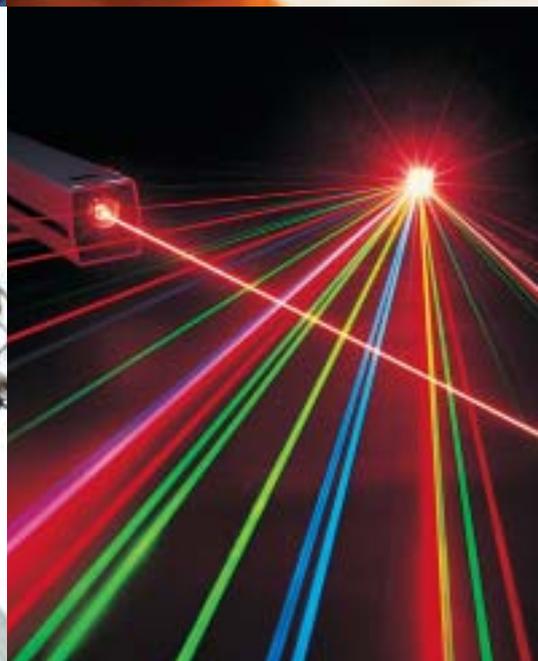
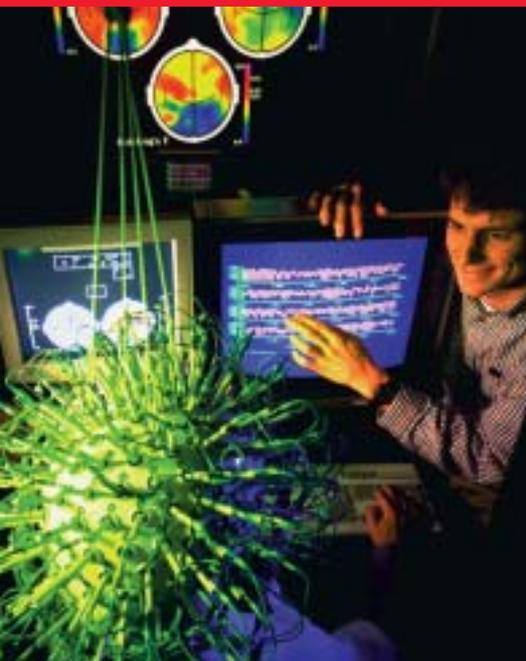
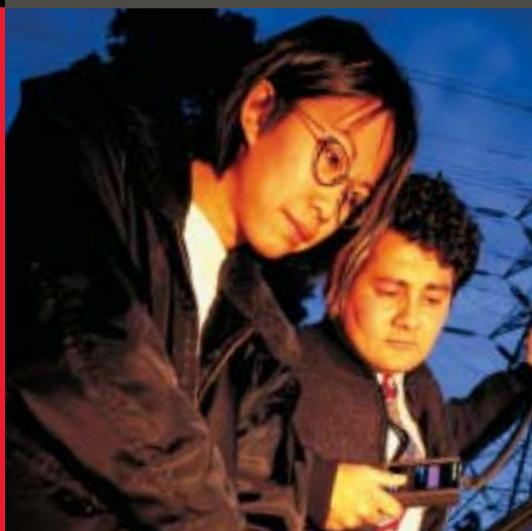


# SWINBURNE

## Swinburne University of Technology Annual Report 2001

SWINBURNE UNIVERSITY  
OF TECHNOLOGY



Swinburne University of Technology

# 2001 Annual Report



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SWINBURNE UNIVERSITY  
OF TECHNOLOGY

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28 April 2002

The Hon Lynne Kosky MLA  
Minister for Education and Training  
State Parliament of Victoria  
Spring Street  
Melbourne Vic 3000

Dear Minister

It gives me great pleasure to submit the 2001 Annual Report including the Report of Operations and the Audited Financial Statements for Swinburne University of Technology in accordance with the Financial Management Act 1994.

Yours sincerely



J.G. Wallace  
**Vice-Chancellor**



## ■ Vice-Chancellor's overview

### VC's introduction

During 2001, Swinburne made progress on a number of fronts towards achieving its objective of becoming a renowned entrepreneurial university of science and technology.

The operating divisions are guided by University-level strategic development or enabling plans. There are five of these plans, many of which were completed for the first time during 2001, corresponding to the five strategic themes of the University:

- the Entrepreneurial University
- the Research-Intensive University
- Internationalisation
- Learning and Teaching
- The Intersectoral Advantage

*The main achievements of the year can be considered under these headings.*

#### **The entrepreneurial University**

Early in the year, the University formed a company, Swinburne Ventures, to provide guidance on the best routes to commercialisation for Intellectual Property originated within the University. The Company has a Board of distinguished Directors eminent in business and finance, and is chaired by the former Chancellor, Mr Richard Pratt AC.

Several spin-off companies were formed during the year to commercialise technologies, including:

- 3DCD Technology (technology to greatly increase storage capacity of CDs)
- IPFlex (data warehousing system)
- Netschool (internet-based teaching aid for children)

The Swinburne Venture Cup business planning competition was again held. This year \$30,000 in prizes, donated anonymously, were available to student teams from all Australian divisions. Prizes were awarded for the best business plans for the commercialisation of some innovation. Participation by undergraduate students more than doubled from 15 in 2000 to 38 in 2001.

In the Higher Education Division, the School of Business embedded entrepreneurial themes in all its Stage 1 and Stage 2 courses. Subjects related to entrepreneurship were also introduced by the National Schools of Design, the Schools of Engineering and Science, and Social and Behavioural Sciences.

The Higher Education Division increased its income derived from fee-paying students from \$28.23 million in 2000 to \$34.5 million in 2001 (subject to audit).

The University established a foundation to raise funding to support teaching and research into social entrepreneurship at Swinburne. Social entrepreneurship involves addressing social needs through entrepreneurial non-government organisations and programs.

The TAFE Division continued its success in tendering for consultancy projects and by the end of December had been awarded \$5.1 million of projects. It is notable that of the 86 individual tenders submitted by the Division, it was successful in 52%. Most of the tendering activity is based in the School of Social Sciences, School of Business and eCommerce and Industry Consultancy.

The Centre for eBusiness and Communication at Lilydale established a company in partnership with the Shire of Yarra Ranges, local business and community members, to provide business incubation in the area. Several incubator sites have been established.

#### **The research-intensive University**

During 2001, Swinburne continued to have outstanding success in research. Seven Australian Research Council Discovery (ARC) Grants were won compared with 5 in 2000.

The University also won a record number of ARC Linkage Grants – 12. These are grants for undertaking research in collaboration with an industry or other partner.

Overall, the number of research active staff in the Higher Education Division increased from 191.3 in 2000 to 262 in 2001, representing 80% of academic staff in the eight Schools.

There was a 22% increase in research publications over the previous year as reported in the Higher Education Research Data Collection.

Swinburne received \$1.976 million as a Systemic Infrastructure Grant arising out of the Federal Government's 'Backing Australia's Ability: Innovation Program' for an integrated microfabrication facility. Completion of this facility will create cross disciplinary links and significantly bolster research in the areas of Optics and Applied Laser Technology, Microtechnology and Biotechnology which are areas of major strategic importance to Australia.

The Centre for Astrophysics and Supercomputing, led by Professor Matthew Bailes, achieved a first for Swinburne when

a PhD student's work was accepted for publication in the prestigious journal, *Nature*. The project chronicles monitoring of a neutron star over the last three years.

Swinburne's ever-strengthening research standing has resulted in industry fully funding the fees of 59 higher education students during 2001. There was also an increased interest in professional doctorates with 5 programs offered in 2001/2.

### **Internationalisation**

One of the key strategies in increasing student mobility is the development of off-shore programs for students. The first Study in Crete program was conducted in July-September 2001. Thirty-seven Higher Education students, mainly from the National School of Design and the School of Business, participated in the program. Following a two day preparatory course in Australia, the students spent between three and nine weeks in Crete engaged in social and cultural activities as well as classes at the Mediterranean Agronomic Institute of Chania.

A further 116 Swinburne students travelled overseas on a student exchange, study abroad, or Industry-based learning placement during 2001. The number of overseas institutions that participated in student exchanges grew to 49.

The University was successful in securing five University Mobility in the Asia Pacific (UMAP) grants.

The TAFE Division undertook many successful international projects, and selected a special focus on activity in the Philippines as a result of identifying aid income streams. The Division also concentrated on providing customised training for Government officials in Thailand and Vietnam.

The Master of Enterprise Innovation (MEI) program, delivered in Israel under licence from Swinburne, graduated two cohorts of students during 2001. Negotiations were completed in 2001 to launch the MEI program in Singapore during 2002, with further negotiations for other overseas markets underway. A Bachelor of Science (Information Technology) was developed with the Institute of Vocational Education in Hong Kong for commencement in 2002.

International projects were completed in the Philippines, Thailand and Singapore.



### **Flexible learning and teaching**

Significant developments in the strategic change towards flexible learning included:

- Provision of flexible study options for students was further developed using classes, video-on-demand, video on CD, virtual lectures on CD, printed study guides, online resources and online communications.
- Replacement of the in-house subject delivery system Elegant Solutions with the proprietary systems Blackboard and TekniCAL and the development of subject, course and academic unit templates to allow ready roll-out of online subject sites with resources, uploaded files, resource links, discussion and chat and online assessment. Websites were made available in the new systems for all current undergraduate subjects with an enrolment of 10 or more students and materials were migrated from the previous system.
- Provision of a face-to-face and online professional development program focused on pedagogical change appropriate to flexible provision for learning.
- Conduct of research and development related to flexible learning including evaluation of the use of online subject delivery systems at Swinburne and a DETYA funded Evaluation and Investigations Program (EIP) project investigating and reporting on the effectiveness, including cost-effectiveness of flexible provision of higher education in Australia
- Interactive multimedia learning objects were designed to facilitate student understanding of complex concepts in engineering and science and in statistics.
- Facilitation of provision of subjects in a condensed summer school mode utilising video lectures supported by laboratories, tutorials and online resources and communications.

- Provision of international expert critique of student projects in the field of design by interactive video conference involving large student groups
- Provision of academic study skills support online.
- A learning objects search engine was developed to facilitate the sharing between Swinburne and co-operating universities of data-tagged electronic learning objects stored in a databank.
- Ongoing student support commitment – help desk resources dealing with student use of online environment (technical rather than learning related) which complements the existing IT help desk.

A 'Resource Box' developed for joint use by three universities (Trollhättan/Uddevalla (HTU), Swinburne and Southern Cross University) was piloted during 2001. The Resource Box is a searchable web-based resource library developed by Swinburne's Learning and Teaching Support.

Further, the Higher Education Division has continued to improve Swinburne's VTAC entry profile by maintaining high ENTER cut-off scores and by reducing the number of VTAC entry points through the consolidation of similar programs. This has resulted in attracting higher calibre students.

The Higher Education Division has made good progress in its goal to increase the number of subjects with a minimum level of web presence, and to offer more subjects outside the normal semester period:

- 600 subjects were available for use by students on Blackboard – a web based package
- over 100 subjects were offered outside the normal semester period

The Division was also successful in its strategy of increasing the calibre of incoming students. For example, the proportion of VTAC entry points with ENTER cut-off scores greater than or equal to 90 rose from 7% for 2001 entry to 15% for 2002.

Achievements in the TAFE Sector in 2001 included:

- the TAFE Division won the State Innovative Training Award for the On-Line Programmers Workbench, a teacher resource for IT teachers;
- the development of the eLearning Change Management Plan, which provides a blueprint for implementing a pedagogically sound approach for the use of on-line technologies and will embed e-learning as part of the culture and of every student's learning experience;

- roll out of laptop computers, funded by the Office of Employment, Training and Tertiary Education (ETTE), has assisted teachers in moving towards online delivery which will lead to the development of more flexible options for students;
- the results of the student satisfaction survey conducted at the end of semesters 1 and 2 again was pleasing with an overall satisfaction rating for course/module/competency satisfaction of over 93%.

### ***The intersectoral advantage***

Two intersectoral degrees were accredited in 2001: the Bachelor of Business (eCommerce) and the Bachelor of Technology. In these nested courses, students can exit with a Diploma, Advanced Diploma or Degree. These initiatives have forged highly innovative intersectoral curriculum structures and have pushed the boundaries of the University's intersectoral developments.

The National School of Design continued to develop a streamlined articulation arrangement with the TAFE Art and Design program, and the School of Biophysical Sciences and Electrical Engineering has accredited a Bachelor of Multimedia program (Advanced Entry). The first intake was in Semester 2, 2001.

The release of the Strategic Development Plan for the Intersectoral Advantage theme and the funding of Intersectoral project initiatives have made major contributions towards creating a seamless and value added intersectoral environment. Some of the outcomes include:

- the implementation of graded assessment, which will contribute to improved pathways between TAFE and higher education programs;
- the development of a new AQF award for the University's IBL programs, incorporating generic components, entrepreneurship elements, as well as discipline specific attributes;
- development of a database and statistical data-gathering framework to allow the University to track the movement and performance of students intersectorally.

### ***Other***

A decision was taken in 2001 to implement a web-based class allocation system from Semester 1, 2002, at the Hawthorn and Lilydale campuses of the Higher Education Division. Allocate Plus will result in increased productivity by reducing the time currently spent by academic and administrative staff in the allocation and monitoring of

students to classes. The process will also be faster and more empowering for students.

In preparation for the University's first audit by the Australian Universities Quality Agency (AUQA) in 2002, a self-review of the University's Quality Management systems and processes was launched in August 2001.

During 2001 the TAFE Division achieved full ISO9001:2000 accreditation. Swinburne TAFE is only the second institution in Australia and the first in Victoria to do so. ISO accreditation positions the Division well for the implementation of the new Australian Quality Training Framework, which comes into operation in July 2002.

Swinburne, Lilydale continues to enhance educational opportunity in Melbourne's outer eastern region – parts of which rank among the most educationally disadvantaged regions in Victoria. The University has two primary objectives for Swinburne Lilydale:

- to convert overenrolment places to fully-funded load
- to increase fully funded load to 2,000 EFTSU

A milestone towards these objectives was achieved in 2001 with the allocation of:

- 80 fully-funded places for a new Bachelor of Technology under the Commonwealth Government's initiative Backing Australia's Ability – an Innovative Action Plan for the Future.
- 25 fully-funded places under the Commonwealth Government's Regional Places scheme.

With these allocations the Division's fully-funded load will increase by stages from 680 to 967 EFTSU in 2005.

Swinburne in fact received a total of 120 places under these initiatives, over all campuses. In addition to the 80 places for Swinburne, Lilydale, there were also 20 for a new Bachelor of Engineering (Product Design Engineering), and 20 for a new single and double degree Bachelor of Science (Photonics) and Bachelor of Science (Photonics)/Bachelor of Engineering (Telecommunications and Internet Technologies).

These allocations make Swinburne the most successful applicant in the State and equal first nationally under 'Backing Australia's Ability', and highlight the relevance of our courses to national priorities in information and communications technologies (ICT), mathematics and science.

Other highlights at Swinburne Lilydale in 2001 include:

- a highly successful year of the Shire/University Growth and Development Partnership, including the 2002 Town and Gown Series of 6 public lectures and the Shire/University international conference Sustainability – New Name, New Game attended by over 180 business, local government, environmental and community representatives;
- receipt of a Victorian Community History Award for Melba, Australia's Greatest Daughter – a CD ROM produced by the Museum of Lillydale, the Lillydale Historical Society, the Centre for eBusiness and Communication, and Learning and Teaching Support;

**During 2001 the TAFE Division achieved full ISO9001:2000 accreditation. Swinburne TAFE is only the second institution in Australia and the first in Victoria to do so. ISO accreditation positions the Division well for the implementation of the new Australian Quality Training Framework, which comes into operation in July 2002.**

- the establishment of the Swinburne Lilydale Building Fund – an initiative to facilitate the return of the Centre for eBusiness and Communication and the Centre for Regional Development back on campus
- a threefold increase in fee paying overseas students;
- a two-and-a-half-fold increase in fee paying postgraduate students with first masters graduates.

Early in the year, the first intake of students commenced in the BA in Circus Arts at the National Institute of Circus Arts (NICA). A new building on the Prahran campus purpose-built for NICA and Gymnastics Victoria was officially opened in May by the Victorian Minister for Sport and Recreation. The opening of a permanent home marked a turning-point in the history of NICA. On 26 July, the Sidney Myer Circus Studio was opened by the Federal Minister for the Arts.

#### **Overseas developments**

A number of important initiatives were undertaken over the past year for the purposes of furthering the development of the offshore campuses of the Swinburne Global Learning Network.

Swinburne Sarawak Institute of Technology had a particularly strong and active year, building upon the success of its inaugural year of operations. There was a significant increase in student numbers largely due to the successful launch in January of its business and engineering degree programs. The Institute currently has an enrolment of approximately 300 students ranging across pre-university studies, 1st year degree programs, degree conversion programs and skills enhancement programs specifically designed to meet the needs of disadvantaged learners. Swinburne Sarawak once again benefited from the large number of visitors from various SUT divisions who were actively involved in facilitating staff development activities as well as providing advice and assistance for various academic and administrative functions of the organisation.

The Official Opening of Swinburne Sarawak took place in June, officiated by the Right Honourable Chief Minister of the State of Sarawak, and addressed by Swinburne University of Technology's (Acting) Chancellor, Deputy Vice-Chancellor and a number of senior Swinburne Melbourne staff. By all measures, the event was a great success and had an important impact in terms of positioning Swinburne Sarawak in the hearts and minds of the regional community.

Building upon the strong strategic alliance that SUT has with a number of major Information Technology based companies, Swinburne Sarawak was chosen as the first site in Malaysia to pilot a range of new Cisco Systems high-speed switch-based technologies. The essential experience gained in the installation of this technology in Sarawak has enabled a launch of a multi-million dollar AVVID (Architecture for Voice, Video and Integrated Data) project for our campuses in Australia, making the upgrading of Swinburne's network the most sophisticated project for Cisco in the Asia Pacific.

Two other important industry linkages for Swinburne Sarawak occurred in 2001. Komag Sdn Bhd, a large international manufacturer of computer disc equipment donated robotic arms and a range of other high-technology industrial equipment. Valued at over \$1.25 million AUD, this equipment will greatly enhance the Institute's teaching and research capabilities in Mechatronics Engineering. Later in the year, MYOB Asia

Sdn Bhd announced that Swinburne Sarawak had been chosen to receive business software sponsorship valued at approximately \$300,000 AUD.

Swinburne Sarawak, in collaboration with the Sarawak Development Institute, organised the inaugural South East Asian Association for Institutional Research (SEAIR) Annual Conference in Kuching during October 2001.

Because of the positive impact that Swinburne Sarawak has already had in the region, toward the latter half of 2001 Malaysia's Minister of Education encouraged the Institute to move towards full university status. Consequently, the development process began for the establishment of Swinburne Sarawak University of Technology, which will eventually provide a wider range of undergraduate and postgraduate degree programs through multi-campus locations.

In 2001 Swinburne Tummasiri Laem Chabang School of Engineering (LCSE) consolidated its position as one of Thailand's leading entrepreneurial educational providers. The Thai Ministry of Education (MoE) stated that Swinburne Tummasiri, with its range of offerings that include Award Courses for full-time students, Industry Training for enterprises across the Eastern Seaboard, and Short Courses for the local community, conforms precisely to the government's education reform vision. Although provision of such a wide range of educational programs and services is relatively common in Australia, it is currently very rare in Thailand.

Earlier in the year, Swinburne made a strategic decision to reinforce its long-term commitment to the tertiary education sector of Thailand. This commitment includes seeking approval from the Thailand Government to expand its operations from a MoE regulated vocational college to that of degree-granting institution registered and regulated by the Ministry of University Affairs (MUA). In May a detailed document outlining the proposed Swinburne Tummasiri Institute of Technology was submitted to the MUA for consideration. The proposal was very well received by the Minister and throughout the remainder of the year representatives from both Swinburne and the MUA worked collaboratively towards satisfying the rather stringent conditions and requirements associated with implementing the proposal.

A number of senior SUT staff members visited Swinburne Tummasiri in 2001, either to deliver professional development programs for staff members, or to provide advice for strengthening operational functions in preparation for the anticipated growth associated with institutional status. Despite the inherent distractions resulting from planning and development activities for the new institute, overall program enrolments remained stable throughout the year, with the decline in Engineering enrolments offset by increased enrolments in Applied Science (Information Technology). 2001 saw Swinburne Tummasiri graduate its first cohort from the Higher Diploma of Business (International Trade) program, as well as register its first international student from Norway.

2001 also saw significant developments towards the establishment of the Swinburne VABIS University of Technology in Vietnam. Swinburne has been offering business programs in Vietnam since 1994. Following the formal announcement of the joint venture agreement between Swinburne University of Technology and Vietnam Australia Building Industry Services earlier in 2001, a detailed proposal for the establishment of a multi-sector, multi-campus university was developed and submitted to the Vietnam Minister of Education. Although the main campus of the new University will be located in Vung Tau, a temporary 'representative office' has been established in Ho Chi Minh City to enable effective long-term planning for Swinburne's presence in Vietnam. Approval for the commencement of formal operations of this latest member of the Swinburne Global Learning Network is expected in mid-2002.



## ■ University establishment

### A proud history

The Swinburne family lived for many generations in Northumberland, in the north of England. In early times, the family owned a castle on the banks of the Swin Burn, the brook of the boars. By 1245, the Swinburne coat of arms was 'Gules: three boar heads argent'.

George Swinburne arrived in Melbourne in 1886, aged 25. His early days in Melbourne were spent in setting up gas plants and bringing gas-light to the cities and towns. As his business stature increased, he entered State Parliament and became a Minister.

Swinburne was first established as the Eastern Suburbs Technical College by George Swinburne with the first students enrolled in 1909, when classes began in carpentry, plumbing and blacksmithing. In 1913 the institution changed its name to the Swinburne Technical College to commemorate the Honourable George Swinburne. Soon afterwards, a boys' junior technical school and the first girls' technical school in Victoria were established.

An extensive reorganisation of advanced education took place in Victoria in the period 1976-78 culminating in the passing of the *Victorian Post-Secondary Education Act*. Under the Act, the Victoria Institute of Colleges, of which Swinburne was then a member, was dissolved and the Victorian Post-Secondary Education Commission established. Under the new arrangements, the Swinburne Institute of Technology Council was given power to grant bachelor degrees. The first of these was awarded at a conferring ceremony held on Thursday, 21 May 1981 at the Camberwell Civic Centre.

The 1992 proclamation by the Parliament of Victoria of the *Swinburne University of Technology Act* marked not only recognition of Swinburne's distinguished history, but the beginning of a new period of growth and innovation for Swinburne. From its establishment in 1908 in Melbourne's eastern suburbs at Hawthorn, through mergers with Prahran College of Advanced Education in 1992 and Eastern Institute of TAFE in 1998, Swinburne has grown from being a local provider of technical education into a multi-disciplined, multi-campus provider of vocational and higher education and training of national and international significance. Noted Australian businessman, Mr Richard Pratt, was installed as Swinburne's Foundation Chancellor on 15 March 1993.

### The Coat of Arms

Swinburne holds a unique position among educational institutions in Australia in the link that persists between it, the founder and his family. The conferring of a modification of the family's coat of arms preserves and strengthens that link.

*The arms:* the basic colours of red and white, and the cinquefoils charged on the shield, commemorate the arms of the Swinburne family. The four Mullets in the Cross symbolise the Southern Cross.

*The crest:* the demi-Boar and the cinquefoil perpetuate the Swinburne connection; the book is symbolic of learning.

*The motto:* the College of Arms' translation of the motto is 'Achievement through learning'.

### Relevant minister

Swinburne University was established under the *Swinburne University of Technology Act 1992*. The relevant Minister in 2001 was the Victorian Minister for Education and Training.

For funding purposes and some aspects of strategic planning the relevant Minister in 2001 was the Federal Minister for Education, Youth and Training.

## ■ Objectives, functions, powers and duties of the University

### Objects and functions

The objects of the University as stated in Section 6 of the *Swinburne University of Technology Act* include:

- (a) the development of an institution with excellence in teaching, training, scholarship, research, consultancy, community service and other educational services and products, with emphasis on technology and its development, impact and application;
- (b) the provision of a multi-level system of post-secondary education programs relevant to the needs of the community covering a range of fields and levels from basic trade to post-doctoral studies with provision for recognition of prior learning and flexibility of transition between programs;
- (c) the provision of high quality educational, research, residential, commercial, cultural, social, recreational, sporting and other facilities;
- (d) the advancement of knowledge and its practical application by research and other means, the dissemination by various means of the outcomes of research and the commercial exploitation of the results of such research;
- (e) the participation in commercial ventures and activities;
- (f) the fostering of the general welfare and development of all enrolled students;
- (g) the conferring of prescribed degrees and the granting of prescribed diplomas, certificates and other awards;
- (h) the provision of opportunities for development and further training for staff of the University;
- (i) the development and provision of educational, cultural, professional, technical and vocational services to the community and in particular the fostering of participation in a university of technology of persons living or working in the outer eastern region of Melbourne;
- (j) the provision of programs, products and services in ways that reflect the principles of equity and social justice;
- (k) the maintenance of close interaction with industry and the community and the development of associations or agreements with any educational, commercial, governmental or other institution;
- (l) the enhancement through the development of knowledge and skills of the ability to shape technology, social and economic processes and to recognise, understand and take account of the ethical, environmental and other implications of such processes;

- (m) the conduct of teaching, research, consultancy and development activities within and outside Australia; and
- (n) generally, the development and operation of a university providing appropriate and accessible academic and other programs, courses of study, educational products and research activity such as the Council considers necessary for the attainment of the foregoing in Victoria and elsewhere.

### Powers and duties

The main decision making bodies are:

- Council;
- Academic Board;
- Board of Technical Studies; and
- Chancellery.

### Council

Deriving its powers from the *Swinburne University of Technology Act (1992)*, the Council is the governing authority of the University and has responsibility for the direction and superintendence of the University. The Act also makes provision for the Council to make Statutes with regard to 'all matters relating to the organisation, management and good government of the University...'

In a general sense, Council acts on behalf of the community in overseeing the affairs of the University and, as such, is accountable to the community. As the governing authority, the University Council accepts particular responsibilities such as:

- ensuring that long term and short term planning are undertaken, endorsed and implemented;
- establishing proper authority and accounting for expenditure, and assessing the effectiveness with which resources are used;
- making such delegations as will enhance Swinburne's efficiency without diminishing the responsibility of Council; *and*
- overseeing the maintenance and enhancement of the quality of teaching, research and learning within Swinburne.

Council's role focuses upon policy and strategic issues concerning the University. It receives specialist advice through a series of committees designated to carry out certain functions.

## Academic board

The powers of Academic Board, as set down in Section 30 of the *Swinburne University of Technology Act* are as follows. The Academic Board:

- may discuss and submit to the Council an opinion on any matter relating to the prescribed higher education programs of the University and, in particular, may make to the Council such recommendations as it thinks proper with respect to instruction, studies, discipline, examinations, assessments, research, degrees and diplomas in those programs of the University;
- must report to the Council on all matters submitted to it by the Council for report;
- has such other powers and duties as are conferred or imposed upon it by this Act or by the Statutes or Regulations; and
- subject to this Act and, except as otherwise prescribed the Statutes and Regulations, may regulate its own proceedings.

## Board of Technical Studies

The powers of the Board of Technical Studies, as set down in Section 35 of the *Swinburne University of Technology Act* are as follows:

- academic oversight of prescribed programs and courses of study in technical and further education; and
- providing advice to the Council and the Board of Technical and Further Education on:
  - (i) the conduct and content of those programs and courses; and
  - (ii) the awarding of certificates and diplomas in technical and further education.

The Board of Technical Studies shall consist of the prescribed number of members each of whom is elected or appointed as prescribed. There shall be a chairperson and deputy chairperson of the Board of Technical Studies elected by the Board.

## Chancellery

The Chancellery comprises the offices of the Vice-Chancellor, the Senior Deputy Vice-Chancellor, the Vice-Presidents, the Deputy Vice-Chancellors, and the Pro Vice-Chancellor, (Research) and the Vice-Presidents.

The Chancellery, responsible to the University Council, has a range of individual and collective responsibilities and is concerned with policy development and matters affecting the University as a whole. Its principal functions include the strategic planning of the University, the distribution of resources to meet both the operational and strategic requirements of the University, the monitoring of progress towards the achievement of institutional objectives and ensuring an effective interface between the University, State and Federal Governments, business, industry and the wider community.



## ■ Nature and range of services provided

As a multi-sectoral, multi-campus educational institution, Swinburne offers a range of educational programs from apprenticeships to PhDs. These range across the broad fields of applied sciences, business, design, engineering, multimedia, information technology and communications, psychology and the social sciences, the performing arts and the humanities. The University operates across six campuses in Australia – Croydon, Hawthorn, Healesville, Lilydale, Prahran and Wantirna. Swinburne is also associated with two private Higher Education institutions overseas, namely Swinburne Tummasiri in Laem Chabang, Chon Buri, Thailand and Swinburne Sarawak Institute of Technology in Kuching, Sarawak, Malaysia, and in the workplace.

Swinburne has a strong reputation in Australia and overseas as a provider of career orientated education and as a University with a commitment to research. The University maintains a strong technology base and important links with industry, complemented by a number of innovative specialist research centres which attract a great deal of international interest.

A feature of many Swinburne undergraduate courses and practical placements is the applied vocational emphasis and direct industry application through Industry Based Learning (IBL) programs. Swinburne was a pioneer of IBL, a program that places students directly in industry for vocational employment as an integral part of the course structure. Students can undertake IBL in large and small companies within Victoria, interstate or overseas in countries such as England, Canada, Japan, Germany and the United States.

The University continues to play a leading role in creating new approaches to integration between TAFE and Higher Education sectors. At Swinburne, the concept of Pathways has a high profile, and is seen as one of the strengths of this dual sector institution.

Current pathways involve moving either from the TAFE sector into Higher Education or from TAFE based VCE studies into full TAFE courses. A limited number of pathways are also available for students to move from degree courses into TAFE studies, and this will increase in the future. The University has put in place a number of credit transfer agreements between TAFE awards and higher education degrees, which aim for maximum articulation. These are being constantly reviewed and

updated. All these processes of articulation provide students with greater flexibility to complete tertiary qualifications.

In addition the University offers dual qualifications that enable a student to enrol in both a TAFE and a higher education course simultaneously and to gain appropriate cross-credits. This approach assists students to acquire learning of both a theoretical and vocational nature.

Workplace training is a key characteristic of the dual recognition programs developed in Hospitality and Office Administration that are tripartite arrangements between schools, TAFE and industry. Delivery is shared among all partners.

### Teaching divisions

Under the control of a single Council, Swinburne has three teaching divisions in two sectors: Higher Education and TAFE. The three teaching divisions are:

- Division of Higher Education (Hawthorn/Prahran);
- Swinburne University of Technology, Lilydale; and
- Division of TAFE

Each teaching division in Swinburne Australia is headed by a Deputy Vice-Chancellor.

The Higher Education sector offers the qualifications of Bachelor's degree, Graduate Certificate and Graduate Diploma, Masters, Professional Doctorate and PhD.

Academic issues for the Higher Education sector are overseen by the Academic Board which reports to Council.

The TAFE sector offers courses at professional, para-professional and technical level covering diploma, certificate, apprenticeship, VCE, access and postgraduate certificates. Specialist courses are also provided for industry and the community.

Academic issues for the TAFE Division are overseen by the Board of Technical Studies which reports to Council.

### Division of Higher Education (Hawthorn and Prahran)

There are eight Schools and associated institutes within the Division offering a range of undergraduate and postgraduate coursework and research programs focused around the themes of: professional engineering;

information technology; business; business innovation and management; design; multimedia; and health and human services. The eight Schools are:

- Australian Graduate School of Entrepreneurship
- National School of Design
- School of Biophysical Sciences and Electrical Engineering
- School of Business
- School of Engineering and Science
- School of Information Technology
- School of Mathematical Sciences
- School of Social and Behavioural Sciences

In addition the University has a number of University funded Research Centres and three Research Institute which are among international leaders in their disciplines. They are:

- Brain Sciences Institute (BSI)
- Industrial Research Institute Swinburne (IRIS)
- Institute for Social Research (ISR).

### **Swinburne University of Technology, Lilydale (Higher Education)**

Within the context of the University's mission, Swinburne, Lilydale's mission is:

- to inspire and assist individuals to develop their capabilities to the highest potential for personal growth and fulfilment, and for effective participation in the community.
- To advance, and to further the application of, knowledge and understanding for the benefit of society.

Swinburne, Lilydale offers degree and other undergraduate and postgraduate programs in Business, Social Science and Applied Science. Major studies are available in economics, management, human resource management, information technology, accounting, computing, enterprise management, marketing, psychology, sociology, media and tourism.

In addition to its own programs, Swinburne, Lilydale supports and hosts various community programs, such as the Shire/University Growth and Development Partnership including the 2001 Town and Gown Series and the Shire/University conference Sustainability – New Name, New Game.

Swinburne, Lilydale's programs and activities are noteworthy for their inclusion of four core subjects forming a compulsory part of all Swinburne, Lilydale bachelor degree courses and dual award, vigorous Industry-Based Learning and Work-Integrated Learning activity, and a growing international student exchange program.

### **TAFE Division**

Swinburne's TAFE Division is a major provider of technical and vocational education in business, engineering, industrial science, social science, arts and community services.

There are four schools in the TAFE Division:

- School of Arts, Hospitality and Social Sciences
- School of Business and eCommerce
- School of Engineering
- School of Social Sciences.

TAFE at Swinburne also includes the Business Development Group, Consulting and International Group, and Strategy and Innovation Group.

The TAFE Division delivers programs off campus and through outreach and on campus at the Hawthorn, Healesville, Lilydale, Croydon, Prahran and Wantirna campuses and in the workplace.

### **University companies and subsidiaries**

The following companies are subsidiaries of Swinburne University of Technology (SUT):

- Swinburne Limited;
- National Institute of Circus Arts Limited;
- Centre for Innovation and Enterprise Pty Ltd;
- Swinburne Graduate School of Integrative Medicine Pty Ltd.
- Swinburne Ventures Ltd.

The following companies are subsidiaries of Swinburne Limited:

- Neurometric Systems Pty Ltd; and
- Institute for Innovation and Enterprise Ltd.

## ■ Members of Swinburne Council 2001

Name of member	Qualifications, honours and awards	Category of membership
Vacant Chancellor		Ex Officio
Mr T W (Trevor) BROWN (Deputy Chancellor)	FCA	Appointed by University Council
Professor J G (Iain) WALLACE (Vice-Chancellor)	MA, MEd(Glas), PhD(Brist), FASSA	Ex Officio
Ms J (Jean) AUSTIN	BA, DipEd(Sheffield)	Appointed by University Council
Ms J (Judy) BISSLAND	BA(Hons)(Saskatchewan), MA(Ontario), GradDipChildDevelopment, GradDipEd(Melb), MEdStudies(Mon)	Ex Officio – Chair of the Board of Technical Studies
Ms B (Barbara) CAMFIELD	BA, DipLib(RMIT)	Elected by General Staff
Ms K (Karen) CLEAVE From October 2001	BeEcon (La T)	Appointed by the Minister
Mr D J (David) EYNON	BEc(Mon), MA(Melb)	Appointed by Governor-in-Council
Ms H (Heather) GRAY	BA(Hons), LLB(Hons)	Appointed by Governor-in-Council
Mr R G (Robert) HODGES	DipEng(Aero)(RMIT)	Appointed by Governor-in-Council
Ms V (Vicki) KASIDIS	AssDip(Management)(NMIT)	Elected by TAFE Students
Ms J (Judith) KING	BA(Murd)	Appointed by University Council
Mr S (Sam) LIPSKI	AM, BA(Melb)	Appointed by Governor-in-Council
Professor H (Helmut) LUECKENHAUSEN	GradDip(Industrial Design)(RMIT), DipEd(Haw), MDIA, AADM	Ex Officio, Chair, Academic Board
Assoc Prof T (Terry) RANDLE	BEc(Melb), MSc(LaT), PhD(Salford), ARACI, MRSC, MACA	Elected by Higher Education Academic Staff
Mr G (Gage) ROSSITER	Cert IV(Workplace Training)	Elected by TAFE academic staff
Mr C (Clint) STEELE	BEng(Mechanical)(SUT), GradDipManagement(SUT)	Elected by Higher Education Students
Mr D R (Doug) WATSON	DipMS(Lon), FCIS, FAICD, FAIBF	Appointed by Governor-in-Council
Ms K N (Kath) WATSON	AM, BA, BEc(Melb)	Appointed by University Council
Mr I R (Ross) WILSON	BEcon(Hons), MBA(Mon)	Appointed by Governor-in-Council
Vacant		Appointed by University Council

## ■ Senior officers and their areas of responsibility

### Chancellor

The position was vacant over 2001.

The Chancellor is the titular and ceremonial head of the University. They are the Chair of the University's governing body, the Council.

### Vice-Chancellor

Professor J G Wallace, MA, MEd(Glas), PhD(Brist), FASSA

The Vice-Chancellor is the Chief Executive Officer and President of the University and is responsible and accountable to Council for all aspects of the efficient and effective operation of Swinburne

### Senior Deputy Vice-Chancellor

F G Bannon, BCom(Melb), FCPA, ACIS, ACIM, LCA

The Senior Deputy Vice-Chancellor, apart from the principal role within the Chancellery of assisting the Vice Chancellor to oversee the management of Swinburne, is responsible in particular for the administration of the University.

### Deputy Vice-Chancellor, Higher Education (Hawthorn and Prahran)

Professor D Murphy, BE, MSc, DPhil (Oxon), MAIP, FIEAust, CPEng

### Deputy Vice-Chancellor, Swinburne, Lilydale and Deputy Vice-Chancellor, Learning and Teaching

Professor B van Ernst, AM, BA, BEd(Mon), MEd(LaTrobe), TPTC, MACE

### Deputy Vice-Chancellor, TAFE Division

V Simmons, BA, DipEd(Monash), GradDipEdAdmin (Hawthorn) until 27 April 2001.

A Crozier, BSc (Hons) (LondU), PGCE(Camb), ARCS, from 10 September 2001.

The Deputy Vice-Chancellors in charge of each Division are responsible for the leadership, planning and management of all academic and administrative activities within their Divisions.

### Pro Vice-Chancellor, Research

Professor K Pratt, BE, BE(Chem), PhD(Melb), FTSE, FICHE, FIEAust, Ceng, FRACI, CChem

The Pro Vice-Chancellor, Research is responsible for the leadership, planning and co-ordination of the University's research function and for operations of the Swinburne Graduate Research School.

### Vice-President

S Murby, BSc(Hons)(La T), GradDipEd(Hawthorn), FRSA

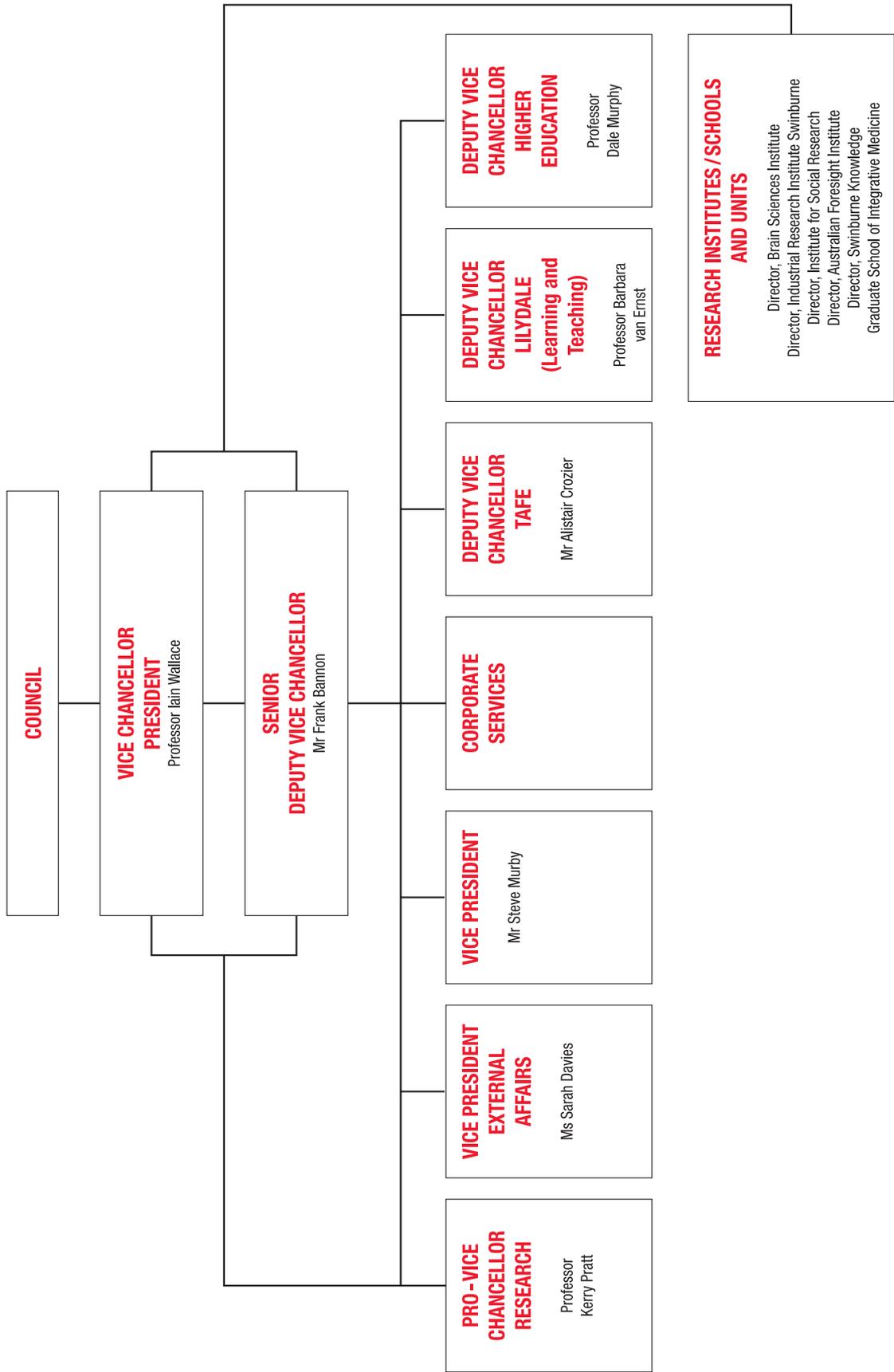
The Vice-President leads the University's Information Management Group and is responsible for facilitating the University's international initiatives.

### Vice-President, External Affairs

S Davies, BA (Hons) (Leic), Dip. Marketing (CIM), AFAMI, CPM.

The Vice-President, External Affairs is responsible for Corporate Marketing, Education Abroad, Careers and Employment, Alumni and Development, and the International Student Unit. The Vice-President also assumed responsibility for Student Administration and Student Services in 2001 pending a review of these areas.

**SWINBURNE UNIVERSITY OF TECHNOLOGY  
ORGANISATION CHART**



## ■ Operational objectives for 2001 and performance against objectives

Swinburne's operational objectives are set within the context of the Statement of Direction 2010 which includes Swinburne's statement of its future:

*to be a pre-eminent entrepreneurial university from the Asia-Pacific, thriving on new ideas and knowledge and exploiting our intersectoral heritage to create value for our stakeholders.*

The Statement of Direction 2010 outlines the five strategic themes which will focus the University's activity until 2010. The five University strategic themes are:

- The Entrepreneurial University
- The Research Intensive University
- Internationalisation
- Flexible Learning and Teaching
- The Intersectoral Advantage

2001 was the first full year of implementation of an integrated University Planning Framework and the first year in which the five strategic themes of the Statement of Direction 2010 were operationalised within this Framework.

The University's performance against its objectives is structured around the five strategic themes. There were no major changes or factors affecting the achievement of operational objectives in 2001.

### Promoting innovation

#### **Global Entrepreneurship Monitor (GEM)**

The annual Yellow Pages GEM report, which compares the progress of Australian entrepreneurs with those of 29 other countries, was produced by Professor Kevin Hindle and Susan Rushworth from the Australian Graduate School of Entrepreneurship (AGSE) in 2001. The report showed that Australia has one of the highest rates of business start-ups in the world, with just over 8% of the population being involved in starting a new business at any one time. The GEM project also investigated what prompts entrepreneurs to start a business opportunity (opportunity entrepreneurs) and those driven by a lack of other options (necessity entrepreneurs).

#### **The entrepreneurial university**

Swinburne will be a renowned centre for entrepreneurship and innovation. Entrepreneurship and innovation will be a hallmark of everything we do. We will prepare students to participate in the new economy and society of the twenty-first century and heighten their awareness of, and capacity to make the choice between employment and self-employment.

#### **Swinburne Venture Cup**

The Swinburne Venture Cup was held for the second year in 2001. It is a 10 week business planning competition for teams of students at each level of the university – TAFE, Undergraduate and Postgraduate. The task sounds straightforward but students involved have spent hundreds of hours devising, expanding and refining their business concept. Student interest and participation in the competition had more than doubled from 2000 with 67 TAFE students, 38 undergraduates and 23 postgraduate students submitting proposals.

A series of venture workshops were held during semester 2 to help teams form and develop their business plans. Applications were submitted and assessed, and finalists presented their business concept to a panel of judges. Category winners were selected on the basis of the panel's view of the most likely to succeed and receive \$10,000 towards the set up or development of the business.

Funding for the Venture Cup has been obtained from the Stanford Group, the Department of Industry, Science and Resources, as well as in-kind support from the Venturelink network (Swinburne Entrepreneurship alumni) and Swinburne staff.

The Hon John Brumby, Minister for State and Regional Development, presented prizes to the winners at a presentation dinner on 6 December 2001. In his address to the dinner, Minister Brumby acknowledged Swinburne's leading role in entrepreneurship education and development, with particular reference to the Global Entrepreneurship Monitor (GEM) survey, and Swinburne's input into the development of his Department's entrepreneurship and enterprise strategy.

The winners of Chancellor's Prizes of \$10,000 each were:

**TAFE – DogZone**

Sally Theofanides, Kirsten Brewer and Rick Kelly, (Advanced Diploma of Business Marketing students)  
– an upmarket dog day care centre.

**Higher Education Undergraduate – Blue Stream – Aquaculture Technologies**

Mark Byrne, Chris Grinter, Sam Burke (Bachelor of Engineering [Electrical/Electronic]/Bachelor of Business [Management/Accounting] and Aaron Maher (Bachelor of Engineering [Electrical/Electronic]/Bachelor of Business [Management/Finance])  
– a high technology approach to farming freshwater crayfish

**Higher Education Postgraduate – GeneScape**

Micha Atkin, Andrew Dowling, Tim Waterman and Enginda Lemma (PhD students in Engineering at IRIS)  
– the development of unique portable scientific instruments for genetic analyses.

The other finalists were:

**TAFE**

*B'Dazzled* – a novel range of jewellery.  
*Allegra Management* – fashion events for new designers  
*Extreme Oz Tours* – specialised extreme sports tours

**Higher Education undergraduate**

*The Entrepreneurs* – Information digitising services  
*Little Red Amusements* – amusement rides

**Higher Education postgraduate**

*Retire Bizzi* – promotion of profitable retirement activities  
*D-Caf* – promotion of art, new product designs, etc. in a café  
*Face to Face* – a new range of efficient compressed air motors

The winners of the Stanford/Swinburne Enterprise Award of \$5,000 (donated by the Stanford Group – Charles Pellegrino and Fred Ursini) was awarded to GeneScape.

The Information City Victoria Incubator Award was presented to I3 Media, a business improving multimedia usability, particularly for the disabled. This new Award comprises a valuable package of mentoring and incubator occupancy and is awarded to the best Information and Communication Technologies entry.



**Knowledge and Innovation Week**

A Knowledge and Innovation Week was successfully organised by the Industrial Research Institute Swinburne (IRIS) which attracted senior business leaders and involved research students presenting business plans to seek venture capital.

A large scale Knowledge and Innovation program for postgraduate research students to develop entrepreneurship and innovation skills has been developed and made available to students.

**Industrial Research Institute Swinburne (IRIS)**

Formal research linkages and student and staff exchanges with major universities in Europe, including Warwick and Stuttgart, continued in 2001. IRIS also participated in the global Intelligent Manufacturing Systems program for manufacturing education and research. This program includes representatives from the United States, Europe and Japan who aim to improve the quality of manufacturing education and research globally.

**Leadership and Entrepreneurial Attributes Development (LEAD) Program**

A second cohort commenced the LEAD program in 2001. The LEAD program aims to offer a group of high potential PhD students the opportunity to develop leadership and entrepreneurial skills while they are studying. The objectives of the LEAD program are to:

- equip PhD graduates with additional skills and knowledge required for a research career in industry or business;
- expose research students to the concepts of teamwork, scenario planning, communication and project management to enable them to lead R&D programs;
- broaden PhD students' understanding of the business, social, international and ethical contexts in which research is undertaken;
- develop the spirit and skills for entrepreneurship and innovation among PhD students; and
- enhance the PhD experience by providing a program that develops networks among students across a range of disciplines.

**Research seminars**

A seminar was provided by the Office of Research and Graduate Studies on the commercialisation of intellectual

Much is known about how to look after books – provided that they are not printed on a medium which deteriorates rapidly, they will last for many centuries. However, some digital items cease to be usable after a very short period – as little as a decade. This is because of the obsolescence of hardware and software formats, lack of clear responsibility for their preservation, and issues around version control.

property titled: 'Don't give away your most valuable asset'. The seminar provided information for both academics and postgraduate students on how to identify, protect and commercialise ideas and innovations. Speakers included experienced IP experts from within Swinburne and from external companies, including the Director General IP Australia.

**Digital continuity**

The Information and Resources Group and the Australian Foresight Institute hosted an Australasian Digital Continuity Forum on 19 November 2001.

Digital continuity is the term for the expectations and plans for the continuing existence of digital documents and other objects of all kinds. Much is known about how to look after books – provided that they are not printed on a medium which deteriorates rapidly, they will last for many centuries. However, some digital items cease to be usable after a very short period – as little as a decade. This is because of the obsolescence of hardware and software formats, lack of clear responsibility for their preservation, and issues around version control.

The Forum has resulted in a network being established to further information exchange and communication and to consider an appropriate research program on digital continuity. The Australian Foresight Institute at Swinburne will offer a subject in digital continuity privacy and risk – three of the big areas of the information economy.

## Learning and teaching in the entrepreneurial university

### **Australian Graduate School of Entrepreneurship**

The name of the Graduate School of Management was changed in February 2001 to the Australian Graduate School of Entrepreneurship (AGSE). This name change reflects a sharpening of purpose and philosophy and firmly grounds the School in its focus of entrepreneurship. AGSE's courses will concentrate on the skills and knowledge needed by entrepreneurs, on the management of change and on the imperatives for doing business internationally.

A new MBA program was launched in AGSE during the year, and two new professors were recruited. These were Professor Kevin Hindle, Professor of Entrepreneurship (Research), and Professor Tom McKaskill, Professor of Entrepreneurship (Education).

A new Director of Executive Development Programs, Bronwyn Lewis, was also appointed to develop this line of business for the School.

Professor Murray Gillin, a retired Swinburne staff member, was awarded the BHERT (Business Higher Education Round Table) Entrepreneurship Educator of the Year Award. Professor Gillin established entrepreneurship education at Swinburne, and has remained active as an educator since his retirement from Swinburne.

### **Entrepreneurship and the curriculum**

Students in the Higher Education Division have been increasingly exposed to entrepreneurship during 2001:

- an entrepreneurial theme was embedded in most Stage 1 and Stage 2 subjects of all courses offered by the School of Business;
- A new entrepreneurship subject – New Venture Development and Management – was offered to non-Business students during Summer Semester 2001/2002;
- an entrepreneurship elective – The New Social Entrepreneurship: Philanthropy, Community and Wealth – was introduced by the School of Social and Behavioural Sciences;
- the Graphic Design and Industrial Design courses offered by the National School of Design now include an entrepreneurial elective subject; and
- three entrepreneurial subjects are available in engineering management programs in the School of Engineering and Science.

## New opportunities

### **Consultancy projects: TAFE**

The TAFE Division continued its success in tendering for consultancy projects and by the end of 2001 had been awarded \$5.1 million of projects. The Division was successful in 52% of the 86 individual tenders submitted. Most of the tendering activity is based in the School of Social Sciences, School of Business and eCommerce, and Industry Consultancy. Some of the notable projects include:

- Training Materials Development in eBusiness (BST Australia, \$217,000);
- Alcohol and Drug Training for Indigenous Health Workers (DHS, \$100,000);
- Alcohol and Other Drugs Training for 190 DHS employees in Family Violence, Housing, Psychiatric Disability, Youth, Disability and Ethno-Specific areas (\$95,000);
- Development of learning resources for forestry (FAFPESC, \$110,000);
- Training in management and business nationally (Telstra \$300,000 and Centrelink \$400,000); and
- Training needs analysis and a competency mapping project for the Supported Accommodation Assistance Program (DHS, \$90,000).

One of only 17 service providers appointed to Telstra's Learning and Development Preferred Provider Panel, Swinburne secured the contract arrangement to provide learning services nationally in the areas of Leadership, Business and Management in December 2001. The potential to deliver Certificate level training through to nationally recognised MBA level qualifications will now be strongly marketed to Telstra, providing an excellent platform for the creation of close working relationships between TAFE and Higher Education.

During 2001 Swinburne was contracted to provide the Department of Justice's Corporate Learning Program for the next three years. This major project involves the delivery of the Public Services Training Package through a mixture of learning opportunities including facilitated workshops, self paced and online learning, and recognition of current competence to Certificate III, IV and Diploma level. Involving the delivery of over 100 workshops annually the Corporate Learning Program is available to all staff, including regional staff requiring Swinburne to undertake the delivery of training in country locations.

New ventures were established, or strengthened, with:

- the development of the Community Jobs Program for unemployed youth and the Checkpoint Project both provide a range of employment and training options for youth and disadvantaged people and were government funded initiatives that further develop links with local communities; and
- the development of Local Learning Employment Networks (LLENS), and the Healesville Indigenous Arts Enterprise project which are examples of collaborative arrangements with local government and local business and community groups.

#### **Consultancy Projects: Government/External**

The School of Social and Behavioural Sciences successfully obtained an important research consultancy with the Victorian State Government's Office of Public Employment. The consultancy will involve providing the Commissioner for Public Employment with statistical and methodological advice on new, and some existing, research projects relating to the working conditions of 180,000 public servants.

A range of initiatives resulted in strong take up of training by Swinburne in the local government sector during 2001. Achievements include the securing of a learning alliance with Maroondah City Council, delivery of the Local Government Training Package to Hobson's Bay City Council, City of Melbourne and the Department of Urban Services in Canberra. Delivery of Traineeships to the Mornington Shire Council has also been facilitated. The National Review of the Local Government Training Package has now commenced and Industry Consulting Services (ICS) sits on this committee as the Victorian TAFE representative.

Strong take up of Frontline Management in industry was also secured in 2001, as represented by programs delivered to Kenworth trucks, Radio Frequency Systems, Catten Metal Industries, Pacific Foam (a division of Pacific Dunlop), Royal Women's and Children's Network, and St. Vincent's Hospital.

The Information Resources Group conducted a significant study – Virtually New Victoria – for the State Library of Victoria.

Consulting services provided by the unit are varied and include:

- the provision of performance management training and learner's resource materials to VicRoads staff and management statewide

- mapping and skills analysis audit for the REIV, mapping their training program to the Real Estate Industry Training Package
- a similar consultancy was secured with VicRoads who sought advice on competencies in the works and surveillance management skills area.

#### **Alliances**

A strategic relationship was developed between the School of Information Technology and the ANZ Bank in 2001, which has led to two tailored Graduate Certificate courses being designed (one offered twice in 2001), and explorations towards research linkages.

#### **Wurreker**

Wurreker means the Message Carriers, and is a strategy devised by the equal partnership of the Department of Education, Employment and Training (DEET) and the Victorian Aboriginal Education Association Incorporated. Swinburne has been asked by the Victorian Government to consult within the TAFE Division's indigenous communities to develop a Division-wide Wurreker Implementation plan that addresses the four principles of Wurreker:

- Self determination
- Maintaining indigenous culture and identity
- Indigenous community development, and
- Individual development

In March, members of Swinburne's indigenous community met at the new Indigenous Learning Centre at the Lilydale campus to discuss the community's needs, and strategies to help fulfil these needs which will form the basis of Wurreker Implementation Plan for 2001– 2004. This plan was approved by ETTE in 2001. An internal committee of indigenous and other staff meet regularly to implement strategies in the plan.

#### **Tertiary Press**

In April 2001, Swinburne's publishing arm – Eastern House – changed its name to Tertiary Press. Tertiary Press had been an imprint of Eastern House, publishing exclusively for higher education while TAFE publishing was under the Eastern House imprint. Both lists will be drawn together in a move which signals the University's intention to develop a broader tertiary list by extending existing vocational publishing and building a diverse list of textbooks for university students.

### ***Student opportunities***

Students from the Graduate Diploma in Applied Media were engaged as writers to produce material for a range of industry websites, including the Gold websites being produced by SBS and the Victorian Cultural Collaboration (which includes the Victorian Arts Centre, Museum Victoria, the National Gallery of Victoria, the State Library, Cinemedia, the Victorian College of the Arts and the Royal Botanical Gardens).

### ***Funding capital works***

The Swinburne Lilydale Building Fund was established during 2001. This is designed to raise funds to enable accommodation for the Centre for eBusiness and Communication, which is currently housed in rented facilities, to be built on campus.

### ***New centres***

Swinburne, Lilydale established the Swinburne Centre for Regional Development in 2001. The Centre will contribute to the identification of the needs of periurban regions, seeking solutions to issues such as the residential agribusiness interface, sustainable development and tourism.

The TAFE Division established the Centre for Food and Wine Tourism and Centre for Sustainability which operate across all Divisions of the University, as centres of excellence. The establishment of these Centres opens up new opportunities and collaborations for individuals, organisations, state and federal institutions, and the general community.



## Commercialising intellectual property

Swinburne was successful in securing a \$100,000 COMET (Commercialising Emerging Technologies) grant for a collaborative project to commercialise a new and innovative technology that provides for information and know-how produced in an organisation to be captured, managed and owned by the organisation. A new company IP Flex Pty Ltd was established to facilitate this joint venture.

Swinburne Ventures is a subsidiary of the University established in 2001 to support the implementation of the Entrepreneurial University theme. The company was incorporated to evaluate proposals for the commercialisation of Intellectual Property and advise on the best approach to commercialisation and access to venture capital.

IRIS and Swinburne Knowledge commenced investigations into the feasibility of establishing a Research and Development company based on Microwave Technology.

Researchers in Swinburne's Centre for Microphotonics have developed optics technology and photorefractive media which has the potential to dramatically increase the capacity of transportable and rewritable data storage systems. Bruce Whan, Director of Swinburne Knowledge, the University's commercialisation unit has been closely involved in taking this research along the path from innovation to commercial product. Swinburne has established a spin-off company to commercialise this technology, 3DCD Technology Pty Ltd,

which will further investigate the nature of the market, identifying the major players, and competing technologies and products, with a view to projecting the most appropriate commercial pathway for the new technology. 3DCD Technology also won a COMET grant from the Department of Industry, Science and Resources to assist the early stages of planning and commercial development.

## Developing Human Resources

### Highlights

- First Staff Feedback Survey in 2001. The results of this Survey, including results specific to organisational units and University wide, have been communicated to all staff. Each organisational unit has commenced the process of translating the results into Human Resources strategies for 2002 and beyond.
- Launch of the first stage of the Employee Self-Service Web Kiosk, which enables staff to access pay details, print their own pay slips and change personal details directly via the University intranet.
- During 2001 the TAFE Division trialled Performance Planning for teaching staff. This proved successful and will be fully implemented in 2002.

The Human Resources Strategic Plan was completed in 2001. The Plan is a key driver in the implementation of the University's five strategic themes, particularly in terms of

### Staff numbers 1999–2001

		Number staff at 31.12.99	Number staff at 31.12.00	Number staff at 31.12.01
<b>Academic staff</b>				
Higher Education	Full-time	299	364	370
	Part-time	58	75	90
	Sessional	121	141	116
<b>TAFE</b>				
	Full-time	304	301	314
	Part-time	178	188	201
	Sessional	283	259	387
<b>General staff</b>				
(University-wide)	Full-time	558	685	704
	Part-time	168*	211	217
<b>Totals</b>		<b>1801</b>	<b>2224</b>	<b>2399</b>

#### Notes:

1. \*casual staff provided by external agencies from March 1999
2. NICA has been excluded from the figures
3. Sessional staffing figure taken from pay period ending 2/11/01

human resources management practices and cultural change. Projects were completed throughout the year, including Human Resources Benchmarking and the successful introduction of a Performance Planning, Review and Development process for all staff.

On-line induction for new staff was completed and implemented in December 2001, along with a Web Kiosk that allows staff to update their personal and pay details and view and print copies of their pay-slips. Other initiatives included a training program in equity and diversity.

### **Staff development**

Responsibility for staff development in the Higher Education area has been devolved to the Schools level and the HR Strategic Plan commencing 2002 commits to the implementation of centralised monitoring of staff development and benchmarking.

### **Merit and equity principles**

Swinburne policies and procedures relating to human resources contain provisions to ensure that activities are undertaken having due regard to merit and equity.

Selection and promotion are undertaken against established criteria on the basis of merit. The composition of selection committees is determined having regard to equity requirements and members are made aware of equity issues.

The University has policies and procedures for Anti-Discrimination, Sexual Harassment and Indigenous Employment. Staffing Resources in the equity area have been re-focused to enhance the advisory and training capability.

An Equity Advisors Network operates across the University, the members of which have been provided with focused training.

A separate and comprehensive skill development program for managers was developed in 2001 for implementation in 2002, while a comprehensive on-line training package on the prevention of harassment and discrimination is available to all staff via the University intranet.

Workforce flexibility and information on support for staff with family responsibilities has been advanced through the recently established Enterprise Agreements.

### **Industrial relations**

No time was lost during 2001 due to industrial disputes.

Two Certified Agreements, one covering all Academic and General Staff and another covering maintenance, cleaning and security staff, were successfully negotiated. Family friendly provisions were incorporated into these agreements.

**The Human Resources Strategic Plan was completed in 2001. The Plan is a key driver in the implementation of the University's five strategic themes, particularly in terms of human resources management practices and cultural change. Projects were completed throughout the year, including Human Resources Benchmarking and the successful introduction of a Performance Planning, Review and Development process for all staff.**

### **Occupational Health and Safety (OHS)**

The University is committed to providing all its employees, students, contractors and the public with a healthy and safe environment for work and study. Swinburne strives through a process of continuous improvement, to fully integrate health and safety into all its operations and activities.

Achievements in 2001 included:

- development of enhanced safety policies, procedures and supporting resources with a focus on areas assessed as presenting greatest risk;
- significant investment in training our people in OHS responsibilities and risk management approach to improving workplace safety;
- reduction in new WorkCover Claims during 2001 and development of improved injury management capability;
- campus and peak OHS Committees established and operating.

Core OHS procedures developed relating to:

- hazard notification and control procedure;
- incident notification and control procedure;
- issue resolution procedure; and

- workplace inspection procedure;
- OHS KPIs for 2001 developed and endorsed by the Swinburne Occupational Health and Safety Committee for implementation in 2002;
- a hazardous substances risk management guide was developed and 6 half day training sessions conducted; and
- plant safety risk management guide developed and half day training sessions conducted.

Performance measures regarding OHS matters were developed in 2001 to guide and measure University qualitative and quantitative performance and will be implemented in 2002. Targets address the following areas:

- WorkCover early intervention strategies;
- induction of our people and contractors;
- review of OHS policies and procedures;
- improved information systems and reporting; and
- noise assessment and hearing conservation.

### **Public Sector Management and Employment Act**

The University complies with the principles as detailed in sections 7 and 8 of the *Public Sector Management and Employment Act 1998*.

The University has established policies and procedures that ensure compliance with the employment and conduct principles, including a Staff Grievance Policy, a Sexual Harassment and an Anti-Discrimination Policy, which provide clear avenues for staff to seek re-dress for unfair or unreasonable treatment. In addition, the University has a Conflict of Interest Policy and a Consultancy policy, both of which address issues of conduct.

During 2002 the University also established policies and procedures pertaining to the *Privacy Act and the Whistleblowers Protection Act 2001*.

The policy and procedure process is enhanced through an on-line policies and procedures database, enabling greater staff access and awareness of the University's policies and procedures.

A Human Resources Consultative Committee, with representation from a broad cross-section of the organisation, serves as a forum for consultation on the full range of human resources matters, including policy development, human resource planning and equity matters.

The University took steps in 2001 to enhance the training of staff in a range of equal employment opportunity initiatives, in order to support the objective of valuing diversity across the organisation (see *'Application of Merit and Equity Principles'*).

The University continues to focus on customer service improvement issues and the development of our staff, through an enhanced human resources development strategy.

### **Aligning infrastructure and service functions for an entrepreneurial university**

The University's goal to become a pre-eminent entrepreneurial University requires that it give high priority to building effective infrastructure that will support and enable entrepreneurial activities at all levels. This includes: physical infrastructure; support systems, including all information technology systems, core network capability and management information systems; and service functions, whether dealing with internal or external stakeholders.

### **Corporate marketing**

Corporate Marketing planned, conducted and reported on an audit of visual identity and logo/brand usage in conjunction with Cato Partners. Planned market research was conducted for the TAFE and undergraduate markets to measure top of mind awareness and brand positioning.

A media relations strategy was developed, and media training provided to staff. Campus tour guides were produced for each Australian campus, and postgraduate marketing was consolidated with one University-wide postgraduate website. New Apprenticeship Information Evenings were successfully implemented.

A trial of emarketing using an e-zine format occurred in 2001, with evaluation in 2002, and Virtual Open Day was launched – an on-line, interactive tour of Swinburne's six Australian campuses. Further development of the on-line course and subject database for prospective students was completed, with continuing development planned for 2002. The unit continued to pursue new methods and tools to enhance marketing activities and to support the operationalisation of the University's five strategic themes.

### **Facilities and Services**

Country Fire Authority Essential Services Compliance was achieved for all eastern campuses (Croydon, Healesville, Wantirna).

Increased rental income was generated in 2001 from two Co-operative Research Centres, and a variety of companies and organisations leasing space for the first time.

Significant progress has been made under the AAPPA (Australasian Association of Higher Education Facilities Managers) Benchmarking Survey. Of the 34 participating universities, Swinburne moved from a rank of 31 in 1998-1999 to 25 in 1999-2000, to 17 in 2000-2001.

#### *New facilities*

Lilydale Building C was completed. This is a jointly funded and jointly occupied TAFE/Higher Education facility which includes an exciting gallery space, opened in May 2001, with an indigenous art exhibition as one of the events of Reconciliation Week.

The purpose built, jointly funded (Swinburne/Victorian Government) and occupied State Gymnastic and National Institute of Circus Arts (NICA) teaching and training facilities were completed and occupied.

The University's Statement of Compliance with the Building Act can be found on page 50.

### **Foresight and Planning**

Implementation of the University's Planning Framework continued during 2001, with all units preparing plans and reporting against the University's five strategic themes. The first Staff Survey conducted during 2001 showed that more than 75% of staff were aware of the five themes.

#### *Planning*

The University Planning Framework integrates planning at all levels of the University, while allowing units to develop appropriate planning processes for their local activities. During 2001, significant progress was made towards integrating the Higher Education and Corporate quality review processes into the Framework, which was also reviewed to ensure it would take into account any new requirements highlighted by the University's involvement in the first round of audits by the Australian Universities Quality Agency (AUQA).

A number of strategic planning events were held at the University level during 2001.

- The second University Planning Conference was held in April, the theme being 'Striving for 2010: Making it work: Implementing the Five Strategic Pillars.'
- The second Council Planning Workshop took place in May, 2001. This allowed the University's Senior Management Group and Council members to participate equally in discussions around 'Towards a World Class Entrepreneurial University: Managing the Transition'.
- A series of Foresight Seminars were held at all campuses to introduce staff to the concept and practice of Foresight. The Seminar was also presented to major committees.
- Management Issues Seminars were presented for staff on topics including:
  - Swinburne Information Technology Enhancement Strategy (SITES);
  - Systems 21 Update;
  - Service Level Arrangements Update;
  - Preparing for AUQA;
  - Swinburne Student Experience;
  - Balanced Scorecard; and
  - AUQA Update.

#### *Foresight*

The Foresight and Planning Unit has a brief to integrate foresight into the University's Planning Framework. Initially, this is being achieved by foresight publications and by the use of scenario planning in unit and University planning.

At the unit Level, Scenario Planning Workshops were held for External Affairs, the Registrar's Department, Information Resources Group and the School of Information Technology. During 2002, a University-wide scenario planning exercise will be held to explore how the University's five themes might develop over the next 20 years.

The LEAD program, Australian Institute of Computer Ethics, School of Social and Behavioural Sciences, Brain Sciences Institute, and students of the Master of Business in Leadership and Organisational Dynamics invited Foresight staff to present a seminar to their group. The Unit delivered Foresight Seminars to the Queensland Department of Primary Industry, the Commonwealth Department of Employment, Training and Youth Affairs, and the Association for Tertiary Education Management. Papers were also presented at the Technology, Transfer and Innovation, and Australasian Association for Institutional Research conferences.

### **Information Technology services**

The Swinburne Information Technology Enhancement Strategy (SITES) consisting of a Network Refresh Strategy, Server Consolidation Strategy, and Desktop Strategy was completed over 2001. All Intel based core systems were replaced, and WAN links were duplicated to all campuses for redundancy. Network infrastructure was replaced and uninterruptible power supplies were installed.

Information Technology was involved in the upgrading of Finance One to Version 9.2 and trained 950 staff in software applications.

A Voice Over Internet Protocol was piloted by Information Technology Services for implementation in 2002.

A Tier One relationship was developed with Compaq for the provision of desktop computers, and a computer deal for staff and students was also negotiated.

A Disaster Recovery Plan was also developed.

### **Systems 21**

A range of activities continued during 2001 as part of the University's Systems 21 Project. Systems 21 is a process to identify, select and implement information systems which meet the University's strategic direction and business priorities. The Systems 21 Master Plan has been developed and is subject to ongoing review.

The evaluation of student and course administration systems, in collaboration with Victoria University of Technology, was finalised with the completion of site visits and a subsequent recommendation was made. Records Management requirements were completed and a series of 'Envisioning the Future' activities were undertaken with key stakeholders, looking at future directions in education and associated service delivery impacts.

### **Careers and Employment**

109 workshops were delivered on employment preparation and career planning to undergraduate and postgraduate students. These workshops were structured around topics and issues requested by students and academic areas.

All Careers and Employment career planning and job hunting handouts became available on-line, and the Unit continued to actively contribute to the development of the on-line career development site with MonsterTrak.

The Unit organised a successful inaugural Employer Fair with 60 organisations and over 1500 students

participating. Feedback was positive from both groups, and a second Fair will be held in 2002.

The Graduate Recruitment Program continues to be a major source of employment of graduates, and was expanded to the web to improve student access.

### **Office for Quality Education**

In 2000 the Swinburne Quality Management System (SQMS) was the subject of two major reviews, internally by the University and externally by Professor Ken McKinnon. These reviews found that, though a useful tool at the organisational unit level, there was too much variation in the way the Self-Assessment process was being managed by different units for there to be a consistent University-wide approach to continuous quality improvement. The Swinburne Quality Review System (SQRS) was implemented in 2001 as a result of this review and is based on a more strategic 'process review' approach and involves the formation of cross-functional, University-wide, Self-Assessment teams.

Three University-wide SQRS process reviews in Continuous Quality Improvement, Staff Development, and Intersectoral Development were implemented and completed.

15 new Quality facilitators were trained in Auditing skills and SQRS, nine staff were trained in Self-Assessment, and 17 staff in Facilitation skills, creating a substantial pool of staff who are trained in quality review processes.

In conjunction with the DVC Learning and Teaching, and the DVC Higher Education, the Office for Quality Education facilitated development of a trial survey of employers of Swinburne graduates on graduate attributes.

This Office also participated in surveys and the processing of returns for the New Student Survey, GCCA, Library Information Desk Survey, Graduate Attributes Survey, TAFE teacher qualifications Survey, Research programs evaluation, and the Institute of Social Research Housing Distance Education program evaluation.

### **Registrar's department**

The Allocate Plus class timetabling system for Higher Education students was commissioned in 2001 for implementation in Semester 1, 2002. This gives students the ability to select preferred classes they would like to attend offering greater choice. Students have an increased ability to change their selected options and individual Student timetables will be available.

A major review of the Policies and Procedures database was completed. The web-enabled database is the official repository for all University policies and procedures and is reviewed on a rolling annual schedule to ensure documentation is current.

A multi-functional team at the Pratt Campus, Lilydale was achieved with the establishment of a campus Student Centre, serving both TAFE and Higher Education students.

The amalgamation of central student administration functions at Hawthorn occurred following renovations to the Administration Building.

A review of Student Financial Policies and Procedures was undertaken to incorporate a number of changes made over the last few years. ASCOL and financial processes have been improved and responsibilities in some areas have shifted.

### **Finance**

The Department of Finance refined the University's first triennial budget including all income and expenditure, and in conjunction with Information Technology Services, reviewed the University's leasing arrangements, and successfully put in place new arrangements providing financial savings and operating efficiencies.

### **Information Resources**

An online reserve collection was established for the whole university, putting Swinburne alongside the leaders in this area. Refocusing of the journals collection, accompanied by the development of on-line infogates and other on-line support, has seen the total journals collection increase to well over 20,000 titles.

The University entered into a sampling agreement with the Copyright Agency Limited to take effect from 1 January 2002. This provides a clear direction for management of copyright which is both compliant with the law and maximises benefits to the university. New copyright procedures were implemented as a result of the Digital Agenda legislation.

Benchmarking of reference and information, and check-in and reshelving, was completed, resulting in innovative service delivery projects being developed by staff.

From February 2001 networked laser printing has been available from computers in all Swinburne Campus Libraries including the Wantirna and Croydon Campus Libraries, providing improved service for students.



## ■ The research intensive university

We will scale up the levels of research activity in all Schools and Institutes in the Higher Education Division so that the Division becomes truly research intensive.

Swinburne's research vision is:

*'To be regarded both nationally and internationally as a respected research-intensive University of Technology, excelling in research outcomes in our chosen areas of concentration, in which teaching, learning and research are inextricably connected and mutually supportive.'*

### Build excellence in research

The University's key research performance indicators continue to show healthy increases. Latest research income figures for the year 2000 (collated and reported in 2001) show nearly \$8 million of research grant funding, including \$1.75 million of Cooperative Research Centre funding.

### Research centres

The University currently has at least 30 significant research centres and clusters, many of which have been established in the last 5 years. One example is the Centre for Astrophysics and Supercomputing lead by Professor Matthew Bailes. This Centre currently has 2 full time astrophysicists working largely in the area of pulsar astronomy, 7 on galaxies and cosmologies and 5 full time staff working in more commercial areas associated with the supercomputer which is the second largest in Australia. This Centre published 39 journal articles in the past year and earned a total of \$1,111,596 in research grants and contracts during 2001, although some of the grants will extend into 2002 and 2003. A highlight during 2001 was the publication of a research paper in the prestigious journal Nature by one of the PhD students, Willem van Straten.

### Swinburne Cooperative Research Centres

Swinburne is a partner in the following Cooperative Research Centres:

- Industrial Microwave Systems and Technology
- Microtechnology
- Cast Metals Manufacturing
- Innovative Wood Products and Welding
- Smart Internet Technologies
- International Food Manufacture and Packaging Science
- Intelligent Manufacturing Systems and Technology
- Clean Power from Lignite

### Significant research clusters and centres

In addition to the Tier 1 and Tier 2 Research Centres and Institutes, there are many other significant research clusters across the University in the following areas:

- Brain Sciences Institute (T1)
- Centre for Applied Colloid and Biocolloid Science (T1)
- Industrial Research Institute Swinburne (IRIS) (T1)
- Institute for Social Research (T1) – additional research centres within the ISR include:
  - The Asia-Pacific Centre for Philanthropy and Social Investment
  - Swinburne-Monash AHURI (Australian Housing and Urban Research Institute) Research Centre
  - Research Networks:
    - Asia-Pacific Housing Researchers Network – Hong Kong University
    - David C. Lam Institute for East-West Studies – Hong Kong University
- Swinburne Computer Human Interaction Laboratory (SCHIL) (T2)
- Australian Foresight Institute
- Australian Graduate School of Entrepreneurship (AGSE)
- Centre for Astrophysics and Supercomputing
- Centre for Biomedical Instrumentation
- Centre for Business Management Research (CBMR)
- Centre for Microphotonics
- Centre for Atom Optics and Ultrafast Spectroscopy (CAOUS)
- Centre for Imaging and Applied Optics (CIAO)
- Telecommunications
- Centre for Intelligent Systems and Complex Processes
- Neuropsychopharmacology

- Sensory Neurosciences
- Surface Engineering
- Centre for Mathematical Modelling
- Modelling and Simulation
- Infrastructure Service Management
- Biotechnology
- Centre for Psychological Services
- Centre for Software Engineering
- Graduate School of Integrative Medicine
- Information Technology Innovation Group (ITIG)
- The National Centre for Gender and Cultural Diversity
- The Centre for Molecular Simulation
- The Centre for Internet Computing and eCommerce

### Research staff and publications

The number of research active staff in the Higher Education Division alone has increased from 191.3 in 2000 to 262 in 2001, representing 80% of the academic staff in the eight Schools in the Division. Research active is defined as a staff member who meets one or more of the following criteria:

- Published a paper in a journal within last 2 years or at a conference within the last year
- Received research funding >\$10,000 in past 2 years
- Undertaking postgraduate research studies
- Supervised or co-supervised a research student this year.

Research publication numbers showed a 22% increase over the previous year as reported in the Higher Education Research data Collection figures.

### Research grants and scholarship

In the Australian Research Council (ARC) round of applications submitted in 2001, the University was successful in gaining seven new Discovery Grants from a record 43 applications. The funding associated with these grants (which will begin to flow in 2002) greatly exceeds the total awarded for the previous year's commencing Discovery grants.

In the ARC Linkages Program, the University won 12 new grants in 2001 to start in 2002 – an increase of 33% on the previous year's total.

In addition, the University received one new ARC Linkage Infrastructure Equipment and Facilities (LIEF) grant, and was a partner in four others.

A grant from the National Drug Law Enforcement Research Fund for the project 'An Evaluation of the Standard Field Sobriety Test for the Detection of Impairment Caused by Alcohol and Marijuana Alone and in Combination' was awarded to Professor Con Stough and Dr. Pradeep Nathan.

During the year Professor Peter Hannaford was successful in attracting \$1,976,000 over three years (2002 – 2004) under the Department of Education, Training and Youth Affairs Systemic Infrastructure Initiative Grant.

### Information resources

Information Resources provided enhanced support for the University's research strategy by implementing the recommendations of a Board of Research Working Party on Library Resources. The University has been particularly successful in greatly extending access to online journals for research as well as securing principle support for participating in 2002 in the national site licence for the Web of Science database. This includes the Science Citation Index Expanded, Social Sciences Citation Index, and Arts and Humanities Citation Index from 1997.

### Provide outstanding research training

#### Research student profile

#### Research student profile 2001

Commencing load (Doctoral)	71
Commencing load (Masters)	67
Returning load	266
Total research students	404

*Data derived from 2001 official report to Department of Education, Training and Youth Affairs*

#### Research infrastructure

The Graduate Research Centre underwent extensive renovations in 2001 to provide a new Postgraduate Reading Room and Boardroom (sponsored by Netstar) as well as around 55 new student carrels. Haddon's Café commenced operations on the ground level of the Centre and provides an informal meeting point for academics and postgraduate students in the excellent new surrounding of the University's Cloisters Precinct.

Eight bi-monthly seminars plus five weekends and five evenings were held on 'Research Writing for Postgraduates'. The Swinburne University Postgraduate Association was the instigator of the Integrated Academic Bridging Program commencing in 2001. Though in its pilot phase, the program

brings small groups of supervisors and students together, and will be developed and generalised through the cohort. Small 'grass-roots' multi-disciplinary groups, notably Complex Processes, the philosophy of science discussion group, and the computer ethics group, have also emerged.

#### **Research based professional doctorates**

The Higher Education Division now offers five professional doctorates in Psychology (Counselling) and Psychology (Health Counselling); Business Administration (DBA); Design; and Strategic Foresight.

### **Build the research culture**

#### **Research Week 2001: Celebrating our Research**

The University's fourth Research Week was held in October, with the theme Research@Swinburne.celebrate! The program of events aimed to promote and celebrate Swinburne's achievements and growing reputation in the research arena. A research Cameo evening (an evening of presentations by Swinburne researchers) was held with External Affairs, to inform interested alumni of Swinburne's Research Week activities.

The program featured opportunities to hear about the research being undertaken by the winners of the Research Excellence prizes, as well as from presenters representing each of Swinburne's nine designated areas of research excellence. A special event was held for alumni as well as forums for both academics and students centred around the theme of Deriving Benefit from Research. The traditionally lighthearted Research Week Debate was well received and a formal Research Dinner with over 150 guests provided a convivial finale to the week.

#### **TAFE division**

Research activity in the TAFE Division gained a higher public profile with two of the TAFE Directors sharing an Australian National Training Authority Flexible Learning Fellowship. Another major activity with a research component included an NCVER funded research project investigating the meaning of quality in on-line learning.

The TAFE Division also conducted research into the needs of enterprises in the Shire of Yarra Ranges and Warrandyte in support of Regional Assistance Projects. Information gained from this, and other applied research activities, is used to inform business directions for the Division.

### **Internationalise our research**

The Industrial Research Institute Swinburne (IRIS), in collaboration with the Mediterranean Agronomic Institute in Chania, based in Crete, was successful in obtaining a European Union grant of \$335,000 over two years for the development of olive grove harvesters and oil processing equipment for small to medium growers.

IRIS was awarded a significant US Government Defence Advanced Research Projects Agency (DARPA) grant for around \$1 million for use in Biotechnology research.

### **Build strategic alliances**

#### **Institute for Social Research**

The Institute for Social Research participated in the development of a PacRim network of Universities in the AsiaPacific region. This has raised Swinburne's international research profile and brought a significant increase in cooperation between Swinburne and the David C. Lam Research Centre, Hong Kong Baptist University in joint participation in research and at a management level. Student exchanges have also taken place.

The Institute also established a visiting Fellow and Practitioner program to attract international scholars to spend time at the Institute. Eight visiting scholars participated in the program in 2001.

## ■ Internationalisation

Swinburne will become known as one of Australia's most internationalised universities. All students will be able to gain exposure to international experience through the curriculum and through direct exposure to international environments. In a sense, every Swinburne student will be an international student. We will also further internationalise the student body.

### International student recruitment and support

The Higher Education Division's strategy to improve the academic quality of undergraduate students has resulted in higher entry standards for international students, in line with increasing ENTER cut-off scores for local students. A number of factors have combined to increase the standard required for entry to the Division, including: changes to visa conditions for overseas students; the introduction of quotas for international students in some Schools; and the opening up of new markets.

#### International student enrolment 1999–2001

	1999	2000	2001
Commencing	1006	1374	1396
Returning	964	1196	1624
<b>TOTAL (headcount)</b>	1970	2570	3020
<b>By gender:</b>			
Female	796	985	1068
Male	1174	1585	1952
<b>By level of course:</b>			
Postgraduate Research Awards	58	98	127
Postgraduate Coursework Awards	691	982	1275
Bachelors Degree	1221	1490	1618
<b>Country of origin (2001 only):</b> <i>(top five countries: India, Malaysia, Philippines, Hong Kong and Vietnam)</i>			
Middle East/Asian Region			2557
European Region			152
Nth/Sth American Region			141
African Region			42
Pacific Region			14

*The reference dates for current students is 31 March and 31 August 2001 (in accordance with the new Department of Education, Training and Youth Affairs, DETYA Census dates). The reference date for 1999 and 2000 was 31 March. The change in scope of reference dates and commencing definition means that caution should be exercised when comparisons are made with current and previous years figures.*

### TAFE International Students

	<b>2001</b>
Commencing	925
Returning	181
<b>Total</b>	<b>1106</b>
<b>By gender:</b>	
Female	446
Male	660
<b>By level of course:</b>	
Associate and Advanced Diplomas	151
Diploma courses	378
Certificates	149
ELICOS – Intensive English Language Course	428

*In the above table headcount enrolments are taken across multiple courses. Definitions are in accordance with the requirements of the State Government.*



**Student mobility**

109 Swinburne students participated in student exchange or study abroad programs during 2001:

	Student exchange			Study abroad
	Incoming	Outgoing	% increase 2000–2001	
Higher Education Hawthorn/Prahran	93	58	29%	23
Swinburne, Lilydale	24	6	20%	
Study in Hong Kong program		8		
Study in Greece program		37		

*NOTE: Study Abroad refers to fee paying short term non award program students.*

**Student Exchange and Study Abroad**

Following a review of the Education Abroad Office and a change to its structure in 2001, the Education Abroad Office now has university wide responsibility for the management and implementation of a range of student exchange and education abroad activities for the two Higher Education Divisions and TAFE. The primary aim of the Education Abroad Office is to increase the numbers of Swinburne students participating in international programs during their study at Swinburne.

**Study in Crete 2001**

The Study in Crete Project was one of the Vice-Chancellor's initiatives in support of the University's internationalisation strategy. The first program was conducted in July-September 2001. Thirty-seven Higher Education students, with culturally diverse backgrounds, participated in the program, coming mainly from the National School of Design and the School of Business. Following a two day preparatory course in Australia, the students spent between three and nine weeks in Crete engaged in social and cultural activities as well as classes at the Mediterranean Agronomic Institute of Chania.

**Agreements**

During 2001, Swinburne signed an additional 16 partnership agreements with institutions situated in Europe, Asia and the USA.

The University was successful in securing five University Mobility in the Asia Pacific (UMAP) grants in 2001.

**Swinburne Lilydale**

Swinburne Lilydale formed two new partnership agreements with University of Bremen, Germany, and the Groupe Sup de Co Amiens Picardie (France). The maturing agreement with University of Trollhättan/ Uddevalla was renewed.

**Curriculum development****Credit Transfer****School of Information Technology**

Significant credit transfer agreements were developed with NIIT, a leading IT solutions corporation, and CMTES an Indian-based computer education firm, where students with excellent performance in their diploma programs may gain direct entry to the second year of the Master of Information Technology degree at Swinburne.

A new information technology subject was developed to allow articulation into second year of the Bachelor of Science (Computer Science and Software Engineering), Bachelor of Information Systems and the Bachelor of MultiMedia (MultiMedia Software Development) degrees. This program is identical to the off-shore program that has been developed to run in Budapest through College International.

**School of Social and Behavioural Sciences**

A credit transfer policy was developed with Sedaya College, Malaysia allowing students credit towards a Swinburne Business or Arts course for previous studies in Sedaya's Diploma of Mass Communication.

**School of Biophysical Sciences and Electrical Engineering**

The School of Biophysical Sciences and Engineering developed a new multimedia program which allows advanced standing for diploma holders from 15 Malaysian colleges. The School, the National School of Design and the International Student Unit hosted an international delegation of Presidents, Vice-Presidents and Heads representing nine of these colleges during 2001.

### **UniLink**

UniLink is a program run in TAFE designed for international students only who complete a first year Higher Education curriculum at TAFE and can then progress to second year within the Higher Education sector. This program works within the Information Technology School, School of Business, and a variant of this program in Design.

### **International program delivery**

A Bachelor of Science (Information Technology) was developed with the Institute of Vocational Education in Hong Kong and will commence in 2002. The existing Bachelor of Science (Information Technology) program has been developed and tailored in the Hong Kong context.

Within the TAFE sector thirteen students from Beijing Kangpei College were awarded Diplomas in Information Technology (Technical and End User Support) in February 2001. This program, consisting of six months English language training followed by Diploma study, was jointly delivered by Swinburne's International Projects Unit, the Department of Computing and Information Technology at Swinburne and English Language Learning Studies, International, in partnership with the Beijing Kangpei College.

## **International projects**

The International Projects Unit completed the following projects in 2001:

- Quality and Productivity for Society of Manufacturing Engineer's (SME) – delivered by Swinburne in association with IBS Consulting (Philippines) and the University of the Philippines for provision of Quality and Productivity in SME's Consultancy Services and an 'In Australia' Benchmarking Tour;
- Assisting a Small Business Advisory Service in Cagayan D'Oro to develop and maintain a web based information kiosk for small business people to allow on-line registration and self-access to small business resources and training materials, develop and maintain a resource library, develop and provide training and consultancy services to small business. This Project was undertaken by Swinburne in conjunction with IBS Consulting (Philippines) and the University of the Philippines.
- Graduate Certificate in Parent Group Leadership in Singapore in association with the Family Resource and Training Centre;

- Drug Information in Australia for participants from Indonesia;
- Information Technology management in Thailand;
- Leadership and Communications in Thailand;
- Environmental Train the Trainer, a program conducted in Australia with participants from Managers of Environmental Projects in ASEAN from the Philippines, Vietnam, Indonesia, Malaysia and Thailand;
- Financial management consulting expertise was provided for the Preparatory Program of Assistance, TVET Philippines; and
- Quality Management Systems for the Technical Education Skills Development Authority the Philippines, a Community Based Program consisting of a two week in Australia study program managed by International Training Australia (ITA) in association with Swinburne.

Training programs also included a Leadership and Community Skills (Thailand) – Course 2 and 3, Information Technology Management (Thailand) – Course 3 and 4, Graduate Certificate in Parent Group Leadership (Singapore), Drug Information in Australia: Indonesia – conducted in Australia, and FMI for Tourism and Hospitality Managers – 2 – four months in Australia fellowships programs with participants from French Polynesia.

Staff from both the TAFE and Higher Education Divisions have been involved in the off-shore delivery of these programs, many of which have been delivered in conjunction with other organisations.

## **Staff development**

### **International staff exchanges**

Staff participated in a number of exchanges throughout 2001, usually within the framework of exchange agreements with partner universities.

- Mr P Worthington of Reutlingen University, for the co-development of a program of student and staff exchange between his department and Swinburne, Lilydale;
- Mr A Nankervis, at the Estonian Business School, for teaching and research purposes; and
- Ms A Seitz, of Swinburne Lilydale, at the University of Bremen, for teaching and research purposes.

### **TAFE Division**

The Division's Professional Development Program and the Victorian Government Office of "Employment, Training and Tertiary Education (ETTE) travelling scholarships enabled staff to present papers at international conferences and undertake professional experience programs.

## **Infrastructure support**

### **Information Technology**

The Course and Subject database was upgraded to meet the needs of international divisions. Scalability testing from a number of international locations of the server which supports the University's data warehouse, Pandora Plus, was successfully completed confirming the robustness of the server and its application. A student database for use by international divisions was developed and implementation of the database commenced in 2001.

### **Information resources**

Online and other support has been provided to international divisions and there has been an active program of interaction between Swinburne Australia and the other divisions. This has included Derek Whitehead, University Librarian, Swinburne Australia, visiting overseas campuses, and librarians, in the overseas campuses, receiving assistance in areas such as acquisitions, cataloguing, the Web, and electronic resources.

### **Learning and teaching support**

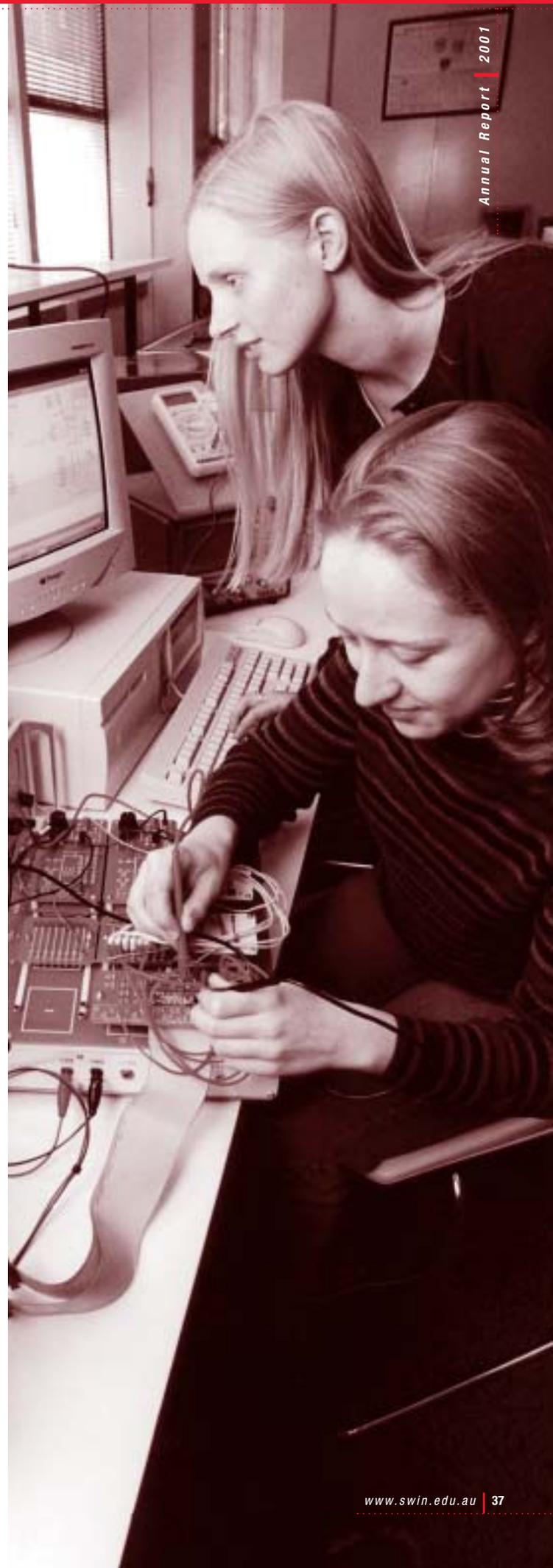
Learning and Teaching Support continued to provide professional development for staff in international divisions. A workshop on flexible delivery was delivered to academic staff at Swinburne Sarawak.

### **Quality systems**

The Office for Quality Education worked collaboratively with overseas Divisions in Thailand and Sarawak to ensure that they were appropriately supported in the development and implementation of their quality systems.

## **Relevant financial and other information relating to significant initiatives taken / strategies developed for the university's international operations**

Internationalisation has been adopted as one of the five Strategic Themes for Swinburne, within which Internationalisation of Swinburne University of Technology has been prioritised as an area for development. An enabling Plan for Internationalisation has been prepared for implementation in 2002.



## ■ Flexible learning and teaching

We will build optimal learning environments throughout the University. These learning environments will develop in all students their innate capacities for creativity and deep learning, and will be characterised above all by flexible learning and a more learner-centred approach.

### Student profile

#### Higher Education student profile 1999–2001

	1999	2000	2001
Total student enrolments (persons)	12,969	13,734	14,118
Commencing enrolments (persons) (1)	5,223	5,109	5,162
Total student load (EFTSU)	9,441	9,691	9,838
Commencing load (EFTSU) (1)	3,800	3,517	3,543
<b>By funding source (EFTSU)</b>			
Operating grant	7,202	6,741	6,376
Fee Paying overseas	1,487	1,872	2,257
Fee paying local	752	1,078	1,205
<b>By level of course (EFTSU)</b>			
Postgraduate Research Awards	354	395	404
Postgraduate Coursework Awards	1,284	1,570	1,889
Bachelors Degree (includes Bachelor Honours)	7,804	7,726	7,545
<b>By gender (EFTSU)</b>			
Female	4,025	4,127	4,088
Male	5,415	5,564	5,750
<b>By Attendance Type (EFTSU)</b>			
Full time	7,236	7,287	7,326
Part time	2,204	2,404	2,512

1. Commencing after 31/8 previous year.

The reference dates for current students is 31 March and 31 August 2001 (in accordance with the new Department of Education, Training and Youth Affairs, DETYA Census dates). The reference date for 1999 and 2000 was 31 March. The change in scope of reference dates and commencing definition means that caution should be exercised when comparisons are made with current and previous years figures.

#### TAFE student profile 2001

By campus	Person/course 2001	Contact hours 2001
Croydon	5,100	1,303,238
Hawthorn	6,525	2,511,717
Healesville	318	60,367
Lilydale	1,387	431,087
Prahran	4,785	1,891,868
Wantirna	4,839	1,271,216
Off Campus	1,168	110,348
Off Shore	82	49,380
Out Reach	317	23,365
Distance Venue	201	6,560
Enterprise/workplace	2,606	294,848
<b>TAFE Total</b>	<b>27,328</b>	<b>7,953,994</b>
(Includes multiple course enrolments)		
<b>TAFE Short Courses</b>	<b>41,793</b>	

In the table (at left) headcount enrolments are taken across multiple courses. Definitions are in accordance with the requirements of the State Government.

## Higher Education division

Higher standards of entry for overseas students have resulted from the combined impact of:

- changes to visa conditions for overseas students;
- the introduction of quotas for international students (Eg for School of Business it is set as a percentage of total load, in the School of BSEE it has occurred through resource constraints in courses like Master of Science (Network Systems); and
- through the opening up of new markets eg Norway and through Education Abroad channels.
- the increase of ENTER scores for local students occurring concurrently.

### Additional student load for 2002

The University was successful in obtaining additional student load in focused areas of activity in 2001 as shown in the table below.

### Additional student load 2002

Division	Category	No. of additional places
Higher Education	Backing Australia's ability	40
Lilydale	Backing Australian's ability,	180 EFTSU
	Backing Australia's ability	25 EFTSU
	Regional Places	
TAFE	Division 2 Nursing (State Government initiative to fund an additional 1000 Division nurse training places).	94, representing a growth of 57,100 student contact hours for Swinburne

*Backing Australia's ability* is part of a five-year strategy launched by the Federal Government in early 2001, which recognises that Australia must develop its research base by strengthening our skills base, as well as encouraging a wider interest in science, mathematics and technology. It commits substantial additional money to the significant funding the Government already provides for science, research and innovation. For Swinburne, it confirms the significance of the innovative Bachelor of Technology course.

## Innovative teaching

### Professional Doctorate in Design

The National School of Design introduced a professional doctorate in Design – the Doctor of Design – drawing thirteen students in its initial cohort. This initiative has placed the School in the lead in offering design specific, project based design research programs in Australia and South-East Asia, and is being noted and commended internationally.

### eCommerce

The School of Information Technology introduced a Graduate Diploma in eCommerce, with a first intake of approximately 50 students. This postgraduate program strengthens the University's programs in eCommerce.

### Strategic Foresight

The first cohort of the Graduate Certificate of Science in Strategic Foresight completed the course in 2001.

### Mentoring scheme

Swinburne, Lilydale encourages staff to reflect on and improve their learning and teaching practices through a mentor scheme which includes informal mentoring through a Teaching Buddy Scheme, formal mentoring of new staff and mentoring by Associate Professors.

### Careers in the curriculum

The existing Careers in the Curriculum program was expanded to 12 programs in 2001 and was provided across all campuses. Careers in the Curriculum is designed to allow students to:

- identify and analyse a range of their own key career related skills, values, interests, dependable strengths and personal style;
- raise awareness of employment opportunities, the job market and employer expectations; and
- develop their practical job hunting skills and knowledge enabling them to succeed in the recruitment process.

### Indigenous training

The University works cooperatively with community groups to develop culturally appropriate and relevant training for indigenous students. In December 2001, 52 students graduated in Certificates III, IV and Diploma in Community Services (Alcohol and Other Drugs) and one student in Certificate III in Office Administration. The certificate presentation ceremony was held at the Aborigines' Advancement League. The whole program was delivered in partnership with an Indigenous organisation (Ngwala

Willumbong) and included delivery in regional locations, funded by the Department of Human Services.

Other initiatives have included the customisation of the Certificate III in Children's Services and Health, the development of an ANTA toolbox on Native Title, preparation of customised Frontline Management modules for Indigenous workers and the development and re-accreditation of the Coorong Tongala Course that can be delivered in community locations and secondary colleges. An Indigenous Art Gallery has also been established supported by a Regional Assistance Program as part of Swinburne's Oonah Learning Centre at Healesville to serve artists in that community and an indigenous employment project to encourage employers to increase employment opportunities for indigenous people. Three indigenous trainees are currently employed within Swinburne.

Indigenous student numbers were as follows:

TAFE	442
Higher Education	32

### **Digital delivery**

Learning and Teaching Support supported the development and delivery of three short courses in eCommerce and partially developed an externally funded multi-media program (Yorta Yorta).

### **Student satisfaction**

The results of the TAFE Division student satisfaction survey conducted twice during 2001 indicated high satisfaction with the quality of teaching and learning, although access to adequate resources and support facilities was rated lower and is an area for improvement. The overall satisfaction rating for course/module/competency satisfaction was 93%.

The University Student Satisfaction Survey is conducted annually and targets second year students. The most recently collated survey is for 2000. The survey seeks to elicit feedback from students mid-way through their University life. Many new or revised questions, as well as a new 'look' was included, in an attempt to capture an increased amount of relevant data.

## **Flexible learning**

The University's definition of flexible learning is broad, and moves beyond the traditional interpretation of flexible learning as on-line delivery.

Swinburne University of Technology is committed to the flexible provision of education and training, that is, to offering choices which accommodate client learning needs and preferences. Choice is afforded by the use of a range of learning and teaching techniques including face-to-face classes and the use of educational technologies including online and print materials, online communications, video on demand and teleconferencing. Options may also extend to delivery in the workplace and community settings. Choice for learners is also provided by the adoption of supportive policies including arrangements for recognition of prior learning and transfer of credit between the TAFE and higher education sectors.

The University is developing a Flexible Learning and Teaching Strategic Development Plan that will comprise an overview and separate plans for Higher Education and TAFE. These will provide a framework for the ongoing development of flexible learning at Swinburne and be implemented in 2002.

Learning and Teaching Support was funded by the Evaluation and Investigations Program of the Commonwealth Department of Education, Training and Youth Affairs to research the Effectiveness of Flexible Provision of Higher Education in Australia, with outcomes presented at both local and international conferences.

A systematic program of professional development relating to learning and teaching in higher education was offered to all staff; and upgrading to high-tech audio-visual facilities in 8 lecture theatres and 40 TAFE and higher education classrooms was completed.

### **eLearning Change Management Plan**

The TAFE Division developed an eLearning Change Management Plan as a subsidiary of its Teaching and Learning Plan. The Change Management Plan provides a blueprint for implementing a pedagogically sound approach for the use of online technologies and aims to embed elearning as part of the culture and of every students learning experience.

The rollout of laptop computers, funded by ETTE, assisted teachers to move towards online delivery which will lead to the development of more flexible options for students.

Higher education	Undergraduate		Postgraduate	
	Number	Percentage	Number	Percentage
Total number of units offered in all courses	507		419	
Units with no use of the web	174	34%	229	54%
Units web-supplemented	118	23%	59	13%
Units that are web-dependent	205	41%	116	30%
Units that are fully on-line	10	2%	15	3%

In 2001, the Higher Education Division worked towards using these systems to ensure all subjects had a web presence. Data as reported to the Department of Education, Training and Youth Affairs in 2001 indicated the following web presence for subjects.

### **On-line courses**

The Graduate Certificate in Astronomy continued to be offered entirely on-line in 2001, with an enrolment of 370. This course is developed and managed by the School of Biophysical Sciences and Electrical Engineering and attracts students from around the world.

The School of Information Technology developed an on-line version of the Graduate Diploma in Software Development which will be offered for the first time in 2002.

### **Subject delivery systems**

The Blackboard and Virtual Campus (Technical) subject delivery systems were acquired during 2001, and supported initial higher education use of WebCT. These proprietary systems replaced an in-house system. Techniques were developed for the migration of materials between these subject delivery systems being tested by the University, and an online student portal was provided to support study skills development appropriate to the student. Web-sites were provided with discussion, synchronous communications and content upload facilities for 487 higher education subjects (subjects with a current enrolment of 10 or more students).

### **Summer semester**

The University has run a summer semester for some time, as part of a way of improving the level of flexibility for students. The number of subjects offered during the summer semester period has increased from 72 in 1999–2000 to a total of 107 in 2000–2001, as follows:

<i>Summer semester:</i>	86
<i>Crete program:</i>	19
<i>Hong Kong summer school:</i>	2

### **UniLearning**

Over the 2000-2001 Summer Semester, Swinburne was granted special access to the national study skills project, UniLearning. Unilearning is a new national study skills site

currently being developed. The first module being piloted covered Effective Writing at University Level. Due to the success of this trial access, Swinburne continues to offer students access to the areas as they develop. Students are encouraged to go to the UniLearning site for online interactive materials.

### **Open Learning Australia**

Three proposals were developed by Swinburne, Lilydale and accepted by Open Learning Australia (OLA) in 2001:

- addition of the new Bachelor of Technology to the OLA course portfolio;
- conversion of five subjects to the OLA portal format; and
- development of an online instrument for measurement of prior learning.

### **Innovation in Resource Management**

A tri-university (Trollhättan/Uddevalla, (HTU), Swinburne University of Technology and the Southern Cross University) 'Resource Box' was piloted during 2001. The Resource Box is a searchable web-based resource library developed by Swinburne's Learning and Teaching Support. Contributors send their resources electronically to Swinburne where they are digitally enhanced, data-tagged and uploaded into the Resource Box. Once uploaded, key personnel from each partner University can search and access the resources according to need. To ensure only authorised access and use, each University nominates a key staff member to coordinate individual partner contributions and access rights. However, the Resource Box has been designed so that a wider group can search the database descriptors to locate information about materials. In all cases, access can be restricted according to each partner University's requirements. The Resource Box web site will also foster communication between participants through discussion groups and contact information pages.

## Learning and teaching in an entrepreneurial university

### **Review of School of Engineering and Science**

The School of Engineering and Science underwent a major review of its profile during 2000-2001 as part of its strategy to expand its postgraduate coursework and research around an evolving base of high quality core technological undergraduate programs. This review reflected the shift from traditional generic discipline areas such as chemistry towards more complex multi-disciplinary centres of teaching and research. New chemistry-related programs have been introduced since 2000 such as biotechnology, and biotechnology combined with other programs such as business, and media and telecommunications. Aviation is another relatively new area that has grown in terms of both demand and prestige.

### **Industry-Based Learning**

Industry Based Learning (IBL) continues to be an integral part of many of Swinburne's Higher Education programs. It involves students participating in a paid placement in industry, normally undertaken for a 12 month period prior to the final year of study. Swinburne boasts one of the longest running IBL programs in Australia, with placements first offered in 1963.

#### **IBL activity 1998–2001**

	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>
Students placed	610	722	577	601
From different degree programs	27	36	40	47
Participating businesses	230	354	347	376

In addition to IBL many of the TAFE Division programs include a practical placement which provides an important link with the workplace.

Of the student placements, 22 were in regional Victoria, 14 interstate, and 16 overseas. IBL is available in both Australia and, increasingly, in countries overseas. The Bachelor of Business (International Business), Bachelor of Business (International Business)/Bachelor of Arts (Italian) and (Japanese) were accredited during 2001 – all courses include a mandatory semester of study or work experience abroad. In addition, 10 international students were placed into IBL positions in Australia during 2001.

### **Swinburne student experience project**

The Swinburne Student Experience Project was established during 2001 to review all aspects of student administration and student services to focus the provision of those services around the student in an entrepreneurial university. The Project provides an opportunity to consider the administrative and support arrangements best suited to an environment that strives to be learner focused and learner responsive.

The terms of reference of the Project include:

- to ensure that administrative and support activities reflect the values of the University as demonstrated in the Statement of Direction 2010;
- to identify any possible/preferable changes to administrative and support activities that would assist the value students obtain from their Swinburne experience; and
- to encourage strategies, policy, processes, procedures and practices that encourage student involvement at Swinburne during each stage of their educational experience and beyond the completion of their studies.

Outcomes from the Project will ensure that Swinburne administrative and support areas are strongly placed to be able to anticipate and respond to the challenges of the University's operating environment.

### **Professional recognition**

The World Futures Studies Federation (a global association of futures scholars, researchers and practitioners) has recognised the Master of Science in Strategic Foresight for membership purposes.

### **Student/staff forums**

Forums for students and staff to discuss issues of concern relating to learning and teaching were introduced in 2001 in the Higher Education Division. This was part of the Division's communication strategy to receive feedback from students within their School. Improvement actions have been taken as a result of this.

## Quality assurance and continuous improvement

The Academic Programs Quality Committee (previously known as the Course Performance Review Committee) was re-established over 2001. The Committee is a standing committee of Academic Board which reviews course performance and subject evaluation reports provided by the Higher Education Sector. Based on the data and information provided in the course performance reporting processes, the Committee is responsible for the preparation of appropriate recommendations about course performance, academic developments and associated resource issues for consideration by the Academic Board to assist it in advising Chancellery and Council about both academic performance and strategic academic developments and proposals.

## Courses accredited/re-accredited

### **Higher Education sector – courses accredited and re-accredited in 2001**

Bachelor of Business, Sarawak

Bachelor of Business / Diploma of Frontline Management

Bachelor of Multimedia

Bachelor of Science in Photonics

Bachelor of Science in Photonics/Bachelor of Engineering in Telecommunications and Internet Technologies

Bachelor of Technology in Computer Systems Electronics, Sarawak

Bachelor of Technology in Mechatronics, Sarawak

Bachelor of Technology (Information Technology and Software Engineering)

Bachelor of Technology (Information Systems)

Bachelor of Technology (Interactive Multimedia)

Graduate Diploma of Business in Research Methodology

Graduate Diploma (incorporating Graduate Certificate) in Science (Disaster Management)

Master of Accounting, incorporating Graduate Diploma of Accounting and Graduate Certificate of Accounting

Master of Science in Applied Statistics incorporating, Graduate Diploma in Applied Statistics and Graduate Certificate of Science in Applied Statistics

Professional Doctorate in Design

Course extensions – 9

Course closures – 5

### **TAFE Division – courses accredited and re-accredited in 2001**

Bachelor of Business/Diploma in Frontline Management

Certificate IV in Business (University Preparation)

Certificate IV in Social Science (University Preparation)

Certificate IV in Design (University Preparation)

Certificate IV in Science/Engineering (University Preparation)

Certificate IV in IT and Multimedia (University Preparation)

Graduate Certificate in Business  
(Food, Wine and Tourism Marketing)

Graduate Certificate/Graduate Diploma in Science  
(Disaster Management)

Graduate Certificate in Social Sciences (Group Facilitation)

Graduate Certificate in Social Sciences (Male Family Violence)

Graduate Certificate in Social Sciences (Pre Natal and Post Natal Family Support)

Diploma of Business (Supply Chain Management)

*These numbers do not include Authority to Conduct processing – 33 for 2001.*

### **New majors and subjects**

Electronic Society major introduced by the School of Social and Behavioural Sciences

Convergent Communications subject introduced in the Master of Communications course.

### **Statutes and regulations amended**

Regulation 22 – Academic Board

Regulation 23 – Academic Dress

Regulation 21 – Board of Technical Studies

Statutes can be viewed upon request to the Registrar's Department, or in the Swinburne web-site at:

[www.swin.edu.au/corporate/registrar/ppd/files/indexstareg.htm](http://www.swin.edu.au/corporate/registrar/ppd/files/indexstareg.htm)

## ■ The intersectoral advantage

We will capitalise on the advantages presented by operating at both the vocational education and training level and the higher education level in order to provide students, industry and business with manifold options.

The University's Intersectoral Advantage Strategy and the funding of specific intersectoral projects has produced considerable progress towards creating a seamless and value added intersectoral environment at Swinburne.

### Intersectoral articulation options

#### **Intersectoral degrees**

Two intersectoral degrees were accredited in 2001, the Bachelor of Business (eCommerce) and the Bachelor of Technology. From a student's perspective, the commencement of the eCommerce nested Diploma and Advanced Diploma in the Bachelor of Business (eCommerce) opens up new opportunities. For the University, this initiative has forged highly innovative intersectoral curriculum structures and has pushed the boundaries of the University's intersectoral developments.

#### **Pathways**

The National School of Design continued to develop a streamlined articulation arrangement with the TAFE Art and Design program, and a Bachelor of Multimedia program (Advanced Entry) was accredited in March, 2001 with its first intake in Semester 2, 2001.

#### **Graded assessment**

An Intersectoral Advisory Committee funded project allowed the development and implementation of graded assessment in TAFE which will continue to improve pathways between TAFE and Higher Education programs.

#### **New Australian Qualifications Framework (AQF) Award**

An Intersectoral Advisory Committee funded project allowed the development of a new AQF award for the University's Industry Based Learning (IBL) programs, incorporating generic components, entrepreneurship elements as well as discipline specific attributes.

#### **Data and systems support**

An Intersectoral Advisory Committee funded project allowed the development of a database and statistical gathering framework to allow the University to track the movement and performance of students intersectorally.

### Communication and collaboration across sectors

#### **Staff movement**

Technical staff have been jointly employed between the Industrial Research Institute Swinburne (IRIS) and the TAFE Division. The Information Resources Group successfully developed a scheme where staff worked in IRIS and the Australian Graduate School of Entrepreneurship.

A Convergent Communications professional development program for TAFE staff was delivered by Higher Education staff as part of the TAFE Division Professional Development program. This is an example of new models of cooperation and collaboration and paves the way for further intersectoral professional development.

#### **Student administration and support services**

A new, single Assessment and Appeals policy and procedures for TAFE and Higher Education students was developed and implemented in 2001.

#### **Innovative management practices**

Corporate Marketing continues to operate a management structure that facilitates central coordination of staff located across Corporate, TAFE and Higher Education Divisions, while supporting local delivery of tailored marketing services.

## ■ Partnerships and alliances

The University participates in a myriad of activities within the community. A number of partnerships have continued to enhance interaction with industry, business, local Councils and other community organisations.

*For example:*

- A Shire of Yarra Ranges and University dinner was held as part of the 2001 Town and Gown series. Swinburne also contributed to the Shire of Yarra Ranges 2020 vision.
- New partnerships in Industry-Based learning have been developed with Nanyang Technological University in Singapore, and the Northeastern University in Boston.
- A CD ROM titled 'Melba, Australia's Greatest Daughter' which was produced by the Museum of Lillydale, the Lillydale Historical Society, the Swinburne Centre for eBusiness and Communication and Learning and Teaching Support as a Federation Fund project won the Victorian Community History Award, presented by Information Victoria with support from the Royal Historical Society of Victoria.
- An agreement was developed with Altium (a leading developer of Windows-based electronic design and development software) which will locate its Melbourne training centre at the University's Hawthorn campus. This will provide a venue for corporate client training, as well as enable the Swinburne community to have access to the most up-to-date EDA software available.

Swinburne, Lilydale participated in eight projects with regional partners including:

- *Growth and Development Partnership Agreement between Shire of Yarra Ranges and Swinburne University of Technology, Lilydale Campus.* Partnership activities in 2001 included a jointly organised international conference on sustainability entitled Sustainability – New Name, New Game; continuing provision of a Graduate Certificate program tailored to complement Shire organisation development initiatives, a study identifying joint project initiatives and opportunities, and the research project The Economic Impact of Swinburne University of Technology on Yarra Ranges. Preparation of the sustainability conference entailed the preparation of regional sustainability case studies.
- *YNET* – a joint project of the Shire of Yarra Ranges, Swinburne Lilydale, Eastern Regional Libraries, Ranges Cultural Services, Kallista Community House and Dandenong Ranges Community Cultural Centre. It builds on the existing community infrastructure to provide

access to the internet for the community of the Shire of Yarra Ranges, and relates closely to the outer regional Skills.net project: Valley.net and Neighbour.net. YNET workshops and training sessions are held at Swinburne, Lilydale.

- Business Incubator Project, Regional Portal, Local Learning and Employment Network, Centre for Regional Development, and the Yarra Valley Regional Branding Project. Partners: Centre for Agriculture and Business; Regional Tourism Board.

The TAFE Division has a track record of working in partnership with secondary schools and higher education providers and actively pursues intersectoral opportunities. The introduction of a vocational VCE in 2001 further strengthened regional links and intersectoral partnerships with schools, and is only one model of the training partnerships that Swinburne TAFE has developed.

### Employment and Careers Advisory Board

An Employment and Careers Advisory Board was established allowing liaison between employers, academics, Industry Based Liaison coordinators and Careers and Employment staff.

### Information technology services

An agreement between Cisco Systems was publicly launched in Malaysia, hosted by Swinburne Sarawak Institute of Technology.

ITS staff gave presentations on the implementation of Cisco equipment at Swinburne and at international conferences. A promotional video was produced on Cisco Networking Upgrade Implementation to be used by Cisco and Swinburne.

### Industrial Research Institute Swinburne (IRIS)

Numerous industry interactions occurred in 2001, including local and national workshops.

### Information Resources Group

The Information Resources Group developed partnerships with Eastern Regional Libraries and the Boroondarra Library Service.

## ■ Recognition

### Organisation awards

#### ***State Innovative Training Award***

The Innovative Training Award was won by Online Learning Australia and Swinburne University, TAFE Division. This highly competitive award was for the Innovation and Design of On-line Programmers Workbench. This is a teaching resource for IT teachers which covers seven core competencies from the Certificate IV in Information Technology (Programming).

#### ***Melbourne International Flower Show***

Swinburne University of Technology, TAFE Division, received a major accolade at the Melbourne International Flower Show winning a bronze medal for the University's entry in the Outdoor exhibit category. Titled 'Federation, Fantasy and Future', Swinburne's exhibit was a joint effort by more than 100 horticulture, costume design, and events and tourism students from the Wantirna and Prahran campuses.

#### ***Awards for women in non-traditional areas of work and study***

The National Centre for Gender and Cultural Diversity at Swinburne organises the Awards for Women in Non-Traditional Areas of Work and Study, now in their seventh successive year. Swinburne is a major sponsor of the awards and, in 2001, other sponsors were Group Training Australia and IBM. The award winners in 2001 were:

*New apprenticeship:* Vanessa Wood, Holden Ltd

*Vocational Education and Training:* Shelley Brasher, Central TAFE, WA

*Higher Education:* Jane van Vliet, University of Sydney

*Less than five years experience in the workforce:* Miriam Lyons, Alcoa of Australia, WA

*More than five years experience in the workforce:* Joanne McKeown, Ford Motor Company of Australia

*Self-employed:* Jane Bennett, Ashgrove Farm Cheese

*IBM e-Business Award:* Julie McCormack and Sally Northfield, In company-Women in Trades

Further information about the Centre can be found on their web site at: [www.swin.edu.au/corporate/ngcd/](http://www.swin.edu.au/corporate/ngcd/)

### Student awards

#### ***Victorian outstanding student of the year awards***

At the 2001 Victorian Training Awards Swinburne TAFE Division was a winner in two of the nine award categories and a finalist in two further categories as well.

The Outstanding Student of the Year – Koorie award, was won by Graham Thorpe, a student in our Diploma of Community Service (Psychiatric Disability Worker). Graham's current employer is Ngwala Willumbong Co-operative Limited.

Swinburne also had another finalist Georgina Chrisanthopoulos in this category. Georgina is a student in the Diploma of Arts, Small Companies and Community Theatre.

### Work Skills Australia

Swinburne electrical apprentice, Russell Graham, won a bronze medal in the prestigious national Work Skills Australia competition. After winning the regional competition Russell went on to compete against 27 of the country's best electrical apprentices in the national Work Skills final held in Adelaide. Russell is employed by the Melbourne East Training Group.

#### ***Apprentice/trainee award night***

One of Australia's favourite stage and television actors John Wood, was the guest speaker at the Department of Horticulture and Environmental Sciences Apprentice/Trainee Awards Night held in May 2001. Greg Rietmann, a final year nursery apprentice employed by Specialty Trees won the Outstanding Student Award. This award was sponsored by the Knox Rotary Club and presented by Dr Tony Collett. The Department's Achievement Award was won by Brett Antoine, employed at Sunshine Coast Wholesale Nursery.

#### ***Richard Pratt scholarship***

Mr Ben Palmer from the Neuropsychology Laboratory in the School of Biophysical Sciences and Electrical Engineering was awarded the Richard Pratt Scholarship for Postgraduate Student Research and Leadership, valued at \$30,000. The Scholarship provides opportunities for Swinburne graduates who demonstrate excellence in academic achievement and leadership to pursue a challenging research activity of their choice.

#### ***Chancellor's scholarship program***

Three Chancellor's Scholarships were awarded in 2001. These went to Kathryn Ellis (Brain Sciences Institute), Yao Fu (IRIS) and Yeshe Fenner (BSEE). Four premier scholarships are offered each year to outstanding students for research

leading to the degree of PhD. Each Scholarship carries a stipend of \$5,000, and involves a period of up to six months residence in a collaborating laboratory at one of the world's leading universities. The areas available for study are Atom Optics and Ultrafast Spectroscopy, Social Sciences, Micro-Photonics, Molecular Simulation, Human-Computer Interaction and Cognitive Engineering, Eximer Laser Micromachining, Astrophysics and Supercomputing, and in Brain Sciences and Cognitive Neuroscience.

## Staff awards and appointments

### **Maurie Curwood Fellowship Awards**

David Carroll, co-ordinator of Swinburne's real estate programs, won the Swinburne TAFE's Maurie Curwood Staff Fellowship for 2001. While Maurie Curwood has left Swinburne the remarkable work carried out to develop the former Eastern TAFE into a vibrant and successful organisation, and his strong commitment to the community, have been formally recognised with this annual staff and student fellowship, each worth \$2,000.

David plans to use his fellowship to further his knowledge in the technology used today in the real estate industry with the aim of developing a better understanding of the industry's information technology training requirements.

The winner of the 2001 student fellowship was Sue Scott. Sue was recognised for her contribution to the community and the application of her learning in a community setting, through a 12 month Certificate IV in Community Service Youth Work at the Wantirna campus last year.

### **Swinburne Excellence Awards 2001**

In 1998 a University-wide teaching excellence awards program was introduced, to provide recognition and reward

of excellent teaching, irrespective of the teacher's sector, division, or campus location. The annual award categories have since been expanded and now include:

- Swinburne Excellent Teacher (Higher Education)
- Swinburne Excellent Teacher (TAFE)
- The Team Teaching Award (Open category)
- Swinburne Research Excellence Award
- Swinburne Service Excellence Award

Since 1998, a total of 124 members of Swinburne staff have received some form of recognition and reward through the Swinburne Excellence Awards program (see table below for details, NB staff totals includes members of teams).

### **2001 Swinburne Excellent Teacher (TAFE Division)**

Betty Farmer from the Department of Children's Services and Health, School of Social Sciences, for all-round teaching excellence in Child and Family Studies; and Betty Key from the Department of Industrial Sciences, School of Arts, Hospitality and Sciences, for all-round teaching excellence in Mathematics.

### **2001 Team Teaching Award (new in 2001)**

The Product Design Engineering Teaching Team – Stephen Langdon from the National School of Design and Soullis Tavrou from School of Engineering and Science, for their innovative, inter-disciplinary teaching approach; and the staff of the Aviation Projects Group from the School of Engineering and Science – Ken Barnes, John Bibo, Peter Bruce, Stephen Fankhauser, William Roebuck, Audrey Killey, Keryn Doig, Philip Papas, for a highly industry-focused approach to teaching and learning.

Award category / Award status	1998	1999	2000	2001	Totals
<b>Teaching awards</b>	5	3	4	6	18
Certificates of Commendation and Recognition	7	5	3	2	17
Staff receiving reward and recognition for teaching	18	8	7	16	49
<b>Research awards</b>	–	1	1	1	3
Certificates of Commendation and Recognition	–	3	–	4	7
Staff receiving reward and recognition for research	–	4	1	7	12
<b>Service awards</b>	–	1	1	2	4
Certificates of Commendation and Recognition	–	9	4	2	15
Staff receiving reward and recognition for service	–	18	35	10	63
<b>Annual total of staff receiving recognition</b>	<b>18</b>	<b>30</b>	<b>43</b>	<b>33</b>	<b>124</b>

### **2001 Swinburne Excellent Teacher (Higher Education)**

Stephen Theiler and Mark Tucker of Swinburne University of Technology, Lilydale, for all-round excellence in the teaching of Psychology and Economics respectively.

#### *Certificates of Commendation*

Toija Dwyer (Media and Communications) and Bruce Findlay (Psychology), both from the School of Social and Behavioural Sciences.

### **2001 Swinburne Research Excellence Award**

Professor Matthew Bailes and his two PhD students, Russell Edwards and Willem van Straten, from the Centre for Astrophysics and Supercomputing, School of Biophysical Sciences and Electrical Engineering for their ground-breaking research into Pulsar Timing and Pulsar Searching.

#### *Certificates of Commendation*

- Professor Trevor Barr, School of Social and Behavioural Sciences, for his work in the field of Convergent Communications;
- Dr Guoxing Lu, School of Engineering and Science, for his research into aspects of impact engineering;
- Associate Professor Yos Morsi, School of Engineering and Science, for modelling work in Bioengineering and Bio-fluid dynamics; *and*
- Dr Pradeep Nathan, School of Biophysical Sciences, for his research work as a Senior Research Fellow of the Brain Sciences Institute.

### **2001 Service Excellence Award**

'Student Speakers Program' run by the National Centre for Gender and Cultural Diversity (team members are Coleen Howe, Julie Reilly and Wei-Leng Kwok).

A special 'Individual Service Excellence Award' was also made to Mr Ken Shaw of Facilities and Services Group, Wantirna Campus, in recognition of his dedication to providing a level of service that is probably better characterised by the word 'care'.

#### *Certificates of Commendation*

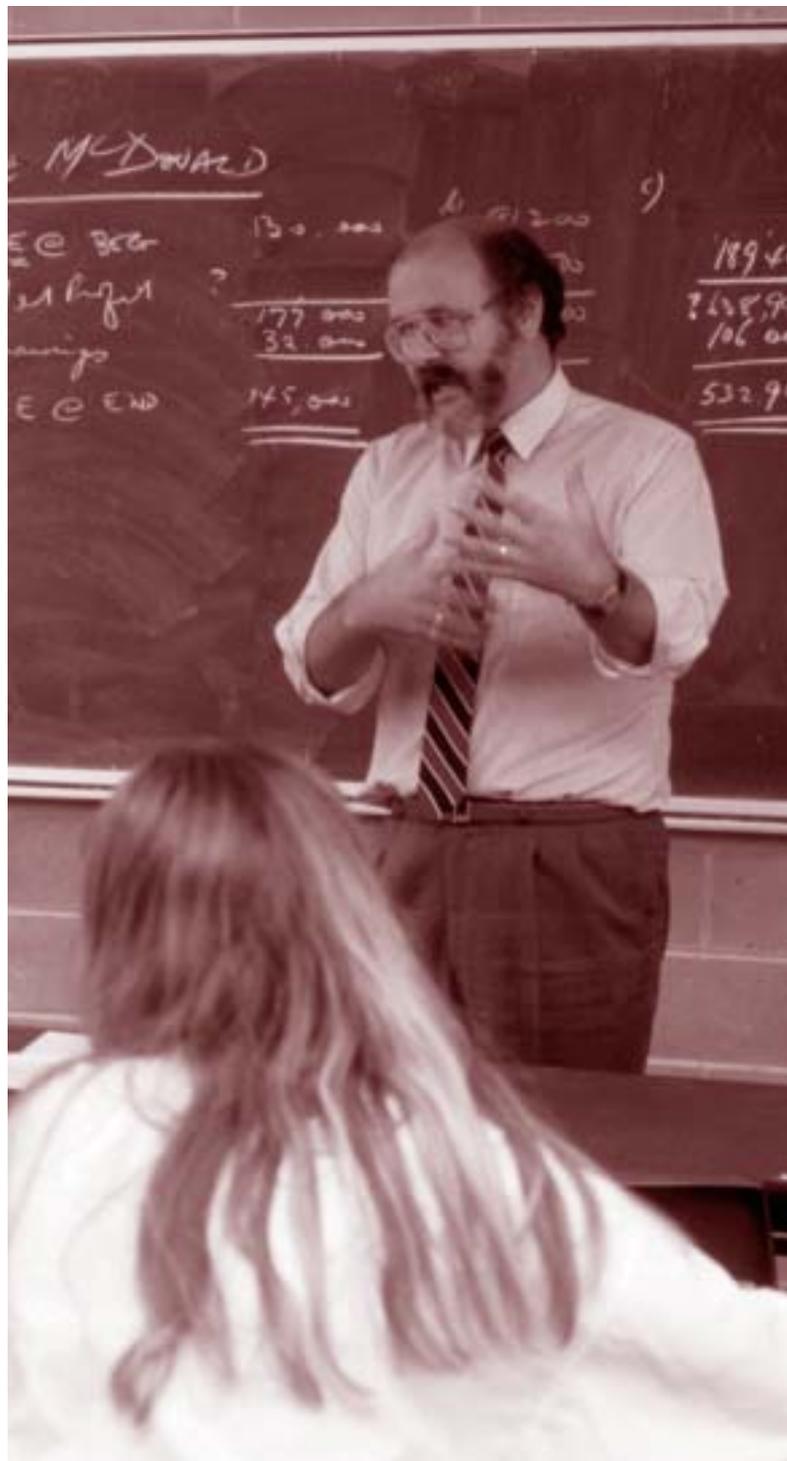
- The TAFE Professional Development Unit (Mary Hoffman and Donna Murray) in recognition of the consistently high standard of the services provided to the staff of the TAFE Division; *and*
- Nicky Jacobs and Associates of the Student and Residential Services, in recognition of the valuable contribution made by the 'Country and Interstate Students' Orientation Program.

### **Professional association appointments**

Professor Richard Slaughter, Director of the Australian Foresight Institute, was elected President of the World Future Studies Federation.

Ms Maree Conway, Director of the Foresight and Planning Unit, was elected President of the Association for Tertiary Education Management.

Dr. Christine Critchley, Dr. Emiko Kashima, Dr. Peter Elliott and Dr. Elizabeth Hardie, all staff from the School of Social and Behavioural Sciences were appointed to the Commissioner for Public Employment's Statistical and Research Advisory Panel.



## Freedom of Information

The Freedom of Information Officer is the responsible officer for administering the Freedom of Information Act 1982 (FOI Act) for the University. The Principal Officer under the FOI Act is responsible for making decisions with regard to Internal Reviews; this function rests with the Vice-Chancellor. The table below details statistics relating to FOI activities for the University during 2000 and 2001.

### Procedure for handling requests

All requests for access to documents under the FOI Act are made in writing to the Manager, University Records and Freedom of Information Officer, Swinburne University of Technology, PO Box 218, Hawthorn, Victoria, 3122. An application form can be obtained by telephoning 9214 5413.

### FOI statistics 2000 – 2001

	2000	2001
Number of requests	4	1
Number of requests refused	0	0
Number of requests awaiting a decision	0	0
Number of decisions to release:		
– in full	2	1
– in part	2	0
Number of decisions to exempt in full	0	1
Number of decisions indicating no documents identified	0	0
Number of Internal Reviews	0	0
Number of Administrative Appeals Tribunal Appeals	0	0
Exemptions cited	s.33(1)	0
Other Provisions Cited	Nil	Nil
Fees and Charges Collected	\$20	\$20

### Organisation and functions of the University

Refer to page 16-17 of this Annual Report for the structure and decision-making responsibilities of the University.

### Categories of documents in the possession of the University system

Swinburne has a University-wide records management application (RecFind). This system ensures that the University incorporates all relevant documents into its record keeping system. Records, including correspondence, agreements, contracts, tenders, publications, reports and committee agenda and minutes are maintained and defined within the following structure:

- Buildings and grounds
- Committees
- Communications
- Conferences and seminars
- Courses and programs
- Equipment
- Financial management
- Human resources
- Marketing
- Operational management
- Research
- Student administration

Hard copy student records are also maintained.

### Publications available for inspection

All publications produced by the University can be accessed through its libraries. Specifically, details of publications which were produced in 2001 are contained in the Supplement to the Annual Report. This supplement can be obtained on request from the Foresight and Planning Unit, telephone 03 9214 8491.

### Literature available via subscription or free mailing list

The University has no specific subscription or free mailing list service available to the public.

### University bodies whose meetings are open to the public or whose minutes are available for public inspection

- Council
- Academic Board
- Board of Technical Studies

### Name and designation of officer responsible for processing FOI requests in 2001

Mr. Gregory Stevens, Manager  
University Records and Freedom of Information Officer  
Telephone: 03 9214 5413

### Library and reading rooms available to the public

Libraries on each of the six campuses provide learning and information resources and services in support of Swinburne's teaching and research programs. The general public may obtain borrowing rights to most material by subscribing to the Swinburne Library Information Service, or the Swinburne Alumni Association Library option. For more detailed information on library access and opening hours refer to the Library's internet home page:

<http://www.swin.edu.au/lib/welcome.html>

## ■ Statement of compliance with the building and maintenance provisions of the *Building Act 1993*

To conform with the Annual reporting Act for Victorian universities, the following information is provided in relation to capital developments and the *Building Act 1993*.

Under the requirements of 'Guidelines 5: Reporting to Parliament', it is advised that:

- 1(a) all new buildings and works are certified under section 217 of the Building Act 1993, by qualified and registered Building Surveyors (Building Practitioners); *and*
- 1(b) all works comply with the 10 year liability gap, as a matter of routine and Occupancy Permit is obtained for new capital building works at the completion of all work.
- 2(a) Major works completed in 2001 included:
  - Refurbishments to BA and EN Stage 1 (Hawthorn campus)
  - Cloisters Beautification Project and changes to AD (Hawthorn campus)
  - Refurbishments to Building PH (Prahran campus)
  - Building PC NICA (Prahran campus)
  - Building LC (Lilydale campus)
- 2(b) These projects were subjected to certification of plans, mandatory inspections and the issue of an Occupancy Permit by a registered Building Surveyor (Building Practitioner).
- 3 The University has an established maintenance schedule for all existing buildings, supplemented by a reporting 'Work Request' system for use by maintenance staff and building users for building defects or failures of equipment. Maintenance contracts with specialised firms are let for major plant items such as lifts and escalators, air conditioning equipment, fire protection and emergency evacuation systems, and so on.
- 4(a) During 2001 the number of buildings which strictly conform with the Building Act 1993 defined in Guidelines 1 increased from 69 to 72.
- 4(b) The University's Capital Management Plan sets out a program for all buildings not strictly conforming with the Building Act 1993. The University finalised detailed planning during 2001 to bring all buildings to compliance over the next three years.
5. It is the University policy that only registered building practitioners, approved by the Victorian Government for public sector works are engaged for Swinburne capital works projects.

6. There have been no cases of building practitioners becoming deregistered while engaged on Swinburne capital works projects during 2001 that we are aware of.

<b>Building works</b>	<b>Number</b>
Buildings certified for approval	3
Works in construction and the subject of mandatory inspections	5
Occupancy Permits issued	6
<b>Maintenance</b>	<b>Number</b>
Notices issued for rectification of sub-standard buildings requiring urgent attention.	Nil
Involving major expenditure and urgent attention	Nil
<b>Conformity</b>	<b>Number</b>
Number of buildings conforming with standards	72

### Information available upon request

The information listed in Part 9.1.3 (iv), is detailed in a supplementary report and is available upon request.

Enquiries regarding the supplementary report should be addressed to:

Yvonne Munro  
Project Officer  
Swinburne University of Technology  
PO Box 218, Hawthorn, 3122  
Telephone: 03 9214 4386  
Email: ymunro@swin.edu.au

### Statement on Compliance Index

This Annual Report has been prepared in accordance with Part 7 of the Financial Management Act outlined under Part 9 of the Directions of the Minister of Finance. A compliance index detailing disclosure against appropriate clauses is included at the end of the Annual Report.

### Compliance with National Competition Policy, Swinburne

Swinburne University of Technology has a compliance manual which is distributed to senior staff as reference material. Training is provided on an as required basis for staff involved in the development of contracts, and models incorporating the competitive neutrality principles which are now used throughout the University. The University has also taken steps to ensure that relevant amounts, as appropriate, are recognised in its accounting system.

### Statement on fraud control

The University Council is committed to the minimisation and prevention of all fraud, corrupt conduct and/or theft of goods or services throughout the University. All University staff are bound by and must adhere to University Policies/Procedures and Code of Conduct. If an employee knows or suspects that other employees are engaged in theft, fraud or financial misconduct, they are to notify the Head of Department/Division and/or the Director, Internal Audit who will assess whether there is sufficient information to enable an investigation to be undertaken.





Swinburne University of Technology

**Financial summaries and  
audited financial statements**

**2001**

## ■ Financial summaries

### Summary of financial results 1997 – 2001

	1997 \$000	1998 \$000	1999 \$000	2000 \$000	2001 \$000
Net Assets	169,468	220,629	223,329	280,033	295,866
Operating Surplus (Deficit)	10,019	2,587	2,700	11,738	13,567
Overseas Students Fee Revenue	13,424	15,178	20,807	24,323	29,639
Commonwealth Government Grants	59,349	53,050	47,069	53,219	55,890
State Government Grants	25,360	50,979	48,510	54,405	60,765

### Summary of significant changes in financial position during 2001

There were no significant changes in the University's financial position during 2001.

### Events subsequent to balance date which may have a subsequent effect on operations in subsequent years

Apart from those mentioned elsewhere in this report there have been no events subsequent to balance date that could materially affect the financial position of the University.

### Consultancies less than \$100,000

Consultancies for 2001 are reported in line with the definition contained in the Annual Report guidelines:

*Consultancy:* an arrangement where an individual or organisation is engaged to:

- provide expert analysis and advice which facilitates decision making;
- perform a specific one-off task or set of tasks;
- perform a task involving skills or perspectives which would not normally be expected to reside within the agency.

There were 121 consultancies of less than \$100,000 each during the year. Expenditure totalled \$1,585,924. Details of these are available on request.

### Consultancies in excess of \$100,000

*There were two consultancies in excess of \$100,000:*

<i>Consultancy</i>	<i>Amount</i>
Cordiner King and Co. Pty Ltd, Professional Services in Relation to Assignment no. 19406-1	\$101,386
Sinclair Knight Merz, Professional Services, Refurbishment of BA/EN Buildings and Associated Works	\$106,668
<b>Total:</b>	<b>\$208,054</b>

## ■ Statement on compulsory non-academic fees, subscriptions and charges

In accordance with the Tertiary Education Amendment Act 1994, all students were advised at the time of enrolment that the General Service Fee:

- is applied to the provision of student amenities and services by the University; and
- does not confer membership of the Student Union or any other student organisation.

The table below details the non-academic fees, subscriptions and charges applicable during 2001.

Compulsory non-academic fees, subscriptions and charges	Student status	Total GSF 2001 \$
<b>General Service Fee: Higher Education</b>	Full time, full year	294.00
	Full time, semester	147.00
	Part time, full year	147.00
	Part time, semester	74.00
	IBL/Distance Education: full year	60.00
	IBL/Distance Education: semester	30.00
	Full time student:	
	1 semester IBL/Dist Ed	30.00
	1 semester full time study	<u>147.00</u>
	<b>Total</b>	
	Part time student:	
	1 semester IBL/Dist Ed	30.00
	1 semester part time study	74.00
	<b>Total</b>	<b>104.00</b>
<b>General Service Fee: TAFE</b>	Student Contact Hours	
<i>Hawthorn, Prahran</i>	<540	108.00
	>540	165.00
	Concession <540	69.00
	Concession >540	108.00
<i>Croydon, Wantirna, Lilydale, Healesville</i>	<540	70.00
	>540	110.00
	Concession <540	45.00
	Concession >540	70.00

## ■ Compulsory non-academic fees statement of income and expenditure year ended 31 December 2001

<b>Receipts from students (not including GST)</b>	<b>\$</b>
Brought forward	500,306
General Service Fees	3,773,373
<b>Total</b>	<b>4,273,679</b>

### Disbursement of fees by Swinburne University of Technology (not including GST)

Remitted to Swinburne Student Union Inc.	2,432,727
Remitted to Swinergy (Swinburne University Sport and Recreation)	782,727
Disbursements to Student Amenities Fund	314,669
Handbooks and Registrar's Expenses	62,012
Carried Forward	681,544
<b>Total</b>	<b>4,273,679</b>

### Disbursement of fees by Swinburne Student Union Inc.

Visual and Performing Arts	116,832
Administration	38,488
Clubs and societies	21,900
Campus Computers	55,740
Student Advisory Centre	54,368
Academic support	9,945
Equipment library	21,863
General expenses (including depreciation)	393,180
Communication and Information	119,848
Hawthorn campus	940,853
Eastern campuses	646,606
Prahran campus	299,116
<b>Sub total</b>	<b>2,718,739</b>
Less expenditure funded by non-fee income	286,012
<b>Total</b>	<b>2,432,727</b>

### Disbursement of fees by Swinergy (Swinburne University Sport and Recreation)

Administration	320,675
Capital Development Fund	100,000
Club subsidies	37,638
Club portfolio	39,708
Depreciation	67,140
Finance	62,643
Marketing	69,892
Inter university sport	93,308
Recreation portfolio	71,562
Sports grants	89,837
Other expenditure	5,308
<b>Sub total</b>	<b>957,711</b>
Less expenditure funded by non-fee income	174,984
<b>Total</b>	<b>782,727</b>

#### Notes:

(1) Disbursements by Swinburne Student Union Inc. and Swinergy have been obtained from the preliminary annual accounts of the two entities

*I certify that the above information is correct and that all compulsory non-academic fees as shown above have been expended in accordance with the requirements of the Tertiary Education Amendment Act 1994.*

## ■ Compliance index

This Annual Report has been prepared in accordance with Part 7 of the *Financial Management Act 1994* outlined under Part 9 of the Directions from the Minister of Finance. This index has been prepared to facilitate identification of compliance with statutory disclosure requirements and lists the pages in the Annual Report on which each item may be found.

Clause	Disclosure	Page number
<b>Directions</b>		
9.1.2 (i) Report of Operations	The Report of Operations of a University must be signed and dated by the President of the University council or his/her nominee, on behalf of the Council.	2-58
9.1.2 (ii)	Signature and date by the President of the University Council, or his/her nominee, on behalf of the Council	3
<b>Charter and purpose</b>		
9.1.3 (i)(a)	Manner of establishment and relevant Minister	10
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<b>Financial and other information</b>		
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9.1.3(ii)(b)	Summary of significant changes in financial position	54
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<b>Other statutory reports</b>		
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TE Act 1993 121	Report under the <i>Tertiary Education Act 1993</i>	55-56
PAEC (December 1997)	Relevant information relating to significant initiatives taken/strategies developed for international operations	5, 7-8, 33-37
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## ■ Statement of financial operations

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9.2.2(i)(e)	Consolidated financial statements where the Reporting Institute has subsidiaries	Throughout
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9.2.2(ii)(b)	Compliance with Australian Accounting Standards	4-6
9.2.2(ii)c	Comply with Accounting and Financial Reporting Bulletins	4-6
9.2.2(ii)(d)	Financial statement prepared in accordance with the historical cost convention	4-6
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9.2.2(vi)(b)	Financial statements drawn up in accordance with statements	Prior to financial statements
9.2.2(vi)c	Other financial circumstances	Prior to financial statements
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	– proceeds	9
	– written down value (included in depreciation)	9
9.2.3(ii)(d)	Material revenues arising from exchange of goods or services	Not applicable
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Swinburne University of Technology  
**Financial statements**

**2001**

SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

STATEMENT OF FINANCIAL PERFORMANCE

FOR THE YEAR ENDED 31 DECEMBER 2001

	Notes	Consolidated		Swinburne University of Technology	
		2001 \$000	2000 \$000	2001 \$000	2000 \$000
Revenue from Ordinary Activities	2	236,238	213,084	233,504	211,153
Expenses from Ordinary Activities (excluding borrowing cost expense)	3	220,547	200,770	219,288	198,700
Borrowing cost expense	4	649	715	649	715
Share of net result of associates and joint ventures accounted for using the equity method	8	-	(21)	-	-
<b>Surplus from Ordinary Activities before Income Tax Expense</b>		15,042	11,578	13,567	11,738
Income tax related to ordinary activities		-	-	-	-
<b>Surplus after related income tax expense</b>		15,042	11,578	13,567	11,738
<b>Net Surplus</b>		15,042	11,578	13,567	11,738
Outside equity interests in net surplus	17	133	124	-	-
<b>Net Surplus attributable to parent entity</b>		15,175	11,702	13,567	11,738
Net Increase (Decrease) in Asset Revaluation Reserve	16.2	(253)	46,718	(1,068)	44,966
<b>Total Changes in Equity other than those Resulting from Transactions with Owners as Owners</b>		14,922	58,420	12,499	56,704

The accompanying notes form part of these financial reports

SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

STATEMENT OF FINANCIAL POSITION AS AT 31 DECEMBER 2001

	Notes	Consolidated		Swinburne University of Technology	
		2001	2000	2001	2000
		\$000	\$000	\$000	\$000
<b><u>CURRENT ASSETS</u></b>					
Cash Assets	18.1	30,792	32,592	30,445	32,336
Receivables	7	6,982	7,062	6,408	7,002
Other Financial Assets	9.2	13,945	6,932	13,945	6,932
Other	10.1	8,469	7,631	8,469	7,631
<b>Total Current Assets</b>		<b>60,188</b>	<b>54,217</b>	<b>59,267</b>	<b>53,901</b>
<b><u>NON-CURRENT ASSETS</u></b>					
Receivables	7	4,591	4,483	13,207	13,367
Investments Accounted for Using the Equity Method	8	98	-	299	278
Other Financial Assets	9.3	-	111	-	111
Property, Plant and Equipment	11	340,749	326,805	285,019	272,352
Other	10.2	101,869	95,959	101,869	95,959
<b>Total Non-current Assets</b>		<b>447,307</b>	<b>427,358</b>	<b>400,394</b>	<b>382,067</b>
<b>TOTAL ASSETS</b>		<b>507,495</b>	<b>481,575</b>	<b>459,661</b>	<b>435,968</b>
<b><u>CURRENT LIABILITIES</u></b>					
Accounts Payable	12	9,065	12,309	9,065	12,309
Interest Bearing Liabilities	13.2	1,000	1,000	1,000	1,000
Finance Leases	19.1	936	-	936	-
Provisions	14.1	15,031	14,061	15,019	14,061
Other	15.1	18,331	16,111	18,331	16,111
<b>Total Current Liabilities</b>		<b>44,363</b>	<b>43,481</b>	<b>44,351</b>	<b>43,481</b>
<b><u>NON-CURRENT LIABILITIES</u></b>					
Interest Bearing Liabilities	13.3	6,500	7,500	6,500	7,500
Finance Leases	19.1	2,788	-	2,788	-
Provisions	14.2	8,287	8,995	8,287	8,995
Other	15.2	101,869	95,959	101,869	95,959
<b>Total Non-current Liabilities</b>		<b>119,444</b>	<b>112,454</b>	<b>119,444</b>	<b>112,454</b>
<b>TOTAL LIABILITIES</b>		<b>163,807</b>	<b>155,935</b>	<b>163,795</b>	<b>155,935</b>
<b>NET ASSETS</b>		<b>343,688</b>	<b>325,640</b>	<b>295,866</b>	<b>280,033</b>
<b><u>EQUITY</u></b>					
Reserves	16.1	111,167	111,420	53,161	54,229
Retained Surplus	6	232,941	214,507	242,705	225,804
Equity Attributable to Parent Entity		344,108	325,927	295,866	280,033
Outside Equity Interest in Controlled Entities	17	(420)	(287)	-	-
<b>TOTAL EQUITY</b>		<b>343,688</b>	<b>325,640</b>	<b>295,866</b>	<b>280,033</b>

The accompanying notes form part of these financial reports

SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

STATEMENT OF CASH FLOWS FOR THE YEAR ENDED 31 DECEMBER 2001

		<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
Notes	<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>	
	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	
<b><u>CASH FLOWS FROM OPERATING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Financial Assistance					
- Commonwealth Government		56,546	53,462	56,546	53,162
- Victorian Government		61,020	53,690	61,020	53,690
Higher Education Contribution Scheme					
- Student Payments		3,079	3,569	3,079	3,569
- Higher Education Trust Fund		25,272	25,456	25,272	25,456
Fees and Charges (inclusive of GST)		69,417	62,885	69,417	62,696
Interest and Dividends Received		2,011	2,606	2,011	2,594
Other Operating Receipts (inclusive of GST)		9,907	9,412	9,907	8,874
<b><u>Outflows</u></b>					
Borrowing Costs		(649)	(713)	(649)	(713)
Payments to Suppliers and Employees (inclusive of GST)		(202,494)	(175,793)	(202,494)	(175,743)
<b>Net Cash Provided by Operating Activities</b>	18.2	<b>24,109</b>	<b>34,574</b>	<b>24,109</b>	<b>33,585</b>
<b><u>CASH FLOWS FROM INVESTING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Sales of Property, Plant and Equipment		360	255	360	255
<b><u>Outflows</u></b>					
Purchase of Investments		(6,923)	(2,446)	(6,923)	(2,446)
Payments for Property, Plant and Equipment		(21,249)	(22,777)	(21,249)	(21,320)
<b>Net Cash Used in Investing Activities</b>		<b>(27,812)</b>	<b>(24,968)</b>	<b>(27,812)</b>	<b>(23,511)</b>
<b><u>CASH FLOWS FROM FINANCING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Finance Leases		3,724	-	3,724	-
<b><u>Outflows</u></b>					
Repayment of Borrowings		(1,000)	(1,000)	(1,000)	(1,000)
Distributions to Beneficiaries of Trusts		-	-	-	-
Repayment of Finance Leases		-	(70)	-	(70)
Loans to Related Parties		(912)	(24)	(912)	(552)
<b>Net Cash Provided by (Used in) Financing Activities</b>		<b>1,812</b>	<b>(1,094)</b>	<b>1,812</b>	<b>(1,622)</b>
<b>Net Increase (Decrease) in Cash Held</b>		<b>(1,891)</b>	<b>8,512</b>	<b>(1,891)</b>	<b>8,452</b>
Cash at Beginning of the Reporting Period		32,592	24,080	32,336	23,884
<b>Cash at End of the Reporting Period</b>	18.1	<b>30,701</b>	<b>32,592</b>	<b>30,445</b>	<b>32,336</b>

The accompanying notes form part of these financial reports

SWINBURNE UNIVERSITY OF TECHNOLOGY  
ABN 13 628 586 699  
NOTES TO THE FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 DECEMBER 2001

1 **SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

The financial statements are a general purpose financial report prepared in accordance with the Accounting Standards and other authoritative pronouncements of the Australian Accounting Standards Board, Urgent Issues Group Consensus Views, the provisions of the Financial Management Act 1994 and the requirements of the Swinburne University of Technology Act 1992.

Unless otherwise indicated the financial statements have been prepared in accordance with the historical cost convention using the accounting policies described below. All amounts in the financial statements have been rounded to the nearest thousand dollars.

As a result of applying the revised Accounting Standard AASB1018 *Statement of Financial Performance*, revised AASB 1034 *Financial Report Presentation and Disclosures*, and AASB 1040 *Statement of Financial Position* for the first time, a number of comparative amounts were represented or reclassified to ensure comparability with the current reporting period.

1(a) **Principles of Consolidation**

The consolidated financial statements incorporate the assets and liabilities of all entities controlled by Swinburne University of Technology (parent entity) as at 31 December 2001 and the results of all controlled entities for the year then ended. Swinburne University of Technology and its controlled entities together are referred to in this financial report as the consolidated entity. The effects of all transactions between entities in the consolidated entity are eliminated in full. Outside equity interests in the results and equity of controlled entities are shown separately in the consolidated statement of financial performance and statement of financial position respectively. Where control of an entity is obtained during a financial year, its results are included in the consolidated operating statement from the date on which control commences. Where control of an entity ceases during the financial year its results are included for that part of the year during which control existed. Investments in associates are accounted for in the consolidated financial statements using the equity method. Under this method, the consolidated entity's share of the profits or losses of associates is recognised as revenue in the consolidated operating result, and its share of movements in reserves is recognised in consolidated reserves. Associates are those entities over which the consolidated entity exercises significant influence, but not control.

1(b) **Employee Entitlements**

***Wages and Salaries, Annual Leave and Sick Leave:***

Liabilities for wages and salaries, and annual leave are recognised, and are measured as the amount unpaid at the reporting date at current pay rates in respect of employees' services up to that date. As it is probable that sick leave entitlements will exceed leave taken no liability is deemed to have existed as at 31 December 2001.

***Long Service Leave:***

A liability for long service leave is recognised, and is measured as the present value of expected future payments to be made in respect of services provided by employees up to the reporting date. Allowance is made for future wage and salary increases in accordance with the university's most recent enterprise bargaining agreements. Consideration is also given to experience of employee departures and periods of service. Expected future payments are discounted using interest rates on national government guaranteed securities with terms to maturity that match, as closely as possible, the estimated future cash flows.

**Superannuation:**

The consolidated entity contributes to several superannuation funds that are designed to provide benefits to employees and their dependants on retirement, disability or death. The amount charged to the operating result in respect of superannuation represents the contributions made by the consolidated entity to superannuation funds, adjusted by any unpaid amounts that are due for payment at the reporting date.

Unfunded Superannuation Liabilities: At 30 June 2001 the State Superannuation Fund was carrying total liabilities, including liabilities for members benefits, in excess of the fund's assets. The university is required by the Financial Management Act to include its share of unfunded superannuation liabilities in its financial statements. The amount attributable to the university as assessed by the Victorian Superannuation Board as at 30 June 2001 was \$110,068,000 (2000: \$105,253,000). Of the 2001 amount, \$106,780,000 (2000: \$100,586,000) related to Higher Education employees and the remainder to TAFE employees. The liability in respect of Higher Education employees as at 30 June 2001 has been included in the statement of financial position as a liability. Under existing arrangements the Commonwealth Government provides funds under the Higher Education Funding Act to cover pension payments and lump sums in respect of Higher Education employees paid by the university to the Victorian Superannuation Board. These arrangements have been in place for a number of years and it is reasonable to expect they will continue into the future. Further, it is the university's view that Section 14(1) of the States Grants (General Purposes) Act 1994 acknowledges the existence of a constructive obligation on the part of the Commonwealth to continue funding universities for debts they incur in relation to emerging superannuation liabilities. The university has consequently brought to account an asset of sufficient value to offset the liability. The increase in the year in both the asset and the liability was \$6,194,000 (2000: increase of \$1,501,000), which are shown in the operating result under income and expenditure respectively. Pension payments to former employees of the TAFE Division are paid direct by the Victorian Superannuation Board, without recourse to the university apart from the post-1994 contributions. The university is not required to include the unfunded liability in respect of TAFE employees in its financial reports.

1(c)

**Property, Plant and Equipment**

With the exception of land and buildings, property, plant and equipment is carried at cost. Land and buildings are subject to independent valuation every three years. Furniture and library collections had also previously been the subject of periodic valuations but a reversion to cost was made at the beginning of 2001. The reversion was based on prior years' valuations, which were deemed to be cost. There was no financial impact of the change in policy.

The value of non-current assets controlled by the consolidated entity includes all construction costs, materials, hired labour and borrowing costs. Revaluation increments are credited directly to the asset revaluation reserve, unless they are reversing a previous decrement charged to the operating result, in which case the increment is credited to the operating result. Revaluation decrements are recognised as expenses in the operating result, unless they are reversing revaluation increments previously credited to, and still included in the balance of, the asset revaluation reserve in respect of the same class of assets, in which case they are debited directly to the asset revaluation reserve. Depreciation is calculated on a straight line basis to write off the net cost or revalued amount of each item of property plant and equipment (excluding land) over the expected useful life to the consolidated entity. Estimates of remaining useful life are made on a regular basis for all assets, with annual reassessments for major items. The expected useful lives are as follows:

Buildings	Plants	and Equipment	years	2000	42 years
Furniture			10 years	2000	10 years
IT Equipment			3 years	2000	3 years
Motor Vehicles			2 years	2000	2 years
Other Equipment			15 years	2000	15 years
Library Collection			15 years	2000	15 years

Depreciation and the written down value of assets disposed of in the accounts totalled \$10,848,000 (Consolidated \$11,902,000).

- 1(d) **Leased Non-Current Assets**  
A distinction is made between finance leases which effectively transfer from the lessor to the lessee substantially all the risks and benefits incident to ownership of leased non-current assets, and operating leases under which the lessor effectively retains all such risks and benefits. Finance leases are capitalised. A leased asset and liability are established at the present value of minimum lease payments. Lease payments are allocated between the principal component of the lease liability and the interest expense. The leased asset is amortised on a straight line basis over the term of the lease, or, where it is likely that the consolidated entity will obtain ownership of the asset, the life of the asset. Leased assets held at reporting date are being amortised over five years. Operating lease payments are charged to the operating result in the periods in which they are incurred, as this represents the pattern of benefits derived from the leased assets.
- 1(e) **Inventories**  
Inventories are stated at the lower of cost and net realisable value, which is assigned to individual items of stock on the basis of first-in first-out. Only those inventories that are of significant value have been treated in this manner; purchases of supplies purchased by departments and under their control have been brought to account as an expense. Stock obsolescence is provided for on the basis of the relationship between items of stock and recent sales.
- 1(f) **Revenue Recognition**  
Revenue is recognised for the major activities of the consolidated entity as follows:  
**Government Financial Assistance:**  
Revenue is recognised in the period to which funding relates as determined by the bodies providing the financial assistance.  
**Higher Education Contribution Scheme:**  
Revenue is recognised in the period to which funding relates as determined by the Department of Education, Science and Technology.  
**Fees and Charges:**  
Fees include amounts received or receivable in respect of consulting and course delivery. Consulting revenue is recognised after completion of the service and clients have been invoiced. Fees relating to course delivery are recognised in the year in which courses commence.  
**Other Revenue:**  
Other revenue that is the subject of an invoice to a client is recognised when the invoice is raised. Otherwise it is recognised upon receipt.
- 1(g) **Cash Assets**  
For the purposes of the statement of cash flows, cash includes cash on hand and in banks and money market investments readily convertible to cash within two working days, net of outstanding bank overdrafts.
- 1(h) **Receivables**  
Current receivables consist of amounts owed to the university in respect of professional services and course fees. Payment for professional services is due within 30 days of the end of the month following the billing date. Student fees are normally due for payment prior to the commencement of courses. Non-current receivables consist of amounts due from corporations in which the university has an interest in respect of start-up finance provided by the university. Repayment of the debt is the subject of contractual arrangements between the university and the corporations concerned.
- 1(i) **Other Financial Assets**  
Interests in listed and unlisted securities, other than controlled entities and associates in the consolidated financial statements, are brought to account at cost and dividend and interest revenue is recognised when received. Controlled entities and associates are accounted for in the consolidated financial statements as set out in note 1(a).
- 1(j) **Foreign Currency Transactions**  
Foreign currency transactions are initially translated into Australian currency at the rate of exchange at the date of the transaction. At balance date amounts payable and receivable in foreign currencies are translated to Australian currency at rates of exchange current at that date. Resulting exchange differences are brought to account in determining the profit or loss for the year.
- 1(k) **Payables**  
These amounts represent liabilities for goods and services provided to the consolidated entity prior to the end of the financial year and which are unpaid. The amounts are unsecured and usually paid within 30 days of the end of the month in which they arise.

	Notes	Swinburne University of Technology				
		Consolidated		of Technology		
		2001 \$000	2000 \$000	2001 \$000	2000 \$000	
<b>2</b>	<b>REVENUE FROM ORDINARY ACTIVITIES</b>					
	<b>Operating Activities</b>					
	Commonwealth Government Financial Assistance	2.1	50,475	47,845	49,610	47,545
	Higher Education Contribution Scheme	29.2				
	- Student Contributions		3,079	3,569	3,079	3,569
	- Commonwealth Payments		25,406	25,512	25,406	25,512
	Victorian Government Financial Assistance	2.2	61,005	54,405	60,765	54,405
	Superannuation					
	- Deferred Government Contributions	1(b)	6,194	1,501	6,194	1,501
	- Commonwealth Supplementation		6,280	5,674	6,280	5,674
	Fees and Charges	2.3	69,089	61,199	68,698	59,878
	Royalties, Trademarks & Licences		693	98	459	98
	Consultancy and Contract Research	2.5	8,878	8,781	8,878	8,781
	Other Revenue	2.6	3,113	1,899	2,124	1,596
	Total revenue from operating activities		234,212	210,483	231,493	208,559
	<b>Outside Operating Activities</b>					
	Investment Income	2.4	2,026	2,601	2,011	2,594
	Total revenue from outside operating activities		2,026	2,601	2,011	2,594
	<b>Total Revenue from Ordinary Activities</b>		236,238	213,084	233,504	211,153

2.1	<b>Commonwealth Government Financial Assistance Excluding HECS</b>	Notes				
	<u>Higher Education</u>					
	Teaching and Learning					
	Operating Purposes excluding HECS	29.1	41,176	36,870	40,311	36,570
	Capital Development Pool	29.3	1,559	1,526	1,559	1,526
	Australian Research Council					
	Large Research	29.4	868	620	868	620
	Research Fellowships	29.5	239	286	239	286
	Strategic Partnerships with Industry	29.6	688	579	688	579
	Research Infrastructure Equipment & Facilities	29.7	112	110	112	110
	Indigenous Researchers' Development	29.8	-	6	-	6
	International Researcher Exchange	29.9	17	10	17	10
	DEST					
	Small Research	29.10	138	129	138	129
	Infrastructure Block	29.11	276	250	276	250
	Australian Postgraduate Awards	29.12	703	556	703	556
	International Postgraduate Research Scholarships	29.13	80	101	80	101
	Total Higher Education		45,856	41,043	44,991	40,743

Notes	Swinburne University of Technology			
	Consolidated		of Technology	
	2001 \$000	2000 \$000	2001 \$000	2000 \$000
<b>TAFE</b>				
Buildings, Equipment and Maintenance	4,619	6,802	4,619	6,802
Programs	-	-	-	-
Traineeships	-	-	-	-
Total TAFE	4,619	6,802	4,619	6,802
	50,475	47,845	49,610	47,545
<b>2.2 Victorian Government Financial Assistance</b>				
Higher Education				
Making Places	-	-	-	-
Child Care	-	-	-	-
Higher Education	418	1,061	418	1,061
TAFE	60,347	53,344	60,347	53,344
Building Works Funded by				
Victorian Government	-	-	-	-
Other Operating Grants	240	-	-	-
	61,005	54,405	60,765	54,405
<b>2.3 Fees and Charges</b>				
Fees and charges were collected from the following sources during the reporting period:				
Continuing education	4,813	6,678	4,641	6,678
Fee paying overseas students	29,639	24,323	29,639	24,323
Fee paying non-overseas postgraduate students	9,428	8,862	9,428	8,731
TAFE fees and charges	10,726	6,707	10,726	6,649
Other	14,483	14,629	14,264	13,497
	69,089	61,199	68,698	59,878
<b>2.4 Investment Income</b>				
Dividends	256	-	256	-
Other	1,770	2,601	1,755	2,594
	2,026	2,601	2,011	2,594
<b>2.5 Consultancy &amp; Contract Research</b>				
Consultancy	1,581	1,652	1,581	1,652
Contract research	7,297	7,129	7,297	7,129
	8,878	8,781	8,878	8,781
<b>2.6 Other Revenue</b>				
Donations and bequests	607	291	102	180
Scholarships and prizes	1,662	1,161	1,662	1,161
Proceeds from sale of assets	360	255	360	255
Other	484	192	-	-
	3,113	1,899	2,124	1,596

		Swinburne University of Technology				
		Consolidated		of Technology		
		2001	2000	2001	2000	
		<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	
3	<b>EXPENSES FROM ORDINARY ACTIVITIES</b>					
	Employee Benefits Expense	3.1	143,244	130,361	141,915	129,631
	Depreciation and Amortisation Expenses	3.2	11,649	17,037	10,595	15,892
	Buildings & Grounds		6,164	8,002	6,164	8,002
	Asset Disposals Written Down Value	3.3	253	499	253	499
	Bad & Doubtful Debts	3.4	170	1,334	1,145	1,334
	Unfunded Superannuation		6,194	1,501	6,194	1,501
	Operating Lease Rental Expense		4,516	3,125	4,516	3,125
	Other Expenses	3.5	48,357	38,911	48,506	38,716
	<b>Total Expenses from Ordinary Activities</b>		<b>220,547</b>	<b>200,770</b>	<b>219,288</b>	<b>198,700</b>
3.1	<b>Employee Benefits Expense</b>					
	Salaries					
	- Academic		68,160	58,969	66,831	58,239
	- Non-academic		45,221	42,727	45,221	42,727
	Contributions to superannuation and pension schemes:					
	- Emerging Cost	25	6,984	6,244	6,984	6,244
	- Funded	25	14,254	11,740	14,254	11,740
	Payroll Tax		6,240	5,827	6,240	5,827
	Workcover		1,401	1,313	1,401	1,313
	Long Service Leave Expense		(12)	3,053	(12)	3,053
	Annual Leave Expense		996	488	996	488
			<b>143,244</b>	<b>130,361</b>	<b>141,915</b>	<b>129,631</b>
3.2	<b>Depreciation and Amortisation Expenses</b>					
	Plant and Equipment		3,897	10,645	3,887	10,638
	Buildings		5,640	4,933	4,596	3,795
	Leased Assets		671	3	671	3
	Library Collection		1,441	1,456	1,441	1,456
			<b>11,649</b>	<b>17,037</b>	<b>10,595</b>	<b>15,892</b>
3.3	<b>Asset Disposals Written Down Value</b>					
	Plant and Equipment		-	128	-	128
	Buildings		-	-	-	-
	Leased Assets		-	-	-	-
	Library Collection		253	371	253	371
			<b>253</b>	<b>499</b>	<b>253</b>	<b>499</b>
3.4	<b>Bad &amp; Doubtful Debts</b>					
	Bad Debts Written Off		88	29	88	29
	Provision for Doubtful Debts		82	1,305	1,057	1,305
			<b>170</b>	<b>1,334</b>	<b>1,145</b>	<b>1,334</b>

	Notes	Swinburne University of Technology			
		Consolidated		of Technology	
		2001 \$000	2000 \$000	2001 \$000	2000 \$000
3.5	<b>Other Expenses</b>				
	Scholarships, Grants & Prizes	5,288	4,372	5,229	4,372
	Telecommunications	2,139	1,816	2,139	1,816
	Fees	8,316	6,373	8,251	6,373
	Non-Capitalised Equipment	9,454	4,665	9,419	4,650
	Travel, Staff Development & Entertainment	4,659	5,885	4,659	5,885
	Other Expenses	18,501	15,800	18,809	15,620
		<u>48,357</u>	<u>38,911</u>	<u>48,506</u>	<u>38,716</u>
4	<b>BORROWING COST EXPENSE</b>	649	715	649	715
5	<b>REMUNERATION OF AUDITORS</b>				
	Auditor General of Victoria - for auditing the financial report	44	46	44	44
6	<b>RETAINED SURPLUS</b>				
	Retained surplus at the beginning of the year	214,507	202,805	225,804	214,066
	Net surplus attributable to parent entity	15,175	11,702	13,567	11,738
	Movement in asset revaluation reserve	3,334	-	3,334	-
	Distribution to minority interest in trust	(75)	-	-	-
	Retained surplus at the end of the year	<u>232,941</u>	<u>214,507</u>	<u>242,705</u>	<u>225,804</u>
7	<b>RECEIVABLES</b>				
	<b>Current</b>				
	Debtors	8,725	8,722	8,151	8,662
	less: Provision for Doubtful Debts	(1,743)	(1,660)	(1,743)	(1,660)
		<u>6,982</u>	<u>7,062</u>	<u>6,408</u>	<u>7,002</u>

The Provision for Doubtful Debts reflects the difference between the book value of amounts owed and their net fair value. Net fair value is the amount expected from the realisation of the asset.

**Non Current**

Foreign currency receivable from associated co.	1,950	1,653	1,950	1,653
Other receivables from related companies	(109)	-	9,482	8,867
Other receivables	2,750	2,830	2,750	2,847
less: Provision for Doubtful Debts	-	-	(975)	-
	<u>4,591</u>	<u>4,483</u>	<u>13,207</u>	<u>13,367</u>

The foreign currency receivable relates to a loan from the controlling entity to an associated company in Thailand. The amount is repayable in Thai Baht.

The university has given an undertaking to some of its controlled entities that repayment of amounts owed by them to the university will not be sought until they have generated sufficient income to enable them to liquidate the debts.

Notes	Consolidated		Swinburne University of Technology	
	2001	2000	2001	2000
	\$000	\$000	\$000	\$000

8	<b>INVESTMENTS ACCOUNTED FOR USING THE EQUITY METHOD</b>				
	Investments in Associated Companies	98	-	299	278

Investments in associates are accounted for in the consolidated financial statements using the equity method of accounting. Information relating to each associate is set out below.

	Carrying Amount of Investment	
	\$000	\$000
Technology Training Company		
- Principal Activity: Post-secondary education provider		
- Ownership interest 2001: 49% (2000: 49%)	-	-
Swinburne Holdings SDN BHD		
- Principal Activity: Post-secondary education provider		
- Ownership interest 2001: 50% (2000: 50%)	-	-
Swinburne Vabis Indochina Ltd		
- Principal Activity: Post-secondary education provider		
- Ownership interest 2001: 50% (2000: -)	98	-
	<u>98</u>	<u>-</u>
Movement in Carrying Amount:		
Carrying amount at beginning of financial year	-	21
Share of profit/(loss)	-	(21)
Acquisitions during the year	98	-
Carrying amount at end of financial year	<u>98</u>	<u>-</u>

#### 9 OTHER FINANCIAL ASSETS

9.1 The university has the following classes of investments:

##### Shares in Corporations:

Investments included under this heading are shares in corporations listed on the Australian Stock Exchange. Dividends are dependent on resolutions of the directors of the corporations concerned. Shares in corporations are carried at cost. Dividends are recognised in the operating result when received.

##### Unsecured notes:

These are carried at the principal amount. Interest is paid half-yearly, at an agreed date, and brought to account when received.

##### Treasury Corporation of Victoria:

These are fixed interest term deposits maturing from the present date to July 2002. Interest is brought to account when received. The net fair value of the investments is equivalent to book value.

##### Dealer Term Deposits:

These consist of fixed interest term deposits with money market dealers, all are due to expire within one year. Net fair value is equivalent to book value.

##### International Training Australia Pty Ltd:

The university is an equity holder to the value of \$80,000 in this company, which has been established as a provider of international education services. The second and final call on equity holders was made in 1997, when the university paid \$40,000 to increase its investment to the sum mentioned. The venture is in a developmental stage and there have as yet been no dividends. The net fair value of the investment has been written down to nil.

##### Government Bonds:

These consist of Telecom fixed interest term deposits. Maturity dates range from 1 to 5 years. Net fair value is equivalent to book value.

		Swinburne University			
		<u>Consolidated</u>		<u>of Technology</u>	
		<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>
		\$000	\$000	\$000	\$000
9.2	<b>Current</b>				
	Shares in Corporations - at Cost	7,221	2,721	7,221	2,721
	Unsecured Notes	1,467	1,403	1,467	1,403
	Government Bonds	-	12	-	12
	Treasury Corporation of Victoria	104	40	104	40
	Dealer Term Deposits	5,153	2,756	5,153	2,756
		<u>13,945</u>	<u>6,932</u>	<u>13,945</u>	<u>6,932</u>
9.3	<b>Non-Current</b>				
	Government Bonds	-	77	-	77
	Treasury Corporation of Victoria	-	34	-	34
		<u>-</u>	<u>111</u>	<u>-</u>	<u>111</u>
10	<b>OTHER ASSETS</b>				
10.1	<b>Current</b>				
	Government Superannuation Liabilities	4,911	4,627	4,911	4,627
	Inventories	676	776	676	776
	Provision for Stock Write-Down	-	(90)	-	(90)
	Prepayments	2,882	2,318	2,882	2,318
		<u>8,469</u>	<u>7,631</u>	<u>8,469</u>	<u>7,631</u>
10.2	<b>Non-Current</b>				
	SEC Extension Deposits	-	-	-	-
	Government Superannuation Liabilities	101,869	95,959	101,869	95,959
		<u>101,869</u>	<u>95,959</u>	<u>101,869</u>	<u>95,959</u>
11	<b>PROPERTY, PLANT AND EQUIPMENT</b>				
	<u>Land and Buildings</u>				
	Land				
	- at University valuation (as at 31 December 2001)	56,571	53,176	44,007	41,427
	Buildings				
	- at independent valuation (as at 31 December 2000)	224,480	224,480	181,875	181,875
	- at cost	19,439	-	18,963	-
	- less: accumulated depreciation	(4,600)	-	(4,596)	-
	- at cost	-	-	-	-
	- less: accumulated depreciation	-	-	-	-
	Work in progress - at cost	34	8,851	34	8,851
	Total Land and Buildings	<u>295,924</u>	<u>286,507</u>	<u>240,283</u>	<u>232,153</u>
	Plant and Equipment				
	- at University valuation (as at 1 January 1998)	-	3,405	-	3,405
	- less: accumulated depreciation	-	(3,405)	-	(3,405)
	- at cost	62,749	57,528	62,643	57,429
	- less: accumulated depreciation	(42,364)	(37,726)	(42,347)	(37,726)
	Library Collection				
	- at University valuation (as at 31 December 1997)	-	19,138	-	19,138
	- less: accumulated depreciation	-	(3,642)	-	(3,642)
	- at cost	27,062	6,235	27,062	6,235
	- less: accumulated depreciation	(6,255)	(1,235)	(6,255)	(1,235)
	Plant and equipment under finance lease	6,739	2,435	6,739	2,435
	- less: accumulated amortisation	(3,106)	(2,435)	(3,106)	(2,435)
	Total Plant and Equipment	<u>44,825</u>	<u>40,298</u>	<u>44,736</u>	<u>40,199</u>
	<b>Total Property Plant and Equipment</b>	<u>340,749</u>	<u>326,805</u>	<u>285,019</u>	<u>272,352</u>

Movements in Carrying Amounts

Movement in the carrying amounts for each class of property, plant and equipment between the beginning and the end of the current financial year.

	<u>Land</u> \$000	Buildings	Plant and Equipment	Library <u>Collection</u> \$000	<u>Total</u> \$000
		(incl. Work in <u>Progress</u> ) \$000	(incl. Finance <u>Leases</u> ) \$000		
<u>Consolidated</u>					
Balance at the beginning of the year	53,176	233,331	19,802	20,496	326,805
Additions	314	11,659	8,783	2,005	22,761
Disposals	-	-	-	(253)	(253)
Revaluations	3,081	-	-	-	3,081
Depreciation expense	-	(5,637)	(4,562)	(1,446)	(11,645)
Carrying Amount at End of Year	<u>56,571</u>	<u>239,353</u>	<u>24,023</u>	<u>20,802</u>	<u>340,749</u>

Swinburne University of Technology

Balance at the beginning of the year	41,427	190,726	19,703	20,496	272,352
Additions	314	10,146	8,784	2,005	21,249
Disposals	-	-	-	(253)	(253)
Revaluations	2,266	-	-	-	2,266
Depreciation expense	-	(4,596)	(4,558)	(1,441)	(10,595)
Carrying Amount at End of Year	<u>44,007</u>	<u>196,276</u>	<u>23,929</u>	<u>20,807</u>	<u>285,019</u>

**Bases of Valuation:**

Land and Buildings are valued periodically for reporting purposes. The last assessment by the Valuer General was in 2000 and the results of that valuation have been incorporated in the financial statements, on the basis of value in use for all properties except the Mooroolbark campus. Land values were further updated as at 31 December 2001 on the basis of information provided by the Valuer General. The Mooroolbark campus is owned by Swinburne Ltd, a controlled entity of the University, and has been included in the consolidated figures. The campus has been valued at market value rather than value in use because it is in the process of being sold. Buildings on land that is vested in the Crown are included in the Statement of Financial Position under Property

Plant and Equipment: includes furniture and fittings, office and classroom equipment and machinery, and motor vehicles. All are carried at cost. The capitalisation threshold was raised in 2001 from \$1,000 to

The Library Collection is carried at cost. Books and periodicals are capitalised upon acquisition.

Equipment under finance lease have been brought to account by capitalising the present value of minimum

	<u>Swinburne University</u>			
	<u>Consolidated</u>		<u>of Technology</u>	
	<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>
<b>PAYABLES</b>	\$000	\$000	\$000	\$000
Trade Creditors	7,233	9,018	7,233	9,018
Sundry Creditors	1,832	3,291	1,832	3,291
Amounts Payable to Wholly-Owned Subsidiaries	-	-	-	-
	<u>9,065</u>	<u>12,309</u>	<u>9,065</u>	<u>12,309</u>

13	<b>INTEREST BEARING LIABILITIES</b>				
13.1	Borrowings consist of a loan from the Bank of Melbourne repayable by quarterly instalments. The loan is secured by registered first mortgage over land owned by the university.				
13.2	<b>Current</b>				
	Loan from Director	-	-	-	-
	Borrowings from Companies Related to Outside Equity Interests	-	-	-	-
	Loan from Bank of Melbourne	1,000	1,000	1,000	1,000
		<u>1,000</u>	<u>1,000</u>	<u>1,000</u>	<u>1,000</u>
13.3	<b>Non-Current</b>				
	Loan from Bank of Melbourne	6,500	7,500	6,500	7,500
13.4	<b>Non-current interest bearing liabilities are repayable as follows</b>				
	Later than 1 yr, not later than 5 yrs	4,000	4,000	4,000	4,000
	Later than 5 yrs	2,500	3,500	2,500	3,500
		<u>6,500</u>	<u>7,500</u>	<u>6,500</u>	<u>7,500</u>

		Swinburne University			
		<u>Consolidated</u>		<u>of Technology</u>	
		<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>
Notes		\$000	\$000	\$000	\$000
13.5	<b>Financing Arrangements</b>				
	Unrestricted access was available at balance date to the following bank overdraft:				
	<b>Overdraft Standby</b>				
	Total facility	1,000	1,000	1,000	1,000
	Used at balance date	-	-	-	-
	Unused at balance date	1,000	1,000	1,000	1,000
	<b>Net debt limit</b>				
	Total facility	30	30	30	30
	Used at balance date	-	-	-	-
	Unused at balance date	30	30	30	30

The net debt limit entails an offset arrangement whereby overdrawn balances are aggregated with those that are in credit. Current interest rates are: debit balances within the net debt limit 8.85%; debit balances in excess of the net debt limit 13.35%; credit balances 4.50%. The relevant rate is applied daily depending on whether the aggregate balance is debit or credit. The credit interest rate is variable and is set at 0.50% below the 11am money market rate.

14	<b>PROVISIONS</b>				
14.1	<b>Current</b>				
	Annual Leave	9,489	8,481	9,477	8,481
	Long Service Leave	5,542	5,580	5,542	5,580
		<u>15,031</u>	<u>14,061</u>	<u>15,019</u>	<u>14,061</u>
14.2	<b>Non-Current</b>				
	Long Service Leave	8,287	8,995	8,287	8,995

		Swinburne University			
		<u>Consolidated</u>		<u>of Technology</u>	
		<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>
		\$000	\$000	\$000	\$000
15	<b>OTHER LIABILITIES</b>				
15.1	<b>Current</b>				
	Financial Assistance in Advance - Commonwealth	3,848	3,192	3,848	3,192
	Financial Assistance in Advance - State	255	-	255	-
	HECS Received in Advance	1,855	1,989	1,855	1,989
	Student Fees in Advance	7,081	5,867	7,081	5,867
	Deferred Employee Benefits for Superannuation 1(b)	4,911	4,627	4,911	4,627
	Other	381	436	381	436
		<u>18,331</u>	<u>16,111</u>	<u>18,331</u>	<u>16,111</u>
15.2	<b>Non-Current</b>				
	Unspent Financial Assistance	-	-	-	-
	Deferred Employee Benefits for Superannuation 1(b)	101,869	95,959	101,869	95,959
		<u>101,869</u>	<u>95,959</u>	<u>101,869</u>	<u>95,959</u>
16	<b>RESERVES</b>				
16.1	<b>Composition of Reserves</b>				
	Asset revaluation reserve	52,907	110,803	52,907	53,975
	General reserve	254	617	254	254
	Balance at end of year	<u>53,161</u>	<u>111,420</u>	<u>53,161</u>	<u>54,229</u>
16.2	<b>Movements in Reserves</b>				
	Asset revaluation reserve				
	- Balance at beginning of year	110,803	64,085	53,975	9,009
	- Increase in Land and Buildings	3,081	46,718	2,266	44,966
	- Transfer to Retained Surplus - Library Collection	(2,838)	-	(2,838)	-
	- Transfer to Retained Surplus - Equipment	(496)	-	(496)	-
	- Balance at end of year	<u>110,550</u>	<u>110,803</u>	<u>52,907</u>	<u>53,975</u>
	General reserve				
	- Balance at beginning of year	617	617	254	254
	- Balance at end of year	<u>617</u>	<u>617</u>	<u>254</u>	<u>254</u>
17	<b>OUTSIDE EQUITY INTEREST IN CONTROLLED ENTITIES</b>				
	Outside equity interest in Swinburne Graduate School of Integrative Medicine Pty Ltd was as follows:				
	Accumulated Surplus (Deficit)				
	- Balance at beginning of year	(287)	(163)		
	- Share of current year's operating result	(133)	(124)		
	- Balance at end of year	<u>(420)</u>	<u>(287)</u>		
18	<b>NOTES TO THE STATEMENT OF CASH FLOWS</b>				
18.1	<b>Cash Assets balance consists of</b>				
	Cash	4,083	5,577	3,736	5,321
	Deposits at Call	26,709	27,015	26,709	27,015
	Balances per Statement of Cash Flows	<u>30,792</u>	<u>32,592</u>	<u>30,445</u>	<u>32,336</u>

	Notes	Swinburne University			
		Consolidated		of Technology	
		2001	2000	2001	2000
		\$000	\$000	\$000	\$000
18.2		<b>Reconciliation of Net Cash Provided by Operating Activities to Net Surplus</b>			
		15,042	11,578	13,567	11,738
		(107)	244	(107)	244
		Non-cash items in Net Surplus:			
		11,646	17,034	10,595	15,892
		345	4,944	1,308	4,944
		Changes in assets and liabilities			
		1,214	2,557	1,214	2,557
		608	(6,290)	608	(6,268)
		(554)	(959)	(554)	(959)
			21		-
		(2,499)	5,445	(2,522)	5,437
		<u>25,695</u>	<u>34,574</u>	<u>24,109</u>	<u>33,585</u>

Non cash financing and investing activities entered into by the university for the acquisition of plant and equipment by means of finance leases are disclosed in Note 19.

19 **LEASING and CAPITAL COMMITMENTS**

19.1 **Finance Lease Commitments**

Finance leases have been brought to account by capitalising the present value of minimum lease payments.

Payable:

- Not later than 1 year	1,089	-	1,089	-
- Later than 1 yr, not later than 5 yrs	2,971	-	2,971	-
	-	-	-	-
Minimum Lease Payments	<u>4,060</u>	-	<u>4,060</u>	-
less: Future finance charges	<u>(336)</u>	-	<u>(336)</u>	-
	<u>3,724</u>	-	<u>3,724</u>	-
Representing Lease Liabilities:				
Current	936	-	936	-
Non-current	<u>2,788</u>	-	<u>2,788</u>	-
	<u>3,724</u>	-	<u>3,724</u>	-

Notes	Swinburne University of Technology				
	Consolidated		of Technology		
	2001	2000	2001	2000	
	\$000	\$000	\$000	\$000	
19.2	<b>Operating Lease Commitments</b>				
	Non-cancellable Operating Leases contracted for but not capitalised in the accounts.				
	Payable:				
	- Not later than 1 year	3,460	2,698	3,460	2,698
	- Later than 1 yr, not later than 5 yrs	3,620	2,644	3,620	2,644
		7,080	5,342	7,080	5,342
19.3	<b>Capital Expenditure Commitments</b>				
	Capital expenditure commitments contracted for:				
	Capital expenditure projects	2,884	8,731	2,884	8,731
	Payable:				
	- Not later than 1 year	2,884	8,731	2,884	8,731
	- Later than 1 yr, not later than 5 yrs	-	-	-	-
		2,884	8,731	2,884	8,731

The commitments shown above will be funded by Government capital financial assistance.

## 20 RESPONSIBLE PERSON RELATED DISCLOSURES

The responsible Minister is the Hon Lynne Kosky MP.

The principal governing body of the university is its Council. The following disclosures relate to members of the Council.

### 20.1 Membership of Council 2001:

Ms J Austin, BA, DipEd(Sheffield)  
 Ms J Bissland, BA(Hons)(Saskatchewan), MA(Ontario), GradDipChildDevelopment, GradDipEd(Melb),  
 MedStudies(Mon)  
 Mr T W Brown, FCA (Deputy Chancellor)  
 Ms B Camfield, BA, DipLib(RMIT)  
 Ms K Cleave, Becon(La T)  
 Mr D J Eynon, BEcon(Mon),MA(Melb)  
 Ms H Gray, BA(Hons), LLB(Hons)  
 Mr R G Hodges, Dip(Eng)(Aero)(RMIT)  
 Ms V Kasidis, AssDip(Management)(NMIT)  
 Ms J King, BA(Murd) FAICD  
 Mr S Lipski, AM, BA(Melb)  
 Prof H Lueckenhausen, Grad Dip Industrial Design(RMIT), DipEd(Haw), MDIA, AADM  
 Assoc Prof T Randle, BEd(Melb), MSc(LaT), PhD(Salford), ARACI, MRSC, MACA  
 Mr G Rossiter, Cert IV (Workplace Training)  
 Mr C Steele, BEng(Mechanical)(SUT), GradDipManagement(SUT)  
 Prof J G Wallace, MA, Ed(Glas), PhD(Brist), FASSA  
 Mr D R Watson, FAICD, FCIS, FAIBF, DipMS(Lon)  
 Ms K N Watson, AM, BA, BEd(Melb)  
 Mr I R Wilson, BEcon(Hons), MBA(Mon)

20.2 **Remuneration of Council Members (Responsible Persons)**

No members of Council received any remuneration from the university other than by way of salary arising from a normal employee relationship. The numbers of responsible persons are shown below in their relevant remuneration bands:

	Number of	
	Responsible Persons	
	<u>2001</u>	<u>2000</u>
\$50,000 - \$59,999	1	2
\$60,000 - \$69,999	-	1
\$90,000 - \$99,999	-	1
\$110,000 - \$119,999	1	1
\$280,000 - \$289,999	-	1
\$330,000 - \$339,999	1	-
Total remuneration received, or due and receivable, by responsible persons from the university and its controlled entities amounted to	\$000 638	\$000 669

20.3 **Other Transactions of Responsible Persons**

Deloitte Touche Tohmatsu:

Mr T Brown, Deputy Chancellor, is a consultant to the firm Deloitte Touche Tohmatsu. The firm provided consulting services to the value of \$40,879 in 2001 to the university (2000: \$8,500).

20.4 **Executive Officer Remuneration**

The numbers of executive officers, other than Council members, whose total remuneration exceeded \$100,000 during the reporting period are shown in their relevant income bands:

	No. of Executives	
	<u>2001</u>	<u>2000</u>
\$100,000 - \$109,999	5	28
\$110,000 - \$119,999	32	6
\$120,000 - \$129,999	8	6
\$130,000 - \$139,999	4	7
\$140,000 - \$149,999	4	5
\$150,000 - \$159,999	1	1
\$160,000 - \$169,999	3	1
\$170,000 - \$179,999	-	1
\$180,000 - \$189,999	1	-
\$200,000 - \$209,000	-	1
\$230,000 - \$239,000	1	-
Total remuneration received, or due and receivable, by executive officers included above from the university and its controlled entities amounted to	\$000 7,359	\$000 6,794

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**INVESTMENTS in CONTROLLED ENTITIES**

<u>Name of Entity/ Country of Incorporation/Class of Shares</u>	<u>Equity Holding</u>	
	<u>2001</u>	<u>2000</u>
Swinburne Limited/Australia/no shares (limited by guarantee) (a)	-	-
Swinburne Graduate School of Integrative Medicine Pty Ltd/Australia/ordinary shares (b)	57%	57%
National Institute of Circus Arts Limited/Australia/no shares (limited by guarantee) (a)	-	-
Swinburn+B1053e Ventures Limited/Australia/no shares (limited by gurantee) (a)	-	-
Swinburne Intellectual Property Trust/Australia/no shares (unincorporated trust) (b)	-	-

(a) These companies are 100% controlled by Swinburne University of Technology. As companies limited by guarantee there was no cost to the parent entity

(b) Investment by the parent was four dollars and one hundred dollars respectively.

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**JOINT VENTURE**

There were no joint ventures, however the university has entered into a consortium called TAFE Frontiers for the provision of a flexible delivery and support development service to the Office of Employment, Training and Tertiary Education (ETTE). The university has a 25% participatory interest, being one member of the consortium contracted by ETTE to provide the service after a tendering process. The university's share of the venture's revenues and expenses have been included in the Statement of Financial Performance.

## SEGMENT INFORMATION

	Swinburne University			
	<u>Consolidated</u>		<u>of Technology</u>	
	<u>2001</u>	<u>2000</u>	<u>2001</u>	<u>2000</u>
	\$000	\$000	\$000	\$000
<b>Industry</b>				
<b>Revenue</b>				
Higher Education	140,334	125,484	139,661	124,036
TAFE	95,904	87,600	93,843	87,117
	<u>236,238</u>	<u>213,084</u>	<u>233,504</u>	<u>211,153</u>
<b>Results</b>				
Higher Education	14,934	1,765	14,120	2,096
TAFE	108	9,813	(553)	9,642
	<u>15,042</u>	<u>11,578</u>	<u>13,567</u>	<u>11,738</u>
<b>Assets</b>				
Higher Education	329,827	306,966	273,551	261,382
TAFE	177,668	174,609	176,983	174,586
	<u>507,495</u>	<u>481,575</u>	<u>450,534</u>	<u>435,968</u>
<b>Geographical</b>				
<b>Revenue</b>				
Australia	236,238	213,084	233,504	211,153
Asia	-	-	-	-
	<u>236,238</u>	<u>213,084</u>	<u>233,504</u>	<u>211,153</u>
<b>Results</b>				
Australia	15,042	11,578	13,567	11,738
Asia	-	-	-	-
	<u>15,042</u>	<u>11,578</u>	<u>13,567</u>	<u>11,738</u>
<b>Assets</b>				
Australia	507,397	481,575	450,534	435,968
Asia	98	-	-	-
	<u>507,495</u>	<u>481,575</u>	<u>450,534</u>	<u>435,968</u>

## ASSETS AND LIABILITIES OF TRUSTS FOR WHICH THE INSTITUTION IS TRUSTEE

The Institute for Innovation and Enterprise Ltd (a controlled entity of Swinburne Ltd) is the trustee of the Brain Sciences Trust. The following figures relate to that trust.

Current Assets (Receivables)	140	-	-	-
	<u>140</u>	<u>-</u>	<u>-</u>	<u>-</u>
Non-Current Liabilities (Non-interest bearing liabilities)	140	-	-	-
	<u>140</u>	<u>-</u>	<u>-</u>	<u>-</u>

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## **SUPERANNUATION**

### **State Superannuation Fund**

Higher Education:

Employer contributions are paid as costs emerge, that is, as employees become eligible for payment of the accrued benefits. Contributions paid by the university are funded by Commonwealth Government financial assistance, which are determined annually under the Higher Education Funding Act. In 2001 contributions were \$6,984,000 (2000: \$6,244,000). No employer contributions were outstanding as at 31 December 2001.

TAFE:

Since July 1994 the TAFE Division has been required to cover the employer's share of superannuation for employees who are members of the State Superannuation Scheme. In 2001 the cost amounted to \$1,719,000 (2000: \$1,556,000) which was fully funded by ETTE.

### **State Employees Retirement Benefit Scheme**

Superannuation contributions are calculated in accordance with the award agreement and amounted to \$67,000 (2000: \$55,000). No employer contributions were outstanding at 31 December 2001. Employer contributions are made at the rate of 12.1%. As at 30 June 2001 the scheme was carrying total liabilities, including liabilities for members' benefits, in excess of the scheme's assets. Hence, unfunded superannuation liabilities exist which are recognised in the financial statements of the scheme. The notional share of the scheme's unfunded liabilities attributable to the university as assessed by the scheme as at 30 June 2001 was \$701,000 (2000: \$883,000).

### **Superannuation Scheme for Australian Universities**

The employer contribution rate in 2001 was 14% of employee salaries and represents an employer/employee contribution ratio of 2:1. The scheme is fully funded. These rates are based on an actuarial review completed as at 31 December 1999 and comply with the Trust Deed. Employer contributions during the year were \$7,670,000 (2000: \$6,242,000)

### **Tertiary Education Superannuation Scheme**

The employer contribution rate in 2001 was 3% of full-time employee salaries and 8% of part-time employee salaries; contributions by employees are not required. The scheme is fully funded. Contributions amounted to \$2,243,000 (2000 : \$1,901,000).

### **VicSuper Fund**

The employer contribution rate in 2001 was 8% of employee salaries; contributions by employees are not required. Employer contributions during the year were \$2,555,000 (2000: \$1,767,000). The scheme is fully funded.

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## **CONTINGENT LIABILITIES**

Liabilities may arise from the following:

A claim against the university for breach of contract may give rise to a minor liability. Legal advice sought in relation to two other issues are also likely to result in barrister's and solicitor's fees. There were no other contingent liabilities.

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## **EVENTS SUBSEQUENT TO BALANCE DATE**

No events have occurred since balance date that would materially affect the university's accounts.

28.0

## **FINANCIAL INSTRUMENTS**

28.1

The university's accounting policies including the terms and conditions of each class of financial asset, financial liability and equity instrument, both recognised and unrecognised at balance date, are as follows:

### Recognised Financial Instruments

#### *(i) Financial Assets*

Cash Assets

Statement of Financial Position Note 8

#### **Accounting Policy**

Cash at Bank is carried at the principal amount. Interest received on any bank balance is recognised in the financial statements when the bank account is credited.

#### **Terms and Conditions**

Interest is paid half-yearly, at the prevailing bank rate, based on the average credit balance on the bank account.

Receivables - Debtors  
Statement of Financial Position Note 7

**Accounting Policy**

Debtors are carried at the nominal amounts due less any provision for doubtful debts. A doubtful debts provision is made for any amounts which are considered unlikely to be collectable.

**Terms and Conditions**

Credit is allowed for a 30 day term.

Unsecured notes  
Statement of Financial Position Note 9.2

**Accounting Policy**

Unsecured notes are carried at the principal amount. Interest is recognised in the operating statement when received.

**Terms and Conditions**

Interest is paid half-yearly, at the agreed rate.

Shares in corporations  
Statement of Financial Position Note 9.2

**Accounting Policy**

Shares in corporations are carried at cost. Dividends are recognised in the operating statement when received.

**Terms and Conditions**

Investments included under this heading are shares in corporations listed on the Australian Stock Exchange. Dividends are dependent on resolutions of the directors of the corporations concerned.

Dealer Term Deposits  
Statement of Financial Position Note 9

**Accounting Policy**

Dealer Term Deposits are carried at their principal amounts. Interest revenue is recognised in the financial statements when it is received.

**Terms and Conditions**

Short Term Deposits have an average maturity of 1 day.

Government Bonds  
Statement of Financial Position Note 9

**Accounting Policy**

Government Bonds are carried at their principal amounts. Interest revenue is recognised in the financial statements when it is received.

**Terms and Conditions**

These consist of Telecom fixed interest term deposits. Maturity dates range from 1 to 5 years.

*(ii) Financial Liabilities*

Payables  
Statement of Financial Position Note 12

**Accounting Policy**

Payables are recognised for future amounts to be paid in respect of goods and services received, whether or not billed to the university.

**Terms and Conditions**

Settlement of payables is normally effected within 30 days of the end of the month the debt is incurred.

Interest Bearing Liabilities  
Statement of Financial Position Note 13

**Accounting Policy**

Borrowings are carried at their principal amounts.

**Terms and Conditions**

Interest bearing liabilities consist of a loan from the Bank of Melbourne, repayable by quarterly instalments, the last of which falls due in January 2009. The loan is secured by registered first mortgage over land owned by the university. The interest rate is 6.36% per annum.

Finance Leases  
Statement of Financial Position Note 19

**Accounting Policy**

Finance Leases are accounted for in accordance with AAS 17.

**Terms and Conditions**

At balance date the university had finance leases with an average term of 1 year. The weighted average interest rate implicit in current leases is 12.32% per annum (1999: 12.32%).

Derivatives and Unrecognised Financial Instruments

There were no financial instruments of either kind at balance date.

28.2 Interest Rate Risk

The university's exposure to interest rate risks and the effective interest rates of financial assets and liabilities at balance date follow. The information provided relates to the consolidated entity.

**2001**

	Floating Interest Rate	Fixed Interest Maturing In:			Non-interest Bearing	Total Carrying Amount Per Statement of Financial Position	Weighted Average Effective Interest Rate
		1 Year or less	Over 1 to 5 Years	More than 5 Years			
	\$000	\$000	\$000	\$000	\$000	\$000	
<i>(i) Financial Assets</i>							
Cash Assets	4,083				4,083		3.20
Receivables				8,725	8,725		
Unsecured Notes		1,467			1,467		7.06
Shares in Corporations				7,221	7,221		
Dealer Term Deposits	31,966				31,966		4.70
Government Bonds					-		
<i>(ii) Financial Liabilities</i>							
Payables				(9,065)	(9,065)		
Interest Bearing Liabilities		-	(4,000)	(3,500)	(7,500)		6.36
Finance Leases		(936)	(2,788)		(3,724)		4.62
<b>Net Financial Assets/(Liabilities)</b>	<b>36,049</b>	<b>531</b>	<b>(6,788)</b>	<b>(3,500)</b>	<b>6,881</b>	<b>33,173</b>	

**2000**

	Floating Interest Rate	Fixed Interest Maturing In:			Non-interest Bearing	Total Carrying Amount Per Statement of Financial Position	Weighted Average Effective Interest Rate
		1 Year or less	Over 1 to 5 Years	More than 5 Years			
	\$000	\$000	\$000	\$000	\$000	\$000	
<i>(i) Financial Assets</i>							
Cash Assets	5,577				5,577		
Receivables				8,722	8,722		
Unsecured Notes		1,403			1,403		7.98
Shares in Corporations				2,721	2,721		
Dealer Term Deposits	29,771				29,771		6.19
Government Bonds		52	111		163		9.02
<i>(ii) Financial Liabilities</i>							
Payables				(12,309)	(12,309)		
Interest Bearing Liabilities		(1,000)	(4,000)	(3,500)	(8,500)		6.76
Finance Leases		-	-		-		
<b>Net Financial Assets/(Liabilities)</b>	<b>35,348</b>	<b>455</b>	<b>(3,889)</b>	<b>(3,500)</b>	<b>(866)</b>	<b>27,548</b>	

**Reconciliation of Net Financial Assets to Net Assets**

	Notes	<b>2001</b>		<b>2000</b>	
		<u>Carrying Amount</u>	<u>Net Fair Value</u>	<u>Carrying Amount</u>	<u>Net Fair Value</u>
Net financial assets as above		\$000	\$000	\$000	\$000
		33,173	33,173	27,548	27,548
<i>Non financial assets and liabilities</i>					
Investment in associated company	9	98	98	-	-
Provision for doubtful debts	7	(1,743)	(1,743)	(1,660)	(1,660)
Other receivables	7	4,591	4,591	4,483	4,483
Other assets	10	110,338	3,558	103,590	103,590
Property, plant and equipment	11	340,749	340,749	326,805	326,805
Provisions	14	(23,318)	(23,318)	(23,056)	(23,056)
Other liabilities	15	(120,200)	(13,420)	(112,070)	(112,070)
<b>Net assets per statement of financial position</b>		<b>343,688</b>	<b>343,688</b>	<b>325,640</b>	<b>325,640</b>

29	<b>ACQUITTAL OF COMMONWEALTH GOVERNMENT FINANCIAL ASSISTANCE</b>		
	Amounts received and expended pursuant to the Higher Education Funding Act 1988.		
		<u>2001</u>	<u>2000</u>
		\$000	\$000
	<b><u>Teaching and Learning</u></b>		
29.1	<b>Operating financial assistance excluding HECS</b>		
	Financial assistance received in advance in previous period	3,159	2,809
	Plus Financial assistance received in the reporting period	40,809	36,920
	Less Financial assistance received in advance for next reporting period	(3,657)	(3,159)
	Accrual adjustment - superannuation supplementation	-	-
	Accrual adjustment - prior year surplus adjustment	-	-
	<b>Revenue attributed to the reporting period</b>	<u>40,311</u>	<u>36,570</u>
	Plus Surplus from previous reporting period	-	24
	<b>Funds available in current reporting period</b>	<u>40,311</u>	<u>36,594</u>
	Less Expenses in current reporting period	40,311	36,594
	<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>
29.2	<b>Higher Education Contribution Scheme</b>		
	Amounts received pursuant to the Higher Education Funding Act 1988 from HECS Trust Fund and amounts expended.		
	Financial assistance received in advance in previous period	1,989	2,045
	Plus Financial assistance received in the reporting period	25,272	25,456
	Plus Contributions from students	3,079	3,569
	Less Financial assistance received in advance for next reporting period	(1,855)	(1,989)
	Accrual adjustment -		
	Accrual adjustment - prior year surplus adjustment		
	<b>Revenue attributed to the reporting period</b>	<u>28,485</u>	<u>29,081</u>
	Plus Surplus from previous reporting period	-	-
	<b>Funds available in current reporting period</b>	<u>28,485</u>	<u>29,081</u>
	Less Expenses in current reporting period	28,485	29,081
	<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>
29.3	<b>Capital Development Pool</b>	<u>2001</u>	<u>2000</u>
		\$000	\$000
	Financial assistance received in advance in previous period	-	-
	Plus Financial assistance received in the reporting period	1,559	1,526
	Less Financial assistance received in advance for next reporting period	-	-
	Accrual adjustment -		
	Accrual adjustment - prior year surplus adjustment		
	<b>Revenue attributed to the reporting period</b>	<u>1,559</u>	<u>1,526</u>
	Plus Surplus from previous reporting period	60	-
	<b>Funds available in current reporting period</b>	<u>1,619</u>	<u>1,526</u>
	Less Expenses in current reporting period	1,619	1,466
	<b>Surplus for reporting period</b>	<u>-</u>	<u>60</u>

	<u>2001</u>	<u>2000</u>
	\$000	\$000
29.4		
	<b><u>Australian Research Council</u></b>	
	<b>Large Research</b>	
	Financial assistance received in advance in previous period	14
	Plus Financial assistance received in the reporting period	868
	Less Financial assistance received in advance for next reporting period	-
	Accrual adjustment -	
	Accrual adjustment - prior year surplus adjustment	-
	<b>Revenue attributed to the reporting period</b>	<b>868</b>
	Plus Surplus from previous reporting period	328
	<b>Funds available in current reporting period</b>	<b>1,196</b>
	Less Expenses in current reporting period	919
	<b>Surplus for reporting period</b>	<b>277</b>
29.5		
	<b>Research Fellowships</b>	
	Financial assistance received in advance in previous period	12
	Plus Financial assistance received in the reporting period	239
	Less Financial assistance received in advance for next reporting period	-
	Accrual adjustment -	
	Accrual adjustment - prior year surplus adjustment	-
	<b>Revenue attributed to the reporting period</b>	<b>239</b>
	Plus Surplus from previous reporting period	152
	<b>Funds available in current reporting period</b>	<b>391</b>
	Less Expenses in current reporting period	260
	<b>Surplus for reporting period</b>	<b>131</b>
29.6		
	<b>Strategic Partnerships with Industry</b>	
	Financial assistance received in advance in previous period	29
	Plus Financial assistance received in the reporting period	688
	Less Financial assistance received in advance for next reporting period	-
	Accrual adjustment -	
	Accrual adjustment - prior year surplus adjustment	-
	<b>Revenue attributed to the reporting period</b>	<b>688</b>
	Plus Surplus from previous reporting period	325
	<b>Funds available in current reporting period</b>	<b>1,013</b>
	Less Expenses in current reporting period	717
	<b>Surplus for reporting period</b>	<b>296</b>
29.7		
	<b>Research Infrastructure Equipment and Facilities</b>	
	Financial assistance received in advance in previous period	-
	Plus Financial assistance received in the reporting period	112
	Less Financial assistance received in advance for next reporting period	-
	Accrual adjustment -	
	Accrual adjustment - prior year surplus adjustment	-
	<b>Revenue attributed to the reporting period</b>	<b>112</b>
	Plus Surplus from previous reporting period	-
	<b>Funds available in current reporting period</b>	<b>112</b>
	Less Expenses in current reporting period	112
	<b>Surplus for reporting period</b>	<b>-</b>



	<u>2001</u>	<u>2000</u>
	\$000	\$000
29.12 <b>Australian Postgraduate Awards</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period	703	556
Less Financial assistance received in advance for next reporting period	-	-
Accrual adjustment -		
Accrual adjustment - prior year surplus adjustment	-	-
<b>Revenue attributed to the reporting period</b>	<u>703</u>	<u>556</u>
Plus Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>703</u>	<u>556</u>
Less Expenses in current reporting period	656	556
<b>Surplus for reporting period</b>	<u>47</u>	<u>-</u>

29.13 <b>International Postgraduate Research Scholarships</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period	80	101
Less Financial assistance received in advance for next reporting period	-	-
Accrual adjustment -		
Accrual adjustment - prior year surplus adjustment	-	-
<b>Revenue attributed to the reporting period</b>	<u>80</u>	<u>101</u>
Plus Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>80</u>	<u>101</u>
Less Expenses in current reporting period	80	101
<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>

The information provided in this note is only relevant to the University and consolidated figures are therefore not provided.

29.14 <b>Summary of Unspent Financial Assistance Received from Commonwealth Government</b>	Amount	Amount	Amount
	unspent as at 31-Dec-01	that is likely to be approved by the Common- wealth for carry forward	that is likely to be recovered by the Common- wealth
Category of Financial Assistance	\$000	\$000	\$000
Operating Purposes excluding HECS	-	-	-
HECS	-	-	-
Capital Development Pool	-	-	-
Large Research	277	277	-
Research Fellowships	131	131	-
Strategic Partnerships with Industry	296	240	56
Research Infrastructure Equipment and Facilities	-	-	-
Indigenous Researchers' Development	4	4	-
International Researcher Exchange	4	4	-
Small Research	84	84	-
Infrastructure Block	-	-	-
Australian Postgraduate Awards	47	52	-
International Postgraduate Research Scholarships	-	-	-
	<u>843</u>	<u>792</u>	<u>56</u>

30

**OPERATING RESULTS: HIGHER EDUCATION AND TAFE**

Operating revenues and operating expenses for the Higher Education and TAFE divisions of the university are shown in the following tables. The figures refer only to the university - consolidated totals are not included. Discrete sets of accounts are maintained for the two divisions for the recording of their separate revenues and expenses. Central administrative expenses are apportioned between them on bases agreed at the time of establishing budgets. Depreciation expense is distributed in accordance with relative asset values.

30.1

**Operating Result**

	Notes	2001		2000	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>Revenue</b>					
Commonwealth Government Financial Assistance	2.1	44,991	4,619	40,743	6,802
Higher Education Contribution Scheme					
- Student Contributions	29.2	3,079	-	3,569	-
- Commonwealth Payments	29.2	25,406	-	25,512	-
Victorian Government Financial Assistance	2.2	418	60,347	1,061	53,344
Superannuation					
- Deferred Government Contributions	1(b)	6,194	-	1,501	-
- Commonwealth Supplementation		6,280	-	5,674	-
Fees and Charges	30.2	41,779	26,919	34,970	24,908
Investment Income	30.3	1,147	864	1,074	1,520
Royalties, Trademarks & Licences		459	-	98	-
Consultancy and Contract Research	30.4	8,134	744	8,421	360
Other Revenue	30.5	1,774	350	1,413	183
<b>Total Operating Revenue</b>		<b>139,661</b>	<b>93,843</b>	<b>124,036</b>	<b>87,117</b>
<b>Expenses</b>					
Employee Benefits Expense	30.6	76,900	65,015	79,152	50,479
Depreciation and Amortisation Expenses	30.7	6,962	3,633	9,022	6,870
Borrowing Costs	30.8	649	-	715	-
Buildings & Grounds		2,591	3,573	4,395	3,607
Asset Disposals Written Down Value	30.9	226	27	405	94
Bad & Doubtful Debts	30.10	928	217	1,149	185
Unfunded Superannuation		6,194	-	1,501	-
Operating Lease Rental Expense		3,995	521	2,946	179
Other Expenses	30.11	27,096	21,410	22,655	16,061
<b>Total Operating Expenses</b>		<b>125,541</b>	<b>94,396</b>	<b>121,940</b>	<b>77,475</b>
<b>Net Surplus (Deficit)</b>		<b>14,120</b>	<b>(553)</b>	<b>2,096</b>	<b>9,642</b>

Notes	2001		2000	
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
30.2	<b>Fees and Charges</b>			
	601	4,040	498	6,180
	25,190	4,449	19,526	4,797
	9,428	-	8,731	-
	-	10,726	-	6,649
	6,560	7,704	6,215	7,282
	41,779	26,919	34,970	24,908
30.3	<b>Investment Income</b>			
	128	128	-	-
	1,019	736	1,074	1,520
	1,147	864	1,074	1,520
30.4	<b>Consultancy &amp; Contract Research</b>			
	842	739	1,292	360
	7,292	5	7,129	-
	8,134	744	8,421	360
30.5	<b>Other Revenue</b>			
	88	14	178	2
	1,662	-	1,161	-
	24	336	74	181
	-	-	-	-
	1,774	350	1,413	183
30.6	<b>Employee Benefits Expense</b>			
	Salaries			
	34,673	32,158	30,389	27,850
	25,689	19,532	28,652	14,075
	Contributions to superannuation and pension schemes:			
	6,984	-	6,244	-
	10,171	4,083	7,624	4,116
	3,315	2,925	3,200	2,627
	744	657	747	566
	(4,382)	4,370	1,839	1,214
	(294)	1,290	457	31
	76,900	65,015	79,152	50,479

Notes	2001		2000		
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000	
30.7	<b>Depreciation and Amortisation Expenses</b>				
	Plant and Equipment	3,342	545	6,191	4,447
	Buildings	1,876	2,720	1,522	2,273
	Leased Assets	455	216	3	-
	Library Collection	1,289	152	1,306	150
		<u>6,962</u>	<u>3,633</u>	<u>9,022</u>	<u>6,870</u>
30.8	<b>Borrowing Costs</b>				
		649	-	715	-
30.9	<b>Asset Disposals Written Down Value</b>				
	Plant and Equipment	-	-	71	57
	Buildings	-	-	-	-
	Leased Assets	-	-	-	-
	Library Collection	226	27	334	37
		<u>226</u>	<u>27</u>	<u>405</u>	<u>94</u>
30.10	<b>Bad &amp; Doubtful Debts</b>				
	Bad Debts Written Off	77	11	29	-
	Provision for Doubtful Debts	851	206	1,120	185
		<u>928</u>	<u>217</u>	<u>1,149</u>	<u>185</u>
30.11	<b>Other Expenses</b>				
	Scholarships, Grants & Prizes	5,216	13	4,336	36
	Telecommunications	1,257	882	1,696	678
	Fees	4,876	3,375	4,497	1,876
	Non-capitalised Equipment	4,589	4,830	3,811	839
	Travel, Staff Development & Entertainment	3,585	1,074	4,268	1,617
	Other Expenses	7,573	11,236	4,047	11,015
		<u>27,096</u>	<u>21,410</u>	<u>22,655</u>	<u>16,061</u>

30.12 **STATEMENT OF FINANCIAL POSITION: HIGHER EDUCATION AND TAFE**

Statements of financial position and cash flow for the Higher Education and TAFE divisions of the university are shown below. The tables refer only to the university, and do not include consolidated figures for the economic entity.

	Notes	2001		2000	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.13 Statement of Financial Position</b>					
<b>CURRENT ASSETS</b>					
Cash Assets	30.23	14,843	15,602	16,961	15,375
Receivables (including intra-entity)	30.15	-	-	1,723	5,279
Investments	30.16	6,336	7,609	3,100	3,832
Other	30.17	7,677	792	6,871	760
<b>Total Current Assets</b>		<b>28,856</b>	<b>24,003</b>	<b>28,655</b>	<b>25,246</b>
<b>NON-CURRENT ASSETS</b>					
Receivables	30.15	13,207	-	13,367	-
Investments	30.16	148	151	238	151
Property, Plant and Equipment	30.18	129,471	155,548	123,163	149,189
Government Superannuation Liabilities	30.17	101,869	-	95,959	-
<b>Total Non-current Assets</b>		<b>244,695</b>	<b>155,699</b>	<b>232,727</b>	<b>149,340</b>
<b>TOTAL ASSETS</b>		<b>273,551</b>	<b>179,702</b>	<b>261,382</b>	<b>174,586</b>
<b>CURRENT LIABILITIES</b>					
Payables (including intra-entity)		7,336	9,202	9,426	2,883
Interest Bearing Liabilities		1,000	-	1,000	-
Finance Leases		635	301	-	-
Provisions	30.19	10,132	4,887	10,843	3,218
Other	30.20	15,064	3,267	11,998	4,113
<b>Total Current Liabilities</b>		<b>34,167</b>	<b>17,657</b>	<b>33,267</b>	<b>10,214</b>
<b>NON-CURRENT LIABILITIES</b>					
Interest Bearing Liabilities		6,500	-	7,500	-
Finance Leases		1,875	913	-	-
Provisions	30.19	4,396	3,891	5,712	3,283
Other	30.20	101,869	-	95,959	-
<b>Total Non-current Liabilities</b>		<b>114,640</b>	<b>4,804</b>	<b>109,171</b>	<b>3,283</b>
<b>TOTAL LIABILITIES</b>		<b>148,807</b>	<b>22,461</b>	<b>142,438</b>	<b>13,497</b>
<b>NET ASSETS</b>		<b>124,744</b>	<b>157,241</b>	<b>118,944</b>	<b>161,089</b>
<b>EQUITY</b>					
Reserves	30.21	19,649	33,512	21,693	32,536
Retained Surplus	30.22	114,222	128,483	97,251	128,553
<b>TOTAL EQUITY</b>		<b>133,871</b>	<b>161,995</b>	<b>118,944</b>	<b>161,089</b>

30.14

**Cash Flow****CASH FLOWS FROM OPERATING ACTIVITIES**Inflows

Notes	2001		2000	
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
Financial Assistance				
- Commonwealth Government	51,927	4,619	46,360	6,802
- Victorian Government	418	60,602	1,061	52,629
Higher Education Contribution Scheme				
- Student Payments	3,079	-	3,569	-
- Higher Education Trust Fund	25,272	-	25,456	-
Fees and Charges	50,039	19,378	45,650	17,046
Interest and Dividends Received	1,147	864	1,074	1,520
Other Operating Receipts	4,450	7,723	1,590	7,284

Outflows

Interest Paid	(649)	-	(713)	-
Payments to Suppliers and Employees	(122,588)	(82,172)	(106,225)	(69,518)
<b>Net Cash Provided by Operating Activities</b>	<b>13,095</b>	<b>11,014</b>	<b>17,822</b>	<b>15,763</b>

**CASH FLOWS FROM INVESTING ACTIVITIES**Inflows

Proceeds from Sales of Fixed Assets	24	336	74	181
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Outflows

Purchase of Investments	(3,146)	(3,777)	(1,277)	(1,169)
Payments for Property, Plant and Equipment	(12,689)	(8,560)	(10,027)	(11,293)
<b>Net Cash Used in Investing Activities</b>	<b>(15,811)</b>	<b>(12,001)</b>	<b>(11,230)</b>	<b>(12,281)</b>

**CASH FLOWS FROM FINANCING ACTIVITIES**Inflows

Proceeds from Finance Leases	2,510	1,214	-	-
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Outflows

Repayment of Finance Leases			(70)	-
Repayment of Borrowings	(1,000)		(1,000)	
Loans to Related Parties	(912)	-	(653)	101
<b>Net Cash Provided by (Used in) Financing Activities</b>	<b>598</b>	<b>1,214</b>	<b>(1,723)</b>	<b>101</b>

Net Increase/(Decrease) in Cash Held	(2,118)	227	4,869	3,583
Cash at Beginning of the Reporting Period	16,961	15,375	12,092	11,792
Eastern Institute of TAFE	-	-	-	-
Cash at End of the Reporting Period	30.23 14,843	15,602	16,961	15,375

Notes	2001		2000		
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000	
30.15	<b>Receivables</b>				
	Current:				
	Debtors	10,326	5,298	3046	5,616
	Provision for Doubtful Debts	(1,199)	(544)	(1,323)	(337)
		<u>9,127</u>	<u>4,754</u>	<u>1,723</u>	<u>5,279</u>
	Non Current:				
	Receivable from associated company	1,950	-	1,653	-
	Other receivables from related companies	9,482	-	8,867	-
	Other receivables	2,750	-	2,847	-
	Provision for Doubtful Debts	(975)	-	-	-
		<u>13,207</u>	<u>-</u>	<u>13,367</u>	<u>-</u>
30.16	<b>Investments</b>				
	Current:				
	Shares in Corporations - at cost	3,721	3,500	1,471	1,250
	Unsecured Notes	1,467	-	1,403	-
	Government Bonds	-	-	12	-
	Treasury Corporation of Victoria	104	-	40	-
	Dealer Term Deposits	1,044	4,109	174	2,582
		<u>6,336</u>	<u>7,609</u>	<u>3,100</u>	<u>3,832</u>
	Non-Current:				
	Investment in Associated Company	148	151	127	151
	Government Bonds	-	-	77	-
	Treasury Corporation of Victoria	-	-	34	-
		<u>148</u>	<u>151</u>	<u>238</u>	<u>151</u>
30.17	<b>Other Assets</b>				
	Current:				
	Government Superannuation Liabilities	4,911	-	4,627	-
	Inventories	-	676	-	776
	Provision for Stock Write-Down	-	-	-	(90)
	Prepayments	2,766	116	2,244	74
		<u>7,677</u>	<u>792</u>	<u>6,871</u>	<u>760</u>
	Non-Current:				
	SEC Extension Deposits	-	-	-	-
	Government Superannuation Liabilities	101,869	-	95,959	-
		<u>101,869</u>	<u>-</u>	<u>95,959</u>	<u>-</u>

30.18

**Property, Plant and Equipment**Land and Buildings

Notes	2001		2000	
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<u>Land</u>				
- at University valuation (as at 31 December 2001)	15,268	28,739	14,461	26,966
<u>Buildings</u>				
- at independent valuation (as at 31 December 2000)	75,936	105,939	75,940	105,935
- at cost	4,204	14,759	-	-
- less: accumulated depreciation	(1,872)	(2,724)	-	-
- at cost	-	-	-	-
- less: accumulated depreciation	-	-	-	-
Work in progress - at cost	-	34	49	8,802
<b>Total Land and Buildings</b>	<b>93,536</b>	<b>146,747</b>	<b>90,450</b>	<b>141,703</b>
<u>Plant and Equipment</u>				
<u>Plant and Equipment</u>				
- at University valuation (as at 1 January 1998)	-	-	2,465	940
- less: accumulated depreciation	-	-	(2,465)	(940)
- at cost (Reversion to cost basis 31 December 2001)	41,620	21,023	36,962	20,467
- less: accumulated depreciation	(26,744)	(15,603)	(22,587)	(15,139)
<u>Library Collection</u>				
- at University valuation (as at 31 December 1997)	-	-	17,439	1,699
- less: accumulated depreciation	-	-	(3,277)	(365)
- at cost (Reversion to cost basis 31 December 2001)	23,232	3,830	4,279	1,956
- less: accumulated depreciation	(4,624)	(1,631)	(103)	(1,132)
Plant and equipment under finance lease	5,341	1,398	2,435	-
- less: accumulated amortisation	(2,890)	(216)	(2,435)	-
<b>Total Plant and Equipment</b>	<b>35,935</b>	<b>8,801</b>	<b>32,713</b>	<b>7,486</b>
<b>Total Property Plant and Equipment</b>	<b>129,471</b>	<b>155,548</b>	<b>123,163</b>	<b>149,189</b>

Movements in Carrying Amounts

Movement in the carrying amounts for each class of property, plant and equipment between the beginning and the end of the current financial year.

	<u>Land</u> \$000	Buildings	Plant and Equipment	<u>Library Collection</u> \$000	<u>Total</u> \$000
		(incl. Work in <u>Progress</u> ) \$000	(incl. Finance <u>Leases</u> ) \$000		
<u>Higher Education</u>					
Balance at the beginning of the year	14,461	75,989	14,375	18,338	123,163
Additions	-	4,155	6,749	1,785	12,689
Disposals	-	-	-	(226)	(226)
Revaluations	807	-	-	-	807
Depreciation expense	-	(1,876)	(3,797)	(1,289)	(6,962)
<b>Carrying Amount at End of Year</b>	<b>15,268</b>	<b>78,268</b>	<b>17,327</b>	<b>18,608</b>	<b>129,471</b>
<u>TAFE</u>					
Balance at the beginning of the year	26,966	114,737	5,328	2,158	149,189
Additions	314	5,991	2,035	220	8,560
Disposals	-	-	-	(27)	(27)
Revaluations	1,459	-	-	-	1,459
Depreciation expense	-	(2,720)	(761)	(152)	(3,633)
<b>Carrying Amount at End of Year</b>	<b>28,739</b>	<b>118,008</b>	<b>6,602</b>	<b>2,199</b>	<b>155,548</b>



	Notes	2001		2000	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
30.22	<b>Retained Surplus</b>				
	Retained surplus at the beginning of the year	97,251	128,553	95,155	118,911
	Net Surplus (Deficit)	14,120	(553)	2,096	9,642
	Transfer from asset revaluation reserve	2,851	483	-	-
	Retained surplus at the end of the year	114,222	128,483	97,251	128,553
30.23	<b>Notes to Statement of Financial Position and Cash Flow</b>				
	Cash Assets balance consists of:				
	Cash	3,647	89	5,271	50
	Deposits at Call	11,196	15,513	11,690	15,325
		14,843	15,602	16,961	15,375
		\$000	\$000	\$000	\$000
	Reconciliation of Cash Flow From Operating Activities to Net Surplus (Deficit):				
	Net Surplus (Deficit)	14,120	(553)	2,096	9,642
	Non-cash flows in Net Surplus (Deficit):				
	Depreciation	6,962	3,633	9,022	6,870
	Provisions	(1,176)	2,484	3,416	1,528
	Net Profit from Sale of Assets	202	(309)	331	(87)
	Changes in assets and liabilities				
	Increase (decrease) in prepaid fees	2,214	(1,000)	(720)	3,277
	(Increase) decrease in receivables	290	318	(1,652)	(4,616)
	(Increase) decrease in other current assets	(522)	(32)	(1,050)	91
	Increase (decrease) in accounts payable	(8,995)	6,473	6,379	(942)
	Increase in financial assistance s in advance	-	-	-	-
	Cash Flows from Operating Activities	13,095	11,014	17,822	15,763
30.24	<b>Finance Leases</b>				
	Commitments in relation to finance leases are payable as follows:				
	Not later than 1 year	738	351	-	-
	Later than 1 yr, not later than 5 yrs	1,994	977	-	-
				-	-
	Minimum Lease Payments	2,732	1,328	-	-
	less: Future finance charges	(222)	(114)	-	-
		2,510	1,214	-	-
	Representing Lease Liabilities:				
	Current	635	301	-	-
	Non-current	1,875	913	-	-
		2,510	1,214	-	-
31	<b>EXPENSES BY FUNCTION</b>				
	<b>Academic Activities</b>				
	Academic staff salaries	33,064	28,034	28,576	23,988
	Academic staff salary related costs	9,059	7,227	9,734	4,894
	Non-academic staff salaries	9,971	5,523	9,521	4,520
	Non-academic salary related costs	2,733	1,424	3,244	922
	Depreciation expense				
	Plant and Equipment	1,868	518	3,428	3,651
	Buildings	1,335	1,766	981	1,546
	Other expenses	19,688	8,302	14,554	6,629
		77,718	52,794	70,038	46,150

Notes	2001		2000	
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>Libraries</b>				
Non-academic staff salaries	2,285	1,017	2,428	775
Non-academic salary related costs	626	262	827	158
Depreciation expense				
Plant and Equipment	88	-	161	-
Buildings	71	54	63	42
Library collection	1,515	179	1,640	187
Other expenses	679	16	159	434
	<u>5,264</u>	<u>1,528</u>	<u>5,278</u>	<u>1,596</u>
<b>Other Academic Support Services</b>				
Academic staff salaries	190	739	157	433
Academic staff salary related costs	52	191	53	88
Non-academic staff salaries	3,276	3,118	3,759	2,138
Non-academic salary related costs	898	804	1,280	436
Depreciation expense				
Plant and Equipment	788	-	1,449	-
Buildings	108	203	101	139
Leased assets	455	-	-	-
Other expenses	4,520	3,419	3,246	3,386
	<u>10,287</u>	<u>8,474</u>	<u>10,045</u>	<u>6,620</u>
<b>Student Services</b>				
Non-academic staff salaries	571	748	955	414
Non-academic salary related costs	156	193	325	84
Depreciation expense				
Plant and Equipment	15	-	27	-
Buildings	18	39	25	22
Leased Assets	-	-	3	-
Other expenses	428	109	-	349
	<u>1,188</u>	<u>1,089</u>	<u>1,335</u>	<u>869</u>
<b>Public Services</b>				
Academic staff salaries	362	1,426	381	1,147
Academic staff salary related costs	99	368	130	234
Non-academic staff salaries	89	800	66	1,074
Non-academic salary related costs	24	206	22	219
Depreciation expense				
Plant and Equipment	223	27	411	189
Buildings	14	117	12	120
Other expenses	120	1,164	125	887
	<u>931</u>	<u>4,108</u>	<u>1,147</u>	<u>3,870</u>

Notes	2001		2000	
	Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>Buildings and Grounds</b>				
Non-academic staff salaries	1,620	1,385	2,069	771
Non-academic salary related costs	444	357	705	157
Depreciation expense				
Plant and Equipment	97	-	178	-
Buildings	50	73	53	42
Other expenses	2,591	3,573	4,395	3,607
	<u>4,802</u>	<u>5,388</u>	<u>7,400</u>	<u>4,577</u>
<b>Administration &amp; Other General Institutional Services</b>				
Academic staff salaries	1,057	1,959	1,275	2,282
Academic staff salary related costs	290	505	434	466
Non-academic staff salaries	7,877	6,941	9,854	4,383
Non-academic salary related costs	2,157	1,790	3,356	895
Depreciation expense				
Plant and Equipment	263	-	608	664
Buildings	280	468	287	362
Leased assets	-	216	-	-
Other expenses	7,233	9,136	9,382	4,741
	<u>19,157</u>	<u>21,015</u>	<u>25,196</u>	<u>13,793</u>