
CECS	7706XMCOMP	Master of Computing
CECS	NDSTE	Master of Engineering in Digital Systems and Telecommunications
CECS	NMECH	Master of Engineering in Mechatronics
CECS	NENPH	Master of Engineering in Photonics
CMBE	MBIOS	Master of Biological Sciences
CMBE	MBIOT	Master of Biotechnology
CMBE	VBIOT	Master of Biotechnology (Advanced)
CMBE	VPUBH	Master of Public Health (Advanced)
COL	6303XGDLP	Graduate Diploma of Legal Practice
COL	MLEGP	Master of Legal Practice
CPMS	VEASC	Master of Earth Sciences (Advanced)
CPMS	VENCH	Master of Energy Change (Advanced)
CPMS	MSCOM	Master of Science Communication

Item 34.3 Review of Graduate Coursework Programs*Resolution**

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

College	Code	Award
CBE	6459XGCACC	Graduate Certificate of Accounting
CMBE	DENVI	Graduate Diploma of Environment
CMBE	MBIOT	Master of Biotechnology
CMBE	VBIOT	Master of Biotechnology (Advanced)
CPMS	VASTR	Master of Astronomy and Astrophysics (Advanced)
CPMS	MENCH	Master of Energy Change
CPMS	VENCH	Master of Energy Change (Advanced)
CPMS	MNUCL	Master of Nuclear Science
CPMS	MSCOM	Master of Science Communication
CPMS	MSCHK	Master of Science Communication - Hong Kong
CMBE	6659XGCENV	Graduate Certificate of Environment

Item 34.4 Disestablishment of Graduate Coursework Awards*Resolution**

The Academic Board approved approve the disestablishment of graduate coursework programs from 1 January 2017 as detailed below.

College	Code	Award
CBE	6462	Graduate Certificate of Business Information Management
CBE	6401	Graduate Diploma of Accounting
CBE	6405	Graduate Diploma of Finance and Actuarial Statistics
CBE	6406	Graduate Diploma of Business Information Systems
CMBE	6619	Graduate Certificate of Epidemiology

Item 34.5 New Graduate Coursework Specialisations*Resolution**

The Academic Board approved the following new graduate coursework specialisations are approved as detailed below.

Type	College	Name
Spec	CAP	Development Policy
Spec	CAP	Economies of Asia and the Pacific
Spec	CAP	International Trade and Finance
Spec	CAP	Literary Chinese
Spec	CAP	Mongolian Language
Spec	CAP	Tetum Language
Spec	CASS	Islamic Banking
Spec	CASS	Indigenous Policy and Development
Spec	CBE	Accounting

Item 34.6 Disestablishment of Graduate Coursework Specialisations*Resolution**

The Academic Board approved the following graduate coursework specialisations are disestablished from 1 January 2017.

Type	College	Name
Spec	CASS	Anthropology
Spec	CASS	Archaeological Science
Spec	CASS	Biological Anthropology
Spec	CASS	Criminology
Spec	CASS	Culture, Health and Medicine
Spec	CASS	Development
Spec	CASS	History
Spec	CASS	Humanities
Spec	CASS	General and Applied Linguistics
Spec	CASS	Liberal Arts
Spec	CASS	Middle Eastern and Central Asian Studies
Spec	CASS	Music Composition, Arranging, and Sound Design I
Spec	CASS	Music Performance I
Spec	CASS	Musicology, Ethnomusicology, and Music Curatorship I
Spec	CASS	Social Research
Spec	CASS	Indigenous Policy
Spec	CASS	Global Health and Development
Spec	CASS	Health and Environment
Spec	CASS	Health and Gender
Spec	CASS	Health and Indigenous Australia
Spec	CASS	Health Policy and Ethics

Item 34.7 College-approved amendments*Resolution**

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

Type	College	Name
Award	CASS	Master of Digital Arts
Award	CASS	Master of Digital Arts (Advanced)
Award	CASS	Master of Digital Humanities and Public Culture
Award	CASS	Master of Digital Humanities and Public Culture (Advanced)
Award	CASS	Master of Middle Eastern and Central Asian Studies
Award	CASS	Master of Middle Eastern and Central Asian Studies (Advanced)
Award	CASS	Master of Museums and Heritage Studies
Award	CASS	Master of Museums and Heritage Studies (Advanced)
Award	CASS	Master of Visual Arts
Award	CASS	Master of Visual Arts (Advanced)
Award	CBE	Graduate Certificate of Management
Award	CBE	Master of Actuarial Practice
Award	CBE	Master of Actuarial Studies
Award	CBE	Master of Statistics
Award	CECS	Master of Engineering in Renewable Energy
Award	CPMS	Master of Energy Change

Award	COL	Graduate Certificate of Law
Award	COL	Master of Laws in Government and Regulation
Award	COL	Master of Laws in International Law
Award	COL	Master of Laws in International Security Law
Award	COL	Master of Laws in Law, Governance and Development
Spec	CASS	Conflict and Development
Spec	CASS	Gender and Development
Spec	CASS	Humanitarian Action
Spec	CASS	Society and Environment

Item 35.1 Disestablishment of Higher Degree programs

PARSA enquired if there had been any consultation with research students.

DSA confirmed that there is no impact to the degree or current students and there are replacement offerings.

PARSA noted that HDR students should be consulted as a matter of course.

The ANU College of Arts and Social Sciences noted these programs are not ANU CASS programs. They are ANU College of Asia & the Pacific programs.

Resolution

The Academic Board approved the disestablishment of two programs:

- (i) Doctor of Philosophy - Regulation, Justice and Diplomacy; 9560
- (ii) Master of Philosophy – Regulation, Justice and Diplomacy; 8560

Part 8 – Items of Other Business

***Item 36 Any other business**

- Professor Baker noted his thanks to Stephen Milnes and his team for their efforts on the Student Critical Incident Policy and Procedure Review.
- The next meeting of Academic Board is meeting 6/2016 on Tuesday 6 December 2016 at 9:30am in the Mills Room.

Resolution

The Academic Board noted the matters raised and the responses.

**LIST OF TRANSACTIONS BY POWER OF ATTORNEY
BETWEEN 8 SEPTEMBER 2016 AND 7 NOVEMBER 2016**

No.	Date	Description	
1281	08/09/2016	Property	Confidentiality Deed between APN Property Group Limited and Australian National University on behalf of the Long Term Investment Pool
1282	08/09/2016	Alternative Investments	Share Transfer Form re transfer of 288,881 ordinary shares in Hydrexia Pty Ltd from the Australian National University to Stayner Taiapa Holdings Pty Ltd on behalf of the Long Term Investment Pool
1283	08/09/2016	Alternative Investments	Declaration – Lost Share Certificate re 288,881 ordinary shares in Hydrexia Pty Ltd on behalf of the Long Term Investment Pool
1284	08/09/2016	Alternative Investments	Appointment of Sellers' Representative re Hydrexia Pty Ltd on behalf of the Long Term Investment Pool
1285	08/09/2016	Alternative Investments	Share Sale Agreement between Stayner Taiapa Holdings Pty Ltd and each party listed in Schedule 1 (includes ANU) re Hydrexia Pty Ltd on behalf of the Long Term Investment Pool
1286	19/09/2016	Fixed Interest	Application for Amending a Money Market Deposit Account on behalf of the Long Term Investment Pool
1287	10/10/2016	Alternative Investments	Investment Management Agreement between GBS Venture Partners and Australian National University Termination Without Cause on behalf of the Long Term Investment Pool
1288	14/10/2016	Listed Equities	Proxy Voting Account Form authorising NAB to establish accounts and voting authority with Institutional Shareholder Services Inc (ISS) on behalf of the Long Term Investment Pool
1289	24/10/2016	Overseas Equities	Transfer Form for Non-Market Transactions re transfer of all units in Antipodes Global Fund 1 from the Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)
1290	24/10/2016	Overseas Equities	Transfer Form for Non-Market Transactions re transfer of all units in Antipodes Global Fund Long Only Class 1 from The Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)
1291	24/10/2016	Overseas Equities	Transfer Form for Non-Market Transactions re transfer of all units in Magellan Global Fund from The Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)
1292	24/10/2016	Overseas Equities	Transfer Form for Non-Market Transactions re transfer of all units in Platinum International Trust from The Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)
1293	24/10/2016	Domestic Equities	Transfer Form for Non-Market Transactions re transfer of all units in Plato ANU Enhanced Index Fund from The Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)
1294	24/10/2016	Alternative Investments	Transfer Form for Non-Market Transactions re transfer of all units in Magellan Infrastructure Fund Unhedged from The Australian National University to National Nominees Ltd ANF The Australian National University (A/c UAANGF)

1295	26/10/2016	Listed Equities	29 Transfer Forms for Non-Market Transactions re transfer of all units in AMPPA, ANZHA (2), ANZPA, ANZPC, ANZPG, CTXHA, HBSHB, NABHB (2), NABHA, NABPA, NABPD (2), QUBHA (2), BNO, BWP, GMG, IEU, IVV, QUB, SCG, SGP, SYD, TCL (2), VPEG and WFD from The Australian National University to National Nominees Limited on behalf of the Long Term Investment Pool
1296	26/10/2016	Listed Equities	18 Transfer Forms for Non-Market Transactions re transfer of all units in CBAPC, CBAPE, CNGHA, MQGPB, SUNPD, WBCHA, WBCPC (2), APA (2), BGP, DXS, GPT, IDR, INM, IOF, MGR and VCX from The Australian National University to National Nominees on behalf of the Long Term Investment Pool
1297	26/10/2016	Listed Equities	2 Transfer Forms for Non-Market Transactions re transfer of all units in ORGHA from The Australian National University to National Nominees Limited on behalf of the Long Term Investment Pool
1298	01/11/2016	Fixed Interest	JB Were Client Agreement Application for trading account on behalf of the Long Term Investment Pool
1299	07/11/2016	Fixed Interest	Non-Disclosure Deed between The Australian National University and Infradebt re University of Wollongong Student Accommodation Project on behalf of the Long Term Investment Pool

Australian National University - Research Services Division

Grants and Consultancies

Awarded between 7 September and 9 November 2016

College of Arts and Social Science.....	2
College of Asia and the Pacific.....	4
College of Business and Economics	6
College of Engineering and Computer Science	7
College of Medicine, Biology and Environment	8
College of Physical and Mathematical Sciences.....	13
National Centre for Indigenous Studies	20

Caveats:

1. The amount shown reflects the funds that were awarded for the entire grant/consultancy, grouped against the primary funds provider.
2. Although many grants/consultancies are collaborative efforts involving more than one area of the ANU, they are reported under the college of the primary department.
3. All amounts reported are in Australian dollars.
4. In a few cases the amount reported is nil. This can be for a variety of reasons, such as the contract is still under negotiation, or that the project is a non-monetary agreement.

**College of Arts and
Social Science**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Asian Studies Association Of Australia Inc.	Dr Caroline Turner	Asian Diasporas/TransPacific Contexts and Global Art	\$3,000
Australian Research Council (ARC)	Dr Alison Behie	The impact of environmental disasters on primate behaviour and distribution	\$364,257
Australian Research Council (ARC)	Dr Caroline Schuster	Insurance: using anthropology of finance to study disaster relief	\$352,019
Australian Research Council (ARC)	Dr Catherine Frieman	Conservatism as a dynamic response to the diffusion of innovations	\$360,724
Australian Research Council (ARC)	Dr Christine Wallace	Diplomatic Triangle: The Caseys and Pat Jarrett Washington 1940-1942	\$358,227
Australian Research Council (ARC)	Dr Glenn Roe	Performing Transdisciplinary	\$249,000
Australian Research Council (ARC)	Dr Greta Hawes	The spatial dynamics of myth in Pausaniasâ Periegesis	\$352,374
Australian Research Council (ARC)	Dr Koji Tanaka	Logical Encounters: A Buddhist Challenge to Western Conceptions of Logic	\$655,000
Australian Research Council (ARC)	Dr Michelle Antoinette	Asian Art Publics: Understanding New Art and Museum Participation in Asia	\$364,124

**College of Arts and
Social Science**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Nicholas Southwood	Feasibility in Politics: Taking Account of Groups and Institutions	\$733,992
Australian Research Council (ARC)	Dr Seth Lazar	Ethics and Risk	\$335,000
Australian Research Council (ARC)	Dr Ursula Frederick	Visualising Archaeologies: art and the creation of contemporary archaeology	\$335,427
Australian Research Council (ARC)	Prof Daniel Stoljar	The Language of Consciousness	\$292,500
Australian Research Council (ARC)	Prof James Raymer	Overcoming the problems of inconsistent migration data in the Asia Pacific	\$409,500
Commonwealth Department of the Prime Minister and Cabinet	Dr Nicholas Biddle	Delivery of Behavioural Insights training for PM&C	\$26,709
Korean Institute of Criminology	Prof Roderic Broadhurst	Annual Report on UN and International Cooperation and Research for Crime Prevention (XII) Management of VFAC Homepage and A Literature Review on Cyber Terrorism'	

College of Asia and the Pacific

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
ANU Enterprise Pty Ltd	Dr Nicholas Farrelly	GPfD Myanmar – Building Myanmar’s Research Capacity (Research Component)	
Australian Research Council (ARC)	Dr Amy King	China's Economic Ideas: From Bretton Woods to Bandung	\$364,237
Australian Research Council (ARC)	Dr Kathryn Henne	Tackling a Silent Epidemic: Regulatory Science and Traumatic Brain Injury	\$357,000
Australian Research Council (ARC)	Dr Matthew Tomlinson	Let the dead speak: Social engagement in a new religious movement	\$145,000
Australian Research Council (ARC)	Dr Michelle Langley	Australia's Living Technologies: Bone Tools from First Peoples to Contact	\$358,752
Australian Research Council (ARC)	Dr Sharon Bessell	Understanding and Assessing Childhood Poverty in Indonesia	\$531,500
Australian Research Council (ARC)	Prof Andrew Walker	Understanding Mekong governance: state officials at the margins of empire	\$328,500
Australian Research Council (ARC)	Prof Kirin Narayan	Building India: Religion, Craft and Infrastructure in Contemporary Asia	\$328,000

College of Asia and the Pacific

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Deutsche Gesellschaft fur Internationale Zusammenarbeit (GIZ) GmbH	Dr Robert Costanza	Economics of Land degradation (ELD) Initiative	\$102,080
The Crawford Fund	Dr Helen James	Capacity Building for Yangon University Academics in research on environment and development	\$5,000
University of Western Australia (UWA)	Dr David Vanzetti	Economic Analysis of Policies Affecting Pulses in Pakistan	
US Department of State	Dr Geoffrey Clark	Conservation of the Royal Tombs of the Ancient Tongan State	\$118,237

**College of Business and
Economics**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Alfred Tran	Are tax base erosion and profit shifting countermeasures effective?	\$391,500
Australian Research Council (ARC)	Dr Joshua Chan	Measuring inflation expectations and inflation expectations uncertainty	\$283,000
Australian Research Council (ARC)	Prof John Stachurski	Advanced computational methods for solving modern asset pricing models	\$840,480
Australian Research Council (ARC)	Prof Markus Brueckner	Income and Well-Being: Evidence from International Commodity Price Shocks	\$880,480
Commonwealth Department of Employment	Prof Byron Keating	Jobfit - evaluation of the phone application	\$40,000

**College of Engineering
and Computer Science**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Salman Durrani	Enabling ultra-reliable and sustainable machine-to-machine communications	\$352,000
Australian Research Council (ARC)	Prof Rodney Kennedy	Advanced sampling and processing for diffusion magnetic resonance imaging	\$381,000
Commonwealth Scientific and Industrial Research Organisation (CSIRO), Data61	Ms Hanna Suominen	CSIRO-Data61 Collaborative Research Project - Text Analytics	\$522,222
Commonwealth Scientific and Industrial Research Organisation (CSIRO), Data61	Prof Robert Williamson	CSIRO-Data61 Collaborative Research Project - Machine Learning	\$133,632
Peter MacCallum Cancer Centre	Prof Saman Halgamuge	Consulting services in Bioinformatics focussing on algorithms for pattern recognition and their implementation: Informatics Consulting and Software Engineering	\$12,000

**College of Medicine,
Biology and
Environment**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
ACT Herpetological Association	Mr Yusuke Fukuda	Understanding the movement and dispersal of saltwater crocodiles for managing human-crocodile conflicts in Australia and neighbouring countries	\$1,500
Australian Academy of Science	Dr Christopher Fulton	How will marine climate change affect seaweed growth on coral reefs?	\$24,624
Australian Research Council (ARC)	A/Prof Alexander Mikheyev	The origins, global spread and evolution of novel honey bee parasites	\$805,168
Australian Research Council (ARC)	A/Prof Ehsan Arabzadeh	Neuronal activity underlying efficient sensory processing	\$387,500
Australian Research Council (ARC)	A/Prof John Rathjen	Protein trafficking pathways in fungal rust pathogens of plants	\$356,500
Australian Research Council (ARC)	Asst Prof Tamas Fischer	Chromatin structure and pervasive transcription.	\$428,000
Australian Research Council (ARC)	Dr Adeel Razi	Towards understanding information processing in the brain	\$395,000
Australian Research Council (ARC)	Dr Darren Sinclair	Regulation and Governance for the Sustainable Management of Groundwater	\$346,000

**College of Medicine,
Biology and
Environment**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Dave Pasalich	Strengthening parent-child relationships to promote child adjustment	\$375,000
Australian Research Council (ARC)	Dr Jiayu Wen	Evolution and functional impact of gene silencing by hairpin derived RNAs	\$680,632
Australian Research Council (ARC)	Dr Lisong Ma	Deciphering the molecular interaction between tomato and Fusarium oxysporum	\$370,808
Australian Research Council (ARC)	Dr Maja Adamska	Early evolution of the endomesoderm gene regulatory network	\$805,168
Australian Research Council (ARC)	Dr Megan Supple	Landscape genomics to facilitate resilience of an endangered community	\$372,000
Australian Research Council (ARC)	Dr Megan Head	Evolving with Sexually Transmitted Infections	\$680,532
Australian Research Council (ARC)	Dr Michael Taylor	Fast 3D imaging of neural signal propagation using light-field microscopy	\$372,000
Australian Research Council (ARC)	Dr Rowena Martin	The natural function and evolution of an essential parasite transporter	\$805,168

**College of Medicine,
Biology and
Environment**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Sambasivam Periyannan	Enhancing resistance to wheat stripe rust disease	\$372,000
Australian Research Council (ARC)	Prof David Tremethick	Dissecting a novel RNA-histone variant interaction and its role in splicing	\$617,000
Australian Research Council (ARC)	Prof Loeske Kruuk	Multi-trait plasticity in response to a changing climate	\$459,500
Australian Research Council (ARC)	Prof Patrick Meir	Hydraulic control on water use, growth and survival in tropical rainforest	\$448,000
Australian Research Council (ARC)	Prof Ross Hannan	Understanding how ribosomal protein loss affects cell fate.	\$418,000
Australian Research Council (ARC)	Dr Anselm Enders	Juvenile Diabetes Research Foundation Grants Selection Committee	
Australian Research Council (ARC)	Prof Kaarin Anstey	ARC Centre of Excellence In Population Ageing Research (CEPAR II)	
Australian Research Council (ARC)	Prof Michael Roderick	ARC Centre of Excellence for Climate Extremes	

**College of Medicine,
Biology and
Environment**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australia's National Research Organisation for Women's Safety (ANROWS)	Mr Raymond Lovett	Addressing family violence in Indigenous communities: principles, practice and evaluation	
Black Dog Institute	Dr Michelle Banfield	Framework for the engagement of people with a lived experience in the LifeSpan project	\$48,284
Commonwealth Department of Education and Training	Dr Elizabeth Sturgiss	Endeavour Research Fellowship for Elizabeth Sturgiss	
Commonwealth Department of Foreign Affairs and Trade (DFAT)	Dr Kamalini Lokuge	Developing, implementing and evaluating pre-school based interventions to address family violence and alcohol abuse in Sri Lanka	
Commonwealth Department of Health	A/Prof Martyn Kirk	Per- and poly-fluoroalkyl substances (PFAS) Epidemiological Study - Phase 1	\$253,149
Commonwealth Department of Human Services	Dr Boris Bizumic	Request for Quote - Evaluating Effectiveness of Multicultural Awareness Training amongst Department of Human Services Staff	
GP Synergy	Dr Jason Agostino	Academic Registrar - Kathleen O'Brien	
GP Synergy	Dr Katrina Anderson	Academic Registrar - Bosco Wu	

**College of Medicine,
Biology and
Environment**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
GP Synergy	Prof Kirsty Douglas	Academic Registrar - Stephen Martin	
Grains Research and Development Corporation (GRDC)	Prof Barry Pogson	Capacity building to understand plant energy efficiency in harsh environments	\$120,000
National Health and Medical Research Council (NHMRC)	A/Prof Darren Roberts	Centre for REdefining antibiotic use to reDUce resistanCE and prolong the lives of antibiotics (REDUCE)	
National Health and Medical Research Council (NHMRC)	Ms Kerri Viney	Ending the global tuberculosis epidemic: the role of patient costs	\$408,768
National Health and Medical Research Council (NHMRC)	Ms Lara Corr	Protecting the mental health of children and child care workers	\$318,768
National Health and Medical Research Council (NHMRC)	Prof Ross Hannan	Therapeutic targeting of ribosome biogenesis in cancer and ribosomopathies	\$763,845
Royal Zoological Society of NSW	Ms Elle Bowd	The untold story of underground communities: Soil seedbanks and Fungi in Mountain Ash forests	\$7,000
The Cass Foundation	Dr Simon Williams	The 29th Fungal Genetics Conference	\$3,250

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
ANU Connect Ventures Pty Ltd	Dr Roland Fleddermann	Multi-modal ophthalmological instruments using ultrafast time domain OCT	\$49,882
Australian Research Council (ARC)	A/Prof Celine D'Orgeville	Semiconductor Laser for Adaptive Optics in Astronomy and Space Awareness	\$502,453
Australian Research Council (ARC)	A/Prof Colin Jackson	New methods for protein design	\$485,500
Australian Research Council (ARC)	A/Prof Ilya Shadrivov	Functional metasurfaces and metadevices	\$904,000
Australian Research Council (ARC)	A/Prof Jochen Brocks	Lost world of complex life: Molecular traces of our primordial ancestors	\$406,500
Australian Research Council (ARC)	A/Prof Michael Ellwood	Spinning the ferrous wheel: how is iron cycled in Southern Ocean waters?	\$348,000
Australian Research Council (ARC)	A/Prof Michael Ireland	Adolescent Stars and Planets in our Neighbourhood from Gaia and FunnelWeb	\$427,000
Australian Research Council (ARC)	A/Prof Nerilie Abram	Quantifying and mitigating changes in Australia's rainfall belts	\$933,054

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	A/Prof Uri Onn	Representations of arithmetic groups and their associated zeta functions	\$776,000
Australian Research Council (ARC)	Dr Adele Morrison	Resolving the mechanisms and pathways of Antarctic dense water formation	\$360,000
Australian Research Council (ARC)	Dr Andrey Miroshnichenko	Nonlinear near-field nanophotonics	\$371,000
Australian Research Council (ARC)	Dr Christoph Federrath	FIRE-DRIVE: Feedback in Realistic Environments to DRIVE turbulence	\$365,000
Australian Research Council (ARC)	Dr Daniel Cocks	How does antimatter and matter solvate in liquids?	\$360,000
Australian Research Council (ARC)	Dr Dougal Mackey	The Dark Local Universe: Unveiling the Halos of Andromeda and the Milky Way	\$805,054
Australian Research Council (ARC)	Dr Gregory Lane	Stawell Underground Physics Laboratory: Dark Matter Detector Development	\$427,000
Australian Research Council (ARC)	Dr Jaideep Saha	Application of boronate ester-appended scaffolds in drug-discovery	\$360,000

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Lauren Waszek	Linking seismic structure to geodynamic processes beneath Australasia	\$360,000
Australian Research Council (ARC)	Dr Luca Casagrande	The life-stories of galaxies from stellar fossils	\$681,054
Australian Research Council (ARC)	Dr Marcus Doherty	Electric field imaging of single charges and molecules via spins in diamond	\$449,500
Australian Research Council (ARC)	Dr Marcus Doherty	Diamond quantum technology: from fundamentals to applications	\$360,000
Australian Research Council (ARC)	Dr Mohsen Rahmani	Opto-acoustic Metasurfaces	\$360,000
Australian Research Council (ARC)	Dr Nicholas Cox	Australian High Field EPR Facility	\$650,000
Australian Research Council (ARC)	Dr Nicholas White	Anion-templated functional architectures	\$360,000
Australian Research Council (ARC)	Dr Rhodri Davies	Earth's Intra-Plate Volcanic Engine	\$286,000

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Rose Ahlefeldt	Development of new materials for high data storage capacity quantum devices	\$360,000
Australian Research Council (ARC)	Dr Timothy Trudgian	Explicit methods in number theory: computation, theory and application	\$652,000
Australian Research Council (ARC)	Dr Zsuzsanna Dancso	Homological methods in combinatorics, algebra and geometry	\$360,000
Australian Research Council (ARC)	Em/Prof Robert Dewar	Multi-Region Relaxation Dynamics in Fusion and Stellar Plasmas	\$353,500
Australian Research Council (ARC)	Prof Andrei Rode	New landscape of non-equilibrium material phases	\$571,500
Australian Research Council (ARC)	Prof Andrew Stuchbery	Moments, monopoles and the emergence of nuclear collectivity	\$468,000
Australian Research Council (ARC)	Prof Anthony Hill	Heteroatomic Organometallic Molecular Wires	\$373,500
Australian Research Council (ARC)	Prof Daniel Shaddock	Quantum enhancement of gravitational wave astronomy	\$325,500

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Prof David Hinde	The race to create new superheavy elements and isotopes	\$658,500
Australian Research Council (ARC)	Prof David McClelland	Australian Partnership in Advanced LIGO+	\$850,000
Australian Research Council (ARC)	Prof Gottfried Otting	New methods for drug discovery and structural biology by NMR spectroscopy	\$519,000
Australian Research Council (ARC)	Prof Hark Tan	van der Waals Epitaxy for Advanced and Flexible Optoelectronics	\$452,500
Australian Research Council (ARC)	Prof Hugh O'Neill	A new perspective on melting in the Earth and the origin of basalts	\$476,000
Australian Research Council (ARC)	Prof Ian Campbell	Predicting the copper-gold fertility of mountain belts	\$315,000
Australian Research Council (ARC)	Prof Mahananda Dasgupta	Cluster Dynamics in Nuclear Fusion	\$643,500
Australian Research Council (ARC)	Prof Mark Humphrey	Metal-Rich Materials for Optical Limiting	\$488,500

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Prof Mark Humphrey	Ultrafast Optical Nonlinearities in Robust Organometallic Materials	\$431,000
Australian Research Council (ARC)	Prof Martin Banwell	Harnessing Strain for Chemical Synthesis - The Cyclopropane Angle	\$466,000
Australian Research Council (ARC)	Prof Murray Batchelor	Mathematical structure of the quantum Rabi model	\$362,000
Australian Research Council (ARC)	Prof Neil Manson	Towards a quantum bus for large-scale diamond quantum computers	\$345,000
Australian Research Council (ARC)	Prof Stephen Eggins	Holding coral reefs together with soluble cement	\$393,000
Australian Research Council (ARC)	Prof Xu-Jia Wang	Variational theory for fully nonlinear elliptic equations	\$538,500
Australian Research Council (ARC)	Dr Daniel Shaddock	ARC Centre of Excellence for Engineered Quantum Systems	
Australian Research Council (ARC)	Dr Elena Ostrovskaya	ARC Centre of Excellence in Future Low-Energy Electronics Technologies	

**College of Physical and
Mathematical Sciences**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	Dr Lisa Kewley	ARC Centre of Excellence for All Sky Astrophysics in 3 Dimensions	\$30,300,000
Australian Research Council (ARC)	Prof David McClelland	ARC Centre of Excellence for Gravitational Wave Discovery	
Australian Research Council (ARC)	Prof Ping Koy Lam	ARC Centre of Excellence for Quantum Computation and Communication Technology	
Australian Synchrotron	Dr Patrick Kluth	Anisotropy of ion track formation and recrystallization in crystalline materials	\$1,720
Australian Synchrotron	Mr Hugh St. C. O'Neill	The high temperature geochemistry of Antimony	\$1,720
Beta Therapeutics Pty Ltd	Dr Brett Schwartz	Beta Therapeutics Work Order Annexure 13: Small Molecule Heparanase Inhibitor Project	\$217,728
Commonwealth Department of Foreign Affairs and Trade (DFAT)	Dr Graham Walker	Science Circus Africa - Science centre capacity-building leadership training	\$330,265
Commonwealth Department of Industry, Innovation and Science	Dr Roderick Lamberts	CPAS Poll - National survey of public attitudes to science	
US Air Force, Office of Scientific Research	Prof Yuri Kivshar	Topologically nontrivial electromagnetic states	\$202,381

**National Centre for
Indigenous Studies**

Primary Funds Provider	Primary Investigator	Title	Total Amount Awarded
Australian Research Council (ARC)	A/Prof Cressida Fforde	Restoring Dignity: Networked Knowledge for Repatriation Communities	\$1,231,000

Significant Events from 5 September - 7 November 2016

What constitutes a Significant Event?

A public lecture, event or seminar which attracts over 200 guests, a named lecture of historical significance,

a lecture by a significant overseas guest, a visit by an international delegation, a visit or talk by a local or

federal member, building opening, or awarding of major prize

SEPTEMBER

VIP Lecture

Centre for Mathematics and its Applications, Mathematical Sciences Institute

Monday 5 September 2016

Professor Peter Hall Workshop

The Vice-Chancellor attended the workshop to acknowledge the contribution of Professor Peter Hall to ANU and to statistics and science in Australia.

VIP Event

ANU Energy Change Institute

Wednesday 7 September 2016

Battery storage announcement

The Vice-Chancellor joined with Mr Simon Corbell MLA, Attorney-General, Minister for Health, Minister for the Environment and Minister for the Capital Metro, to announce funding which will help establish Australian research leadership in the integration of battery material technology with electricity network storage. The ACT Government announced funding of \$3,998,162, (GST inclusive).

VIP Event

ANU College of Business and Economics

Thursday 8 September 2016

ANU College of Business and Economics Prizes and Scholarships Ceremony

The Vice-Chancellor welcomed guests and congratulated recipients of prizes and scholarships. Mr Xu Xiao, Minister and Counsellor for Education, Chinese Embassy, Mr Jiangang Kang, First Secretary, Chinese Embassy, Mr Ajay Kumar Amban, High Commission of India, Ms Lynette Long, Acting High Commissioner of the Republic of Singapore, Dr Irwan Sinaga, Economic Counsellor, Embassy of the Republic of Indonesia, Mr Khairul Hezry Arifin, Second Secretary, High Commission of Malaysia were in attendance to honour students recipients from their countries.

VIP Event

Australian Women in Agriculture (AWIA)

Friday 9 September 2016

AWIA Conference

The Vice-Chancellor welcomed participants to ANU for the conference celebrating the contribution (past and present) that the women of the Limestone Plains have made to the nation.

VIP Event

ANU/The Canberra Times meet the author event

Monday 12 September 2016

Albanese: Telling it Straight is journalist Karen Middleton's new biography of Labor MP and former Deputy Prime Minister Anthony Albanese. In this discussion they both joined ABC 666 Canberra's Alex

Sloan to discuss Albanese's political journey and personal stories that come out of Middleton's book. More than 300 members of the public were in attendance

Public Lecture

ANU/The Canberra Times meet the author event

Tuesday 13 September 2016

Don Watson joined Professor Bates Gill in conversation to discuss his new *Quarterly Essay, Enemy Within. American Politics in the Time of Trump* which takes the reader on a journey into the heart of the United States in the year 2016.

More than 200 members of the public were in attendance

VIP Meeting

Australian Government Department of Education and Training

Tuesday 13 September 2016

Eco-Rant at DET

The Vice-Chancellor delivered the Eco-Rant seminar, a regular event at the Department of Education and Training. He spoke on the University's role as a public policy resource.

VIP Reception

Office of the Vice-Chancellor

Tuesday 13 September 2016

Strategic Plan working Groups thank you

The Vice-Chancellor provided an update on the Strategic Plan process and thanked everyone for their contribution.

VIP Lecture

ANU Research Skills and Training

Wednesday 14 September 2016

ANU Three minute thesis (3MT) final

Dr Martin Parkinson, Secretary of the Department of Prime Minister and Cabinet, Ms Naomi Flutter, ANU Council Member and Ms Emma Macdonald, Journalist judged the final of the ANU 3MT.

Institutional visit

CONACYT, Mexico

Wednesday 14 September 2016

Dr Arturo Borja, Director of International Cooperation, CONACYT visited ANU along with His Excellency Mr Armando Alvarez Reina, Mexican Ambassador to Australia and Ms Maria Luisa Gonzalez, Minister (Economic Relations and G-20) Embassy of Mexico, to discuss a potential partnership agreement and providing sponsorship for Mexican students to study at ANU. The delegation met with Professor Shirley Leitch, Ms Anne Baly and Ms Amy Holland from International Strategy and Partnerships.

VIP Event

Delegation of the European Union and ANU College of Arts and Social Sciences

Wednesday 14 September 2016

European Climate Diplomacy Event

The Vice-Chancellor opened the event and greeted members of the Diplomatic Community. Those in attendance included:

- His Excellency Mr Sem Fabrizi, Ambassador of the European Union to Australia
- Her Excellency Dr Anna Prinz, Ambassador of Germany to Australia
- Her Excellency Mrs Erica Schouten, Netherlands Ambassador-Designate to Australia
- His Excellency Mr Pier Francesco Zazo, Ambassador of Italy to Australia
- Dr Alex Teytelboym, Research Fellow at the Institute for New Economic Thinking, University of Oxford
- Mr Eric Scotto, CEO of Akuo Energy

- Ms Dorte Ekelund, Director General, Environment and Planning, Actsmart
- Mr Larry O'Loughlin, Executive Director, Conservation Council ACT Region

VIP Lecture

SAS Forum Committee

Thursday 15 September 2016

Student Administration and Services Forum 2016

The Vice-Chancellor delivered the keynote address *The Ripple Effect* and officially opened the forum.

VIP Lecture

Global Access Partners

Thursday 15 September 2016

Global Access Partners (GAP) 7th Annual Economic Summit

The Vice-Chancellor delivered the keynote address *Spaces of Australian Innovation – whether physical, virtual or metaphorical* at the summit. GAP runs this an annual economic summit to bring together key stakeholders around macroeconomic challenges facing Australia.

VIP Update

ANU Indonesia Project

Friday 16 September 2016

Indonesia Update 2016

The Vice-Chancellor welcomed participants and opened the conference. His Excellency Mr Nadjib Riphath Kesoema, Indonesian Ambassador was acknowledged as well as special speakers for the Update including Muhamad Chatib Basri, former Minister for Finance and Ms Mari Pangestu, former Minister for Trade and Minister of Tourism and Creative Economy, Indonesia.

VIP Meeting

ANU Heavy Ion Accelerator Facility

Friday 16 September 2016

Meeting with Karlheinz Langanke, Scientific Director of GSI Heavy Ion Research Facility, Germany

The Vice-Chancellor met with the delegation from the GSI Heavy Ion Research Facility, Germany. The meeting was to discuss developing future relationships, scientific collaboration and collaboration on the development of a new superconducting accelerator for GSI and ANU.

Diplomatic visit

Australian Ambassador to Germany

Friday 16 September 2016

Ms Lynette Wood, Australian Ambassador-Designate to Germany visited ANU for a pre-posting consultation visit. She met with the Vice-Chancellor, Professor Shirley Leitch, Director International Strategy and Partnerships Ms Anne Baly, and Mr Owen Pierce from International Strategy and Partnerships.

VIP Event

CSIRO

Monday 19 September 2016

Gala Dinner – The business of building an innovation-led Australia

The Dean of the ANU College of Engineering and Computer Science attended the dinner on behalf of the Vice-Chancellor.

VIP Roundtable

National Security College, Crawford School of Public Policy

Monday 19 September 2016

Australian, Indian and American Defence Cooperation in the Indian Ocean Region

Participants in the roundtable included:

- Ms Kathy Klugman, First Assistant Secretary South and West Asia Division
- Commodore Lee Goddard, RAN
- Mr James A Carouso, Deputy Chief of Mission, Embassy of the United States of America
- Mr Ajay Kumar AMBAN, Deputy Chief of Mission, High Commission of India
- Mr Ric Smith AO, former senior Australian public servant and diplomat
- Mr Simon Tchaikovsky, Assistant Director, South Asia, International Policy Division

VIP Lecture

ANU Enterprise

Monday 19 September

DFAT Australia Awards Africa Program – Oceans Governance and Sustainable Fisheries

The Pro Vice-Chancellor (International) welcomed members of the diplomatic community to the lecture.

Those in attendance included:

- His Excellency Mr M Mael-Ainin Dean, Africa Diplomatic Corps
- Ms Violet Sheridan, Aboriginal Elder
- Mr Matthew Neuhaus, Assistant Secretary, Africa Branch, Department of Foreign Affairs and Trade
- His Excellency Mr Mohamed Khairat, Ambassador Embassy of Egypt
- His Excellency Mr Patrick Cavalot, High Commissioner, Mauritius High Commission
- Mrs Nsereko Berti Kawooya, Counsellor Uganda High Commission
- Mr Sibusiso Shezi, First Secretary South Africa High Commission
- Mr Sherif Abdelaziz Bedeir Hussein, First Secretary, Ambassador Embassy of Egypt

Public Lecture

ANU/The Canberra Times meet the author event

Monday 19 September 2016

Best-selling author of The Rosie Project Graeme Simsion spoke about his latest book *The Best of Adam Sharp*.

More than 200 members of the public were in attendance

VIP Roundtable

National Security College, Crawford School of Public Policy

Tuesday 20 September 2016

French Senator Roundtable

The National Security College hosted a roundtable attended by:

- His Excellency Mr Christophe Lecourtier, French Ambassador
- Mrs Julie Duhaut-Bedos, First Secretary and Deputy Head of Mission, Embassy of France
- Mr Christian Cambon, French Senator
- Mr Robert Laufoaulu, French Senator
- Mr Christian Namy, French Senator
- Miss Marie-Françoise Perol-Dumont, French Senator
- Mr André Trillard, French Senator
- Miss Lise Ménager, Advisor
- Mrs Christina Angelidis, Political Counsellor
- Ms Louise Hand, first Assistant Secretary, DFAT

VIP Lecture

John XXIII College

Tuesday 20 September 2016

Women of Note Lecture – Professor Gillian Triggs, President of the Australian Human Rights Commission

Professor Richard Baker Pro Vice-Chancellor (University Experience) spoke about the Australian Human Rights commission student sexual assault survey and introduced the keynote speaker Professor Gillian Triggs

Major Event**Eat, drink and be literary dinner***Friday 23 September 2016*

Journalists Steve Lewis and Chris Uhlmann joined Professor Hugh White in conversation to discuss their latest book *The Shadow Game*.

100 paying members of the public were in attendance

VIP Conference**Asia-Pacific College of Diplomacy, ANU College of Asia and the Pacific***20-23 September 2016*

2016 International Forum on Diplomatic Training

The training program included the following presenters:

- HE Mr Charles Lepani, Papua New Guinea High Commissioner to Australia and Dean of the Diplomatic Corps
- Ambassador James Batley (ret)
- The Honourable Penelope Wensley AC, former Governor of Queensland and Australian Consul-General to Hong Kong, Ambassador for the Environment, Australian Permanent Representative to the United Nations, New York; High Commissioner to India and Ambassador to France
- Ambassador (ret) Barbara Bodine
- Ambassador Markos Tekle, Director-General, Foreign Service Training Institute, Ethiopia
- Ambassador Juan Samavia (ret)
- Dr the Hon Brendan Nelson, Director, Australian War Memorial, Former Australian Ambassador to Belgium, Luxembourg, the EU and NATO; former Minister for Defence; former Minister for Education, Science and Training and former President of the Australian Medical Association
- Major General (Retd) Mike Smith, Vice-President, United Nations Association of Australia, former Director, Security Sector Advisory & Coordination Division, United Nations Mission in Libya; former Deputy Force Commander for the UN Transitional Administration in East Timor, former CEO of ActionAid and founder of the Australian Civil Military Centre
- His Excellency Mr Armando Alvarez Reina, Ambassador of Mexico to Australia
- His Excellency Mr Fook Seng Kwok, High Commissioner of Singapore to Australia
- His Excellency Mr Isikeli Mataitoga, Fiji Ambassador to Japan, the Russian Federation and the Philippines

VIP Discussion**Freilich Foundation***Wednesday 21 September 2016*

Professor Marnie Hughes-Warrington, Deputy Vice-Chancellor (Academic) welcomed guests, introduced speakers and facilitated the discussion. Speakers included:

- Dr Tim Soutphommasane, Race Discrimination Commissioner, Australian Human Rights Commission
- Dr Maria Hynes, School of Sociology, ANU College of Arts and Social Sciences
- Dr Scott Sharpe, Deputy Head of School (Education), School of Physical, Environmental and Mathematical Sciences, UNSW Canberra

VIP Event**Human Resources***Wednesday 28 September 2016***Introduction to the Sage Athena Swan Pilot**

The Vice-Chancellor launched the Science in Australia Gender Equity (SGAE) Pilot project. As co-chair of the committee he outlined the importance of gender equity, his commitment to helping women achieve their full potential and supporting transgender women and Indigenous Australians.

VIP Meeting

Office of the Vice-Chancellor*Wednesday 28 September 2016***Meeting with Bhutanese Ambassador to Australia**

The Pro Vice-Chancellor (Education and Global Engagement) held an introductory meeting with the Ambassador and members of the International Strategic Partnerships office.

VIP Event**Tuckwell Scholarships***Wednesday 28 September 2016***Tuckwell Enrichment Program**

The Vice-Chancellor held an informal meeting with Tuckwell Scholars to talk about issues such as avoiding burn out while studying and working and participating in extra-curricular activities.

VIP Dinner**University House***Wednesday 28 September 2016***Fellows Dinner: University and Graduate House Postgraduate Conference**

The Vice-Chancellor attended the dinner and spoke on the importance of the ANU resident postgraduate community and the developments and investments that impact research students and collegiate life.

Diplomatic visit**Bhutanese Ambassador***Wednesday 28 September 2016*

His Excellency Mr Tshewang Chopel Dorji, Bhutanese Ambassador to Australia and Mrs Chimi D Phuntsho, Royal Bhutanese Embassy in Bangkok visited ANU for a meet and greet. He met with Professor Shirley Leitch and Director International Ms Anne Baly.

Diplomatic visit**German Ambassador to Australia***Wednesday 28 September 2016*

Her Excellency Dr Anna Prinz, German Ambassador to Australia and Dr Judith Reinhard, Science & Innovation Counsellor, German Embassy visited ANU for a meet and greet and to discuss the numerous ANU initiatives with German institutions, and the possibilities for further collaboration. They met with a round table consisting of the Vice-Chancellor, Professor Margaret Harding, Professor Mick Cardew-Hall, Professor Jacqueline Lo, Professor Stefan Broer, Professor Andres Cuevas, Dr Katharine Daniell, Professor Simon Foote, Professor Shirley Gregor, Associate Professor Alex Maier, Ms Anne McNaughton, Professor Thomas Preiss and Ms Amy Holland.

VIP Meeting**Office of the Vice-Chancellor***Thursday 29 September 2016***Meeting with the Myanmar Ambassador**

The Vice-Chancellor meet with His Excellency Mr Tha Aung Nyun, Ambassador for the Embassy of the Republic of the Union of Myanmar. This was an introductory meeting and the formal handing over of a letter of invitation for Daw Aung San Suu Kyi to attend the ANU 2017 Myanmar Update in February 2017.

VIP Roundtable**Universities Australia***Thursday 29 September 2016***Australia-Germany Joint Research Co-operation Scheme**

The Vice-Chancellor welcomed participants to ANU for this meeting. Senator the Hon Mathias Cormann, Minister for Finance and Co-Chairman of the Australia-Germany Advisory Group, Her Excellency Dr Anna Prinz, German Ambassador to Australia and His Excellency Mr David Ritchie, former Australian Ambassador to Germany were in attendance.

VIP Meeting**Office of the Vice-Chancellor***Thursday 29 September 2016***Meeting with German Ambassador**

The Vice-Chancellor and the Deputy Vice-Chancellor (Research) meeting with Her Excellency Dr Anna Prinz, German Ambassador to discuss research and recent ANU initiatives that involve German institutions.

VIP Event**Mount Stromlo – YMCA***Friday 30 September 2016***YMCA Canberra Space Camp Launch**

The Vice-Chancellor spoke to the young people who were interested in science and space technology and encouraged them to consider all the options available to them whether it be an astronaut, engineer or a physicist and how ANU was the best place to study. Mr Jim Carouso, Deputy Chief of Mission, US Embassy and Ms Maureen Dougherty President, Boeing Australia were in attendance.

OCTOBER**Major Event****ANU/The Canberra Times meet the author event***Monday 3 October 2016*

Award-winning author of *Burial Rites*, Hannah Kent, joined Professor Jen Webb in conversation to discuss her latest book *The Good People*.

More than 300 members of the public were in attendance

VIP Visit**ANU College of Engineering and Computer Science***Monday 3 to Friday 7 October 2016***Visit by Monique Morrow, Chief Technology Officer, Evangelist for New Frontiers Development and Engineering CISCO**

ANU managed the visit of Ms Morrow and facilitated meetings with Government, ANU research areas, media interviews and the presentation of the Dean's Colloquium.

Major Event**H C Nugget Coombs Lecture presented in collaboration with Charles Darwin University***Wednesday 5 October 2016*

CEO of the Northern Land Council Joe Morrison presented the 8th H C Nugget Coombs Lecture titled 'Unhappy anniversaries: what is there to celebrate?'

More than 300 members of the public were in attendance

VIP Symposium**ANUSA***Wednesday 5 October 2016***ANU Innovation Symposium**

Professor Michael Cardew-Hall, attended the dinner providing a welcome to guests and spoke about the importance of innovation at ANU.

VIP Conference**Rural Clinical School, ANU Medical School***Thursday 6 October 2016***FRAME Conference**

The Hon Dr David Gillespie MP, Assistant Minister for Rural Health was met by Professor Shirley Leitch, Pro Vice-Chancellor and was introduced as the keynote speaker for the opening of the conference.

Major Event

Eat, drink and be literary dinner presented in collaboration with The Commonwealth Club

Saturday 8 October 2016

Author Tim Winton joined ABC 666 Canberra's Genevieve Jacobs to discuss his latest book *The Boy Behind the Curtain*.

VIP Event

Australian National Dictionary Centre

Monday 10 October 2016

Australian National Dictionary acceptance by the Prime Minister

The Prime Minister, The Hon Malcolm Turnbull was presented with a copy of the latest edition of the Australian National Dictionary. Professor Marnie Hughes-Warrington, Mr Peter van Noorden, Managing Director, Oxford University Press (OUP), Dr Bruce Moore, Chief Editor, Amanda Laugesen, Australian National Dictionary Centre (ANDC) Director and Managing Editor and Ms Jane O'Dwyer, Director, Strategic Communications and Public Affairs were in attendance.

VIP Lecture

ANU Centre for European Studies

Tuesday 11 October 2016

Creating a new culture of leadership, gender equity and government and diplomacy

Her Excellency Mrs Menna Rawlings CMG, British High Commissioner and Ms Jane Halton AO PSM, Secretary of the Department of Finance were panel members for this discussion.

VIP Event

Strategic and Defence Studies Centre, Coral Bell School of Asia Pacific Affairs

Tuesday 11 October 2016

Book Launch – A national asset: 50 years of the Strategic Defence Studies Centre

Senator the Hon Marise Payne, Minister for Defence launched the book. Acting Vice-Chancellor Professor Marnie Hughes-Warrington hosted the Minister at the event.

VIP Symposium

ARC Centre of Excellence for the Dynamics of Language

Monday 17 October 2016

Symposium on bilingual and multilingual education in the Oceania-Pacific Region

Professor Marnie Hughes-Warrington delivered the welcome address to attendees of the Symposium. The French Embassy was represented by Mr Bertrand Pous, Head of Culture, Education, Science and Technology.

VIP Reception

Australian National Internships Program (ANIP)

Tuesday 18 October 2016

2016 ANIP Internships Showcase

Senator Janet Rice, Senator for Victoria, Australian Greens and His Excellency Mr Raul Gangotena Rivadeneira, Ambassador of Ecuador attended the reception.

VIP Retreat

National Centre for Indigenous Studies

Wednesday 19 October 2016

NCIS Higher Degree Research Retreat 2016

The Vice-Chancellor delivered remarks as part of the retreat program. The retreat provides an opportunity HDR scholars working in Indigenous Studies to showcase their own research.

Major Event

2016 Lions Oratory Competition Finals

Wednesday 19 October 2016

Seven undergraduate students competed in the competition finals. They had just five minutes address the question "**What does community mean in 2016**".

VIP Reception

Ambassadors of Latin American Countries

Thursday 20 October 2016

Reception to recognise the contribution of ANU to the academic and cultural ties with the Latin-American region and the work of Dr John Minns

The Vice-Chancellor attended and spoke at the reception hosted by the Ambassadors for Latin-America to thank ANU and in particular Dr John Minns who was the Director of the Australian National Centre for Latin American Studies. Hosts included:

- His Excellency Mr Raul Gangotena Rivadeneira, Ambassador of Ecuador
- Her Excellency Mrs Clemencia Forero-Ucros, Ambassador of Colombia
- His Excellency Dr Ricardo Javier Varela Fernandez, Ambassador of Uruguay
- His Excellency Mr Daniel Carvallo, Ambassador of Chile
- Eduardo Acevedo-Diaz, Charge d'Affaires a.i., Embassy of the Argentine Republic
- Mr Pablo Esteban R. Bedoya G, Chargé d'Affaires of Paraguay

Partner visit

Indiana University, United States of America

Thursday 20 October to Friday 21 October 2016

Rita Koryan, Assistant Vice President for International Affairs, Indiana University visited ANU to have pre-visit briefings and discussions with those participating in the outgoing delegation to Indiana University on 9 November 2016. She was hosted by Mr Owen Pierce and Ms Amy Holland from International Strategy and Partnerships and met Shirley Leitch, Sandra Nitschke, Jonathan Dampney, Jacquie Lo, Christina Rose, Simon Haberle, Chris Price, Archi Clements, Jay Poria, Christine Sullivan, Fiona Yap, Nicholas Farrelly, Roger Bradbury and Anne Baly.

VIP Dinner

Tjabal Centre

Friday 21 October 2016

The Vice-Chancellor and Professor Richard Baker (University Experience) attended the Centre dinner, acknowledged the students and their families, congratulated them on their successes and acknowledged Stephanie Pollard on her gold medals at University Games. Mr Robbie Williams was also acknowledged as he moves on to undertake his PhD.

Institutional visit

Qatar University

Friday 21 October 2016

Qatar University representatives, led by, Dr Darwish Al Emadi, Vice President for Strategy & Development visited ANU to learn from, and about, ANU best practices in relation to teaching & learning, research & innovation, student success and digital transformation. The delegation was also interested in exploring potential avenues of collaboration. The delegation was hosted by Professor Shirley Leitch and met with representatives from the Division of Research Services, International Strategy & Partnerships Centre for Arab and Islamic Studies, Crawford School, ANU Online and the Centre for Higher Education, Learning and Teaching.

VIP Event**Tuckwell Scholarships Program***Saturday 22 October 2016***Tuckwell Scholars end of year BBQ**

The Vice-Chancellor attended the informal celebration marking the end of semester for the scholars.

VIP Roundtable**Coral Bell School of Asia Pacific Affairs***Tuesday 25 October 2016***Roundtable discussion with New Zealand Ministry of Defence Deputy Secretary (Policy and Planning)**

Mr Tony Lynch, NZ Ministry of Defence Deputy Secretary, Mr Mike Ketchen, Counsellor, New Zealand High Commission, Mr Eamonn Whitham, and Sandra Pope, Policy Analysts, New Zealand High Commission held discussions with academics from the Coral Bell School.

VIP Event**ANU University Library***Wednesday 26 October 2016***Women in Research Citation Awards**

The Vice-Chancellor spoke at the awards ceremony which celebrates early to mid-career women researchers who are highly cited in a range of disciplines. Twelve awards were presented.

VIP Lecture**School of Archaeology and Anthropology***Wednesday 26 October 2016***The 2016 Jack Golson Lecture – *Reading between the lines: Katherine Routledge's field notes and Rapanui identity***

His Excellency Mr Daniel Carvallo, Ambassador for the Embassy of the Republic of Chile attended the lecture.

VIP Event**Swiss Embassy***Wednesday 26 October 2016***Swiss Prize Awards 2016 – *Switzerland in the World***

The reception was held at the Ambassador's residence and the Vice-Chancellor attended and addressed those gathered congratulating the recipients of this year's prizes.

VIP Conference**Coral Bell School of Asia Pacific Affairs***Thursday 27 October 2016***RPS – Implementing the responsibility to protect conference**

The Chancellor officially opened the conference. In attendance from the diplomatic community were:

- Mr Ray Sithole, Acting High Commissioner, South African High Commission
- His Excellency Dr Sabri Kicmari, Ambassador, Republic of Kosovo
- His Excellency Dr Mykola Kulinich, Ambassador, Embassy of Ukraine
- His Excellency Mr Mirosljub Petrovic, Ambassador, Republic of Serbia
- His Excellency Mr Patrick Cavalot, High Commissioner, Mauritius High Commission
- His Excellency Mr Kazi Imtiaz Hossain, High Commissioner, Bangladesh High Commission
- Mr Zoran Marinkovic, First Secretary, Republic of Serbia
- Ms Jenifer Henderson, First Secretary (Political/Development), High Commission of Canada
- Ms Ashley Alderton, Policy Analyst, High Commission of Canada
- Mr Reza Booraghi, Counsellor, Embassy of the Islamic Republic of Iran

- Mr Mousalreza Vahidi, Counsellor Embassy of the Islamic Republic of Iran
- Mr Igor Chibisov, Embassy of Russia

Major Event

2016 Last Lecture

Thursday 27 October 2016

The 11th Last Lecture was delivered by Mr Shun Ikeda, Senior Lecturer, School of Culture, History & Language, College of Asia and the Pacific. Mr Ikeda, after a long career of 33 years at ANU, was a popular choice to give the last lecture of the academic year.

Partner visit

Singapore Management University (SMU)

Thursday 27 October 2016,

Mr Matthew Lee, Director SMU International Office, Mr Sath Muthiah, Senior Manager, Americas & ANZ Portfolio, and Ms Mabel Wong, Senior Manager, East Asia Portfolio visited ANU to continue engagement with key stakeholders and deepen existing relationships. They met with the following people and discussed these topics: Jenni Bettman – integration of SMU and CBE's Asian Capital Markets major; Leanne Harrison & Jennah Robichaud – promoting SMU to CAP students due to receipt of NCP funding for programmes at SMU; Richard Baker – opportunities for SMU Global Impact Scholars Awards (GISA) scholars to interact with ANU Tuckwell Scholars; Andrew Banfield – collaboration between ANU PPE & SMU PLE; Anne Baly & Brooke Thomas – general ISP matters, showcase and improved College support; Don Rothwell & Stephen Bottomley – continue CoL collaboration discussion; Jess Cronin & Ewan Evans – meet staff involved in student exchange facilitation.

Major Event

ANU/The Canberra Times meet the author event

Thursday 27 October 2016

Dr John Blaxland and Dr Rhys Crawley discussed their final book in the history of ASIO trilogy, *The Secret Cold War: The Official History of ASIO, 1975-1989*.

More than 300 members of the public were in attendance

Major Event

ANU Tomorrow Lecture – ANU Postgraduate and Research Student Association

ANU Tomorrow showcased the University's research talent and highlights, in particular the diversity of our research. Speakers included Professor the Hon Gareth Evans AC QC, Professor Peter Kanowski and Professor Kamalini Lokuge.

VIP Event

Ursula Hall

Saturday 29 October 2016

Ursula Hall Leadership Day

The Vice-Chancellor delivered the keynote address to the leadership group speaking on the role and expectation of ANU student leaders and the importance to the campus and ANU community.

VIP Conference

Research School of Population Health

Monday 31 October 2016

15th National Conference of Emerging Researchers in Ageing

The Vice-Chancellor welcomed attendees and spoke about the University's strong commitment to ageing research and public policy.

NOVEMBER**VIP Event****Office of the Pro Vice-Chancellor (University Experience)***Tuesday 1 November 2016***VC Student Leadership Graduation Dinner**

The Vice-Chancellor attended the dinner, spoke and presented certificates to students who had undertaken the VC Student Leadership program. The program provides mentoring and professional development for students who hold, or hope to take up, leadership positions in the University.

VIP Visits**Office of the Pro Vice-Chancellor (Innovation)***Wednesday 2 November 2016***Visit by Finland Technical Research Centre**

Professor Michael Cardew-Hall met with Dr Antti Vasara, President and CEO of Technical Research Centre of Finland to discuss the innovation and research work of ANU with the possibility of collaboration.

VIP Event**Emeritus Faculty***Wednesday 2 November 2016***Emeritus Faculty Engagement**

The Vice-Chancellor meet with and spoke to members of the Emeritus Faculty and their guests.

VIP Event**National Security College***Wednesday 2 November 2016***Book launch – *Indo-Pacific maritime security: challenges and cooperation***

Dean of ANU College of Asia and Pacific Professor Michael Wesley and the Director of the National Security College Professor Rory Metcalf hosted members of the Diplomatic community for the book launch. Those in attendance included:

- His Excellency Mr Sumio Kusaka, Ambassador, Embassy of Japan
- His Excellency Dr Hugo Javier Gobbi, Ambassador, Embassy of the Argentine Republic
- His Excellency Dr Bernhard Zimburg, Ambassador, Embassy of Austria

VIP Conference**School of Philosophy and Research School of Social Sciences***Monday 7 November 2016***Gendered Innovations in the Social Sciences**

Professor Richard Baker represented the Vice-Chancellor and spoke on the University's commitment to gender equity.

VIP Event**Research School of Physics and Engineering***Monday 7 November 2016***Launch of the CCSNET Laboratories**

The Vice-Chancellor met, escorted and introduce the Minister for Education Senator the Hon Simon Birmingham who officially opened the new laboratory.

Major Event**Mars the live experience***Monday 7 November 2016*

ANU partnered with company Live on Stage to present the event featuring:

- Buzz Aldrin, Apollo astronaut
- Ray Martin, journalist
- Jason Crusan, Director Advanced Exploration Systems, NASA
- Professor Mark McCaughrean Senior Science Advisor, European Space Agency

THE AUSTRALIAN NATIONAL UNIVERSITY

National Centre for Indigenous Genomics Statute 2016

Background and purpose

- 1 The University holds, in the John Curtin School of Medical Research, a collection of biological samples that were obtained from Indigenous people for scientific research from the 1960s until the early 1990s. The collection includes documents and data relating to the samples.
 - 2 In recognition of the collection's immense cultural, historical and scientific importance, the University is committed to ensuring:
 - (a) that the collection is held and added to under appropriate Indigenous custodianship; and
 - (b) that there is proper engagement with Indigenous people and communities from which the samples and records were collected about any use of the collection for research; and
 - (c) that appropriate consents are obtained for any research using material in the collection.
 - 3 The Council's purpose in making this instrument is to establish an appropriate framework to ensure Indigenous governance of, and the application of best practice for, the conduct of any research using material in the collection.
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The Council of the University, therefore, makes the following statute.

Dated DAY MONTH YEAR

Professor the Hon Gareth Evans AC QC FASSA FAIIA
Chancellor

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Part 1—Preliminary

1 Name

This is the *National Centre for Indigenous Genomics Statute 2016*.

2 Commencement

This instrument commences on the day after it is registered.

3 Authority

This instrument is made by the Council under section 50 of the *Australian National University Act 1991*.

4 Definitions

In this instrument:

Board means the Board of the Centre.

Centre means the National Centre for Indigenous Genomics established by this instrument.

Collection means the National Indigenous Genomics Collection.

Director means the Director of the Centre.

exercise a function includes perform the function.

function includes duty and power.

member means a member of the Board, and includes the Chair and Deputy Chair of the Board.

Part 2—National Indigenous Genomics Collection

5 The Collection

The National Indigenous Genomics Collection consists of:

- (a) the material known as the ‘Indigenous Collection’ that forms part of the ‘ANU Geographical Human Sample Collection’ held in the John Curtin School of Medical Research at the commencement of this instrument, including all biological samples and associated documents and data that are part of the ‘Indigenous Collection’ at the commencement; and
- (b) any of the following additional material added to the Collection by the Centre after the commencement of this instrument:
 - (i) biological samples collected from Indigenous people;
 - (ii) associated documents, including donor and other records relating to the samples;
 - (iii) data derived from the samples and associated documents;
 - (iv) other genomic data collected from Indigenous people.

Part 3—National Centre for Indigenous Genomics

6 Establishment of Centre

The National Centre for Indigenous Genomics is established as a body within the University.

7 Functions of Centre

The Centre has the following functions:

- (a) to hold the Collection, and add to it, in accordance with international standards;
- (b) to engage with Indigenous communities, organisations and people in relation to the Collection, particularly those associated with material in the Collection;
- (c) to promote the use of the Collection, including by engaging with researchers and research institutions outside the University;
- (d) to support research using the Collection;
- (e) to do anything incidental or conducive to the exercise of any of its other functions.

8 Centre to comply with Commonwealth laws, University statutes etc.

To remove any doubt, the Centre must comply with Commonwealth laws that apply to the University and statutes, rules, orders and policies of the University.

[Note: The *Public Governance, Performance and Accountability Act 2013* has, for example, provisions about audit and bank accounts that apply to the University.]

9 Director of Centre

- (1) The Centre is to have a Director, who is to be a member of the staff of the University.
 - (2) The Vice-Chancellor must, by written instrument, appoint a person as the Director, after seeking the Board's advice.
 - (3) A member of the Board cannot be appointed as the Director.
 - (4) The Director is responsible for:
 - (a) supporting the Board as the custodian of the Collection and in the exercise of its other functions under this instrument; and
 - (b) managing the operations of the Centre in accordance with:
 - (i) Commonwealth laws that apply to the University; and
 - (ii) statutes, rules, orders and policies of the University; and
 - (iii) the operational plan prepared and varied, from time to time, by the Board; and
 - (iv) policies approved by the Board in relation to the Collection.
 - (5) Without limiting subsection (4)(a), the Director must:
 - (a) provide the Board with the reports that it requires on the Centre's operations; and
 - (b) provide the Board with the assistance that it requires as the custodian of the Collection and for the exercise of its other functions under this instrument; and
 - (c) ensure that the Board has sufficient timely information to enable it to prepare its annual reports and operational plans.
 - (6) If the Director loses the confidence of the Board, the Board may ask the Vice-Chancellor to end the Director's appointment.
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Part 4—Board of Centre

Division 4.1—Establishment, role and functions of Board

10 Establishment of Board

The Board of the Centre is established.

11 Delegation of custodianship of collection to Board

- (1) The Council delegates the custodianship of the Collection to the Board.
- (2) The Board must exercise its custodianship in accordance with this instrument.

12 Functions of Board

- (1) The primary function of the Board is to be the custodian of the Collection.
- (2) As custodian of the Collection, the Board is responsible for the management and use of the Collection, and for the appropriate addition of material to the Collection, in accordance with international standards.
- (3) Without limiting subsection (1), the Board has the following functions:
 - (a) to oversee the operations of the Centre;
 - (b) to approve policies for the following:
 - (i) the management and use of the Collection, including, for example, policies to ensure the ethical, transparent use of the Collection;
 - (ii) the addition of material to the Collection;
 - (iii) the engagement of the Centre with Indigenous communities, organisations and people in relation to the Collection;
 - (c) to provide advice to the Council and the Vice-Chancellor about the Collection;
 - (d) to promote the Collection as a national and international resource;
 - (e) to seek funding for the purposes of the Centre, including for research and community engagement;
 - (f) to encourage the Centre to promote the use of the Collection, including by engaging with researchers and research institutions outside the University;
 - (g) to exercise any other function given to it under this instrument;
 - (h) to do anything incidental or conducive to the exercise of any of its other functions.

Division 4.2—Board members

13 Appointment of members

- (1) The Board is to consist of following members appointed, by written instrument, by the Vice-Chancellor:
 - (a) 7 members appointed as recommended members;
 - (b) 2 other members.
 - (2) A member of the Board may be appointed for a term of no longer than 4 years.
 - (3) A member of the Board may be reappointed. However, a member may not hold office for longer than 8 consecutive years.
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- (4) A person must not be appointed as a member if the person is:
- (a) a member of the Commonwealth Parliament, a State Parliament or the legislature of a Territory; or
 - (b) disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*.

[Note: Part 2D.6 provides for automatic periods of disqualification on conviction for certain kinds of offences, bankruptcy and personal insolvency, and disqualification under foreign law. The Part also provides for disqualification orders by courts and ASIC in certain circumstances (e.g. for contravention of certain penalty provisions).]

- (5) The Board must at all times have a majority of members who are recognised as Indigenous persons.
- (6) Once the initial appointments have been made to the Board, a member must be appointed as a recommended member on the recommendation of the Board.
- (7) In recommending and making appointments to the Board, the Board and the Vice-Chancellor must have regard to the need for the members to have between them sufficient expertise and experience for the Board to properly exercise its functions, including expertise and experience in the following:
- (a) the culture and values of Indigenous peoples;
 - (b) research into human biological material;
 - (c) community engagement, especially with Indigenous communities;
 - (d) corporate governance;
 - (e) accessing Commonwealth, State and Territory programs and funding sources;
 - (f) the ethical conduct of research involving Indigenous people.

14 Chair and Deputy Chair of Board

- (1) The members of the Board must, from time to time, elect a member as the Chair of the Board and another member as the Deputy Chair of the Board.
- (2) The Chair must be an Indigenous person.
- (3) If the Chair is for any reason unable to call or preside at a meeting or otherwise perform the functions of the Chair, the Deputy Chair is to act as the Chair.

[Note: The *Acts Interpretation Act 1901* has provisions applying to acting arrangements (see s 33A(2) and (3)).]

15 Remuneration etc. of members

A member is not entitled to remuneration as a member, but may be reimbursed for any reasonable expenses incurred in carrying out the duties of a member.

16 Resignation of members

A member may resign by written notice given to the Vice-Chancellor.

17 Duty of members to disclose interests

Application of section

- (1) This section applies if a member has a material personal interest that relates to the affairs of the Centre.

Disclosure of interest

- (2) The member must disclose details of the interest, orally or in writing, to each other member.
- (3) The disclosure must include details of:
 - (a) the nature and extent of the interest; and
 - (b) how the interest relates to the affairs of the Centre.
- (4) The member must make a disclosure at a meeting of the Board:
 - (a) as soon as practicable after the member becomes aware of the interest; and
 - (b) if there is a change in the nature or extent of the interest after the member discloses the interest under this section – as soon as practicable after the member becomes aware of the change.
- (5) The member must ensure that a disclosure is recorded in the minutes of the meeting.

Consequences of having interest

- (6) If a matter in which the member has an interest is being considered by the Board, the member must not:
 - (a) be present while the matter is being considered at a meeting; or
 - (b) vote on the matter.
- (7) However, if the members of the Board who do not have a material personal interest in the matter have decided that the member is not disqualified from being present or voting (or both), and the decision is recorded in the minutes of a meeting of the Board, the member may be present or vote (or both) in accordance with the decision.

18 Termination of appointment of members

The Vice-Chancellor must terminate the appointment of a member if:

- (a) the member is absent, except on leave of absence given by the Board, from 3 consecutive meetings of the Board; or
- (b) the member becomes a member of the Commonwealth Parliament, a State Parliament or the legislature of a Territory; or
- (c) the member is or becomes disqualified from managing corporations under Part 2D.6 of the *Corporations Act 2001*; or
- (d) the member contravenes section 17 (Duty of members to disclose interests); or
- (e) the member is or becomes incapable (other than on a temporary basis) of carrying out the member's duties as a member; or
- (f) the member is appointed as the Director.

Division 4.3—Annual reports and operational plans

19 Annual reports

- (1) After the end of each calendar year, the Board must prepare and give an annual report to the Vice-Chancellor, for presentation to the Council, on the activities of the Centre and the Board during the year (the *report year*).
- (2) The report must be given to the Vice-Chancellor by 1 March after the end of the report year or any further period that the Vice-Chancellor allows in writing.
- (3) The annual report must comply with any requirements notified, in writing, by the Vice-Chancellor to the Board during the report year.
- (4) Without limiting subsection (3), the annual report for the report year must include the following:
 - (a) a list of the present and immediately past members of the Board;
 - (b) the dates of the Board meetings held during the report year;
 - (c) information about the status of research projects undertaken, in whole or part, during the report year using material in the Collection;
 - (d) information about any collaborations or significant partnerships during the report year involving the Centre or the Board;
 - (e) an assessment of the current condition of the Collection;
 - (f) information about the engagement during the report year of the Centre and the Board with Indigenous sample donors, their descendants and communities;
 - (g) a projection of what is intended to be achieved by the Centre and the Board during the next year;
 - (h) the Board's comments on any audit report during the report year relating to the Centre or the Board.

20 Operational plans

- (1) Before the end of each calendar year, the Board must prepare and give an operational plan to the Vice-Chancellor on the proposed activities of the Centre and the Board during the next year (the *plan year*).
- (2) The operational plan for the plan year must include the following:
 - (a) projected revenue and expenses for the Centre and the Board for at least the plan year;
 - (b) any anticipated changes to the staff of the Centre (including the Director) during the plan year;
 - (c) research projects intended to be undertaken, in whole or part, during the plan year using material in the Collection;
 - (d) information about the status of those projects;
 - (e) community engagement activities intended to be undertaken by the Centre and the Board, in whole or part, during the plan year;
 - (f) information about the status of those activities.
- (3) The Board may, at the Vice-Chancellor's request or on its own initiative, vary the operational plan to reflect changes in the funding available for the activities of the Centre and the Board.

-
- (4) If the Board varies the operational plan, the Board must give a copy of the varied plan to the Vice-Chancellor.

Division 4.4—Proceedings of the Board

21 Calling Board meetings

- (1) The Board must meet at least 4 times a year.
- (2) The Chair is to call meetings of the Board.
- (3) The Chair must call a meeting if asked by at least 5 members.

22 Presiding at Board meetings

- (1) The Chair of the Board presides at all meetings at which the Chair is present.
[Note: If the Chair is absent from a meeting but the Deputy Chair is present, the Deputy Chair acts as the Chair and presides at the meeting (see s 14(3) (Chair and Deputy Chair of Board).]
- (2) If the Chair and Deputy Chair are absent, the member chosen by the members present presides.

23 Other provisions about Board proceedings

- (1) Business may be carried out at a meeting of the Board only if:
 - (a) a majority of the members appointed for the time being are present; and
 - (b) a majority of the members present are Indigenous persons.
- (2) At a meeting, each member has a deliberative vote and the member presiding has a casting vote.
- (3) A member may vote on a resolution at a meeting by email or in writing if notice of the resolution is given, and the member votes, under procedures decided by the Board.
- (4) If a member votes under subsection (3) on a resolution at a meeting, the member is taken, for the purposes of the application of subsection (1) to the resolution, to have been present at the meeting.
- (5) A resolution of the Board is a valid resolution, even though it was not passed at a meeting of the Board, if:
 - (a) a majority of the members appointed for the time being agree, in writing, to the proposed resolution; and
 - (b) a majority of the members who agree are Indigenous persons; and
 - (c) notice of the resolution is given under procedures decided by the Board.
- (6) The Board must keep a record of its proceedings.
- (7) The Board may conduct its proceedings (including its meetings) as it otherwise considers appropriate.

[Note: Under the *Acts Interpretation Act 1901*, s 33B the Board may permit members to participate in meetings by telephone, close-circuit television or any other means of communication.]

24 Delegation by Board

- (1) The Board may delegate all or any of its functions under this instrument to a committee consisting of members or members and other persons.
- (2) However, the Board may not delegate any of its functions to the Director or to a committee of which the Director is a member.

Part 5—Miscellaneous

25 Secretary to Board

- (1) The Vice-Chancellor may, by written instrument, appoint a person as the Secretary to the Board.
- (2) The Secretary is to assist the Board to maintain a record of its proceedings.

26 Delegation by Vice-Chancellor

The Vice-Chancellor may, in writing, delegate all or any of the Vice-Chancellor's functions under this instrument to the Deputy Vice-Chancellor.

Internal Audit of Annual Giving Program

Internal Audit Report
11 November 2016

Australian National University



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Inherent Limitations

Due to the inherent limitations of any internal control structure, it is possible that fraud, error or non-compliance with laws and regulations may occur and not be detected. Further, the internal control structure, within which the control procedures that have been subject to internal audit operate, has not been reviewed in its entirety and, therefore, no opinion or view is expressed as to its effectiveness of the greater internal control structure. An internal audit is not designed to detect all weaknesses in control procedures as it is not performed continuously throughout the period and the tests performed on the control procedures are on a sample basis. Any projection of the evaluation of control procedures to future periods is subject to the risk that the procedures may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

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1. Executive Summary

1.1 Background

The Annual Giving Program (AGP/the Program) at the Australian National University (ANU) officially began on 3 November 2014, with the start of the University's inaugural Phone Appeal. The mission of Annual Giving is to develop a culture of philanthropy at ANU and secure resources, by educating and engaging with the ANU community (alumni, staff, and students) to support the philanthropic objectives of the University. The Program aligns with the University's strategic aim of 'Engaged Alumni' which notes that alumni relations and philanthropic giving must become a central element of University activities¹.

Since this time, Annual Giving has:

- ▶ Conducted a second Phone Appeal;
- ▶ Introduced a Day of Giving initiative;
- ▶ Acquired a crowdfunding platform; and
- ▶ Worked collaboratively with stakeholders both at ANU and internationally to deliver a suite of affinity appeals.

In 14 months, the Annual Giving Program has doubled alumni donor numbers (currently alumni donor participation is 2.93%) and raised in excess of \$250,000. The broad strategic goals of the 2016 Annual Giving Program (AGP, Program) are to:

1. Deliver a comprehensive successful fundraising program that is integrated across Annual Giving solicitation activities and Alumni Relations and Philanthropy (AR&P) portfolios - namely Alumni Relations, Advancement Services, and Donor Relations.
2. Introduce new technologies and infrastructure to deliver a multi-channel program across all media platforms².
3. Develop staff skill sets and knowledge through a coordinated cross-training program and participation in external training courses, conferences and partnerships with industry consultants³.
4. Educate and obtain a greater level of stakeholder support by communicating the value and impact of the Annual Giving Program (data and participation).
5. Increase the ANU Fund Brand awareness⁴.

1.2 Objective and Scope

The objective of this engagement was to review the Annual Giving Program in terms of:

- ▶ The governance arrangements and oversight of the Program;
- ▶ The effectiveness of current arrangements between the Program's processes and the processes of other, related portfolios within Alumni Relations and Philanthropy, Colleges and other service divisions such as the Marketing Office, Strategic Communications and Public Affairs (SCAPA) and Information Technology Services (ITS) to ensure inter-dependencies are known and coordinated across the ANU;

¹ ANU by 2020.

² Goal two relates to the mechanisms used to conduct giving activities. For example: Infrastructure required to conduct the annual phone appeal in house.

³ Goal three is an enabler of the overarching annual giving mission statement as described above.

⁴ Alumni Relations & Philanthropy 2016 Annual Giving Strategy.

- ▶ The adequacy of business processes to support the Program (and correspondingly to identify any improvement opportunities to enable the program to meet its five broad strategic goals for 2016);
- ▶ Assessing the performance of the Program against the targets outlined in the AR&P's 2015 Annual Giving Strategy as well as evaluating the associated cost of operation in comparison with funds raised; and
- ▶ How the Program compares with other Go8 Universities in respect of overall outcomes achieved.

The review involved the engagement of the Alumni Relations and Philanthropy (AR&P) portfolio area and consideration of relevant documentation and processes.

1.3 Overall Assessment

The number of activities undertaken by the ANU Annual Giving Program has grown since its introduction in November 2014. The Program has demonstrated success in respect of its outreach and ability to engage University alumni. AR&P notes that the University's Annual Giving Program is immature in comparison with other universities, for example, the University of Melbourne Annual Appeal program commenced in 1989. Some Universities have more embedded programs and raise amounts in excess of \$2 million in funds (as detailed below in Section 4: Comparison with Go8 Universities). This comparison indicates the financial value that a mature Annual Giving Program can provide a University if there is an investment of time and resources.

While the Program is still maturing, already it is contributing positively to the ANU: from a financial perspective, expenses are commensurate with funds received; and, more broadly the Program directly supports the strategic vision of the University as outlined in ANU by 2020⁵, in which the University commits to increasing the number of actively engaged alumni and the proportion of alumni donating to the University. The Annual Giving Program is a key mechanism by which these measures will be achieved. AR&P has made additional progress in respect of transitioning the Annual Phone Appeal into an in-house function, with the ANU noted to be the first Go8 University to internally run a Phone Appeal.

The AR&P portfolio has developed a number of overarching governance arrangements for the Program, as outlined in Table 1 below, which positively contribute to the operations of the Program. Nonetheless, there are some risks that need to be addressed and also opportunities to improve the way in which the Program is managed, as outlined in Section 1.4 below.

Table 1: Summary of governance arrangements for the Annual Giving Program

Governance Aspect	Summary
Objective of the AGP and contribution to the University's Strategic Objectives	The objective of the Annual Giving Program is to develop a culture of philanthropy at ANU and secure resources, by educating and engaging with the ANU community (alumni, staff, and students) to support the philanthropic objectives of the University. The AGP forms a part of the wider Alumni Relations and Philanthropy portfolio, and links directly to the ANU Advancement Plan.
Allocation of Roles and Responsibilities	The Annual Giving Program is managed by the Associate Director, Alumni & Donor Relations, who reports to the Director, Alumni Relations & Philanthropy.

⁵ At the time of this review, the 2017 Strategic Plan had not been finalised, therefore measures within the ANU by 2020 Strategy were used.

Governance Aspect	Summary
Planning and Assessment of the Program	An Annual Giving Program Strategy is prepared at the beginning of the year and outlines the strategic and operational goals of the Program as well as the defined measures of success. Detailed information is included in the Strategy in respect of the key initiatives and activities planned for the year.
Decision Making	The Associate Director, Alumni & Donor Relations is responsible for the management and implementation of the Program. Decision making occurs internally within the Division, with the Director Alumni Relations and Philanthropy as the approving delegate for Program decisions.
Reporting Channels	A number of internal reports in respect of the Program are prepared for use within Alumni Relations and Philanthropy. Additionally, briefs have been prepared for University Executive on the AGP fund disbursement model, and on the outcomes of the Day of Giving. There is not, however regular reporting across the University of alumni relations activity which would assist in providing visibility of those activities against the University's strategic objectives and goals.
Engagement and Communication	The AGP engages with alumni through various mechanisms, including the Annual Phone Appeal, Day of Giving, Affinity Appeals conducted over the course of the year, Social Media and Crowdfunding Campaigns. There is an opportunity for the AGP to improve engagement and communication within the University, specifically with the aim of aligning alumni activities across the ANU.

1.4 Summary of Findings and Recommendations

Finding 1: Governance and Oversight of the AGP (Risk Rating: High⁶)

With the increasing volume and reach of Annual Giving activities across the University, there is a need for governance and oversight mechanisms to ensure the Program operates in line with the broader University goals objectives. There is currently no long term strategic plan for the Annual Giving Program. Instead, planning is conducted internally within AR&P on an annual basis, along with periodic internal reporting on Program outcomes.

Additionally, current performance metrics for the Program such as the number of times alumni change their contact details may not appropriately represent the success of the Program, with an opportunity for more tangible measures to be applied to the Program.

Recommendation 1 (Information and Resources)⁷:

- ▶ AR&P should develop a long term strategic plan for the Program. The strategic plan should link to the overarching ANU Advancement Plan to drive a consistent approach to alumni relations and philanthropic activities.

Recommendation 2 (Information and Resources):

AR&P should review current performance measures and refine and adjust accordingly, to ensure that they can more effectively track, measure and report to the University Executive and Council on the Program's achievements and benefits realised.

Finding 2: Management of Interdependent Relationships (Risk Rating: Moderate)

While AR&P is the central University area for management of alumni communications and engagement, a number of Colleges and Schools have their own Advancement Managers focusing on School or College specific philanthropic activities.

⁶ Refer to Appendix A for detailed Risk Ratings and Criteria

⁷ Refer to Appendix E for details of our Behavioural Auditing Approach

There is no oversight or visibility of all alumni initiatives across the ANU, presenting a risk in respect of inconsistent messaging, wastage through duplication of events, or potential disengagement of alumni through overexposure.

Additionally, there is an opportunity for the AGP to enable better prospect management within AR&P through the Program's interrelationship with the Prospect Research & Briefing (PR&B) team.

Recommendation 3 (Information):

- ▶ With respect to the personal relationships developed and philanthropic outcomes achieved at a School and College level, a mutually considered approach to philanthropy should be defined for the University. This approach should provide for alignment between central AR&P and individual Schools, Colleges and Residences; define approaches to the management of engaged alumni and potential prospects; and ensure appropriate targeting of initiatives. As an example, AR&P may consider holding forums or working groups as a mechanism to share information across the University.

Recommendation 4 (Information and Resources):

- ▶ In conjunction with the Prospect Research & Briefing Team, the Annual Giving Program should identify indicators of potential major gift prospects which can be recognised by callers, such as addresses and occupations. Information on alumni who trigger these indicators should then be referred to PR&B for further investigation and development of a targeted engagement strategy.

Finding 3: Adequacy of Business Processes Supporting the Program (Risk Rating: High)

Noting the Annual Giving Program officially began in November 2014, the activities undertaken by the Program have grown and now consist of the Annual Phone Appeal, Day of Giving Initiative, as well as individual Crowdfunding and Affinity Appeals. 2016 marks the first year in which the Annual Phone Appeal will be conducted in house by AR&P.

Internal Audit identified issues in respect of resourcing and data limitations (the Program being unable to analyse and segment alumni data in a manner to allow for enhanced alumni targeting or to implement a University wide Staff Giving Program, and unable to report on Program outcomes in an effective and efficient manner).

Additionally, the current method of processing transactions through American Express is in breach of the University policy *ANUP_000447 Policy: Purchase Card Industry Data Security Standards*, and presents privacy and information security risks in respect of cardholders, whereby credit card details are written down by callers and stored within AR&P.

Recommendation 5 (Information and Resources):

- ▶ AR&P should consider enhancing Program reporting resources, such as through creation of project breakdown structures against which costs can be directly allocated, to allow for accurate and timely financial reporting.

Recommendation 6 (Information and Resources):

- ▶ AR&P should continue working with the University to identify availability of information and mechanisms to identify and segment staff information details, for the purpose of developing a University wide Staff Giving Program.

Recommendation 7 (Information and Resources):

AR&P should revise its processes for accepting American Express transactions to ensure compliance with University policy. This revised process should ensure that credit card details are not be written down by callers or stored within AR&P.

As part of this, AR&P should engage with Finance & Business Services to consider solutions to ANU OneStop system limitations, such as considering an alternative system for processing credit card transactions. Refer to Section 3 for Detailed Findings and Recommendations.

1.5 Overall Summary

The Annual Giving Program has grown since its first Annual Phone Appeal in November 2014. Through the delivery of a second Phone Appeal, Day of Giving Initiatives and Crowdfunding and Affinity appeals, the Program notes to have doubled alumni donor numbers and raised in excess of \$250,000.

Internal Audit notes that while the scale and scope of the Annual Giving Program continues to grow, there is a need to ensure that governance and oversight mechanisms correspondingly continue to develop. There is a need for the University to define a long-term strategy for the Program, with explicit consideration as to how the Program will deliver a positive return to the University's investment. This may be in the form of obtaining a certain amount of funding, identifying major gift prospects, or increasing engagement with University alumni. This strategic plan should include quantifiable targets for each measure, and include a strategy for periodic reporting to the University Executive and Council on progress against those targets.

Further, due to the decentralised approach to alumni relations across the University, there is limited linkage between the Program and other philanthropic activities across the ANU. The University should align activities conducted centrally by AR&P with individual School, College and Residence activities. This should give consideration to the personal relationships and philanthropic outcomes of the Schools, Colleges and Residences, and the University more broadly. This will reduce the risk of duplication or misalignment of activities across the University.

1.6 Signatories

Professor Brian Schmidt, Vice-Chancellor

Date:

Dr Colin Taylor, Director, Alumni Relations & Philanthropy

Date:

Ms Kate Molloy, Director, Corporate Governance & Risk Office

Date:



Ms Catherine Friday, Partner, EY

Date: 11/1//2016

Annual Giving Program Internal Audit - ANU Management Responses

Recommendation 1 (Information and Resources): AR&P should develop a long term strategic plan for the Program. The strategic plan should link to the overarching ANU Advancement Plan to drive a consistent approach to alumni relations and philanthropic activities.

ANU: Management recognises and agrees with the recommendation. Development of a long-term strategic plan has been incorporated in the core divisional strategic plan. Aim 3 of the 2017 Advancement Plan¹ calls for the development of a long-term strategy to support AG operations. This plan will be published by mid-2017.

Recommendation 2 (Information and Resources): AR&P should review current performance measures and refine and adjust accordingly, to ensure that they can more effectively track, measure and report to the University Executive and Council on the Program's achievements and benefits realised.

ANU: Management recognises and agrees with the recommendation. Portfolio and individual team members KPIs are included in the 2017 Advancement Plan (Aim 5), as well as reporting mechanisms for distribution to the ANU Executive and University Community. Individual KPIs are included in staff members PDR statements. The Donor Relations and Communications group formal change process implemented in 2015 has remit for communication with the broader University community. It is anticipated that this will be implemented by Q1 2017.

Recommendation 3 (Information): With respect to the personal relationships developed and philanthropic outcomes achieved at a School and College level, a mutually considered approach to philanthropy should be defined for the University. This approach should provide for alignment between central AR&P and individual Schools, Colleges and Residences; define approaches to the management of engaged alumni and potential prospects; and ensure appropriate targeting of initiatives. As an example, AR&P may consider holding forums or working groups as a mechanism to share information across the University.

ANU: Management recognises and agrees with the recommendation. In late 2016 AR&P implemented a comprehensive prospect management framework and is completing an institutional Case for Support. These two measures substantially address this recommendation. Further strengthening of this framework is included in Aim 2 & 3 of the 2017 Advancement Plan – Increasing Academic Buy-in and Extending Sophisticated Outreach to more audiences – respectively. It is anticipated this will be implemented by Q1 2017.

Recommendation 4 (Information and Resources): In conjunction with the Prospect Research & Briefing Team, the Annual Giving Program should identify indicators of potential major gift prospects which can be recognised by callers, such as addresses and occupations. Information on alumni who trigger these indicators should then be referred to PR&B for further investigation and development of a targeted engagement strategy.

ANU: Management recognises and agrees with the recommendation. Ensuring that the AGP yields data which is used to develop the depth and breadth of the prospect pool is paramount to the program's overall ROI. Revisiting the link between these programs will therefore be an operational priority in 2017 under Aim 5 of the 2017 Advancement Plan. Operational changes will be implemented in advance of the 2017 Annual Phone Appeal.

Recommendation 5 (Information and Resources): AR&P should consider enhancing Program reporting resources, such as through creation of project breakdown structures against which costs can be directly allocated, to allow for accurate and timely financial reporting.

ANU: Management recognises and agrees with the recommendation. AR&P will comprehensively reassess metrics and reporting structures for the AGP during Q1 and Q2 2017. Expertise will be provided by the University's Philanthropic Counsel, More Partnership. This process is formally covered by Aim 5 of the 2017 Advancement Plan.

¹ The 2017 Advancement Plan is currently in draft and will be finalised by the end of 2016.

Recommendation 6 (Information and Resources): AR&P should continue working with the University to identify availability of information and mechanisms to identify and segment staff information details, for the purpose of developing a University wide Staff Giving Program.

ANU: Management recognises and agrees with the recommendation. This is a complex and multi-dimensional issue, which requires careful consideration by a broad University stakeholder base. It is clear however that the acquisition of staff data will be key to strengthening the AG Program at ANU. Aims 2 & 3 of the 2017 Advancement Plan address this issue, which will be considered by the newly formed Advancement Advisory Committee in Q1 2017.

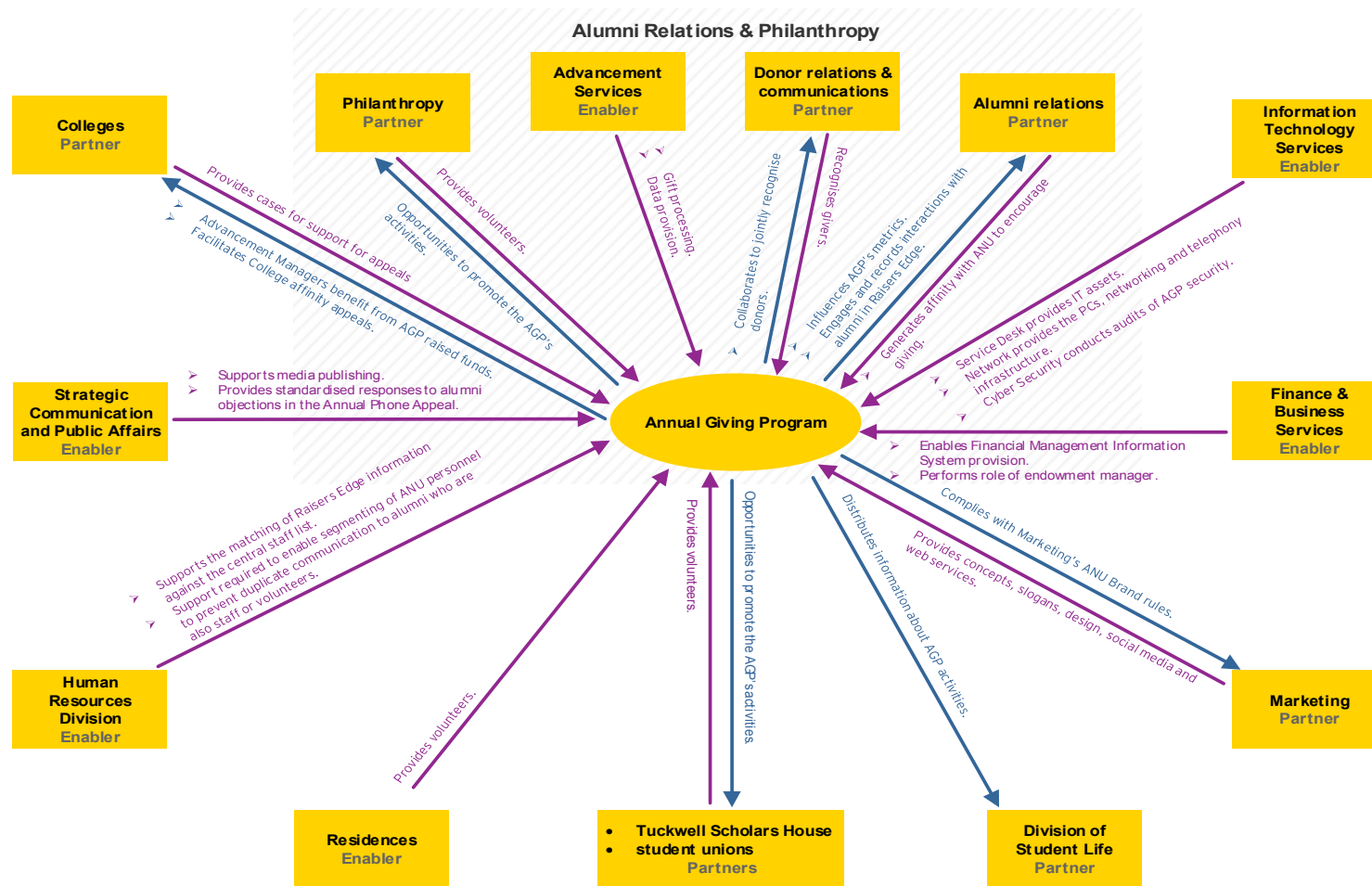
Recommendation 7 (Information and Resources): AR&P should revise its processes for accepting American Express transactions to ensure compliance with University policy. This revised process should ensure that credit card details are not be written down by callers or stored within AR&P. As part of this, AR&P should engage with Finance & Business Services to consider solutions to ANU OneStop system limitations, such as considering an alternative system for processing credit card transactions. Refer to Section 3 for Detailed Findings and Recommendations.

ANU: Management recognises and agrees with the recommendation. Compliance in the acquisition and processing of credit card transactions is a core competency required of the AGP. The revision of this business process forms part of a suite of process improvements under Aim 6 of the 2017 Advancement Plan. We will seek the involvement of the Finance and Business Services division in addressing this particular process in Q1-Q2 2017.

Attachment 37.3 Mapping of Annual Giving Program Interdependencies

In consultation with Association Director Alumni & Donor Relations Internal Audit mapped the key interdependent relationships of the AGP. The output of this mapping activity is illustrated in Figure 1 below.

Figure 1: Annual Giving Program Interdependencies



Learning and Development for Academic Staff

Final Report

The Australian National University

7 November 2016



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1. Executive Summary

1.1 Background

The ANU has an international reputation for excellence in research. The University's strategic objective is to be known as 'Australia's finest university', with excellence in research, education and national policy contribution. ANU by 2020¹ outlines the building blocks and strategies required to achieve excellence. This strategic document is due to be superseded by the University's new strategic plan towards the end of 2016, however, for the purpose of this report, ANU 2020 has been used as a significant reference.

The University recognises the importance and value of becoming a high performing learning organisation in today's society. A University with employees skilled at creating, acquiring, and transferring knowledge will be able to help their students adapt to the unpredictable when they leave the university's safe learning environment. Universities are also businesses and are looking to offer more than an education to their academic staff and students. Forward-thinking learning and development teams are realising that in order to impact the business, they must first invest in their own capability, use methods to develop skills ranging from formal development programs to mentoring and informal knowledge-sharing². A strong learning and development program provides academics with the opportunity to grow and develop throughout their careers and lives. Successful organisations can only grow and develop through their people by ensuring they have the appropriate levels of skills, knowledge and attitude to fulfil their roles. When money is short, only those organisations that are the most efficient, effective and agile will survive. Therefore those organisations will need the most efficient, adaptive and effective people. The University has recognised the need to invest in its people and the importance of adopting a strategic approach to learning and development to ensure best effect.

Strategy is a high-level, long-term plan to achieve a set of objectives. Strategy assesses the current state, defines the desired future state and allocates resources in order to progress towards the planned future state. A learning and development strategy articulates the capabilities, skills, competencies and attributes required in a sustainable and successful workforce, and sets out approaches for developing the identified capabilities and skills within finite resources. An effective learning and development strategy is connected to an organisation's business. It analyses current or future changes in the organisation's business environment in order to identify required workforce capabilities and prioritises resources allocation to build those capabilities. Ideally, a learning and development strategy is aligned with a broader human capital plan, which identifies a range of interventions using multiple human capital levers (for example recruitment, performance management, employment conditions) to drive organisational performance³.

This audit is focused on evaluating whether the learning and development programs for academics are meeting the needs of academic staff and the University. In terms of the University's strategic direction through the core objectives of ANU by 2020, professional development of academic staff is a key building block to achieving both educational excellence and highly research-active scholars who will be recognised internationally. This strong objective aims to differentiate the University through a clear focus and achievement in research excellence. It states that, for those staff who have a predominant teaching role, the definition of, "highly research-active", will also include a requirement for excellence in teaching.

The University's international reputation for research excellence is well established. The University's research capability shapes the foundation for the distinctive educational experience the University provides to its students.

¹ ANU by 2020 page 15, Strategies for Success

² CIPD Research report - Learning and Development: evolving roles, enhancing skills Apr 2015

³ <http://www.cipd.co.uk/hr-resources/factsheets/learning-talent-development-strategy.aspx>

The University's 'Education portfolio operational plan' describes educational excellence as the provision of high-quality curriculum and approaches to learning and teaching.⁴ This plan outlines how distinctive expressions of University educational excellence might be achieved in a connected model of education: double degrees, research-led education, and online education. The University aims to transform national and global understandings of these three areas by challenging the boundaries that others might construct between the inside and outside of curriculum, research and education, high school and university, undergraduate and graduate education, education and further study and work; and the local, the national and the global.

To achieve the objective of educational excellence, the University will seek to attract, develop and retain outstanding staff. The University must continue to aspire to be a university of choice for high-performing academic staff who are able to contribute to achieving the University's research and educational objectives. In conducting this audit, it was observed that an academic career is competitive and global. The ability to attract, develop and retain an academic workforce with the desired capabilities will require a strategic focus and investment.

Academic staff at the University contribute directly to the University's ability to meet the objectives of excellence in research, education and national policy. Additionally, in a globally connected and mobile community they carry the University's reputation for excellence across the world. The investment the University makes in ensuring that academics have the requisite skills to support the delivery of excellence in research, education and national policy is a strategic investment that contributes to the reputation of the University. This investment is not limited to the direct investment in individual academic skills but also includes the investment in the administrative, technical and organisational culture that supports, in this case, the delivery of learning and development activities. The findings of this audit highlight gaps in both the infrastructure and culture to support academic professional development. Gaps in infrastructure can be readily addressed. Cultural barriers that inhibit improved performance, individually and collectively, will require a sustained effort.

The University has great strengths in core areas of excellence that position it well for 2020 and beyond. The development of the academic workforce is an important building block in achieving the objectives of the prevailing strategic plan. The University recognises the importance and value of academic staff who are skilled at creating, acquiring, and transferring knowledge that helps students to excel. Rapid changes in technology and shifting student expectations are placing pressure on universities to provide seamless multi-channel delivery of university education. In some universities, the response has been a growth in 'teaching-only' while for others the focus has been on effectively managing the tension between research and teaching delivery.

However, the higher education sector is undergoing a fundamental change in other areas of operation. For example, tightening budgets has seen an increase focus on efficiency through streamlined operations and opportunities for revenue generation. Accordingly, the range of 'core skills' required by academic staff is expanding to include not only research and teaching but also management and administrative responsibilities. Learning and development is a key factor in the professional development of the University's academic staff. However, the context for that investment may require a clearer expression of skills and knowledge required across an academic career path. This would include the expanding requirements in research, teaching and management but also would accommodate University's contribution to skilling academics for a global career.

The audit has focused on learning and development programs for academic staff. However, the interviews that support the audit have also surfaced broader issues related to the changing character of an academic career and the culture of professional development at the University. The depth of interest in addressing these broader issues was evident at a workshop conducted to discuss the preliminary observations of this audit in the context of the University's strategic direction. These issues, guided by the observations of the interviewees and the workshop discussion, have shaped the way this report has been prepared. However, it was clear that additional detailed research is required to better capture the breadth, depth and relationship between these issues of academic career and professional development culture.

⁴ <http://www.anu.edu.au/about/strategic-priorities/education-portfolio-operational-plan>

1.2 Audit Objective and Scope

The objective of this audit was to evaluate whether learning and development programs for academics are meeting the needs of academic staff and the University.

The scope for this internal audit states that within the ANU there are a number of key issues that may impact upon the effectiveness of these learning and development programs including:

- Recent changes to the Academic Promotion Policy;
- The absence of an ANU strategic workforce plan aligned with the ANU by 2020, alignment of ANU centralised and College learning and development programs;
- The dispersed service delivery model for the provision of learning and development programs for academic staff;
- The strong ANU culture where academic staff are often experts in their field with many believing this automatically translates to teaching skills and methods.

1.3 Summary of Internal Audit Findings and Recommendations

1.3.1 Internal Audit Findings and Recommendations

The ANU is a well-respected, highly rated university with a global reputation, a reputation that is central to attracting high-quality students and staff. The University is a research-intensive, research-led university with a high concentration of research-active staff that is found in no other Australian university.⁵

The University's great asset is its reputation as a research institution. However, in all interviews conducted to support this audit, the strong research culture of the University was also noted as being an underlying constraint to making change across many areas of university operations, and in terms of the contribution learning and development programs make to realising the University's other strategic objectives.

Key stakeholders interviewed noted the University's reputation for research excellence had potentially contributed to complacency in developing excellence in other areas that were increasingly important to both professional academics and the ANU. For example, there was a significant and consistent view expressed that a central part of the University's culture was that a good researcher is inherently a good teacher and manager. Without exception, the key stakeholders interviewed expressed that the pervasiveness of this view was a constraint on making many changes to existing learning and development arrangements that would build excellence in other areas, in particular teaching and management.

Key stakeholders interviewed indicated that academic staff teaching skills across the University were variable and improvements were needed to meet the goal of educational excellence articulated in ANU by 2020. For example, core objectives of ANU by 2020 are excellence in research, excellence in education, world class staff, inspired students and international outreach. Based on the feedback from interviews, the recommendations proposed in this report relate largely to the education aspect of a researcher and are relevant to achieving ANU by 2020 core objectives in conjunction with the required outcomes of the ANU Education plan. However, it is acknowledged that to attract and retain world class staff there is also a requirement to win a high percentage of prestigious research funding which supports research communicated in the highest quality publications. To build this research expertise and excellence requires significant investment in staff research skills.

⁵ ANU by 2020, page 24 para 1

Educational excellence means the provision of high-quality curriculum and approaches to learning and teaching⁶. The audit findings outlined in the following sections of this report have a common underlying theme of providing the infrastructure for cultural change that would better position the delivery of learning and development to meet the research and education needs of academic staff and the University.

Finding 1: A strategic approach to Learning and Development (Risk rating: Moderate)

There appears to be an absence of a strategic focus on the contribution learning and development makes to meeting the career needs of academics and achieving the objectives articulated in ANU by 2020.

The University has a dispersed service delivery model for the provision of the majority of learning and development programs for academic staff and the University centralised and individual College learning and development programs are not designed with an integrated approach, nor is there a coordinated approach between central and 'local'. The dispersed delivery model encourages innovation tailored to each College. Consequently, innovation is isolated and the opportunities to identify and disseminate better practice across the University are limited.

Recommendation 1: Develop a strategic framework on learning and development as a foundation building block of professional academic excellence that aligns with the strategic direction of the University. This framework should engage key stakeholders, involve research expertise and establish a governance model for effective priority setting, investment and delivery.

Recommendation 2: Develop a clear approach to the content and delivery of learning and development to inform the strategic intent. This approach should seek to work with the strengths of the current dispersed service delivery model of ANU centralised and College learning and development programs while providing opportunities for increased consistency and coordination in delivery, resulting in the identification and the dissemination of better practice.

Recommendation 3: Draw on the University's research expertise to develop an organisational delivery and engagement model that distinguishes ANU as a leader in Learning and Development for academic staff.

Recommendation 4: Establish a governance committee or working group to develop and maintain the strategic framework recommended above, enable collaboration of learning models across the University, oversee the development of programs that cater for all levels of the academic and research community, maintain a database of all academic training and development courses offered on campus and ensure the information is readily available to the academic and research community.

Finding 2: Motivation to make change to ANU learning and development (Risk rating: Moderate)

The internal audit found that the combination of competing learning and development priorities and the pervasive belief that research excellence equates to teaching excellence reduces the collective sense of urgency and motivation for change in the approach to learning and development. Those interviewed for this audit expressed a strong belief that there is little or no motivation in many areas of the University for a change in approach to learning and development despite acknowledging that academic staff teaching skills were variable and improvements were needed. It was observed that there were few clear links between the efforts of the individual academics, the Colleges and the University to invest in learning and development that would benefit student experience at the University and contribute to achieving the University's strategic aspirations.

Recommendation 5: Investigate whether the introduction of specific KPIs aimed at strengthening and growing teaching and research excellence in academic staff would create sufficient emphasis and the necessary investment desired.

⁶ Education portfolio operational plan 2014

Recommendation 6: Develop a common and consistent approach to implementing strategic learning and development changes across the University. The approach should articulate a common understanding, direction, processes and systems for learning and development and methods for evaluating the implementation and outcomes of those changes.

Finding 3: Academic staff learning and development requirements (Risk rating: Moderate)

There is no coherent narrative around what constitutes foundation academic knowledge and skills that is aligned to an academic career path or career stage. There is no clearly articulated measurement of the benefits that an investment in learning and development, aligned to the strategic goals would make. ANU by 2020 states the University aims to 'attract, develop and retain the most outstanding staff from around the world'⁷. It was clear throughout this audit that an academic career is a global career but there was a perception among those interviewed that University academics were under-prepared for this career in areas outside their research expertise. The professional development activities undertaken by academic staff at the University are largely voluntary and self-nominated. There are a number of learning and development systems and processes used by students, academic staff and HR administrators, with HORUS providing an interface to the training courses on offer. ANU Insight may provide the necessary University-wide reporting and evaluation framework to provide insight into the coordination, consistency and value of learning and development activities to inform program development in the future.

Recommendation 7: Identify the foundation skills required of an academic aligned to a career development pathway or career stage thereby establishing a key element of the strategic framework and governance for learning and development in the University.

Recommendation 8: Conduct a capability gap analysis of the learning and development needs of academic staff which addresses both the University's strategic business requirements and the requirements of the academic to meet his/her future career expectations.

Recommendation 9: Conduct a review of learning and development systems and processes in the context of the wider University practices with the intention of streamlining and addressing disparate systems and processes to support a more integrated approach to learning and development.

Finding 4: Academic staff learning and development course offerings (Risk rating: Moderate)

The University offers a range of learning and development courses to professional staff, students and academics. Course offerings are delivered through CHELT, specialist colleges, Research Training or Innovation areas and through the Continued Education Centre (CCE). Academic staff attendance appears to be driven from the need to improve skills in their research subject area rather than from a need to focus on improving teaching skills, passing on knowledge, or professional and personal development. CHELT is recognised as the key provider of teacher training for academic staff and the CCE as providing significant professional development courses, however these appear to be offered more to the external market with limited take-up from within the University.

The audit observed a number of excellent learning initiatives such as the Research Training Division that currently provides four 'boot camps' per year for students who are slowing on their completion for their PhD. As with the majority of the courses observed, the focus is on students and not on the educators. There was evidence that Colleges provide some learning and development and continuing professional development to their staff, however the approach is inconsistent across the University and is often focused on research skills rather than enhancing professional skills. There is only one specific teacher training course out of over 200 courses offered at the University. It was observed in a number of interviews that there is frustration from staff regarding limited access to professional development offerings. Many courses were available to academic staff across the University, however, publicity, availability, connectivity and communication was poor. Often staff or students would find courses through word of mouth or through specific active publicity within the College, at induction or direct through CHELT. It was observed that there was no common approach to communication of course offerings across the University.

⁷ ANU by 2020 page 16, para 1

Improved investment in the 'core skills' of academics was noted by the key stakeholders as being required by the University. Specifically, the majority of those interviewed stated that there should be more offerings targeted at these core skills including finance and budgeting, business acumen and leadership skills.

It was observed that many academics moving to the University bring with them extensive experience and skills, however there are currently no formal mentoring schemes targeted to utilise these experiences and skills in order to share knowledge or enhance existing skills. Budget prioritisation have impacted on professional development programs and external programs such as executive development, while recognised as highly desirable, are limited due to these constraints. It was not evident from either course material or interviews conducted, that academic staff and Colleges have a structured or consistent approach to professional development to inform annual funding prioritisation across the University.

Recommendation 10: Investigate the benefits of introducing mandatory courses for academic staff in order to introduce essential compulsory training and improvements in skills for all academic staff.

Recommendation 11: Evaluate current teacher training courses and investigate additional or alternative opportunities to offer staff enhancements to current skills.

Recommendation 12: Develop a common approach to communicate academic staff research training and professional development opportunities across the whole of University ensuring all courses are consistently marketed.

Additional details of audit findings and recommendations are outlined in Section 3 of this report.

1.4 Overall Assessment

There are significant ANU centralised and College learning and development programs that are innovative and well received by target audiences. These programs are delivered through the University's dispersed service delivery model. However, the lack of a strategic focus and alignment of learning and development programs with the University's strategic business and the limited articulation of knowledge and skill requirements of an academic career presents a challenge when trying to meet an academic's future career expectations as part of a global career and the University's aspirations of excellence beyond the research domain. Similarly, the lack of coherent and integrated systems and processes across the University contribute to the overall inefficient service delivery model and challenges in measuring the benefit of the University's investment in learning and development.

The appendices to this report provide background information on the methodology and approach used in this audit and the detailed observations that supporting the findings.

Appendix A details the risk categories and likelihood criteria in determining the risk ratings of findings.

Appendix B details the meetings held and personnel consulted during this review.

Appendix C details the documents and source references that were reviewed.

Appendix D details the behavioural audit methodology used in our approach.

1.5 Signatories



Catherine Friday
Partner, EY



Prof Marnie Hughes-
Warrington
Pro Vice-Chancellor
(Academic)



Ms Kate Molloy
Director, Corporate
Governance & Risk Office

Appendix E ANU Management Response

ANU: The University has seen the draft report from the auditors on Learning and Development for Academic Staff. The university acknowledges that this was the first audit of this kind for EY and for the University, and notes that this audit was conducted whilst the ANU strategic plan was under active review. The University also acknowledges that there has been a significant time lag since this report and that there have been many actions undertaken in 2016 which are focused on the development of academics and their supervisors.

The draft audit report makes 12 recommendations outlined below

Recommendation 1: Develop a strategic framework on learning and development as a foundation building block of professional academic excellence that aligns with the strategic direction of the University. This framework should engage key stakeholders, involve research expertise and establish a governance model for effective priority setting, investment and delivery.

Recommendation 2: Develop a clear approach to the content and delivery of learning and development to inform the strategic intent. This approach should seek to work with the strengths of the current dispersed service delivery model of ANU centralised and College learning and development programs while providing opportunities for increased consistency and coordination in delivery, resulting in the identification and the dissemination of better practice.

Recommendation 3: Draw on the University's research expertise to develop an organisational delivery and engagement model that distinguishes ANU as a leader in L&D for academic staff.

Recommendation 4: Establish a governance committee or working group to develop and maintain the strategic framework recommended above, enable collaboration of learning models across the University, oversee the development of programs that cater for all levels of the academic and research community, maintain a database of all academic training and development courses offered on campus and ensure the information is readily available to the academic and research community.

ANU: The University largely agrees with these recommendation and commits to establishing a consultative process to determine the appropriate governance structure for academic learning and development which involves all relevant stakeholders in the provision of academic learning on campus. The consultative process will be undertaken and a governance framework developed for implementation by December 2017, subject to the ANU strategic plan being approved by Council, at its meeting on 2 December 2016, for implementation over the coming 4 years to 2020.

Recommendation 5: Investigate whether the introduction of specific KPIs aimed at strengthening and growing teaching and research excellence in academic staff would create sufficient emphasis and the necessary investment desired.

Recommendation 6: Develop a common and consistent approach to implementing strategic learning and development changes across the University. The approach should articulate a common understanding, direction, processes and systems for learning and development and methods for evaluating the implementation and outcome of those changes.

ANU: As part of the 2016 strategic planning process, detailed work is also underway to determine applicable research and education KPIs for Council consideration in December 2016. These KPIs will be complemented by underpinning KPIs, encompassed in subsequent portfolio and subordinate operational plans. The Education portfolio plan will feature Learning and Development for academic staff, as part of its plan.

Recommendation 7: Identify the foundation skills required of an academic aligned to a career development pathway or career stage thereby establishing a key element of the strategic framework and governance for learning and development in the University.

Recommendation 8: Conduct a capability gap analysis of the learning and development needs of academic staff which addresses both the University's strategic business requirements and the requirements of the academic to meet their future career expectations.