

ASSOCIATION FOR TERTIARY EDUCATION MANAGEMENT

Executive Teleconference

14 February 2001

3.00 to 5.00 pm New Zealand Summer Time

1.00 am to 3.00 pm Australian Eastern Standard Summer Time

11.30 am to 1.30 am North Central Australian Standard Time

9.00 am to 11.00 am Western Australian Summer Time.

DRAFT AGENDA

<u>Distribution:</u> Warwick Nicoll	President (Chair)
Maree Conway	Vice-President
Tom Gregg	Vice-President
Richard Easther	Association Treasurer
Margie Cole	Association Secretary
Lorraine Perry	Councillor at Large
Pat Allen	Councillor at Large
Peter Scardoni	Association Secretariat
Giles Pickford	Association Secretariat

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1. **Apologies**
2. **Minutes of previous meeting**

The minutes of the Executive Teleconference held on Thursday 10 August 2000 have been circulated to members, and are posted on the web.

3. **Consolidated Action Sheet**

A copy is attached. Completed action is indicated by italics. (**Attachment 1**)

4. **President's Report**

- 4.1 The President will report on the ATEM Foundation formation process. A report prepared by the Secretariat is attached. (**Attachment 2**)
- 4.2 Development and Review of Strategic Plan. The redraft of the Summary Plan is available on the Web Site under the heading 'ATEM Policy'. A copy is attached (**Attachment 3**). The Plan is revisited each year. The

Executive needs to make recommendations about changes at the May meeting of Council.

- 4.3 Question of Treasurer's post.

5 2000 Conference Financial Results

There may be matters to discuss about the final accounts for the 2000 Conference. Richard Easter to report. A spreadsheet will be faxed before the meeting (**Attachment 4**)

6 Association Treasurer's Report

- 6.1 2000 and 2001 Budget up-dates. A revision of both budgets will be faxed before the meeting.
- 6.2 Budget Principles. The revised Budget Principles are shown in Chapter 4 of the Finance Manual.
- 6.3 Finance Manual. The final draft of chapters 1-7 is attached. Chapter 8, the 'Chart of Accounts', and the sample reports to be attached to Chapter 6 (to be adopted so that there is standard reporting across all Branches for consistent consolidation reporting) will be drafted in consultation with the Branch Treasurers. (**Attachment 5**)
- 6.4 Sponsorship: the Secretariat will report on progress.

Recommendation

That the Finance Manual be approved in principle and posted on the web as a draft and feedback be sought prior to the May Council Meeting.

7 Association Secretary's Report

- 7.1 Proposed Electronic Election trial in February. Margie Cole to report.
- 7.2 Revision of Conference Manual and Profit Sharing Arrangements. Margie Cole to report.

8 VP Maree Conway's Report

- 8.1 ATEM Awards and Grants. Maree will report on new developments.
- 8.2 Guidelines on ATEM Journal. This Policy document was discussed at Council and referred back for redrafting. The re-draft is attached (**Attachment 6**)
- 8.3 Contract with Carfax Publishing. The attached contract was signed by the Association and Carfax in October 1999, it took effect on 1 January 2001 and will continue to January 2006. (**Attachment 7**)
- 8.4 The Secretariat has suggested that ATEM should conduct a Foresight exercise, along the lines described in Maree Conway's paper given at Conference 2000 in Melbourne. A copy of the paper is attached. (**Attachment 8**) Maree Conway will lead discussion of this idea.
- 8.5 Honour Board: question of AITEA Fellows.

9 VP Tom Gregg's Report

- 9.1 The differences between a Chapter and a Branch are defined, and draft Guidelines for a Fiji Chapter, are attached. **(Attachment 9)**
- 9.2 Fiji Chapter progress. Tom Gregg to report
- 9.3 Affiliation with AACRAO. A draft memorandum of agreement has been sent to AACRAO. No reply received as yet. Tom Gregg to report.

10 Secretariat's Report

- 10.1 Membership Renewal. A report on the web based membership renewal process is attached. **(Attachment 10)**
- 10.2 Re-Joining Fee. A report is attached. **(Attachment 11)**
- 10.3 Corporate Membership Fee. A report is attached. **(Attachment 12)**
- 10.4 Marketing Plan. A preliminary report prepared by Jan McAdam is attached. **(Attachment 13). NOT YET TO HAND.**
- 10.5 ATEM Representation at AUA. A report is attached. **(Attachment 14)**
- 10.6 CPEP. The Committee is reminded of the questionnaire that was distributed to all Branches in October. A copy is attached. **(Attachment 15).**
- 10.7 Co-operation with AVCC and NZVCC on Training. The Secretariat suggests that ATEM should approach the AVCC and the NZVCC about rationalising training programs in our region. It will be possible to do this once we have finished the report on item 10.6 above. It is possible that some of the programs might lend themselves to joint ownership between the three entities.

11 Members Forum

The Councillors at Large will report on the Members' Forum 2000 and its further development for 2001.

12 Other Business

13 Next Meetings

Council meets at 10.00 am on Saturday 19 May, one week after Mother's Day. We will be staying in the Wentworth Travelodge (same as last time). Airline bookings will need to be made by 19 February in order to maximise concessional discounts.

The Committee should meet by teleconference in July to review progress and receive a report on the 2001 Annual Conference.

GP 19/1/00

Attachment 1

CONSOLIDATED ACTION SHEET

Council Meeting of 24 September 2000
Annual General Meeting of 26 September 2000

Items yet to be completed are in plain type. *Completed items are italicised.* If a Council Member has completed an action listed below, he or she should inform the Secretariat.

President: Warwick Nicoll

All Council Members

Airline Bookings

Take care to avoid changing flight details for discounted early bookings.

Association Secretary: Margie Cole

New Conference Guidelines

Re-draft the New Guidelines concerning Conferences for Posting on the Web. C00/18

Amendment to the Constitution

Draft amendment to the Constitution for submission to the AGM. C00/19

Association Treasurer: Richard Easter

Unfinancial Members

Implement C00/22 (3) in collaboration with the Secretariat

VP Maree Conway

ATEM Journal

Draft the new Council Policy on the Journal, taking into account issues raised in C00/16 (1)

Awards and Grants

Pursue the issues raised in item 13.1 concerning awards and grants.

VP Tom Gregg

ATEM Foundation

Implement C00/15 (b) and (d) in collaboration with the Secretariat

1999 Conference Follow Up Plan

Send electronic copies of the Plenary Session Papers to the Secretariat. C99/44.16

Fiji Chapter

Work with the Secretariat in setting up a new Chapter of the New Zealand Branch in Fiji. C00/24

AAUA and AACROA

Represent ATEM at the AAUA 2001 Conference in New Orleans and visit AACROA to formally propose affiliation. C00/25 (1)

Councillor @ Large Lorraine Perry

2000 Conference Follow Up Plan

Send electronic copies of the Plenary Sessions to the Secretariat to implement the 2000 Conference Follow Up Plan.

Councillors @ Large Lorraine Perry and Pat Allen

Members Forum

Implement the operational structure in C00/26

Jim McLauchlan

ATEM Foundation

Implement C00/15 (c) and (d) in collaboration with the Secretariat.

Association Secretariat: Giles Pickford and Peter Scardoni

Marketing Plan

Follow up on development of Marketing Plan and report to Executive: Contact: Jan McAdam at Swinburne University. C99/44.19

1999 Conference Follow Up Plan

Implement Conference Follow Up Plan, publish Plenaries and send to AVCC and NZVCC. (NOTE: There are no plenaries on the Web to publish) C99/44.16

Resolution Register

Add the Resolution Register to the Web Site. (NOTE: Secretariat recommends that this task is going to be very time consuming and so far has a low priority. The Register is a printed document which has not been kept up to date. What is listed includes every resolution ever passed, even procedural ones). C99/46

ATEM Journal

Post the new Policy on the Web when it is ready. C00/16 (2)

CPEP

Pursue the issues raised in item 13.2

Awards and Grants

(a) Implement the agreed publicity protocols concerning the awards in C00/23

(b) Create and new page on the web site called 'Honour Board' listing awards and grants.

AUA

*Canvass Council Members to see who will be in UK at the time of the AUA Conference.
C00/25 (2)*

Cross Sectoral Issues Group

Inform Paul Abela and Leesa Wheelahan of the resolution C00/27

Public Comment

Put the Policy on Public Comment up on the Web, as amended. Item 18.

Registrar General

Lodge all necessary documents from the AGM.

Executive Teleconference, January 2001 - Attachment 2

Item 4.1 Foundation

The Foundation Constitution has been approved and the consents of the initial five directors nominated by ATEM are needed. The Constitution is attached below. Unfortunately all the numbering was eliminated because they were 'clever' numbers and the cut and paste could not carry them across. However, when the Constitution is posted on the web the numbers will be there.

A matrix has been drawn up by Sean Magee and the Secretariat summarising the approach that will be made to prospective Partners. This matrix is still incomplete and is awaiting another meeting between Sean Magee and the Secretariat. A copy will be faxed to members before the meeting.

Council resolved as follows at its September meeting in 2000.

- (a) That Council approves the formation of a Charitable Company to be called 'Association for Tertiary Education Management Foundation Pty Ltd' in Australia followed by a similar Trust in New Zealand, and that they are tied in governance, but legally separate in the two countries;*
- (b) That VP Tom Gregg and BP Lorraine Parker work with the Secretariat on the formation of the NZ Trust in 2001, following registration of the Australian Company;*
- (c) The Secretariat, with assistance from Jim McLauchlan, will work on the final wording of the Constitution of the Australian Company, coming back to the Executive Committee with a final draft for approval.*
- (d) That Council engages Piper Alderman in Australia, and Harmon & Co in New Zealand, to undertake the legal work in registering the two Companies.*

RECOMMENDATION

It is recommended that:

- (a) the five directors of the company be The President, VP Tom Gregg, Association Treasurer, Association Secretary, Jim McLauchlan;
- (b) that registration of the Foundation in Australia proceed;
- (c) that the incomplete matrix be noted;
- (d) that registration in New Zealand proceed when ready.

CONSTITUTION

PART 1 - PRELIMINARY

Name

The name of the company is the Association for Tertiary Education Management Foundation (**Company**).

Nature

The Company is a public company limited by guarantee.

Replaceable rules

The replaceable rules in the Corporations Law do not apply to the Company.

Objects

The objects of the Company are:

- to generally improve the standard of tertiary education in Australia through improvement in tertiary education management and administration;
- to facilitate members and non-members sharing information and ideas in the area of tertiary education management and administration;
- to formulate principles of best practice, promote and undertake research, gather data, and disseminate information on best practice, research results and data gathered to agencies and professionals in the area of tertiary education management and administration;
- to provide professional education and training to persons in the area of tertiary education management and administration in order to improve the efficiency and quality of tertiary institutions and tertiary education in Australia;
- to provide facilities for professional education and training, including scholarships, research grants and travel grants, to persons in the area of tertiary education management and administration and to improve the standard, efficiency and quality of tertiary education in Australia;
- to maintain and improve the level of professional competence and practice in the field of tertiary education administration and management;
- to encourage increasing and outstanding contributions to tertiary education management and administrative practice;
- to promote management links, secondments and exchange programs between tertiary institutions, business, industry and government in Australia and internationally to benefit the education sector in Australia; and
- to stimulate tertiary education management and administration to facilitate innovation in the Australian tertiary education sector.

No distribution to members

The Company's income and assets must be used solely to promote the Company's objects.

The Company must not pay or distribute any profits, income or assets to the members.

This does not prevent the Company paying in good faith: reasonable remuneration to a member or other person for services rendered to the Company; for goods supplied to the Company in the ordinary course of the promotion of the Company's objects; reasonable interest on money lent by a member to the Company, or reasonable rent for premises let by a member to the Company; or out-of-pocket expenses incurred on behalf of the Company in the ordinary course of the promotion of the Company's objects.

Limited liability

The liability of the members is limited.

If the Company is wound up, a present or past member must contribute to the Company's property an amount sufficient: to pay the Company's debts and liabilities and the costs, charges and expenses of the winding up; and to adjust the rights of the contributories among themselves.

However, a member or past member need not contribute more than \$10.

A past member need not contribute if not a member at any time during the year ending on the day of the commencement of the winding up.

On a winding up, any surplus must be given to an institution: which has objects similar to the Company's objects; and which cannot distribute its income and assets to its members.

The members may decide the institution. If they do not do so, the Supreme Court of the Australian Capital Territory may decide the institution.

If clause 6.5 cannot be given effect, any surplus must be given to a public university or other charitable public institution that has education as at least one of its objects.

PART 2 - MEMBERSHIP

Categories

The initial member is ATEM.

The Company may admit other members and the Board may decide the terms of their admission. Those terms must be consistent with this constitution.

The Company may create categories of membership, and the Board may decide the rights attached to those categories. Those rights must be consistent with this constitution.

Applications for membership

Any natural person or body corporate may apply for membership.

The applicant must: complete the application form provided by the Company and give it to the Company; state the category of membership for which the applicant applies; consent to the Company obtaining police reports on the applicant; agree to be bound by this constitution; and send with the completed application form,

payment of the entrance fee and the first annual membership subscriptions for the category of membership applied for.

The Board must consider the application at its first meeting after receipt of the application. The Board may accept or reject the application, or defer the application for any time.

The Company must, as soon as reasonably practicable, notify the applicant whether the application is accepted or rejected.

The applicant becomes a member of the Company if: the Board accepts the application; and the applicant pays the entrance fee and the first annual membership subscriptions for the category of membership granted.

The company secretary must record the name of each successful applicant in the register of members.

Resignation

A member, who does not owe any money to the Company, may resign membership by giving notice of resignation to the Company.

The company secretary must record the resignation in the register of members.

Termination

A member's membership ceases if:

the member's annual subscription is 12 months in arrears;

the member is a natural person and becomes an insolvent under administration;

the member is a body corporate, and a resolution is passed to wind it up (otherwise than for reconstruction or amalgamation), or becomes an externally-administered body corporate; or

the Board expels the member under the following clause.

Expulsion etc

If the Board considers that a member has not complied with this constitution, or has acted in a manner which is unbecoming to a member or prejudicial to the interests of the Company, it may: expel the member; suspend the member for a specified period; or fine the member as they think fit.

The Board may do so only if: at least 14 days before the Board meeting, the Company gives the member: written particulars of the relevant act or omission; notice of the date, place and time of the Board meeting; and notice that the member may attend and be heard at the Board meeting or make written submissions to the Board; and the Board hears the member or considers the member's written submissions at the Board meeting.

The company secretary must: record the expulsion, suspension or fine in the register of members; and advise the member of the decision accordingly.

Subscriptions

All members must pay to the Company any annual subscriptions and fees fixed by the Board. The Board may fix different annual subscriptions and fees for different categories and sub-categories of members.

The first annual subscription is due on becoming a member. In each subsequent year, annual subscriptions are due on each anniversary of the date of becoming a member.

PART 3 - PROCEEDINGS OF MEMBERS

One member

If the Company has only one member:

it may pass a resolution by the member recording it and signing the record; and the rest of this Part does not apply.

Annual general meetings

Subject to the Corporations Law, the Company must hold annual general meetings: within 18 months after its registration; and at least once in each calendar year and within 5 months after the end of its financial year.

The business of the annual general meeting may include any of the following, even if not referred to in the notice of meeting: the confirmation of the minutes of the last annual general meeting; the consideration of the annual financial report, directors' report and auditor's report; the election of directors; the appointment of the auditor; and the fixing of the auditor's remuneration.

Who may call meetings of members

A director may call a general meeting, when and where the director decides.

The Board may call a general meeting, when and where the Board decides.

Subject to the Corporations Law, the Board must call a general meeting on the request of: members with at least 5% of the votes that may be cast at the general meeting; or at least 100 members who are entitled to vote at the general meeting.

The request must: be in writing; state any resolution to be proposed at the meeting; be signed by the members making the request; and be given to the Company.

Separate copies of a document setting out the request may be used for signing by members if the wording of the request is identical in each copy.

The Board must call the meeting within 21 days after the request is given to the Company. The meeting is to be held not later than 2 months after the request is given to the Company.

Members may call a general meeting as the Corporations Law allows.

How to call meetings of members

At least 21 days notice must be given of a general meeting. However, unless prohibited by the Corporations Law, the Company may call on shorter notice: an annual general meeting, if all the members entitled to attend and vote at the annual general meeting agree beforehand; and any other general meeting, if

members with at least 95% of the votes that may be cast at the meeting agree beforehand.

Notice of a meeting must be given to members, directors and the auditor.

A notice of a general meeting must: set out the place, date and time for the meeting; state the general nature of the meeting's business; if a special resolution is to be proposed at the meeting - set out an intention to propose the special resolution and state the resolution; and contain a statement setting out the following information: that the member has the right to appoint a proxy; and that the proxy need not be a member of the Company.

Non-receipt of notice of a meeting, or failure to give proper notice of a meeting to a person entitled to receive it, does not invalidate anything done at the meeting if: the failure was accidental; the person gives notice to the Company that the person waives proper notice or agrees to the thing done at the meeting; or the person attends the meeting and: does not object at the start of the meeting to the holding of the meeting; or if the notice omitted an item of business, does not object to the consideration of the business when it is presented to the meeting.

Membership at a specified time

For the purpose of a particular general meeting, the Board may decide that the members at a specified time before the meeting are taken to be the members at the time of the meeting.

Quorum

A quorum for a general meeting is 5 full members. The quorum must be present at all times during the meeting.

In determining whether a quorum is present, the chair must count full members, proxies, attorneys and any other persons entitled to vote. If an individual is attending both as a member and as a proxy or attorney or in any other capacity, the chair must count the individual only once.

If a quorum is not present within 30 minutes after the time appointed for the meeting: if the meeting was called on the request of members or by members, the meeting is dissolved; and any other meeting is adjourned to any day, time and place the Board decides.

If a quorum is not present within 30 minutes after the time appointed for a meeting resumed after an adjournment, the meeting is dissolved.

Chair

The Chair of the Board is entitled to Chair all meetings of members.

If there is no Chair of the Board, or if the Chair is not present within 10 minutes after the time appointed for the meeting or is unable or unwilling to act, the deputy chair of the Board may chair the meeting. If there is no Deputy Chair, or if the Deputy Chair is not present within 10 minutes after the time appointed for the meeting or is unable or unwilling to act, the directors present must elect one of themselves to chair the meeting. If they do not do so, the members present must elect a person to chair the meeting.

If the Chair is unable or unwilling to chair a part of the meeting, the Deputy Chair may chair that part. If there is no deputy chair, or the deputy chair is unable or

unwilling to act, the directors present must elect one of themselves to chair that part. If they do not do so, the members present must elect a person to chair that part.

Regulation of meetings

The Chair may regulate a general meeting in any way consistent with this constitution.

Adjournment

The Chair may adjourn a general meeting to any day, time and place.

The Chair must adjourn a general meeting if the members present with a majority of votes at the meeting agree or direct the chair to do so. The Chair may adjourn the meeting to any day, time and place.

When a meeting is adjourned, new notice of the resumed meeting must be given if the meeting is adjourned for more than one month.

Only unfinished business is to be transacted at a meeting resumed after an adjournment.

How members make decisions at meetings

A general meeting makes a decision by passing a resolution. A resolution is passed if more than 50% of the votes cast by the members entitled to vote are in favour of the resolution (unless the law requires a special resolution).

A special resolution is passed if: notice of the meeting set out an intention to propose the special resolution and stated the resolution; and it is passed by at least 75% of the votes cast by members entitled to vote on the resolution.

How voting is carried out

Unless a poll is properly demanded, a resolution put to the vote at a general meeting must be decided on a show of hands.

If a poll is properly demanded, the result of the poll is the resolution of the meeting.

A declaration by the Chair that a resolution is passed, or passed by a particular majority, or lost, and an entry to that effect in the minutes, are sufficient evidence of that fact, unless proved incorrect.

Polls

A poll may be demanded on any resolution.

A poll may be demanded by: at least 3 members entitled to vote on the resolution; or the Chair.

The poll may be demanded: before a vote is taken; before the voting results on a show of hands are declared; or immediately after the voting results on a show of hands are declared.

A demand for a poll may be withdrawn.

A poll demanded on a matter other than the election of a Chair or the question of an adjournment must be taken when and how the Chair directs.

A poll on the election of a Chair or the question of an adjournment must be taken immediately.

A demand for a poll does not prevent the meeting dealing with other business.

How many votes a member has At a general meeting: on a show of hands, each full member present (in person, by proxy or attorney) has one vote; and on a poll, each full member present (in person, by proxy or attorney) has one vote.

Notwithstanding the previous sub-clause, a member is not entitled to vote if the member owes any money to the Company, except subscriptions for the current financial year.

An associate member does not have a vote.

The Chair has a casting vote.

The Chair or other person may disregard any vote by a member who is not entitled to vote.

Challenging a right to vote

A challenge to a right to vote at a general meeting may only be made: before the meeting, to the Board; or at the meeting, to the Chair of the meeting.

The challenge must be decided by the Board or the chair (as the case may be).

The Board's decision or the Chair's decision is final.

Proxies and attorneys

A member, who is entitled to vote at a general meeting, may vote on a show of hands and on a poll: personally; by proxy; or by attorney.

A proxy or attorney need not be a member of the Company.

A member may appoint a proxy or attorney for all or for particular meetings of members.

An appointment of a proxy or attorney must be in a form approved by the Board.

An appointment of a proxy is valid if it is signed by the member making the appointment and it contains the following information: the member's name and address; the Company's name; the proxy's name or the name of the office held by the proxy; and the meetings at which the appointment may be used.

The Board may decide to accept a proxy even if it contains only some of that information.

Unless otherwise specified in the appointment, the proxy or attorney may: agree to short notice for the meeting; even if the appointment directs how to vote on a particular resolution:

vote on an amendment to the particular resolution, a motion not to put the particular resolution or any similar motion;

vote on a procedural motion, including a motion to elect the chair, to vacate the chair or adjourn the meeting; speak at the meeting; subject to the Corporations Law, vote ; and demand or join in a demand for a poll. Subject to the

Corporations Laws, if a person represents 2 or more members, that person has only one vote on a show of hands. A later appointment of a proxy or attorney revokes an earlier one if both appointments could not be validly exercised at the meeting. An appointment may specify the way a proxy or attorney is to vote on a particular resolution. A proxy may vote only as directed. An appointment of a proxy is effective only if the Company receives the appointment (and any authority under which the appointment was signed or certified copy of the authority) at least 48 hours before the meeting or resumed meeting, unless the Board decides to reduce that time. These requirements also apply to an appointment of an attorney. Unless the Company receives written notice of the matter before the start or resumption of a meeting, a vote by a proxy or attorney is valid even if: there is a Transmission Event in respect of the member; the appointment of the proxy or attorney is revoked; or the member revokes the authority under which the proxy was appointed by a third party. A proxy or attorney may take part in a general meeting even if the appointor is present. However, if the appointor votes on a resolution, the proxy or attorney must not vote.

PART 4 - DIRECTORS

Number of directors

There must be at least 3 directors and no more than 9 directors.

The Company in general meeting may increase or reduce the number of directors.

Qualification of directors

A director need not be a member of the Company.

Appointment of directors

Subject to relevant consents to act as a director being tendered in accordance with the Corporations Law: ATEM may appoint, remove or replace up to 5 of its officers to be directors of the Company; and the director(s) appointed under clause 30.1.1 may appoint up to 4 additional directors of the Company for such term as the appointing directors may determine.

For the purpose of clause 30.1: ATEM may appoint a person as a director of the Company for the term for which they are an officer of ATEM and replace the appointee at the end of that term with the appointee's replacement as an officer of ATEM; and the first directors of the Company are the persons specified in the application for registration of the Company as directors (being officers of ATEM).

If the office of a director of the Company appointed under clause 30.1 is vacated by law or clause 32: if the person to be replaced is an ATEM appointee, ATEM may replace the director; and otherwise, the Board may replace the director, with a person who consents to act as a director and for the balance of the term of the director who is replaced.

A person who has attained the age of 72 years is eligible to act as a director subject to compliance with the Corporations Law.

Term of office

A director automatically retires at the end of the term of their appointment. A retiring director may, subject to the Corporations Law, be re-appointed as a director in accordance with clause 30.

Vacation of office

A director ceases to be a director if:

the Corporations Law so provides;
the director resigns as a director by notice to the Company;
the Company in general meeting removes the person as a director;
the director is absent, without the consent of the Board, from 3 Board meetings over any 6 month period; or
the director automatically retires under the previous clause.

Alternate directors

A director may appoint an alternate for a specified period.

The appointor may terminate the alternate's appointment at any time.

An appointment or termination is effective only if: it is in writing; the appointor signs it; and the Company is given notice of it.

The alternate need not be a member or director of the Company.

The alternate is entitled to notice of Board meetings.

If the appointor is not present, the alternate may: attend the Board meeting, count in the quorum, speak, and vote in the place of the appointor; exercise any other powers (except the power to appoint an alternate) that the appointor may exercise.

A person must not act as an alternate for more than one director.

If the appointor ceases to be a director, the alternate's appointment is automatically terminated and the appointee can not longer exercise any powers.

Where: an appointor ceases to be a director; and that appointor's alternate purports to do an act as a director; that act is as valid, in relation to a person dealing with the Company in good faith and for value and without actually knowing that the appointor has ceased to be a director, as if the appointor had not ceased to be a director.

While acting as a director, an alternate is an officer of the Company and not the agent of the appointor.

Remuneration

Unless the Company in general meeting otherwise decides or the director is an employee of the Company, a director is not entitled to remuneration.

However, if a director performs extra or special services for the Company, the Company may pay to the director any special remuneration the Board decides. The Company must pay travelling and other expenses that a director properly incurs on the Company's business.

Director's interests

Subject to the Corporations Law, a director may: hold an office or place of profit (except as auditor) in the Company, on any terms the Board decides; hold an office or otherwise be interested in any related body corporate or other body corporate in which the Company is interested; and retain benefits for doing so. If, and only if, a director discloses the director's interest and complies with section 195 of the Corporations Law, and the Company complies with Chapter 2E of the Corporations Law: the director (or a Spouse, parent or child of the director, or any entity in which the director or a Spouse, parent or child of the director has an interest) may contract or make an arrangement with the Company (or a related body corporate or a body corporate in which the Company is interested) in any matter in any capacity; the director may be counted in a quorum for a meeting considering that contract or arrangement; the director may vote on whether the Company enters into the contract or arrangement, and on any matter involving the contract or arrangement; the director may sign for the Company, or attest the affixing of the common seal to, any document in respect of the contract or arrangement; the director may retain benefits under the contract or arrangement; and the Company cannot avoid the contract or arrangement for that reason. This clause does not affect the duty of a director: who has a direct or indirect interest in a contract or proposed contract with the Company to declare the nature of the interest at a Board meeting; or who holds an office or possesses property whereby, directly or indirectly, duties or interests might be created in conflict with the director's duties or interests as director, to declare at a Board meeting the fact and the nature, character and extent of the conflict.

PART 5 - PROCEEDINGS OF DIRECTORS

Circulating resolutions

The Board may pass a resolution without a Board meeting being held, if all the directors entitled to vote on the resolution sign a document containing a statement that they are in favour of the resolution set out in the document. Separate copies of a document may be used for signing by directors, if the wording of the resolution and statement is identical in each copy. The resolution is passed when the last director signs. Passage of the resolution must be recorded in the Company's minute book.

Meetings

The Board must meet at least 2 times in each year. The Board may meet, adjourn and otherwise regulate its meetings as it decides. A Board meeting may be held using any technology consented to by all the directors. The consent may be a standing one. A director may only withdraw consent within a reasonable period before the meeting. If a Board meeting is held by telephone link-up or other contemporaneous audio or audio visual communication, a director (who has stated that he or she is present) is taken to be present unless the director states to the chair that the director is disconnecting his or her telephone or communication device.

Calling meetings

Any director may call a Board meeting.

On the request of any director, the company secretary must call a Board meeting.

Notice

Notice of a Board meeting must be given to each director and each alternate.

The notice: must specify the day, time and place of the meeting; must state the business to be transacted; and must be given at least 48 hours before the meeting, unless all directors otherwise agree.

Non-receipt of notice of a meeting, or failure to give notice of a meeting to a director or an alternate, does not invalidate anything done at the meeting if: the failure was accidental; the director or alternate gives notice to the Company that he or she waives the notice or agrees to the thing done at the meeting; or the director or alternate attends the meeting.

Quorum

The quorum for a Board meeting is 3 directors, unless the Board otherwise decides.

In determining whether a quorum is present, the chair must count alternates.

The quorum must be present at all times during the meeting.

If there are not enough directors in office to form a quorum, the remaining directors may act only: to call a general meeting of the Company; or in an emergency.

Chair and deputy chair

The Board may elect a director as chair for any period it decides.

The Board may elect a director as deputy chair for any period it decides.

The Board may remove the chair or deputy chair.

The chair is entitled to chair each Board meeting.

If there is no chair, or if the chair is not present within 10 minutes after the time appointed for the meeting or is unable or unwilling to act, the deputy chair may chair the Board meeting. If there is no deputy chair, or if the deputy chair is not present within 10 minutes after the time appointed for the meeting or is unable or unwilling to act, the directors present must elect one of themselves to chair the meeting.

If the chair is unable or unwilling to chair a part of the meeting, the deputy chair may chair that part. If there is no deputy chair, or the deputy chair is unable or unwilling to act, the directors present must elect one of themselves to chair that part.

Decisions of Board

Subject to clause 35.2, each director has one vote.

A resolution of the Board is passed by a majority of votes cast by the directors.

The chair has a casting vote, if the chair has a personal deliberative vote.

PART 6 - DIRECTORS' POWERS

General powers

The business of the Company is managed by or under the direction of the Board.

The Board may exercise all the powers of the Company except any powers that the Corporations Law or this constitution requires the Company to exercise in general meeting.

Execution of documents

The Company may execute a document without a common seal if the document is signed by: 2 directors of the Company; or a director and a company secretary of the Company.

If the Company has a common seal, it may execute a document if the seal is fixed to the document and the fixing of the seal is witnessed by: 2 directors of the Company; or a director and a company secretary of the Company.

The Company may execute a document only if authorised by the Board or by a committee of directors (or directors and members) authorised by the Board to do so.

The Board may decide how negotiable instruments (including cheques) may be signed, drawn, accepted, endorsed or otherwise executed.

This clause does not limit the ways in which the Company may execute a document (including a deed).

Committees and delegates

The Board may delegate any of its powers (including this power to delegate) to a committee of directors or directors and members (including associate members under 18 years) or to one director.

The Board may revoke or vary that delegation.

A committee or delegate must exercise the powers delegated subject to any directions of the Board. The effect of the committee or delegate exercising a power in this way is the same as if the Board exercised it.

Part 5 of this Constitution applies with the necessary changes to meetings of a committee. However, a committee member, who is not a director, does not have a vote.

Attorneys and agents

The Board may appoint any person to be the attorney or agent of the Company for any purpose, for any period and on any terms (including as to remuneration) the Board decides.

The Board may delegate any of its powers (including the power to delegate) to an attorney or agent.

The Board may revoke or vary: the appointment; or any power delegated to the attorney or agent.

PART 7 - EXECUTIVE OFFICERS

Executive Officer

The Board may appoint a person (who may, but need not be, a director) to be the 'executive officer' of the Company for any period and on any terms (including as to remuneration) as the Board may determine.

Subject to any agreement between the Company and the executive officer, the Board may remove or dismiss the executive officer.

The Board may delegate any of their powers to the executive director and may revoke or vary any such delegation.

The executive officer must exercise the powers delegated subject to any directions of the Board. The effect of the executive officer exercising a power in this way is the same as if the Board exercised it.

Company secretary

The first company secretary of the Company is the person specified in the application for registration of the Company as company secretary.

The Board may appoint a company secretary, for any period and on any terms (including as to remuneration) the Board decides.

Subject to any agreement between the Company and the company secretary, the Board may remove or dismiss the company secretary at any time, with or without cause.

Unless the Board otherwise decides, the company secretary is the public officer of the Company.

Indemnity

To the extent permitted by the Corporations Law, the Company: must indemnify each person who is or has been an Officer of the Company against any liability incurred by the person as an Officer of the Company; may pay a premium for a contract insuring an Officer of the Company against that liability.

Subject to the Corporations Law, the Company may enter into an agreement or deed with an Officer of the Company under which the Company must do all or any of the following: keep a set of the Company's books (including minute books) and allow the Officer and the Officer's advisers access to the books for any period agreed; indemnify the Officer against any liability incurred by the Officer as an Officer; or keep the Officer insured for any period agreed in respect of any act or omission by the Officer while an Officer.

PART 8 - RECORDS

Register

The Company must keep a register of members in accordance with the Corporations Law.

Inspection

The Company must allow inspection of any register of members only as required by the Corporations Law.

Evidence of register

Unless proved incorrect, the register of members is sufficient evidence of the matters shown in the register.

Minute book

The Company must keep minute books in which it records within one month: proceedings and resolutions of meetings of the members; proceedings and resolutions of Board meetings (including meetings of a committee of directors); resolutions passed by members without a meeting; and resolutions passed by directors without a meeting.

The Company must ensure that minutes of a meeting are signed within a reasonable time after the meeting by one of the following: the chair of the meeting; or the chair of the next meeting.

The Company must ensure that minutes of the passing of a resolution without a meeting are signed by a Director within a reasonable time after the resolution is passed.

Evidence of minutes

A minute that is so recorded and signed is evidence of the proceeding, resolution or declaration to which it relates, unless the contrary is proved.

Financial records

The Company must keep the financial records required by the Corporations Law.

The financial records must be audited as required by the Corporations Law.

Inspection

Unless authorised by the Board or the Company in general meeting or the Corporations Law, a member is not entitled to inspect the Company's books.

PART 9 - NOTICES AND INTERPRETATION

In writing

Notice must be in writing and in English, and may be given by an authorised representative of the sender.

Notice to members

The Company may give notice to a member: personally; by sending it by post to the address of the member in the register of members or the alternative address (if any) nominated by the member; or by sending it to the fax number or electronic address (if any) nominated by the member.

A notice to a member is sufficient, even if the member (whether or not a joint member) is dead, mentally incapacitated, an infant, bankrupt or an externally-administered body corporate, and the Company has notice of that event.

Notice to directors

The Company may give notice to a director or alternate director:

personally;
by sending it by post to the director's or alternate director's usual residential or business address or any other address nominated by them;
by sending it to the fax or electronic address (if any) nominated by them, if all the directors have consented to the use of that technology under the Corporations Law;
if a notice calling a meeting - by sending it to the fax or electronic address (if any) nominated by the director or alternate, only if all the directors have consented to the use of that technology; or
if any other notice - by sending it to the fax or electronic address (if any) nominated by the director or alternate.

Notice to the Company

A person may give notice to the Company:

by leaving it at the Company's registered office;
by sending it by post to the Company's registered office; or
by sending it to the fax or electronic address (if any) of the Company's registered office.

Addresses outside Australia

A notice sent by post to or from a place outside Australia must be sent by air mail.

Time of service

A notice sent by post within Australia is taken to be given 1 day after posting.
A notice sent by post to or from a place outside Australia is taken to be given 2 days after posting.
A notice sent by fax, or other electronic means, is taken to be given on the day after it is sent (if the sender's transmission report shows that the whole notice was sent to the correct facsimile number or electronic address).

Interpretation

In this constitution, unless the context otherwise requires:

subject to the next clause, a word has the same meaning as it has in the Corporations Law;
singular includes plural and plural includes singular;
words of one gender include both other genders;
reference to legislation includes any amendment to it, any legislation substituted for it, and any statutory instruments issued under it and in force;
reference to a person includes a corporation, a firm and any other entity;
headings do not affect interpretation; and
the Company must not exercise any power in contravention of the Corporations Law.

Definitions

In this constitution:

ATEM means the Association for Tertiary Education Management Inc.

Board means the board of directors of the Company and may include alternate directors;

Business Day means any day except a Saturday or Sunday or other public holiday in the Australian Capital Territory;

Company means Association for Tertiary Education Management Foundation or such other name as the Company may adopt from time to time;

Officer has the same meaning as in section 9 of the Corporations Law;

Spouse of a person means that person's husband, defacto husband, wife, or defacto wife;

Transmission Event means:

- (a) if the member is an individual - death, bankruptcy, or becoming of unsound mind or becoming a person whose property is liable to be dealt with under a law about mental health; or
- (b) if the member is a body corporate - the winding up or deregistration of the member, or the succession by another body corporate to the assets and liabilities of the member.

AGREEMENT OF MEMBERS

The following person(s), being the person(s) who consented to become a member / members of the Company in the application for the Company's registration, agree to the terms of this constitution.

Dated

Name and address of person who
consented to become a member

Signature

Executive Teleconference, January 2001 - Attachment 2

Item 4.2 Strategic Plan

(Note: the Secretariat has already changed the dates throughout to eliminate 2000 and add 2005).

2001 - 2005 Summary Strategic Plan

Association for Tertiary Education Management operational targets for 2001

A TEM is the professional association of first choice for administrators and managers working in tertiary education. A TEM represents members who work in a profession that provides critical management and administrative services to institutions.

A TEM's strategic plan covers a five-year period. Each year, A TEM will pursue a defined number of targets. In 2001 - 2002, A TEM commits to the following targets.

1 Actively seek recognition for our occupation as one which has members who:

- provide essential services which add value to institutional management and to the academic enterprise;
- are committed to maintaining and improving the standard of professional practice in tertiary education management;
- have specific expertise in the management of institutions; and
- are committed to a career in tertiary education management.

2 Consolidate the position of the Association Secretariat.

3 Continue to develop an effective World Wide Web site for the Association, and ensure that the site is maintained at the standard and with the content required by members.

Objective 1

To represent the professional interests and concerns of tertiary education administrators and managers throughout Australasia.

Strategic Objectives

1 A TEM will achieve recognition of the profession of tertiary education management as central to the success of tertiary institutions, and include all who work in that occupation in its membership.

2 A TEM will be in a position where it has publicly promoted the association and its role in tertiary education, and has raised the profile of the profession of tertiary education administration and management.

3 A TEM will establish productive relationships with other key bodies representing the interests of tertiary education in Australia and New Zealand, and with the political decision-makers of both countries.

4 ATEM will develop and maintain a significant role in tertiary education administration and management within New Zealand and Australia, and in the wider international context.

5 ATEM will be recognised as a source of expert advice to its members, and to national and state authorities and the news media, on any matters relating to tertiary education administration and management in Australasia.

Objective 2

To maintain and improve the level of professional competence and practice in the field of tertiary education administration and management, and aid and advise on the professional development of its members.

Strategic Objectives

1 ATEM will hold a relevant and professional annual conference of the Association.

2 ATEM will publish a Journal of high integrity and quality for its members and other subscribers.

3 ATEM will encourage appropriate professional standards among tertiary education administrators and managers.

4 ATEM will contribute to the development of knowledge about the practice of tertiary education administration and management

5 ATEM will provide information to members on available professional development options.

6 ATEM will work with CEO's and senior management of tertiary institutions to encourage an effective staff exchange program for administrators and managers.

Objective 3

To recognise outstanding contributions to tertiary education management and administrative practices.

Strategic Objectives

1 ATEM will have a patron to help raise the professional profile of the association

2 ATEM will confer the title of fellow and honorary fellow upon worthy members.

3 ATEM will confer ATEM awards on members and other managers who have contributed substantially to the activities of the Association and/or the development of the profession.

Objective 4

ATEM will use all means possible to contain costs and increase resources in order to relieve the pressure on members' subscriptions. These include creation of a Foundation, submission for grant funding of projects, seeking sponsorships and donations in kind. With the exception of the Foundation which is an Association activity, all activities can take place at the Branch and Association level.

Objective 5

ATEM will endeavour to grow the organisation out into new regions. It will seek to expand its membership and Branch structure into Asia and the Pacific.

Conclusion

ATEM has grown out of the strong beginnings made by the Australasian Institute of Tertiary Education Administrators (AITEA), and ATEM acknowledges that heritage. During 1997/98/99, the work of developing the new directions for ATEM has been passed by the ATEM Council to a group called "ATEM 2000", which has representation from the Australian State and Territories branches, and the New Zealand branch. We look forward now to achieving all the objectives of ATEM, as outlined in this summary of the 2001 to 2005 Strategic Plan.

We also encourage contact with ATEM through the branches, and feedback on the material received. Feedback on this Strategic Plan should come to the Association Secretariat at the following address:

Giles Pickford and Peter Scardoni
Association Secretariat, PO Box 50, O'Connor ACT 2602
Telephone: 61 2 62?? 5300 Fax: 61 2 62?? 5262
E-mail: atem@dynamite.com.au

Recommendation

(a) That the plan be referred to a sub committee comprising the President and two Vice-Presidents, and the Secretariat, for appraisal and amendment so that a revision can be placed on the Council Agenda for its May meeting.

(b) that the date changes be made to the web document in January 2001.

Executive Teleconference, January 2001 - Attachment 4

The spreadsheet on the 2000 Conference Accounts will be faxed before the meeting.

Executive Teleconference, January 2001 - Attachment 5

Finance Manual

Chapter 1	Advice for Treasurers
Chapter 2	Record Keeping
Chapter 3	Cash Management
Chapter 4	Budget Principals
Chapter 5	Financial Management
Chapter 6	Reporting
Chapter 7	GST
Chapter 8	Chart of Accounts

1. Responsibilities of Treasurers

Duty of Honesty, Due Care and Diligence.

Treasurers must take great care, especially when working with a non-profit organization such as ATEM. Failure to comply with any of the legal requirements could expose them to personal liability for negligence.

Understand the specific responsibilities of the position

Anyone approached to be a treasurer should think carefully about the responsibilities and time that it will take. Apart from attending meetings, treasurers need considerable time for recording, reconciliation, reviewing, and preparing financial reports. They also have to help and advise others on accounting and financial matters. All financial policies of the Association must be full understood and adhered to.

Ensure the safe custody of all money

One of the most important responsibilities of any treasurer is to ensure the safe custody of all money. Monies received should be held securely and banked as soon as practical. All funds must be dealt with in accordance with the policies and constitution of the Association and executive decisions. The absence of sound systems and effective internal control leaves open the possibility of misappropriation of funds.

Keep the branch/organization out of financial trouble

The Association and its branches can easily get into financial trouble. Ideally the treasurer will be a qualified accountant, or have access to one

nearby, to ensure proper information on financial matters and that information produced is relevant for decision-making.

Make sure that adequate records are kept and audit trails are available for all transactions.

Proper records together with supporting documentation for audit must be kept sufficient to explain each transaction.

Be sure about the accuracy and timeliness circulated to everyone in the branch/organization

An important responsibility of the treasurer is to ensure that accurate and timely financial information is regularly circulated to everyone responsible for managing the organisation. The treasurer's report, highlighting any significant matters in the financial statements, should be circulated well in advance of meetings to allow enough time for others to digest the information.

Communicate key financial information in the best way possible

Treasurers need to present information so that it is understood by non-accountants. A whiteboard can be useful at meetings to help explain key information in agenda papers. The treasurer has a duty to explain the difference between budgeted and actual performance and between cash and accrual accounting when these or any other accounting terms are used.

Explain to the Executive and Committee members their duties and responsibilities under the constitution and laws governing ATEM.

Many committee members throughout the Association have scant knowledge of their legal obligations and even less understanding of financial responsibilities. Although they might argue that such esoteric matters are better left to the treasurer or someone else, under various laws all committee members throughout the Association including those in a part time and or honorary capacity (as is usually the case in ATEM) are expected to behave in a particular way. In recent years many new rules regarding the responsibility of committee members have been introduced and these are particularly demanding if the association is unable to pay debts when they fall due.

As the association is incorporated it is a legal requirement that properly prepared and audited financial reports are presented to the ATEM Annual General Meeting as required by the constitution, and that they are lodged with the Registrar General in the ACT within six months of the close of the financial year.

Make certain all tax regulations are complied with.

As an incorporated entity registered for Goods and Services Tax (GST), Business Activity Statements (See Chapter 7). PAYG tax would be applicable if there were any salaries paid by the Association.

Ensure that the auditor is independent and ideally external.

It is important to appoint auditors who are not members of the Association. Many auditors act in an honorary capacity for non-profit bodies such as the Association as a community service.

Review all internal control procedures annually

Procedures should be constantly reviewed to ensure best practice. If at all possible, seek a review from an unassociated but qualified person

2. Record Keeping

General

As is the case with individuals having to keep records under taxation law, all financial activities of ATEM must be recorded and supporting documents kept in safe custody for audit as required.

Treasurers have an important role to play in ensuring that basic record keeping is established and properly maintained from then on.

Accounting records are more likely to be kept on a computer. It is important to ensure that there is a fail safe backup system to ensure records are not lost through computer failure, theft, fire etc. It is standard practice to keep a duplicate set of records on backup filed in a separate location.

Principal Records (These can be [and now are usually] kept on a computer)

Cash Books

Cash books are required to record to record all cash receipts and payments. One is usually kept solely for recording cash received and another solely for cash payments. All transactions are reconciled monthly with bank statements.

General Ledger

A general Ledger records all assets and liabilities, income and expenditure.

General Journal

A general journal records one-off transactions, especially at a balance date. It is used mostly at end of year when adjustments have to be made.

Register of Members

This is available as part of the Association's web based system.

Petty Cash Book

This records small payments from petty cash for items such as pens, taxi fares etc.

Wage and Salary Records

These are required by law where a wage or salary is paid. This does not impact the Association as it undertakes all of its paid work using contractors who are responsible for their tax liabilities.

Statutory Records

These include minutes of all meetings

Asset Registers

These record details of specific major assets.

Subsidiary Records and Audit Trails

Apart from the Principal Records discussed above, the following subsidiary records and audit trails may be appropriate

Receipt Books

Receipt books for collecting all money. All money received by the Association must be recorded manually in a receipt book or in a computer listing.

Bank Deposit Book

Used to record details of cash and cheques deposited in banks. Deposit books provide a necessary audit trail for both manual and computer based systems.

Cheque Books

One of the most frequently used documents in any business as most payments are made by cheque.

Documentary Evidence

These include invoices, petty cash vouchers and receipts, payment vouchers if used. These are a necessary audit trail and must be kept for several years.

Worksheets

These are important since they explain how figures have been compiled and assumptions made. They are vital to the audit trail.

Budget Papers

These give statements on expected income and expenditures and are important in comparing actuals with estimates. They are important planning documents which help estimating in future years.

Treasurer's Report

This is a crucial document which deals with the Associations detailed financial report. It gives an overview of the Associations financial report

Cash Management

Banking

Cash and cheques should be banked as soon as possible after collection or receipt.

As a general rule, payments should not be made out of cash collected. They should always be made by cheque or petty cash.

Chance of theft is reduced by making regular deposits, even if they are small ones.

Bank Reconciliations

A monthly reconciliation should be undertaken between bank statements and the cash book. All entries on the bank statement should be matched

against the individual entries in the cash book and new entries made to record bank fees and charges, interest etc.

As mentioned in Chapter 2 (Record Keeping), these reconciliations should be kept – they should be made in writing (printed) and filed.

Cash Transactions

Cash should be kept under tight security at all times. Cash taken without receipt should be counted by two people.

Receipt Books

Under a normal system, receipts are issued from books containing carbon copies of the original. Receipts should be stamped with the Association's name and the serial numbers of new books recorded in a register.

If receipts are not issued, another system should be devised to make sure all money received is properly accounted for.

In some situations it is sometimes impractical to issue receipts e.g. a function. In these cases a supplementary system such as a list of attendees or an attendance register should be kept and payments marked off accordingly.

Regardless of the system used, the basic design should ensure that all cash received is accounted for and a proper audit trail is left.

Membership Fees

Fees received for membership should be recorded in a members' register as part of the cash book or which supplements it, and the web system data base updated accordingly. This should be done as soon as possible after the fee has been received.

Cheque and Cash Payments

As stated previously, unless there are exceptional circumstances, all payments should be made by cheque.

Cheque books should be kept securely. Cheques should always be crossed "not negotiable".

Documenting Payments

All payments must be supported by documentation sufficient to verify the payment and this documentation must be kept. The documentation can include invoices, requisition/vouchers etc.

As a general rule, payments should be made against invoices and not be made against suppliers' statements.

When a payment is made, the payment details (cheque number, date, amount paid) should be recorded on the supporting documentation. This helps to prevent duplicate payments.

Cheque Requisitions (Vouchers)

Cheque requisitions or vouchers are used when there is a claim for payment or the requirement to make a payment, and there is no invoice. They should show the date, who the payment is to, reason for the payment, amount of the payment and the approval or authority for payment. As always with supporting documentation, the payment requisition should then have the date paid and cheque number noted on it.

Remittance Advice Slips

These are prepared so that the payee is informed on what is being paid. A simple substitute process which serves this function is to attach a photocopy of the invoice(s) being paid to the cheque being mailed to the payee.

Capital Expenditure Approval

Items of equipment valued in excess of \$1000 should be recorded in an assets register. Approval to purchase these should be obtained at committee level.

Payments to Executive/Committee members

Payments for any honoraria, travel or accommodation etc. to committee members should always be approved at committee level to ensure there is no conflict of interest.

Petty Cash

A petty cash float can be maintained for small payments. It is to work on an imprest system basis and reimbursed against documented expenses. Payments should be supported by what ever evidence is available or a supporting voucher written. This evidence must be attached to the imprest reimbursement payment and kept as part of the audit trail.

4. Budget Principles

1. All funds including Council, Branches and the Journal belong to the Association.

2. Council will receive consolidated financial reports at each of its meetings, which include all Association funds.
3. Rolling three year budgets are to be provided to the Treasurer in July of each year, for the next three years 1 May 30 April in order that the financial well-being of the Association is monitored and to assist in establishing the annual subscription.

Note: If the Treasurer has serious concerns with respect to any proposed budget, he/she will discuss the concerns with the Branch Treasurer or Journal Business Manager.

4. The Association consolidated budget will be presented to the Council meeting prior to the Association conference and submitted to the AGM for approval.
5. All approved budgets are subject to the financial provisions of the Association Constitution.
6. Association costs will be recovered on the basis of a per capita payment based on Branch membership as at 30 June the previous year. The Association will initially receive \$50 per member with the balance remitted to the appropriate Branch. The Association budget will be reviewed at the September Council meeting and adjustments to the levy made depending on the level of subscriptions received and the success of other fund raising opportunities. If income falls below that required from the per capita payment Branches may be asked to make a contribution from their reserves. If income is greater than that required, branches will receive a payment pro-rata to actual paid membership.
7. The annual subscription is to be set at the AGM on the recommendation of Council.
8. All subscriptions will be collected through the Secretariat or branches on a timely basis.
9. If Branches make special contributions/loans to the Association, such contributions/loans should be recognised within the Association accounts. Such contributions are for the achievement of the Association's objectives.
10. Association members are to be charged a member only rate (discounted) for all Association or Branch events where such events are open to non-members.
11. The strength and development of the Association depends on the activities of Branches and therefore there needs to be adequate incentives and recognition for the work of the branches.

12. To remain financially viable, the Association's consolidated funds should not fall below a prescribed level, recommended \$150,000.

5. Financial Management

General

Financial management simplistically is managing money. It requires a constant overview of cash coming in and going out. It involves the careful monitoring of budgets against actual results.

Keeping out of trouble

As stated in Chapter 1, the Association and its branches can easily get into financial trouble. Ideally the treasurer will be a qualified accountant, or have access to one nearby, to ensure proper information on financial matters and that information produced is relevant for decision-making. There needs to be constant surveillance to ensure that income received is not under budget or that expenses are not over budget. Immediately either of these occur the treasurer must bring it to the attention of the committee and decisions taken on how any shortfalls are to be met.

Resolving Problems

Losses, shortfalls or overruns must be stemmed immediately. This, on occasions, can lead to canceling planned events or scaling down some activities. If timely and reliable advice is not given promptly the problem will only worsen.

Understanding Money

Treasurers must be aware of all forms of "money" including cash at bank or on deposit, funds advanced by creditors for good bought on credit, money owed to the Association and commitments for general operations and for all overheads which will result in expenditure being incurred at a later time. The accounting and budgeting system must record and account for all of these.

Time Frames

The financial year for the Association is 1 May to 30 April the following year. Budgets are to be prepared on this basis, and balance sheets and operating statements prepared so that comparisons can be made the end of each period.

Cash and Accrual Accounting

Cash accounting records only cash received and payments made. Accrual accounting records all financial commitments of the Association and money owed to the Association. ATEM operates on a mix of cash and accrual accounting.

Double Entry Principle

This term is fundamental to the accounting process.

Every transaction has two entries in a ledger – one on the debit (left) side and one on the credit (right) side.

e.g. the purchase of a ream of paper requires a debit to stationery to record the purchase and a credit to the bank to reflect the payment. The stationery account goes up by the amount of the purchase and the bank balance comes down.

Capital and Operating Income and Expenditure

A distinction between capital and operating income and expenditures must be made at the time a transaction takes place.

Operating income and expenditures relate to things attributed to carrying on the affairs of ATEM (printing, stationery, telephones, scholarships and awards, web expenses, conference expenses etc).

Capital income and expenditures include things such as land, buildings, motor vehicles and equipment – the useful life of which extends beyond a year and has a value in excess of \$1000. These are assets which must be listed and depreciated at an appropriate rate.

Depreciation/Appreciation

There are a number of methods of calculating depreciation and appreciation. The purpose of depreciation and appreciation is to reflect the true value of an asset on the balance sheet. Some assets depreciate over 3 – 5 years while others grow in value.

Assets must be shown at their current value on the balance sheet.

Depreciation over the year shows as an expense in the operating statement whereas appreciation shows under income in the operating statement.

List (Chart) of Accounts

So that there is consistency in reporting branches are to operate their records using the ATEM Chart of Accounts (See Chapter 8).

6. Reporting

General

The financial year for the Association is 1 May to 30 April the following year. Budgets are to be prepared on this basis, and operating statements and balance sheets prepared so that comparisons can be made the end of each period. For monthly/ periodic committee meetings treasurers are to prepare income and expenditure statements listing monies received and expenditures made during the month/period, progress to date and the impact of those on the budget in the form of a progress budget report.

Business Activity Statements (see Chapter 7) are to be prepared to meet quarterly deadlines.

Branch Reporting

As stated, for each committee meeting, treasurers are to prepare income and expenditure statements listing monies received and expenditures made during the month/period, progress to date and the impact of those on the budget in the form of a progress budget report.

Income and expenditure reports should highlight totals of all expenditures made all monies received as well as showing the detail of those expenditures and monies received.

Progress budget reports should highlight performance by comparing actual income and expenditure against budget, prorated for the period of the financial year elapsed. The report must highlight and explain variations, overruns and shortfalls to actuals so that budget revisions under the ATEM Budget principles (See Chapter 4) can be approved at the committee meeting.

Annual Reporting

As stated previously, as an incorporated Body, ATEM is legally bound by its constitution and by law to submit annual reports covering its activities. Branches are required to submit audited operating statements and balance sheets to their Annual General Meetings (AGMs). These are then consolidated with Council's operating statement and balance sheet and together with Council's operating statement and balance sheet all of which are audited submitted to the ATEM AGM in September each year. After adoption at the AGM they are then lodged with the registrar of Companies in the ACT by the due date.

Report Format and Samples.

ATEM operating statements and balance sheets are to be submitted in a standard format so that they can be properly and consistently consolidated using the ATEM Chart of Accounts. (See Chapter 8)

Formats of standard reports are attached.

7. Goods and Services Tax

Overview

As an incorporated body the Association of Tertiary Management falls under the provisions of the GST Legislation as they apply to not for profit associations.

ATEM Inc. is registered for the GST with the Australian Tax Office (ATO) to operate on a cash accounting basis. Its Australian Business number (ABN) is 72 682 233 729. It operates under the Grouping arrangement. Hence all Australian branches are covered for Australian GST purposes. All reporting to the ATO is done on a consolidated basis through the National Secretariat.

There is no GST payable on the transfer of funds between branches and the Australian GST does not apply to the New Zealand Branch.

With incorporation and GST registration, ATEM is required to keep proper records that accord to the Associations Incorporation Act (ACT) and meet the requirements of the ATO.

It is required to annually submit audited consolidated statements to the ACT Companies Office and top submit quarterly Business Activity Statements (BAS) to the ATO.

The GST and some GST Terms

The GST is a broad-based tax of 10% on the supply of most goods and services consumed in Australia. ATEM, as a GST registered body, must charge GST on its taxable supplies and will be entitled to input tax credits on the GST it has paid on purchases to make those supplies.

Goods and Services

The GST is intentionally very broad in its coverage. It is intended to capture all forms of domestic consumption. Most of the activities of ATEM include the supply of some good or service. Membership and professional development are clear services provided by ATEM.

Input Tax Credits

Enterprises (ATEM) can claim back from the ATO the GST that is included in the price of Goods and Services they acquire for the purpose of making taxable supplies and GST-free supplies. These are called *input tax credits*.

There are four types of supply:

1. Taxable Supplies

A taxable supply in broad terms includes all supplies of goods and services which involve consideration. A taxable supply specifically excludes supplies that are GST-free and supplies that are input taxed.

For the supply of goods and services to be taxable it must be connected with Australia. This means that, generally, anything done or made in Australia will be subject to the GST where as exports are generally GST free.

Summary

- Charge GST on services
- Claim full input tax credits for GST paid

2. GST-free Supplies

GST is not charged, or payable to the ATO, on GST supplies.

The major categories of GST-free supplies are:

- Food
- Medical or other services
- Residential or community care
- Private health insurance
- Education services (not professional development)
- Child care
- Exports
- Religious services
- Farm land
- Supplies through inward duty free shops
- Supplies of precious metals Sales of going concerns.

These are general headings and not all supplies falling into these categories will be GST free.

Although input tax credits can be claimed on supplies acquired to make GST-free supplies, ATEM is unlikely to deliver GST-free supplies.

Summary

- No GST charged on sales
- Claim full input tax credits for GST paid

3. Input Taxed Supplies

The major categories of input taxed supplies are:

- Residential rents
- Financial services

Summary

- No GST charged on sales
- No input tax credits for GST paid

4. Supplies by non-registered persons

- There is no GST on supplies they make
- They may not claim input credits

Summary

- No GST on supplies they make
- May not claim input tax credits

Tax Invoice

Tax Invoices are one of the most important source documents for accounting records. GST included in goods and services acquired by ATEM cannot be claimed unless a valid tax invoice is held for items costing more than \$50 (before GST). For items costing less than \$50 a suitable receipt only needs to be held.

Tax invoices for more than \$50 and less than \$1000 (before GST) must contain the words *Tax Invoice* and show:

- The suppliers name, address and ABN
- The date the invoice was issued
- A description of the goods and/ services supplied
- The GST inclusive price of the taxable supply

And if the GST amount payable is *not* 1/11th of the total price either

- The amount payable for the supply
- The GST amount

Tax invoices over \$1000 (before GST) must show:

- The name of the recipient
- The address or ABN of the recipient
- The quantities of the goods supplied

Tax invoices with both taxable and non-taxable supplies must show:

- Each taxable supply
- The GST payable on taxable supplies
- The total amount payable for the supply

Tax invoices (and receipts) must be carefully filed and held.

Business Activity Statements

ATEM operates under the Grouping Arrangement on a cash basis and submits one quarterly BAS report. It will be prepared by the Secretariat on behalf of the Treasurer for submission.

The GST quarters are fixed as follows:

<u>Period</u>	<u>Date Due By</u>
1 January to 31 March	21 April
1 April to 30 June	21 July
1 July to 30 Sept	21 October
1 October to 31 December	21 January

Branches are required to record the following information and forward a **summary** of it to the Secretariat so that the quarterly statement can be prepared by the due date.

Information to be recorded for expenses:

- Payments with GST included: Date / Detail/ Tax invoice held (y or n/a) /Gross amount/ GST paid/ net paid.
 - Details of non deductibles (e.g. entertainment)
 - Details of GST free payments (food etc)
 - Details of purchases from non registered suppliers or input taxed (bank fees interest etc)
-

- Details of other payments excluded from the GST portion of the BAS (e.g. any wages paid by branches)

Information to be recorded in respect of receipts/income:

- Details of Receipts with GST included: Date/Detail / Gross amount received/GST net received.
- Any supplies made (income received) which is GST free or input taxed
- Any other receipts excluded from the GST portion of the BAS.

The records must include, along with membership fees, all receipts and payments to do with Conferences or professional development activities or any other activity involving any financial activity carried on within Branches.

ATEM will cover GST net payments (i.e. GST to be paid less GST being claimed back) from the ATEM Council account and if these not paid periodically by branches, equalise this at the end of the year in the calculation of next year's Capitation amount.

A sample of records to be kept will be attached

Executive Teleconference, January 2001 - Attachment 6

Item 8.1 ATEM Journal Guidelines

1 Background

ATEM has always published a Journal. It aims to be useful to practitioners as well as being a scholarly Journal. It has an international readership and attracts articles from international contributors. It is a refereed Journal. The recent members survey confirmed that members want the Association to continue to publish a scholarly journal. This document outlines the current arrangements associated with editorship, operation and publication of the Journal. It is intended to provide Council members, both existing and new, with information about the Journal and its operations.

2 Editors and Editorial Board

Council approves the appointment of editors for a renewable term of office of three years. The nature of this volunteer assignment means that co-editors are usually appointed. The division of duties between co-editors is decided by the incumbents.

An agreement detailing responsibilities of both ATEM and the Journal is signed by the ATEM President and the Journal editors each time the term of office of the editors commences or is renewed.

The Editorial Board is appointed by the editors, with advice to Council for noting. The Editorial Board is reviewed by the Editors at least annually.

Editors receive an annual honorarium of \$500 each per issue. This honorarium is reviewed annually as part of the annual budget cycle.

At least one editor attends the September Council meeting to provide a report on the Journal's activities. An editor will be invited to any Council Meeting which includes the Journal in its agenda.

The editors are responsible for negotiating renewals of the publishing contract with Carfax, with Council approving those negotiations before a new contract is signed.

3 Business Manager

The Journal's Business Manager is appointed by the Council for a renewal term of office of three years.

The Business Manager is responsible for maintaining the Journal's accounts, including ensuring those accounts are audited annually according to the schedule set by the ATEM Treasurer, payment of invoices, and provision of a financial statements annually to the appropriate Council meeting. The Business Manager is also the first point of contact with Carfax for logistical arrangements with the Journal distribution.

4 Reporting to Council

A report on the Journal's activities and a report on finances is provided to each Council meeting. A report on current subscriptions is also included in this report. An annual financial statement and accounts are provided at the appropriate Council meeting.

5 Journal Distribution

The ATEM Secretariat provides Carfax with address labels for distribution of each issue of the Journal. The Secretariat and Business Manager also negotiate appropriate fee-for-service distribution support such as distribution of miscellaneous copies to new ATEM members, and maintaining mailing details for recipients of complimentary copies of the Journal. Such arrangements are reported to Council as part of its regular reporting.

6 Other Activities

From time to time, the editors the Journal may organise related activities, such as Writers Workshops. These workshops are intended to provide novice authors with advice and guidelines on how to prepare an article for publication in a scholarly journal. The workshops are usually held in conjunction with the Annual Conference.

7 Feedback

Feedback from members about the Journal is obtained from regular surveys of members undertaken by ATEM.

RECOMMENDATION

that the policy be approved and posted on the web site.

Executive Teleconference, January 2001 - Attachment 7

Item 8.2 Contract with Carfax

The Publishing Agreement, signed first in 1995 by ATEM President Arthur Hunt, is set out below.

Amendments to the Agreement, signed by Journal Editor Helen Sjoman in October 1999 for implementation in 2001, are included in bold script.

....

It is hereby agreed between the Association for Tertiary Education Management situated at University House, Australian National University (hereinafter called the 'Association') and Taylor and Francis Pty Ltd, trading as Carfax Publishing, whose registered office is at Abingdon Science Park, Barton Lane, Abingdon, Oxfordshire OX14 3UE, United Kingdom (hereinafter called the 'Publisher') to publish the Journal *Journal of Higher Education Policy and Management* (or such other title as shall be agreed) under the following terms and conditions.

- 1 The Journal shall be called *Journal of Higher Education Policy and Management* (hereinafter called the 'Journal') and shall be published by Taylor and Francis Pty Ltd under their imprint of Carfax Publishing, on behalf of the Association which shall appoint an Editor or Editors.
2. Copyright in the title and content of the Journal shall remain the property of the Association. The copyright notice to be printed in each issue of the Journal shall read: 'Published on behalf of the Association for Tertiary Education Management by Carfax Publishing Company. ? © Association for Tertiary Education Management, year of publication'.
3. The appointment of the Editorial Board, Editorial Consultants and the editing and editorial policy of the Journal shall be the sole responsibility of the Editors and the Association.
4. The Editors will provide fully edited articles on disc to the Publisher. The Publisher shall be responsible for all costs involved in the makeup, printing, publication, promotion distribution storage and sale of the Journal.

All income from the sale of the Journal shall be retained by and belong to the Publisher. The Association grants to the Publisher exclusive publishing rights in the Journal by way of licence for the duration of this agreement in printed volume form and the Publisher may publish the same in other media including but not limited to microfiche, CD-ROM, on-line electronic networks, electronic or paper-based document delivery services and other suitable media for publication of the Journal, and including the exclusive right to license third party specialist publishers and organisations to exercise all or any of such rights, provided that the copyright of the Association and the rights of the authors of works published therein are fully acknowledged and provided for in such licenses.

5 Any Financial losses incurred by the Publisher in the makeup, printing, promotion, distribution, storage and sale of the Journal shall be borne solely by the Publisher, and the Association shall not be liable in part or in whole for such losses.

All costs involved in storing and retrieving information relating to subscribers, and invoicing and collecting subscriptions (other than from members of the Association, shall be borne solely by the Publisher.

6 The back stock of the Journal will become the property of the Publisher who will be responsible for the cost of carriage to the publisher's warehouse.

7 The Editors will not knowingly provide the Publisher with material to publish which is a violation of existing copyright or which contains anything of libellous, scandalous or defamatory nature.

8 (a) Publication by Carfax Publishing Company will commence early in 1996 with Volume 18 no.1. The Editors will provide the Publisher with sufficient material to print not less than 80 pages and not more than 112 pages in each of two issues which shall comprise each annual volume. The Journal will be published in the format and to the standard normally used by the Publisher, and will be designed by the Publisher after consultation in all such matters with the Editors.

(b) For a volume of two issues the Publisher shall charge the Association \$13 per annum per member for copies sent to members of the Association **by the Publisher and the charge shall remain at that level for the duration of the new term of the agreement.**

(c) Any change in the frequency of publication shall be made on recommendation of the Editors and with the agreement of the Association and the Publisher.

9 The Association will provide to the Publisher a complete list of current subscribers' names and addresses, together with those of any previous subscribers it may have recorded. The Editors will assist in all reasonable ways to furnish the Publisher with the names and addresses of potential subscribers.

The Publisher undertakes to keep the Editors regularly informed of new subscribers to the Journal, the overall geographic distribution and the quantity in total of subscriptions.

It is the Publisher's normal policy to supply the Editors of all its journals with a monthly computer listing of all new subscribers during the month and a further geographic breakdown of all subscribers.

10 The Publisher agrees to supply free of charge and reasonable quantity of each issue of the Journal to the Editors. The Publisher will also distribute free of charge copies of all issues to the Editorial Board. The Publisher further agrees to provide a suitable supply of letterheads designed specifically for the Journal that may be used to conduct the normal business of the Journal.

11 Contributors to the Journal shall receive 50 offprints of their papers, to be shared equally if there is more than one author to the article. Contributors may also purchase further copies from the Publisher.

12 The Association undertakes to ensure that the Editors collect and edit material for the Journal to the best of their ability, to deliver discs of edited articles and ensure correction of proofs promptly, and to ensure that all material published is of a suitable standard. The Association and the Editors are responsible for the expenses involved in the collection and editing of manuscripts, meeting expenses and in the general editorial procedure and business of the Journal.

13 The Publisher agrees to pay editorial expenses of \$4,000 annually in advance on the first day of January 1996 and on the first day of January each year thereafter towards the editorial, postage and other costs of the Journal. **Editorial expenses paid by the Publisher to the Association will increase to \$5,000 in 2001.** (previously \$4,000) **Thereafter that amount will increase by \$200 to a total of \$6,000 by the year 2006.**

14 From the time that overseas institutional subscriptions (i.e. outside Australia and new Zealand) reach **130** in number (previously 150), the Publisher shall make a royalty payment annually in advance of 15% of the Journal's total net income to the Association. The income would include subscription income Less agents' charges), single copy and back issues sales, earnings from CD ROM publishing activities, document delivery services, copyright fees and other media sales, but excluding sales of members copies.

15 If any difference shall arise between the Association and the Publisher touching the meaning of this agreement, or the rights and liabilities of the parties thereto, the same shall be referred to the arbitration of two persons (one to be named by the Association and the other by the Publisher) or their mutually agreed umpire in accordance with the provisions of the U.K. Arbitration Act 1950 or any amending statute for the time being in force.

16 All amounts expressed herein are in Australian Dollars.

17 **The term of the agreement will be for a period of five years starting from 1 January 2001** and thereafter on a year by year basis always providing that it shall at no

time be terminated unless one of the parties to the agreement shall have given at least twelve months notice in writing **to the other party.**

Recommendation

That the terms of the renewed contract be approved in retrospect and the amounts be budgeted for in future budgets to 2006.

Executive Teleconference, January 2001 - Attachment 8

Item 8.4 Foresight

Abstract

Universities are undergoing a process of transformation as their purpose, their relevance and the way their work is carried out is challenged. The core values and traditions of universities are often viewed as being under attack from commercial and managerial imperatives which are forcing committed academics and administrators to sell their souls to survive. How the, might the university look in the future?

Foresight is a process which allows people in an organisation to develop a coherent view of their future and to imagine, explore and assess a range of possible futures. It is not about prediction, but is about identifying important signposts and drivers which will inform decision making today. Foresight is used extensively by both businesses and governments across the world including the United Kingdom, New Zealand, Japan, Germany and Australia. In education, foresight is manifested in academic programs in futures studies and in scenario planning. Thinking about the future is not new – we all do it to some degree already. Foresight seeks to tap into these existing capabilities to inform organisational planning and to use the outcomes in organisationally useful ways.

This paper will report on how foresight is being introduced into the planning processes at Swinburne University of Technology, initially by the use of scenarios developed by the Foresight Network, a group of staff self-selected from across the University. A parallel process to raise awareness about foresight, its purpose, its benefits and how it might be implemented on a broader scale throughout the institution has also begun. The paper will provide information about the process, the results to date and, perhaps most importantly, the challenges and surprises encountered in introducing an approach which sounds a bit too much like crystal ball gazing.

Introduction

It is difficult to imagine working in a university which doesn't have a strategic plan. Yet, it is really only since the then Federal Minister for Education, John Dawkins, began his program of reform of the higher education sector in Australia in 1989, that strategic planning became part of the landscape. In the 11 years or so since 1989 when those

reforms began, strategic planning in universities has become a critical function which supports a new professional grouping of planners and institutional researchers.

But, universities are not businesses, and the planning techniques and performance indicators used in business cannot be simply transplanted into universities. The words can be written, but the plans themselves are likely to stay on the shelves, meaning little to most staff who work in the organisation. In the same way that the integration of formal quality systems into higher education required considerable customisation for individual institutions, so too does planning need some consideration of contexts and processes.

In an Evaluations and Investigations Report published by the Department of Education, Training and Youth Affairs in 1999, the authors (Anderson, Johnson and Milligan) state their characteristics of a good strategic plan:

"Good planning requires an understanding of the context in which the university operates, a good management information system within the university; the participation and support of as many of the university's staff as possible; and close links to the budget process within the university.

The plan should present a clear vision the mission and goals of the university and the major steps by which it proposes to reach its goals. It should specify precise and usually quantified targets and timelines and nominate the officers or sections of the university responsible for reaching these. It should contain mechanisms for funding progress towards the targets, and mechanisms for monitoring and evaluating this progress."

The word "future", although it might be implied, is not mentioned. Yet, if a university does not have a clear picture of the future it wishes to pursue in the long-term, its planning may well be ineffective, no matter how many of these 'good' characteristics it embodies.

What is Foresight?

Foresight, or perhaps more appropriately, "strategic foresight" (Slaughter, 1999) is the ability to create and maintain a high-quality, coherent and functional forward view and to use the insights in organisationally useful ways, for example, to:

- detect adverse conditions;
- guide policy;
- shape strategy; and
- explore new markets, products and services.

Foresight is simply a structured way of thinking about the future and planning for it (Office of Science and Technology, UK, 1998). It holds insights into what the future might hold, and helps identify opportunities and threats. The long-term framework used in foresight enables organisations to detect and avoid problems before they occur.

Why Do Foresight?

Strategic planning tends to focus on the short-term. Triennial or five year plans are the norm. Without a framework with which to view the future, incorporating a long-term perspective into planning is problematic. Foresight provides that framework.

Why bother with the long-term? As Ratcliffe (1999) suggests: "all our knowledge is about the past, whilst all our decisions are about the future." Foresight provides a way of shifting our thinking about planning from short-term to long-term, and of providing information about what the future might look like to support short-term planning.

Foresight is not a fad, but is a proven way to re-orient thinking and strategy development to be based on a more long-term perspective. Foresight provides a way for the common approach of "we can't think more than one year out because everything changes so quickly" to be translated into "let's look 20 years out, and then bring it back to today". It provides a 'big picture' framework for carrying out planning on a day-to-day basis.

Existing Foresight Programs

Foresight is not new. As early as 1901, HG Wells was calling for universities to appoint "Professors of Foresight". Foresight has been used in government programs since the 1960s. The UK Government has an extensive foresight program which is in its second stage (web site: www.foresight.gov.uk). The New Zealand Government also uses foresight in its science and technology planning (web site: www.morst.govt.nz/foresight/front.html) as do Japan, Germany, France and the USA.

Other foresight programs include those operated by:

US Army Environmental Policy Institute
Millennium Project
National Institute of Science and Technology Policy, Japan
Fraunhofer Institute for Systems and Innovation Research, Germany
Royal Dutch Shell, Netherlands
Central Planning Bureau, Netherlands
OECD
European Union Frameworks Program
European Planning Commission
French Ministry for Higher Education and Research
Scottish Enterprise Institute
Interdepartmental Committee for Futures, Canada
World Bank – Environmental Foresighting Project
Japanese Futures Society

Implementing Foresight

Implementing foresight in an organisation which already has a planning capacity can occur by upgrading existing planning capacity, creating a new team, buying in external expertise, or using a combination of these methods. Slaughter (1999) describes five layers of foresight through which foresight implementation progresses:

- 1 recognition of innate human capacity: every individual has the capacity for foresight;
- 2 foresight concepts: using foresight concepts and ideas to generate a futures discourse;
- 3 foresight methodologies: use of key methods to make foresight "real";
- 4 organisational niches: permanent, purpose built areas to focus foresight; and
- 5 foresight at the social level: where long-term thinking becomes the norm.

Most of us operate at level 1; it is only when exposed to the concepts of foresight that we can begin to immerse ourselves in the futures discourse which is a precursor for the remaining three steps.

The Battelle Institute of Seattle (web site: www.seattle.battelle) produced a report on "Foresighting Around the World" in which they looked at ten foresight programs. The 'best practice' features of these programs were:

- they began with a perceived need to prepare for future challenges;
- have champions during start up;
- prove responsive to client needs;
- involve relevant participants in the process; and
- experience a legitimising process.

Using Slaughter's framework and the insights gained by Battelle, we made the first moves to implement foresight at Swinburne.

The Swinburne Experience

Foresight on its own is ineffective; it needs to be implemented as part of a broader planning process which incorporates the more familiar plans, performance indicators and annual reporting. This paper focuses on implementing foresight at Swinburne rather than a discussion about all parts of the University Planning Framework. Strategies used to integrate foresight into that Framework are included in relevant sections of the paper.

A Personal Perspective: Why Me?

In early 1999, the Vice-Chancellor told me that my then position in the Higher Education Division as Manager of Planning and Resources would be eliminated in a restructure of information management functions in the University. But... I could have a new job in the Chancellery to coordinate planning for the University. And, oh yes, we want to do foresight, he said.

My immediate thought was "what on earth is foresight"; I had never heard of the term in a planning context before. My brief was to integrate foresight into the University's

planning processes, along with carrying out a review of those processes to shift the focus from paper to people, and from compliance to action. I spent the next few months trying to work out what foresight was, and how it could be used. I discovered a whole new world of foresight, and the appointment of a Professor of Foresight at Swinburne in late 1999 gave me a source on on-site expertise.

The more I did on foresight, the more excited I became. Integrating foresight at Swinburne will be a real challenge, but it promises to be something that could make a difference to its future. I quickly realised that it was a long term exercise, and my first timeline for implementation spread over 15 years. Thinking in terms of 15-20 years requires a very different mind-set to thinking about triennial plans, and for me the necessary mind-shift has been one of the most positive benefits of my involvement in foresight.

I have been at Swinburne for 10 years now; my current role is my fourth and my most challenging. I contemplated leaving in the past year or so as 10 years is the longest I've been at any institution and I didn't want to get 'stale'. The potential impact of foresight and the intellectual stimulation it provides, however, has convinced me to stay for a bit longer.

An Integrated Framework

In Slaughter's framework, Swinburne decided to upgrade an existing capacity, but with new people involved. The University Planning Framework was developed during 1999 and included the following "components":

foresight;
planning;
reporting;
resource allocation; and
quality.

The Framework is nothing new in terms of strategic planning, with the exception of foresight. The Framework also operates at the University level, since each Division already has existing planning processes, some developed more than others. The conglomerate structure of Swinburne means that each Division is relatively independent of the other, and while interaction across curriculum, administration and governance occurs, it has been difficult to see where the common ground is. The Planning Framework provides a way of linking those existing divisional planning processes and creating a 'one Swinburne' view of the world.

For the first time in its history, Swinburne held a University-wide Planning Conference in early August 2000. This was the first opportunity for staff from all areas of the University to hear the University's future discussed and developed. For many staff, it was the first time they had met colleagues from other Divisions. An evaluation of the conference indicated that its benefits were two-fold: expansion of networks and clearer

understanding of the work of different divisions; and a developing shared view of the future of the University.

One of the elements emerging from the work being undertaken to implement the Framework is the language we use internally to describe ourselves. Swinburne now has two campuses in Thailand and Malaysia, but the two overseas divisions were rarely seen or heard from in terms of planning for the University. Over the past year, diagrams, presentations and documents have all referred to Swinburne Australia, Swinburne Thailand and Swinburne Sarawak in an attempt to convey, in an overt way, the scope of Swinburne's activities. Participation by the overseas divisions in future planning conferences will also occur.

Awareness Raising

One of the first things we did early in 2000 was to hold a seminar for senior managers on foresight – what it was, and how it might be used at Swinburne. This seminar was met with some scepticism and some criticism about the presentation itself. Comments such as "we think about the future already", "I'm insulted that you think we don't already consider these factors in our planning" were made after the seminar; these comments were expected, and we kept moving.

It is planned to hold "Foresight 101" seminars on a regular basis to introduce staff on all campuses to the concept and outcomes of the work undertaken to date.

Scenarios

Why scenarios? There are many foresight methodologies, but scenarios have been in use for some time, and there is a well developed and structured process for creating and using scenarios. Reasons for choosing scenario methodology are as follows (GBN Australia, Learning Scenario Planning):

- 1 because the future is not predictable;
- 2 to sensitise decision makers to unwelcome or subtle changes in the environment;
- 3 because econometric models cannot accommodate sharp discontinuities;
- 4 to provide a common vocabulary;
- 5 because stories make for effective communication; and
- 6 to encourage strategic conversation from scenario contexts.

Scenarios provide the scaffolding within which a strategic conversation can occur. They create plausible alternative futures, but they also provide opportunities for organisations to experiment with how that organisation might operate under the different conditions identified in the scenarios.

Swinburne chose the backcasting method of scenario development where we projected futures 20 years out and then worked backwards to today to identify the variables and events which might interact to cause those futures to eventuate. The alternative method is

to start with present trends and to project their likely evolution and then create scenarios of possible futures.

Our first go at developing scenarios has resulted in four Swinburne Scenarios which were published in a document entitled Swinburne Horizon 20:

global village

Clicks and Mortar Global Alliance Inc

face-to-face on-line

content content

delivery delivery

Going, Going, Gone Triumph of Community

return to community

These scenarios are fairly simplistic and suffer from being based on two drivers – technology and globalisation – which are two interrelated. The worlds that are created are then too close to reality to trigger the sort of mind-shift and strategic conversation about the future. Nevertheless, they are a start and have illustrated the potential of the method.

These scenarios were presented to a Council Planning Workshop to provide members with an idea of the work we were undertaking and how it might be used in future planning activities. The Horizon 20 paper includes details about the process and the environmental scanning undertaken to allow us to select the drivers to develop the scenarios.

Statement of Direction

In addition to the Swinburne Horizon 20 paper, the University is in the process of finalising a Statement of Direction 2020. This is a one page document which attempts to describe the sort of institution we want to be in 20 years time. It was developed by three senior staff (all general staff) and then considered by the Swinburne Management Group. A series of revisions followed, and the Statement was then circulated to the Swinburne community for comment. At the same time, the Statement was considered by the formal committee structure. A revised version went to the University Planning Conference, updated following that activity, and presented to the Council at its August meeting. It is a Statement which will require some more work, and it might continue to change over the next year or so, but we are closer to putting on paper a shared view of Swinburne's future.

Environmental Scanning

Scenarios cannot be developed without information about the current internal and external environments. One of the first tasks was to develop the beginnings of an external environmental scanning function. Initially, that meant searching for anything we thought was relevant, using our existing knowledge base as the starting point. We then went further as we found more challenging information and data. We published the University Planning Context, and have recently published the first "Foresight Bulletin" which will bring some of the more futures orientated information to the Swinburne community.

We are also developing an integrated knowledge base for Swinburne. This will bring together the outcomes of our routine reporting processes (such as student surveys) and the futures oriented scanning information. We will make this knowledge base available to the Swinburne community via our data warehouse. This step is still in the planning stages, and we are currently looking at how we can use technology to store and filter the seemingly endless amount of information out there.

To support the external scan, an internal scan was done by using internal interviews. These interviews are conducted with senior managers and are structured way of providing information needed for scenario development. For our first exercise, a total of 18 staff from the Vice-Chancellor to Heads of School were interviewed one-on-one over a period of about four weeks. One of the surprising outcomes of this process was the consistency with which senior managers viewed good and bad futures for Swinburne, along with similarities of concerns about key issues and problems. It became clear after this process that we had a remarkable degree of agreement about our future, and what needed to be done to get there. It was also clear, however, that there were a number of issues in the present which needed to be addressed first, and we are trying to tackle these issues progressively.

Foresight Network

The Foresight Network is a group of self-selected staff from across the University. Expressions of interest in becoming a member of the Network went out in late 1999; staff wanting to participate had to discuss their nomination with their line manager, who had to sign the nomination form indicating their support. We had some 38 requests for information and 23 nominations. Twelve staff were selected. They are not strictly representative of organisational units since we wanted staff who were keen to participate, not who had been appointed to keep sectional interests in mind. We did aim for representatives from each teaching division and corporate services and a balance of male/female and academic/administrative staff. We asked for staff who had the following characteristics:

- desire to work positively to develop a meaningful planning system for Swinburne;
- openness to having their worldview challenged;
- tolerance for ambiguity and change;

- imagination and the ability to think "outside the box"; and ability to work productively within a group.

The Network participated in the first scenario planning workshop, and one of the surprises was a comment made by one of the Network members after that workshop when he told senior managers that "we've had an experience over the past two days which I can't describe because you haven't been through it..." That comment alone made the two days worth it.

Expert Groups

We already have a number of "specialist" groups within Swinburne which have an interest in the University's strategic directions. We are planning to incorporate these groups into the foresight and planning process, but seeking input and feedback from them at appropriate times, and using their membership to provide expert advice. In time, these groups will also include selected external groups and external members of the Swinburne Council.

Australian Foresight Institute

The Australian Foresight Institute was established just after the Foresight and Planning Unit. It is the first such institute of its kind in a university, and Swinburne also has the first Professor of Foresight. The Institute will offer postgraduate programs in strategic foresight and will provide consulting services to industry. The Institute and the Unit share more than a term in their titles. We share a common purpose to make foresight 'happen' at Swinburne, and the establishment of both entities reflects the Vice-Chancellor's commitment to foresight.

Our formal relationship with the Institute will develop initially around the environmental scanning function, and we will share information between the two units to save unnecessary duplication and to "check" interpretations and analysis. I am also on the Institute's course advisory committee, and we will explore other ways of developing our relationship over time.

A Strategic Conversation...

All of this activity has as one of its primary aims to trigger and support an ongoing strategic conversation about Swinburne's future. It is about making a mind-shift to a situation where long-term thinking becomes the norm. It is a long-term task in itself, and we are conscious of the need to move carefully in order to introduce foresight successfully, and to make it a 'mainstream' planning activity.

Lessons Learned and Surprises So Far

1 A trigger to force the change to foresight is useful. At Swinburne, that trigger was a general understanding the University's development was outstripping its

planning and other administrative processes. The University was expanding internationally and most people agreed that we had to change the way we did things in a number of areas.

2 Language, as always, is critical. The initial jokes have died down, although it took some time for me to be able to announce my position title in public! We had two language issues – one with the language of foresight itself, and the second with presenting foresight in ways which were meaningful to the divisions at Swinburne, all of which have distinct missions, markets and cultures. The term ‘foresight’ has entered the vocabulary at Swinburne surprisingly quickly, however, and people are waiting to see what emerges in the future.

3 Support from the Vice-Chancellor is critical. Foresight is not something that can be ignored; some attention must be paid to it at Swinburne. Without the Vice-Chancellor’s direct and indirect support in this current ‘start-up’ phase, however, it is unlikely that we would have got as far as we have today.

4 Personal goodwill helps, particularly when the concept is so strange. The ‘power of one’ was a surprise in terms of people being willing to give foresight a go, or to treat the whole thing in a neutral manner until its outcomes were more obvious. Selecting the right staff to “do” foresight is therefore important.

5 Contexts are important. As with language, the conglomerate structure at Swinburne meant that foresight had to be introduced in each area in a different way. Building close partnerships with key staff in each area has therefore become a critical part of our foresight implementation process. The influence of contexts also means that presentations about foresight must be tailored to Swinburne and not be seen to be existing presentations from other organisations used at Swinburne without any consideration of language, structures or process.

6 This implementation will take time – it is a long term activity and brownie points will not be won quickly. Care must be taken at each step to ensure that there is a tangible outcome which shows the benefits of the new approach. Open communication of information and regularly seeking comment from the Swinburne community is critical in this respect.

7 Above all, retain that sense of humour. Taking it all seriously is important, but introducing change is always fraught with tension and difficulty, particularly when the terms being used are not in day-to-day use.

What Next?

Scanning

We have appointed a Scenario and Strategy Analyst whose primary job will be internal and external environmental scanning. We are planning to use a wide range of sources as

well as the more traditional quantitative sources. The web is becoming a key source of information in this task.

The scenario methodology we are using scans the environment and categorises information into the following areas:

Social

Technological

Economic

Environmental

Political

There are variations on this theme. At Swinburne, we have academic staff who have expertise in all of these areas, and we are planning to establish STEEP groups composed of those staff. This is still in early stages of development, and we have yet to answer the most important question: why would any academic already too busy want to devote their time to a STEEP Group? We hope that ultimately, STEEP groups will have both internal and external membership.

We are also going to develop, over time, a competitive intelligence capacity. But that's the topic for another paper!

Scenarios

We will continue to learn how to develop scenarios, and incorporate strategy identification and development into that process. This is, in many ways, the fun part of foresight, and as we become more sophisticated in our understanding and use of scenarios, we will expand the number of people involved in their development.

People Focus

Above all, however, the people focus of our planning framework will drive its development as a means of balancing top-down with bottom-up, and of providing opportunities for staff to get involved in planning, either on an on-going basis, or as a member of a 'once-off' working group.

Language Again!

We are thinking about making a recommendation to change the name of the Unit to the Foresight and Strategy Unit to better reflect its major focus. This change is yet to be formally considered, but it is a logical step in the development of foresight at Swinburne.

Some Useful Foresight Web Sites

Examples of Foresight Programs

Millennium Project www.nko.org/millennium

Futures Observatory <http://pcbs042.open.ac.uk/future/000.html>

Small Business Foresight (led by Durham University in UK)

<http://www.dur.ac.uk/~dbr0zz2/>

Academic Research and Programs

<http://www.lmu.ac.uk/hen/benv/fore/fore-in.htm>

<http://www.dur.ac.uk/foresight/>

<http://www.cl.uh.edu/futureweb/index.html>

Foresight Organisations

Global Business Network (www.gbn.org for the US site, or www.gbnaust.org.au for the Australian site).

World Futures Society (www.wfs.org)

Scenarios

Using Scenarios to Navigate the Future (Peter Schwartz) (1 page)

(Source: Global Business Network website: www.gbn.org)

FAQs about scenario based planning (1 page)

(Source: the American Society of Association Executives website: www.asae.org)

What If? (2 pages)

(Source: Global Future web site: www.globalfuture.com)

Scenario Planning, paper by Richard Bawden (8 pages)

(Source: Bureau of Rural Sciences Australia web site: www.brs.gov.au)

Scenarios in Education

George Mason University, USA

<http://gmu.edu/futures/full.html>

Marin College, USA

<http://marin.cc.ca.uk/scenario/intro.htm>

University of St Andrews, Scotland

http://horizon.unc.edu/conferences/scot_proceedings.asp

Lincoln University, New Zealand
On the Horizon web site: www.horizon.unc.edu

References

Office of Science and Technology, UK (1998) A Guide to Future Markets, Future Business.

Ratcliffe, J. (1999) Scenario Building: A Suitable Method for Strategic Property Planning?", Paper presented to Property Research Conference, September.

Slaughter, R. (1999) Futures for the Third Millennium: Enabling the Forward View, Sydney: Prospect Media.

Recommendation

That the above paper be placed on Council's Agenda for its May meeting with a recommendation that a foresight exercise be budgeted for in the year 2001.

Executive Teleconference, January 2001 - Attachment 9

Item 9.1 Draft Council Guideline on Chapters

1. ISSUES

Neither the ATEM nor the ATEM NZ Constitutions mention Chapters: and only the ATEM Constitution mentions Branches.

A summary of the ATEM Constitutional rules about Branches, with commentary about how they might apply to Chapters, is set out below.

2. CONSTITUTIONAL RULES APPLYING TO BRANCHES

The constitutional provisions for a Branch (mainly section 5.2, but also other sections of the ATEM Constitution shown in round brackets at the beginning of each paragraph) are set out below. At the end of each paragraph comments are made in square brackets on proposed guidelines in relation to a Chapter. This method will allow the May meeting of Council to determine how a Chapter differs from a Branch

1. (5.2a) The Council may constitute a Branch in a defined region in or out of Australia comprising members living there provided that the Council may resolve that a branch be dissolved where in its sole discretion it determines that dissolution is appropriate. [Similarly, a Branch may constitute a Chapter].

2. (5.2b) Each year a Branch must elect members to be –

- Branch President
- Two Branch Vice Presidents
- Branch Secretary
- Branch Treasurer (who may be the same person as the Branch Secretary)
- A number of Branch Executive Committee members as fixed by the Branch at a general meeting (six until another number is set). [Similarly a Chapter must also elect a Committee].

3. (5.2c) The officers referred to in 2 shall be, together with the Immediate Past Branch President, the Executive Committee of the Branch. [Similarly a Chapter must constitute an Executive Committee].

4. (5.2d) Each Branch shall be regulated and governed and shall carry out its functions in accordance with these Rules with such modifications as are necessary to make the Rules applicable at Branch level and ignoring such Rules as a clearly referable only to the Association in its plenary function or to the Council. In the event of doubt or dispute arising as to the applicability of Rules to the operation of a Branch or to the proper procedure to be followed by a Branch in the furtherance of its activities, then the matter shall be referred to the Council whose decision shall be binding. [A Chapter's functions are regulated and governed by a Branch and not by Council].

5. (5.2e) A Branch may apply to the Council for permission to obtain separate incorporation and the Council may, in its sole discretion, grant such application. In that event the Statement of Objects and Rules or other constitutional document of the Branch shall be subject to the approval of the Council and in considering such approval, the Council shall have regard to the requirement that such rules or other constitutional document should reflect the provisions of these Rules as closely as the law applicable in the relevant region will allow. [A Chapter cannot obtain separate incorporation, unless it makes application to Council to become a Branch]

6. (3.4) It shall be the responsibility of each Branch to make payment to the Association of all subscriptions due by members who belong to that Branch to the intent that each Branch when fixing its annual subscription shall have regard to the need to make this payment. [Similarly a Chapter shall make payment to a Branch].

7. (6.4) Except to the extent that its powers may be restricted or regulated by a resolution of Council, a Branch Executive Committee shall have the same powers and functions for the Branch that the Council has for the Association. [A Chapter has no separate powers and is regulated entirely by a Branch].

8. (8.5a) Branches must hold annual general meetings and should endeavour to do so within the four month period beginning at the end of the Association's most recently completed financial year (30 April). [Similarly Chapters must hold an AGM].

9. (8.5b) A Branch Executive Committee may convene an extraordinary general meeting of the Branch and the Branch Secretary must do so at the written request of either ten members or one half of the members of the Branch, whichever is the fewer. [Similarly a Chapter can convene an EGM].

10. (8.5c) A quorum at a general meeting for a Branch with up to thirty members is five and over thirty is ten. [Similarly a Chapter has a quorum, but in the case of a Chapter of the NZ Association the quorum is four].

11 (10b) The Association and each Branch must keep a Bank Account with a banking institution nominated by the Council and the Branch Executive Committee respectively. [A Chapter will not have separate accounts to its Branch. Instead a Chapter will submit a budget to the Branch each year before 30 April. The budget will show projected income from members' fees and sponsorships and proposed expenditure, which can only exceed income if the agreement of the Branch is obtained. The Branch will receive all income on behalf of the Branch and will pay all approved invoices on its behalf].

3. DRAFT GUIDELINE ON CHAPTERS

In the light of the above analysis the following Guideline is proposed for the Fiji Chapter and any other new Chapter.

RULES CONCERNING THE FIJI CHAPTER

1. In accordance with the Constitution of ATEM New Zealand (Incorporated), the Fiji Chapter is constituted as a special regional grouping of the New Zealand Branch of ATEM. The Chapter is the ATEM entity for members who reside in the Fiji Islands.
2. ATEM New Zealand (Incorporated) may also request that the Fiji Chapter be dissolved or reassigned where in its sole discretion it determines that dissolution or reassignment is appropriate. The final decision will be taken by the ATEM Council, following any submissions it receives from the Executive Committee of the Fiji Chapter of ATEM and ATEM New Zealand (Incorporated).
3. Each year the Fiji Chapter of ATEM New Zealand (Incorporated) must elect members to be –
 - Chapter President
 - Two Chapter Vice Presidents
 - Chapter Secretary
 - Chapter Treasurer (who may be the same person as the Chapter Secretary)
 - A number of Chapter Executive Committee members as determined by ATEM New Zealand (Incorporated) (four initially)
4. The officers referred to in paragraph 3 shall be, together with the Immediate Past Chapter President, the Executive Committee of the Chapter.
5. The Fiji Chapter of ATEM shall be regulated and governed and shall carry out its functions in accordance with these Rules, with such modifications as are necessary to

make the Rules applicable in Fiji, and are agreed by ATEM New Zealand (Incorporated) . In the event of doubt or dispute arising as to the applicability of Rules to the operation of the Fiji Chapter or to the proper procedure to be followed by the Fiji Chapter in the furtherance of its activities, then the matter shall be referred to ATEM New Zealand (Incorporated) for resolution. If it cannot be resolved at that level, then the matter will be referred to the ATEM Council, whose decision shall be binding.

6. The Fiji Chapter, after five years of successful operation, and then at any time following the initial five-year period, may apply to the ATEM Council for permission to obtain separate incorporation as a Branch of ATEM and the Council may, in its sole discretion, grant such application. In that event the Statement of Objects and Rules or other constitutional document of the Fiji Chapter shall be subject to the approval of the Council and in considering such approval, the Council shall have regard to the requirement that such rules or other constitutional document should reflect the provisions of these Rules as closely as the law applicable in the relevant region will allow.
7. It shall be the responsibility of the Fiji Chapter to make payment to ATEM New Zealand (Incorporated) of all subscriptions due by members who belong to the Chapter to the intent that ATEM New Zealand (Incorporated) when fixing the annual subscription shall have regard to the need for the Fiji Chapter to make this payment.
8. Except to the extent that its powers may be restricted or regulated by a resolution of Council, the ATEM New Zealand (Incorporated) Executive Committee shall have the same powers and functions for ATEM New Zealand (Incorporated) and the Fiji Chapter of the Branch, that the Council has for the Association.
9. The Fiji Chapter of ATEM New Zealand (Incorporated) must hold annual general meetings and should endeavour to do so within the four month period from 30 April each year.
10. The Fiji Chapter Executive Committee may convene an extraordinary general meeting of the Fiji Chapter and the Chapter Secretary must do so at the written request of either ten members or one half of the members of the Fiji Chapter , whichever is the fewer. The Fiji Chapter President must inform the President of ATEM New Zealand (Incorporated) whenever such an extraordinary general meeting has been requested, and advise ATEM New Zealand (Incorporated) of the purpose and the results.
11. A quorum at a general meeting of the Fiji Chapter of ATEM New Zealand (Incorporated) is five financial members.
12. The Fiji Chapter of ATEM New Zealand (Incorporated) must keep a Bank Account with a banking institution approved by ATEM New Zealand (Incorporated) and the Fiji Chapter Executive Committee. The Fiji Chapter will not have separate financial

accounts to those of ATEM New Zealand (Incorporated) . Instead the Fiji Chapter will submit a budget to the Branch each year before 30 April. The budget will show projected income from members' fees and sponsorships and proposed expenditure, which can only exceed income from the Fiji Chapter if the prior agreement of ATEM New Zealand (Incorporated) Executive Committee is obtained. Within Fiji, the Fiji Chapter will receive all income on behalf of the Chapter and will pay all approved invoices on its behalf.

Recommendation

That the proposed Guidelines on Chapters be placed on the Council Agenda at its May meeting.

Executive Teleconference, January 2001 - Attachment 10

Item 10.1 Membership Renewal.

(NOTE: The 'question and answer' message below was sent recently to Presidents, Secretaries and Treasurers. It was designed to explain the changes to membership renewal. It is reproduced here for noting and any discussion raised at the Executive Teleconference.)

Changes to the membership renewal process were passed at the Annual General Meeting in Melbourne when ATEM Members voted to change the Constitution and move from a calendar year to a rolling membership year. The new Constitution can be viewed under the heading 'ATEM Policy' in the side menu of the web site.

There were several reasons making this change necessary.

The web system has been up-graded to allow Branches greater management control and to automate processes which previously had to be done manually, or by duplicate back-up systems. The new arrangements allow for a substantial reduction in overhead costs, mail handling, stationery, and stamps, at both Branch and Council level.

Branches can now send reminders and obtain membership reports using the web system. Shortly, full electronic banking will also be available.

Other reasons for change were that members naturally want to get a full year's value from their membership dollar. Thus, when people moved on in the middle of a year they demanded refunds: or they decided not to renew until a later year. The whole process was messy and open to manipulation.

ATEM members at the AGM decided that people who truly want to be members will enroll for a year from the date of their enrolment, and the amount they pay in fees is not refundable. If they move on they can take their membership with them, as we have done away with the need for a Branch to accept the membership of a transferring member. A person who has paid for a year's membership can keep that membership wherever they go

in the world, and if they leave the profession, they can keep it as a Ghost.

Here are some specific answers to questions put by Branches.

Q1 'Is the ATEM Secretariat intending to undertake an Australia-wide membership drive, and if so, when?'

A1 As we did last year, the Secretariat will provide the Branches, early in 2001, with a first class glossy brochure to use in the annual membership drive. The brochure is produced at no cost to Branches, it is paid for from Council funds. This is Council's contribution to the recruitment of ordinary members. Also, the Secretariat will directly contact the 120 addresses on our mailing list for Corporate Members. Our drive last year yielded 40 Corporate Members - a 30% success rate. We hope to improve on that. So in summary, we making a valuable contribution to the recruitment of ordinary and corporate members each year, and it is budgeted accordingly.

Q2 'Is a new brochure being prepared?'

A2 Yes. It will be ready for 2001.

Q3 'Come 1 January 2001, when the bulk of memberships are due for renewal, is the ATEM Secretariat conducting this electronically, or can the Branches undertake this themselves - if so, can the Secretariat produce a set of labels?'

A3 The new web facilities allow Branches to undertake membership renewal on the web, or they can request that the Secretariat undertake the work. There is no longer a bulk period for memberships. Many renewing members have already chosen to renew for 2001 and pay \$77 from the date of renewal, rather than choose to pay the arrears for 2000 for \$73.50. The whole process is being currently handled daily by the Secretariat with automatic e-mail up dates on each transaction going out to Branches. If Branches want to send out leaflets about PD Programs and other Branch activities the Secretariat can produce a set of address labels on request. However, many Branches are choosing to use the chat rooms instead.

If Branches want to handle the renewal process, they can, using the e-commerce facility that we have bolted on to the Members Only section of the web site. To get an up-to-date report on unfinancial members click on 'Members List' in the Minda section. The full address is

<http://www.atem.org.au/minda/index.cfm?action=reporting&nolisting=true>

To send a message to unfinancials go back to the same page and click on

<http://www.atem.org.au/minda/index.cfm?action=sendreminder>

Just as Branches are automatically informed of membership changes made by the Secretariat, so also is the Secretariat informed of changes made by Branches.

Q4 'Who will conduct the membership renewals for rolling members?'

A4 The Secretariat will undertake to do all membership renewals for any Branch that prefers to handle it this way. With the new web facility there is now hardly any work load in this activity, so it does not matter to the Secretariat if Branches delegate this job, or do it themselves.

Q5 'What is the Branch levy for 2001-2002?'

A5 Council set the levy at the last meeting. The table is in the Agenda, but for ease of reference the levies for 2001 are:

ACT	\$3600
NSW	\$10,550
NT	\$1,890
NZ	\$10,440
QLD	\$9,180
SA	\$3,915
TAS	\$3,330
VIC	\$9,810
WA	\$4,200
TOTAL	\$61,200

Recommendation

That the new rolling year membership renewal process be noted.

Executive Teleconference, January 2001 - Attachment 11

Item 10.2 Proposed Re-Joining Fee.

The membership renewal process this year has shown that a re-joining fee would help solve a problem. Members were invited to renew in March. Many of them left it until notices went out in November stating that their memberships would be terminated in a month. At this point some of them paid \$73.50 for the year in arrears, and some decided to pay \$77 for the following year.

November was not the first month that members were asked to check their membership status. This happened in April and October, when members are reminded that the Journal was about to be posted to financial members only; and in June when members are reminded that only financial members can vote in elections.

With the new rolling membership year and automatic renewal notices, it will be harder to let membership lapse for long periods of time. However, it is still desirable for members to have several reasons why they should renew within a month of receiving a notice. A re-joining fee would be one added way of helping members make the right decision about a difficult moral dilemma.

Recommendation

That ATEM introduces a re-joining fee of \$30 to cover administrative costs from January 2001. The Recommendation will need retrospective approval by Council in May.

Executive Teleconference, January 2001 - Attachment 12

Item 10.3 Corporate Members' Fee

Council has not yet set the Corporate Members' Fee for 2001. Council's resolution in September 2000 reads as follows:

Resolution C00/20

That there be a common annual fee for all Branches in 2001 and that it be \$AUD70 plus GST for members, and \$AUD35 plus GST for the ATEM Ghosts.

The Corporate Members' fee was clearly never set in order to make a large profit. The rights of Corporate Members are such that, at this stage, ATEM actually makes a loss on any Corporate Member who decides to take advantage of the subsidy for a staff member attending the Conference.

The Secretariat believes that the reasoning behind setting a near break-even fee is that in the past ATEM suffered through Vice-Chancellors, CEOs and senior academic administrators having no knowledge of ATEM and its various programs. The Corporate Membership structure makes the senior people in our profession much more aware of our existence. The Corporate Membership provisions are clearly a matter of survival for ATEM, and a public relations necessity. They should remain so.

In 2000 there were 41 Corporate Members paying between \$750 and \$800 plus GST in fees. Of these 26 took advantage of the subsidy for sending a staff member to the Annual Conference. The total cost to ATEM for this subsidy in 2000 was \$18,862

The total value of a Corporate Membership in 2001 will be as follows:

• 5 x \$70 for five nominated staff	\$350
• 1 Conference subsidy for the 2001 Conference (estimated)	\$650
• Right to advertise job vacancies – not quantifiable	-
Total	over \$1,000

It is important that prospective Corporate Members can see that they are getting good value for their money so we are not suggesting that the full \$1,000 be recovered. A rise of \$50 on last year's fee would seem to be more appropriate.

Recommendation

- (a) That the Corporate Members' Fee for 2001 be \$800, and that it be applied immediately.
- (b) That Council approval be sought in retrospect at the May meeting.
- (c) That in future the Corporate Members' Fee be set at the September Council meeting for implementation in the following year.

Executive Teleconference, January 2001 - Attachment 14

Item 10.5 Representation at AUA Conference.

The 2001 AUA Conference will be held in Exeter UK from 9-11 April 2001. Council resolved at its last meeting to call for expressions of interest in attending the Conference from Council Members only.

Members were contacted on 4 October 2000 and two expressions of interest were received. One of them was later withdrawn.

The remaining expression of interest is from Alan Tilley, BP New South Wales and Head of the Open Education Centre at Macquarie University, who is attending the International Conference on Distance Education in Dusseldorf between 1-5 April and who could stay on for the UK Conference if needed. He needs no assistance other than the waiving of the Conference Fee, which is given anyway as part of our affiliation arrangements.

RECOMMENDATION

The Secretariat recommends that Allan Tilley be appointed as the ATEM Delegate to the AUA Conference.

Executive Teleconference, January 2001 - Attachment 15

Item 10.6 CPEP

Continuing Professional Education Program

At its September meeting Council resolved as follows:

'Council noted that the development of CPEP can no longer be carried by Maree Conway. In discussion, it was suggested that the Secretariat should conduct a search exercise to find out what degree and diploma courses, and other training opportunities, existed already in Australia and New Zealand, and that these programs should then be published on the Web Site. Branches were asked to provide the Secretariat with appropriate details of courses available in their area. This could be followed by a

Training Needs Analysis to establish where new offerings should be created for members.

The Secretariat was asked to report to May Council on progress'.

The Secretariat is currently engaged in stage one of this project, which is essentially information gathering. Branches have been requested to respond to the following questions no later than **2 February 2001.**

1. Name of Branch
2. Name of Project Coordinator in the Branch
3. E-mail address of Coordinator
4. Date
5. List all Undergraduate Degrees available in your area that offer training in Tertiary Education Management, naming the Institution that offers the Degree, the name of the Degree, and the web address where the Degree is described in some detail, if the Degree is offered by Distance Education, if it is HECS based and if not what is the cost?
6. List all Postgraduate Degrees available in your area that offer training in Tertiary Education Management, naming the Institution that offers the Degree, the name of the Degree, and the web address where the Degree is described in some detail, if the Degree is offered by Distance Education, if it is HECS based and if not what is the cost?
7. List all Diplomas available in your area that offer training in Tertiary Education Management, naming the Institution that offers the Diploma, the name of the Diploma, and the web address where the Diploma is described in some detail, if the Diploma is offered by Distance Education, if it is HECS based and if not what is the cost?
8. List all Non-Award Courses available in your area that offer training in Tertiary Education Management, naming the Institution that offers the Non-Award Course, the name of the Non-Award Course, and the web address where the Non-Award Course is described in some detail, and what is the cost?.

Stage two of the project will begin on 9 February 2001. It will consist of a broadcast message to all members, by Branch, informing them of the collated information on training opportunities in their region.

By the time of the May Council meeting it is hoped that a training needs analysis will have been carried out from the available information and the feedback from Members.

Recommendation

That progress be noted.