



Australian
National
University

STRATEGIC PLAN 2017-2021





STRATEGIC PLAN 2017–2021

Contents

Inspiring Leadership for Our Time	2
Our Vision and Values	4
The Need for Change	7
Strategies for Change	14
> 1. Building on a Culture of Academic Excellence	
> 2. Delivering on our Unique National Responsibilities	
> 3. Achieving Equity – Within ANU and in Society	
> 4. Building a Culture of Collegiality and Engagement – Across and Beyond ANU	
> 5. Creating an Unrivalled Campus Environment	
Measuring our Progress	24
> Strategic Plan Key Performance Indicators	
> Supporting Operational Plans	
Risk Oversight and Management	27

Inspiring Leadership for Our Time



Professor the Hon Gareth Evans
AC QC FASSA FAIA



Professor Brian P. Schmidt
AC FAA FRS

For over 70 years, The Australian National University has worked to realise the ambitions of the visionary Australians who founded it.

Our journey so far has validated their courage and vision. Our distinctive research culture is renowned: of the seven Nobel Prizes awarded for work undertaken in Australia, ANU can claim four. We rank among the world's very finest universities.

Our nearly 100,000 alumni include political, business, government, and academic leaders around the world. We have graduated remarkable people from every part of our continent, our region and all walks of life. ANU hosts some of the nation's most influential Indigenous researchers and researchers on Indigenous issues.

While our focus is Australia, our horizons are global. The legacy of our long-standing international engagement and expertise has delivered us unrivalled impact beyond our borders, particularly throughout Asia and the Pacific.

The University's achievements are remarkable, given its uncertain beginnings. Founded in a time of post-war reconstruction, social dislocation, hardship, rapid changes in society and in the expectations of institutions and government, the University's role was to develop new capability for a nation seeking its place in the world.

Australia today remains in transition. We face economic and societal change, and international instability. Government, industry and social institutions all face challenges to their legitimacy and longevity. In response, ANU must innovate in research, teaching and learning, and elevate our understanding of contemporary Australia and our world.

This is the fundamental purpose of the national university, which we will remain as long as we continue to serve Australia with

distinction. Our unique place in the nation is inseparably linked to this contribution.

To fulfil our mandate, we must invest in, and insist on, excellence everywhere at ANU. We must be ready to adapt what we do and how we do it wherever our performance is not the best it can be. We must diversify our funding sources.

We must dismantle once and for all the barriers, real and perceived, between ANU and the society we serve. In other words, we must be a contemporary national university and a valuable global resource.

Our ambition for the future of ANU is as great as the ambition of our founders, and reflects the special national responsibilities we have as beneficiary of the National Institutes Grant. This Strategic Plan sets out how we will ensure that this unique and remarkable institution is able to meet its contemporary mission as Australia's national university, and one of the world's greatest.

Professor the Hon Gareth Evans
AC QC FASSA FAIA
Chancellor

Professor Brian P. Schmidt
AC FAA FRS
Vice-Chancellor and President

We, as the accountable authority are pleased to present The Australian National University's Strategic Plan, for the five-year period 2017-21, as required under paragraph 35(1)(b) of the *Public Governance, Performance and Accountability Act 2013*. This is the 2017 Corporate Plan for the ANU.



Our Vision and Values

Vision

- > Contemporary ANU will sit among the great universities of the world, and be defined by a culture of excellence in everything that we do.
- > We will be renowned for the excellence of our research, which will be international in scope and quality, always measured against the best in the world. Our research investment will be strategic, taking a long-term view and focus on high-quality activities, high-impact infrastructure and areas of high national importance.
- > We will be renowned for the excellence of our undergraduate and graduate education: excellence in student cohort, excellence in teaching, excellence in student experience, and excellence in outcomes.
- > We will be renowned for the quality of the contribution our research and education make to societal transformation. We will identify emerging areas of need for the nation and provide research and education that will equip Australia to cope with challenges not yet imagined.
- > ANU research, education and contributions to public policy-making will change Australia and change the world. It will have impact.

Values

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





THE NEED FOR CHANGE

Building on a Culture of Academic Excellence

In our rapidly changing world, Australia's national university must have the confidence to build upon its 70-year legacy of excellence to meet the challenges Australia confronts.

The University's excellence, of which we are rightly proud, must not disguise the imperative for change. By many measures we are a great institution. But expectations of the national university are high and sometimes we fall short. By embracing the need to adapt, we will empower ourselves to shape the future of ANU, and to dedicate our energy, expertise and resources to delivering excellence for Australia and beyond.

ANU has an enviable reputation as one of the world's great universities, but our performance is judged in a rapidly changing world. Around the globe we observe seismic changes in pedagogy and massive investment in research innovation, but over recent years universities in Australia have been uncomfortably constrained by higher education policy stasis.

Rankings reflect the intensity of the contest for global pre-eminence. We advance on some measures and slip in others. We must be confident enough to define excellence in our own terms, and hold ourselves accountable to these standards.

ANU must attract, recruit and retain the world's best talent – an academic and professional staff of outstanding, dedicated and collegial individuals. We must be rigorous in maintaining excellence as our threshold. We must commit to harness our excellence in service of our nation and in meeting the global challenges we face.

Excellence in research and innovation

We must have the courage to redirect funding to lift research excellence, and to back new research endeavour where it promises great outcomes. We must attract external funding from a range of sources – government, industry, foundations and philanthropists. In research, we must lead in breaking down the barriers between universities, society and industry.

Equally our expectation must be that our research creates innovative outcomes contributing to the economic and general public good. It is imperative that we provide the right support and incentives for our staff to take their ideas outside the University.

Excellence in education and student experience

Great research by outstanding staff creates the right environment for the highest quality education – something our talented students expect and deserve. Our students will come from every background and all parts of Australia and the world. They will have in common their exceptional potential, and the talent and determination to succeed at ANU.

Improving our teaching, mentoring, and quality and range of student experiences will empower the brilliant graduates we produce.

Delivering on our Unique National Responsibilities

Our contribution to public policy, to Indigenous Australia and to Australia's understanding of, and role in, Asia and the Pacific have defined our university since its founding. On all three fronts, the challenges facing our nation remain profound.

Governments and civil society expect ANU to be at the leading edge of thinking in these areas, enlivened by continuously renewed partnerships, involvement of leaders from outside the academy, and excellence in our research and teaching.

Our responsibility to national policymakers and national institutions

Based in the national capital and with unrivalled connections to government, ANU is exceptionally well placed to influence public debate and advance public policy. Policy expertise abounds across ANU, but this expertise is sometimes seen externally as disconnected and inaccessible.

The range and breadth of the University's research excellence, and our role as a national resource, means much more can be achieved. If we are to serve our nation well, ANU must use the sum of its knowledge to set the policy agenda, and provide timely, accessible, evidence-based input into policy discussions as they occur.

Our responsibility to Indigenous Australia

As Australia's national university one of our defining roles has been to contribute to the advancement of Australia's Indigenous peoples. We contribute by graduating Indigenous students, as well as through game-changing research and direct engagement

with Indigenous communities. We provide an environment for debating the big issues and partnering with Indigenous Australia to advance the status, recognition and lives of Aboriginal and Torres Strait Islander peoples.

Although the proportion of Indigenous students at ANU is high by the standards of some of our peer universities, we remain far from parity with the population at large for undergraduates. The proportion of postgraduate and higher degree students is lower again, as is the proportion of professional and academic staff. Through targeted activities we will work towards achieving parity with the proportion of Indigenous Australians in the overall population.

Research focused on Indigenous issues is broad in scope and has made a substantial contribution. ANU has strong Indigenous research leaders in a number of disciplines. However, our continued salience requires constant attention to impact, partnership with Indigenous communities and a commitment to novel and multidisciplinary approaches to our work.

Our responsibility regarding Asia and the Pacific

Since its founding, ANU has been a primary resource for Australia's deepening engagement with Asia and the Pacific. While it is widely accepted that ANU houses the West's leading institutional expertise on the region, retaining and reinvigorating our expertise in the culture, languages, politics, and economics of the Asia Pacific region is paramount if we are to fulfil our mission as the national university.

Achieving Equity – Within ANU and in Society

ANU is committed to equity and diversity as fundamental values. Australia has a diverse population and we are committed to providing opportunities and an inclusive and welcoming environment, to those of all backgrounds and identities. Our low-SES students achieve great outcomes, but only four per cent of students at ANU are from disadvantaged backgrounds. We will increase the opportunities for students from all walks of Australian life to attend the national university, focusing on their potential to thrive at ANU and to contribute to society upon graduation.

We continue to make progress on gender equity, but have much work still to do. Our student cohort is slightly more than half female in most subjects, but there are some notable exceptions that are strongly gender biased. The progression rates of students are not strongly linked to gender or ethnicity, but the progression rates of academic staff, especially from fixed-term to continuing positions remain biased against women.



Building a Culture of Collegiality and Engagement – Across and Beyond ANU

Some of the most exciting research opportunities, addressing the most pressing challenges facing our world, lie in collaboration between disciplines, yet we are not good at working and communicating across the units of the University.

Achieving a fundamental change here is essential to our mission as the national university: to answer questions that can rarely be solved from within the domain of a single discipline or academic department.

Equally our graduates require the skills to examine problems and pursue careers that are less and less discipline-bounded.

We need to become more actively engaged with business and industry, attracting more entrepreneurial expertise to ANU, and do more to develop, encourage and reward entrepreneurial activity.

Our alumni are found in diverse and powerful positions across the globe. It is imperative that we engage meaningfully with them, enriching their professional and civic lives and creating space for them to contribute to the life of the University.

Many alumni and friends generously contribute philanthropically to the University in a wide range of ways. ANU has been slow in creating new opportunities for them. We need to offer meaningful engagement with the University for those interested in contributing to our mission, and to our people.

Creating an Unrivalled Campus Environment

ANU is fortunate to be based on a strikingly beautiful, open campus in the heart of the nation's capital. Blending green space with heritage buildings and fine contemporary architecture, our campus is home to more than 5,000 students, and a centre of daily activities for 15,000 more students and staff.

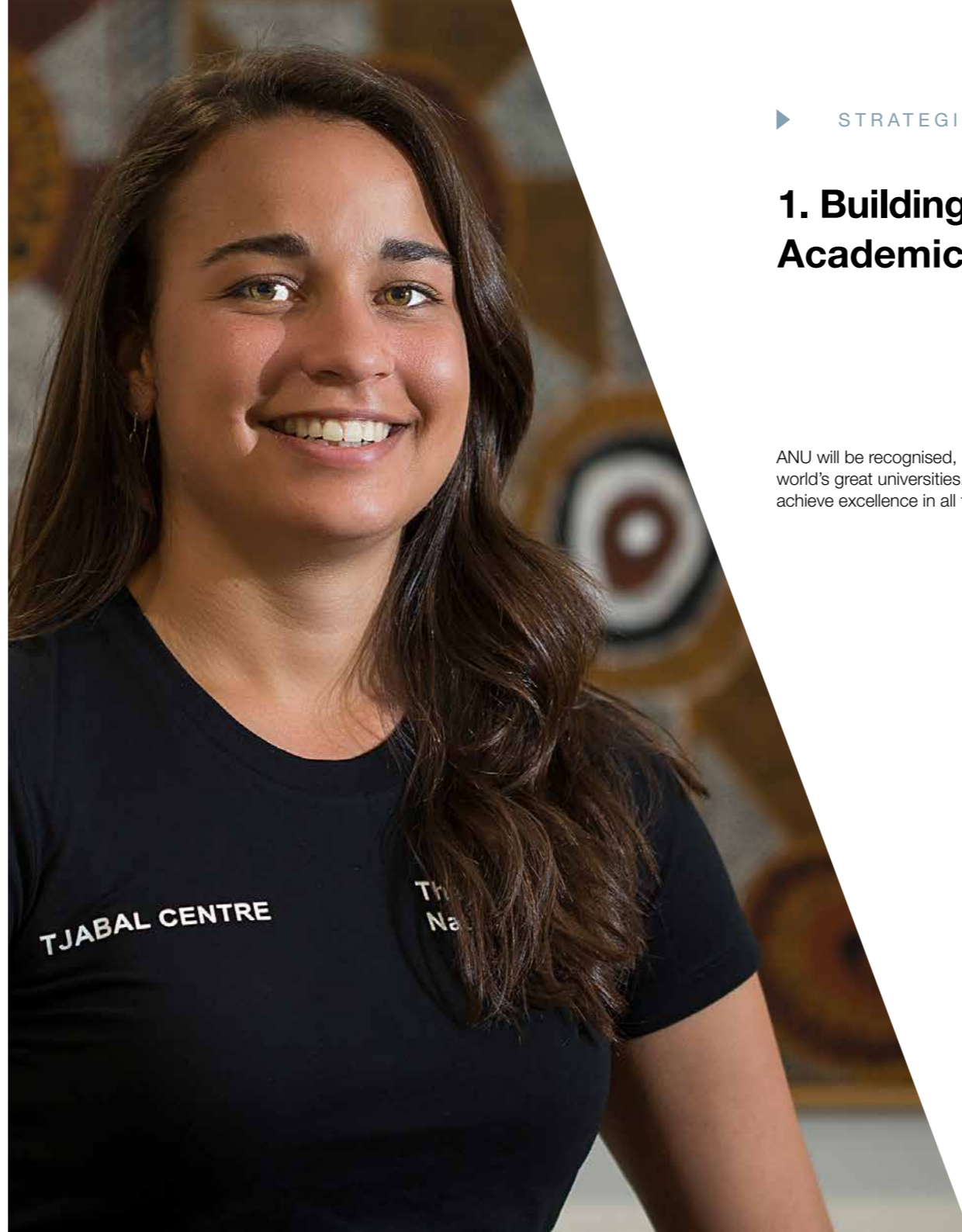
Our campus environment needs to remain both contemporary and timeless. Much of the University's infrastructure must be renewed to reflect the needs and desires of our people now and in the future. ANU should be known for the quality of its research and digital infrastructure, for its collections, its contemporary educational facilities and campus amenity that befits its status as the national university.

The privileged location of ANU in the national capital creates opportunities and responsibilities to share our collections, campus, and learning environment with our community and the nation.



STRATEGIES FOR CHANGE

To achieve our goals, ANU must change. Across our staff, students and the University's leadership, this is a mission we all share. The strategies set out in this plan – which will be supplemented by more detailed working-level operational plans – describe the key initiatives that will, over the next five years, change ANU. These strategies are founded on the feedback of our community, expressed in intensive consultation in 2016, and will help us realise the broad objectives articulated in *Australia's National University: Our Vision* as endorsed by the University Council in 2016.



▶ STRATEGIES FOR CHANGE

1. Building on a Culture of Academic Excellence

ANU will be recognised, unambiguously, as one of the world's great universities. We will innovate and adapt to achieve excellence in all that we do.

Key initiatives:

1.1

We will lead the nation in the recruitment, retention, mentoring, management and development of academic and professional staff.

1.2

We will develop and apply performance standards for staff that are commensurate with the world's great universities.

1.3

We will provide substantial start-up grants for high-potential early and mid-career researchers, enabling us to compete against any institution in the world. At least 50 per cent of this support will be allocated to women.

1.4

We will maintain the most demanding student entry standards in the nation, commensurate with the world's great universities.

► STRATEGIES FOR CHANGE

Excellence in research and innovation

ANU is privileged to benefit from the dedicated support of the Australian Government, funding that has allowed us to do great things. We have a mandate to deliver the highest quality research, and we must never take it for granted.

We will translate what we research to the benefit of society in partnership with the private sector and civil society. Our expectation is that our research contributes to the economic and general public good. We will provide the right support and incentives for our staff to take risks and to partner effectively to ensure their ideas are taken up and have impact in all sectors.

We will nurture future researchers, shaping our research training to ensure our people are second to none, their qualifications understood to be of the very highest global quality, setting them up to lead in the academy, in industry and in civil society.

Key initiatives:

1.5

We will invest over the course of the Plan in five globally-significant research challenges that deliver solutions to national priorities, and ensure core disciplines and research strengths are ranked alongside the best in the world.

1.6

We will establish Innovation Institutes that will achieve exceptional translational outcomes, supported through a new collaborative business model and access to new venture capital funding for University Intellectual Property commercialisation.

1.7

We will redefine the ANU PhD program to deliver a new generation of graduates, who successfully use their research training to advance careers in universities, and across all industries and sectors.



► STRATEGIES FOR CHANGE

Excellence in education and student experience

ANU will be distinguished by the innovative way we teach and engage our students. Our campus will be open to people from across Australia and around the world who have the talent and potential to succeed in our community, and the experience we offer will meet the standards of excellence to which we are committed.

Key initiatives:

1.8

Evidence of learning and satisfaction will drive a regeneration of our approaches to curriculum, teaching and digital and physical learning space design.

1.9

We will provide all students who want to live on campus the opportunity to do so, including postgraduate students and students with children.

1.10

We will lead the nation in changing the way that universities admit students.

1.11

We will revitalise our learning and teaching infrastructure, beginning with state-of-the-art facilities at Union Court and a major refresh of digital infrastructure.

2. Delivering on our Unique National Responsibilities

We embrace our unique responsibility and opportunity as the national university to constructively engage with the nation and the world, and we will enhance and make more accessible our contributions to public policy generally, Indigenous Australia, and Australia's understanding of, and role in, Asia and the Pacific.

Our responsibility to national policymakers and national institutions

ANU will create a deeper dynamic of policy engagement with the governments of Australia.

Key initiatives:

2.1

We will embed public servants at ANU and our academics within government, emphasising co-creation of policy and broadening policy-related research.

2.2

We will build the nation's leading policy incubator by harnessing the research breadth of ANU, offering solutions to complex policy issues confronting the nation and our region – both known and unimagined.

2.3

We will redefine our relationship with CSIRO focused on the establishment of an integrated precinct connected to the local and national innovation ecosystems.



Our responsibility to Indigenous Australia

ANU will renew, build on its history of engagement, and seek a new partnership with Indigenous Australia.

Key initiatives:

2.4

ANU will ensure cross-institutional effort to substantially increase the recruitment and success of Indigenous undergraduate and postgraduate students, and Indigenous academic staff. All disciplines and professions will be targeted.

2.5

Major institutional funding will prioritise high-quality, high-impact and community-engaged research relevant to the big questions facing Indigenous Australia – not only in existing areas of strength such as Indigenous studies, health and economics, but in all disciplines.

2.6

Fifty years on from the 1967 Referendum that gave the national government power to legislate for Indigenous Australia, ANU will play an active role in national debate about recognition of Australia's first peoples in our Constitution.

Our responsibility regarding Asia and the Pacific

ANU will actively maintain its place as the West's pre-eminent leader in expertise on the world's most dynamic region.

Key initiatives:

2.7

ANU will set the agenda in national and international discourse about our region.

2.8

ANU will pioneer new research and teaching methods, approaches and agendas, serving as a partner and essential resource for all who focus on Asia and the Pacific.

2.9

ANU will promote a narrative about the centrality of Asia Pacific studies to the humanities and social sciences, and more broadly to society and the world.

3. Achieving Equity – Within ANU and in Society

ANU stands for equity in all that we do, and we will reflect the extraordinary and increasing diversity of the Australia we serve. Talent – realised or potential – will be the only threshold for joining our community as a student or staff member.

The national university will work with communities across Australia to address the widespread legacies of inequality of opportunity through both education and research.

Key initiatives:

3.1

To promote gender equity and diversity across ANU, we will do what is required to achieve an Australian SAGE Athena SWAN Gold award, starting with a Bronze award by 2019, and a Silver award by 2021.

3.2

We will create and modify our practice, policies and culture so that admission, retention, and success for students and staff is based on ability and endeavour, whatever their backgrounds or identities.



4. Building a Culture of Collegiality and Engagement – Across and Beyond ANU

ANU is distinguished by the breadth and quality of its research. The academic choices we make will not be confined by the structures of our organisation – leaders at every level will foster and encourage the collegial spirit that will drive high-impact discovery across disciplines, and in partnership with industry, government and civil society.

ANU will lead in building people connections across and beyond the campus. This will include maintaining and celebrating our multicultural campus community and building engaging and rewarding roles for our alumni. We will also work to make our collections, our people and our infrastructure a resource for our national capital community and beyond.

We will create further opportunities for the wider community to make philanthropic contributions to our university that have enduring impact, and we will cultivate the endeavours which they support as resources for the University and our community.

Key initiatives:

4.1

The University will prioritise collegiality and cross-unit collaboration in funding and promotion decisions.

4.2

New alumni opportunities will be developed as part of an enhanced Alumni Strategy.

4.3

We will make ANU collections and the cultural life and amenity of our campus more accessible to the national capital community and beyond.

4.4

A renewed philanthropy strategy will grow engagement with the University's supporters, existing and new.

4.5

The University's diverse international student and staff mix will be cultivated and harnessed as a key asset to ANU.

5. Creating an Unrivalled Campus Environment

The natural environment, landscaping and amenity of our campus are unsurpassed and are much loved by students, staff and alumni. We will plan and invest in our campus to reflect the needs and desires of our people now and in the future.

The facilities, infrastructure and environment of ANU will exemplify the excellence we seek to achieve across the University. As a national leader in climate science and policy, ANU will prioritise sustainability as a principle.

Key initiatives:

5.1

We will regenerate Union Court as the heart of University life. It will be home to outstanding student and staff services, event spaces, and new sporting and recreation facilities.

5.2

We will develop and refine the Campus Plan to focus on further enhancing the beauty of our natural environment, and the elegance, coherence and liveability of our built environment.

5.3

We will reduce our carbon emissions intensity over the life of the Plan.

5.4

ANU will develop or redevelop internationally-significant, national scale research and teaching infrastructure within the capital management fund.



MEASURING OUR PROGRESS



► MEASURING OUR PROGRESS

Strategic Plan Key Performance Indicators

We will rigorously measure our progress in achieving change and improvement against the strategic objectives in this Plan. The following broad Key Performance Indicators (KPIs) will allow us to evaluate our success year-on-year in the areas of greatest strategic priority.

1. Improvement in the proportion of academic staff contributing to ERA level-4 and level-5 results.
2. Annual increase in the quantity of research income, and diversity of sources of this income, relative to the quantity and sources available.
3. Increase in citations normalised to subject areas.
4. Increase in the ratio of student applications to acceptances.
5. Improvement in the overall satisfaction of ANU students.
6. Annual independent evaluations of ANU impact in public policy and Asia and the Pacific, demonstrating improvement year-on-year.
7. Annual independent evaluations of ANU meeting its responsibilities to Indigenous Australia, demonstrating improvement year-on-year.
8. Achievement of Bronze, then Silver, and subsequently Gold recognition within the Australian SAGE Athena SWAN program.
9. Increase in the proportion of commencing domestic undergraduate students from low SES, Indigenous, regional, and remote backgrounds so that it equals the national population share.
10. Improved collegiality as indicated by the 'participation cluster' results in the VOICE survey.
11. Increased number of engaged alumni year-on-year.
12. Demand for on-campus student accommodation met by 2021.

Supporting Operational Plans

The high-level indicators listed will be supplemented by more granular indicators included in six supporting plans that will underpin and operationalise the ANU Strategic Plan, for each of which a designated member of the executive will have primary responsibility as indicated:

- > **Academic Plan**
Deputy Vice-Chancellor (Academic)
- > **Research and Innovation Plan**
Deputy Vice-Chancellor (Research)
- > **University Experience Plan**
Pro Vice-Chancellor (University Experience)
- > **Global Engagement Plan**
Pro Vice-Chancellor (Education & Global Engagement)
- > **Societal Transformation Plan**
Vice-Chancellor
- > **Resources Plan**
Executive Director (Administration & Planning)

Risk Oversight and Management

ANU is committed to embedding a robust risk management culture that will enable the University to be agile and responsive to changes in the higher education landscape, whilst driving maximum benefit from opportunities and facilitating innovation.

Our Risk Environment

The University operates in an inherently complex and dynamic risk environment, where staff are encouraged to embrace informed risk-taking in pursuit of our strategic and organisational imperatives, supported by evidence-based decisions; and in compliance with legislation, policy and operational guidelines.

University governance provides the appropriate frameworks and systems for risk oversight, management and reporting; and provides staff with the capability, knowledge and tools to effectively identify and manage risks. The University's Enterprise Risk Management Framework (ERMF) and Risk Management Policy draw on section 16 of the Public Governance, Performance and Accountability Act 2013 (PGPA Act) as well as the Australian/New Zealand Standard ISO31000:2009 Risk Management.

Creating a Positive Risk Culture

Over 2017-18 and beyond, the University will refresh its ERMF and enhance our risk management maturity and capability through a staged roadmap. Our ERMF will aim to:

- > develop a positive risk culture where University management has a common understanding of our key risks and feed risk information into decision-making at all levels;
- > ensure that significant risks have been identified, understood, documented and actively managed;
- > assess risk in a balanced way, with upside risks (opportunities) considered alongside downside risks; and
- > sustain the usefulness of risk registers and practical risk analysis tools.

Our Approach to Risk

In 2016, a key aspect of risk management was to identify and effectively manage strategic risks through the development of a Strategic Risk Register. Accountability for oversight of strategic risks and the controls and treatments in place to address them, resides with the University leadership, and is reported to Council's Audit and Risk Management Committee (ARMC) on a quarterly basis. Managing these risks effectively will further support the University's leadership in its strategic decision-making.

In 2017, the University will continue to build on its risk management maturity, with specific focus on integrating risk management into the strategic and operational planning process. We will define the University's appetite and tolerance for key risks as we pursue our strategic objectives.

Risk management at ANU is informed by the internal audit work program that assesses the strength of our current controls and governance processes across the University's programs and activities, and applies the lessons of the past to strengthen organisational resilience and preparedness.

Our Fraud Control Framework and Fraud Control Plan, policy and procedure underpin the University's zero tolerance for fraud and are supported by biennial fraud risk assessments and ongoing activities in relation to prevention, detection and reporting of fraud.

The ARMC provides independent assurance and advice in relation to the University's management of risk, the effectiveness of controls and treatments and verifies the integrity of the financial and performance reporting framework.



