

# SWINBURNE

Swinburne University of Technology  
**Annual Report** 2002

SWINBURNE UNIVERSITY  
OF TECHNOLOGY



Swinburne University of Technology

# 2002 Annual Report



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OF TECHNOLOGY

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April 2003

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

Dear Minister

It gives me great pleasure to submit the 2002 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



Dr. Douglas Mitchell

**Chancellor**



Professor J. G. Wallace

**Vice-Chancellor**

This Annual Report has been approved by the Swinburne University of Technology Joint Planning & Resources Committee at its meeting of 20 March 2003. This authority has been delegated to the Joint Planning & Resources Committee in line with official Swinburne policy approved by Council on 6 April 1998.



## ■ Vice-Chancellor's Overview

### 1992 – 2002

In July 2002 Swinburne celebrated its 10th anniversary as a University. The 1992 proclamation by the Parliament of Victoria of the Swinburne University of Technology Act not only recognised its distinguished history, but also the beginning of a new period of growth and innovation for Swinburne.

If we look back over the past 10 years, Swinburne has amassed a number of significant achievements, including:

- the development of a significant research profile and the establishment of numerous research centres and institutes, some of which are now among world leaders in their field
- the creation of the Lilydale campus, which continues to grow and flourish and has become of significant importance to the outer east region
- the merger with Eastern TAFE in 1998, enhancing our already strong contribution to vocational education and bringing Swinburne's campuses in Australia to a total of six
- significant building works, particularly on Hawthorn, Lilydale and Prahran campuses
- establishment of overseas campuses in Malaysia and Thailand
- increasing recognition of Swinburne's role and influence in the university sector.

The University continues to build on its strong foundations, and looks forward to the next 10 years with optimism.

### New Chancellor

Swinburne's entrepreneurial and research focus has been boosted with the appointment of Melbourne born scientist, financial analyst and philanthropist Dr. Douglas Mitchell as its new Chancellor.

In June he was officially installed as Swinburne's second Chancellor in a colourful and traditional ceremony which he described as a 'memorable evening'.

In some ways Dr. Mitchell has come full circle, having been a student and later a lecturer in chemistry at Swinburne. In 1964 he left Australia for further study and to pursue a career in medical and environmental research in London, Stockholm and New York. This was followed in 1986 by a career switch in founding an investment

company in the United States, using his own mathematical models to pick stocks.

Dr. Mitchell is a strong believer in building communities, with an emphasis on "returning wealth back into the communities that have assisted you ... I like to think that one of Swinburne's roles is to teach us entrepreneurship, which we will then use to optimise our community comfort levels."



**"Swinburne is carrying out leading-edge education and research in entrepreneurship ... These are vital for Australia's economic health and future wellbeing."**

*Dr. Douglas Mitchell*

Significant progress was made during the year in relation to each of the University's five strategic themes, as detailed in the following sections.

### Entrepreneurial University

During 2002, the University continued to raise its profile as a prominent entrepreneurial university of science and technology within our region, thanks to the untiring efforts of its Council and staff. By the end of the year, the foundation stage of Swinburne's development as an Entrepreneurial University had been consolidated.

In earlier years, there was still significant debate about the meaning of the concept and how it could be implemented. The Entrepreneurial University objective has now been generally accepted throughout the University, and managers and staff are firmly working towards realization.

In doing so they are building on achievements that have been developed over a number of years, such as Swinburne's strong performance in Self-Generated Revenue (SGR). By the end of 2002, SGR had increased to 37% of total revenue.



High levels of activity continued in the commercialisation of Intellectual Property (IP) developed at the University, including:

- 26 opportunities reviewed at an early stage
- 6 provisional applications for patents were filed, with 4 more under development
- 6 business cases developed for projects
- 3 other companies are actively fundraising.

3DCD Technology Pty Ltd (which was established in 2001, and had already received a COMET grant), received an achievement award from AusIndustry. 3DCD, along with OpalTree Pty Ltd (formerly IPFlex), set about actively raising funds for further development.

Returns were received from activities in two Co-operative Research Centres (CRCs), in the form of shares in Plantic Pty Ltd (Food and Packaging CRC), and a share of royalties from the CRC for Intelligent Manufacturing. Under the Swinburne Intellectual Property policy these returns were shared between the appropriate unit and the originators.

Four spin-off companies were established during the year, as follows.

- MiniFAB, a partnership with Wilkore and Caribbean Park, will provide a prototyping and pilot manufacture facility
- Genos Pty Ltd was established to commercialise the Swinburne University Emotional Intelligence Test, developed by Professor Con Stough, and student Ben Palmer
- VROOM Inc will develop Virtual Reality exhibits, in conjunction with Melbourne Museum, RMIT, Monash and Melbourne Universities
- Nanotechnology Victoria Ltd aims to lead the development of an industry in this field in Victoria, in conjunction with RMIT, Monash University and CSIRO.

The latter two companies received Victorian Government Science, Technology and Innovation grants.

Incubation procedures were further developed, and two companies – 3DCD and I3Media – were incubated.

In addition, in May, the Powercor-Swinburne Hatchery was established within the Australian Graduate School of Entrepreneurship. Powercor Australia Ltd, an energy distribution company, is sponsoring and underwriting the costs of the hatchery, where concepts are developed and



planned to the stage of launching new ventures. Two teams have been placed within the hatchery to develop new businesses. All Swinburne staff and students will be eligible to use the facility for a maximum period of one year.

The Venture Cup, a business planning competition, attracted 176 students in 51 groups in 2002. The competition aims to:

- provide further development for entrepreneurial students
- develop linkages between students across disciplines
- build upon class and project work towards practice, 'real world' outcomes
- identify start-up companies that may qualify for ongoing incubation within Swinburne.

## Research

Swinburne continued to make outstanding progress towards its goal of becoming a research-intensive university of technology during 2002, as measured by the major indicators. The most important of these (research income, number of publications, higher degree by research student load and research degree completions) drive the block funding received from the Commonwealth Government via several schemes.

Research income increased by 6.82% to \$8,486,769 in 2001, and publications increased by 12%. This would have led to an increase in funding from the Institutional Grants Scheme of 45%, were it not that increases are capped to a maximum of 5% during a transitional period.

The University's allocation under the Research Infrastructure Block Grants scheme increased by 50% from \$281,913 in 2001 to \$423,999 in 2002. As this scheme is driven by success in winning National Competitive Grants, it indicates the rate of growth in Swinburne's research activity. In 2002

total Australian Research Council (ARC) funding for new and continuing grants was almost \$2.3 million and comprised 16 Discovery Grants, 3 ARC Fellowships, 29 Linkage Project Grants, two International Research Exchange Programs (IREX) grants, and one Linkage, Infrastructure, Equipment and Facilities (LIEF) Grant.

Swinburne attracted \$1,674,000 under a Systemic Infrastructure Initiative (SII) Grant and was a core partner in four of the 16 Science, Technology and Innovation (STI) Grants awarded by the State Government in the following areas:

- Nanotechnology Victoria (Nanovic)
- Research Centre for Advanced By-Wire Technologies
- Virtual Reality Observatory of Melbourne
- Collaborative Optical Leading Testbed.

Swinburne achieved success from bids submitted during the year under the ARC Centres of Excellence Scheme with notification that two of the eight Centres announced involve Swinburne as a core partner. The Centre for Microphotonics will be a core partner of the Centre of Excellence for Ultrahigh Bandwidth Devices for Optical Systems, and the Centre for Atom Optics and Ultrafast Spectroscopy will be a core partner in the Centre of Excellence for Quantum Atom Optics, both to be formally established in 2003.

The University will share in the substantial amounts of money awarded to all of these Centres.

Swinburne joined with a private company to establish MiniFAB, a facility to produce prototype microtechnology platforms for sensors and other instrumentation. This initiative will make a significant contribution to the development of advanced microtechnology-based products in Victoria, and will afford many opportunities for entrepreneurial activities and for increasing linkages between the University and industry.

## Internationalisation

In September 2002 Swinburne conferred an **Honorary Doctorate** on the Honorable Dato' Sri Mohamed Najib bin Tun Haji Abdul Razak, the current Minister for Defence, Malaysia, in recognition of his outstanding contributions to youth, education and educational development in Sarawak.

Dato' Sri has a long history of accomplishments, achievements, honours and awards. At 22 he became the youngest Member of Parliament in the history of Malaysia,

and has held Ministerial and Deputy Ministerial positions in a number of portfolios. During his tenure as Minister for Education, Dato' Sri made bold plans for education in Malaysia, claiming, "my mission is not to seek incremental improvement, but quantum leaps". Under his guidance, three private universities were established for the first time, the number of state universities grew from 9 to 11 and the number of private colleges jumped from 39 to 78 – clear illustration of his passion for his country's youth and towards creating in Malaysia a regional center for educational excellence. Whilst Minister for Education Dato' Sri strongly supported Swinburne Sarawak Institute of Technology.



Steady progress was again made in internationalisation of the student body and in providing more opportunities for Swinburne students to have an international experience as part of their program. International project activity also increased. Enrolment of international students increased by 8.9% over the previous year. There were significant increases in students from Hong Kong, Malaysia, Taiwan, Singapore, Vietnam and Norway. Enrolments from India declined markedly at the beginning of the year, but recovered well for the mid-year intake.

The number of outgoing exchange and study abroad (outgoing) students increased by 56% from 132 in 2001 to 206 in 2002, while the number of incoming exchange students remains consistent. An international travel foundation was established to assist postgraduate students undertake research overseas.

One hundred and fifteen Swinburne students received an international experience through special education abroad programs in Greece, Hong Kong and Treviso University in Italy, and a study tour of the European Union. Study tours in Asia were cancelled because of the geopolitical situation.

The International Projects Unit was again successful in winning substantial business, especially in the Philippines, and exceeded its income target. Major tenders won included the following projects:

- Quality and Productivity for SMEs (Small/Medium Enterprises) (Philippines)
- Interactive Business Assistance Website (Philippines)
- Revision of Philippines System of Accounts
- Customised Training – Developing Industry Clusters (Philippines)
- Galling Pook Foundation for Video-based Citizen Education (Philippines)
- Balus Project short courses (PNG).

Internationalisation of curricula content was addressed by heads of academic units and the Academic Board during the year, and in a significant development for off-shore students, the Learning and Teaching Services helpdesk was made available to those students through the internet and email.

## Swinburne Sarawak

Swinburne Sarawak Institute of Technology (SSIT) commenced operations in September 2000 and offered a range of Malaysian qualifications to Diploma level and Swinburne University of Technology degrees. In May 2002, the Malaysian Ministry of Education invited SSIT to apply for University status. Following extensive discussions and negotiations with the Government of Sarawak, it was agreed that SSIT would be restructured as a Branch Campus in accordance with the Malaysian guidelines for this status.

The degree and other courses have now been restructured accordingly. Management was restructured into a form consistent with a Branch campus University model - Swinburne Sarawak is under the academic control of the Higher Education Division and offers identical courses to Swinburne Australia. An extensive Quality Assurance program has been introduced to ensure comparable standards at the Australian and Malaysian campuses.

The student numbers for 2002 were approximately 400 EFT. Total full-time staff in 2002 was approximately 30, including 17 academics. A course and student load plan has been introduced to facilitate the expansion of courses and student load in the next five years.

## Swinburne Tummasiri, Thailand

In 2002, Swinburne Tummasiri continued to pursue the objectives of achieving degree-granting status and becoming an Institute regulated under the Ministry of University Affairs. Although the proposal to achieve this outcome was well received by the Thai authorities, the lack of sufficient land at the Laem Chabang site prevented the development proceeding. Other land options were investigated and a larger site close to Bangkok was identified as a possible solution. In addition to enabling the degree-granting Institute option, it also provided a longer-term opportunity to establish a private Thai University in an expanded Swinburne-Thai business partnership.

Concurrent with this plan, a range of new curricula was developed with associate degrees replacing higher diplomas. The associate degree constitutes the first two years of the proposed four-year Swinburne-Thai bachelor degree program and has been designed to provide students with strong and relevant vocational outcomes as well as the academic background required for higher studies. The first students commenced study in October 2002.



## Flexible Learning and Teaching

The University traveled further down the path of providing more flexible opportunities for learning and put in place additional infrastructure to enable flexible delivery.

Education Development Co-ordinators were appointed in each of the Higher Education academic units to assist the Head of School/Studies take a leadership role in learning and teaching innovation. The Co-ordinators liaise with Learning and Teaching Services to form a 'hub and spokes' model of educational development. They collaborate across academic units on issues such as innovation, good practice, quality of teaching, support for sessional staff.

Almost all higher education subjects now have an online support site (with the exception of 57 post-graduate subjects in management). All subjects with an enrolment of 10 or more students have available a web presence in the online learning management systems Blackboard, TekniCAL or WebCT. These sites include a subject outline bulletin/notice board, asynchronous communication and other learning resources and links. Rates of usage are monitored and reported.

Learning and Teaching Services (LTS) established a Helpdesk to support online learning, which is available to students and staff from 7am to 9pm, Monday to Friday during term time, and 9am to 5pm at other times.

LTS also provided support for the development of flexible learning and teaching to the overseas campuses in Sarawak and Thailand. Support was provided for the provision of Blackboard at the Sarawak campus.

Swinburne contributed at a national level to research into flexible provision, through publication of a study commissioned by the Department of Education, Science and Training (DEST), *Effectiveness of the Flexible Provision of Higher Education*, and contribution to an investigation by the Australian Universities Teaching Committee, *Multiple Modes of Delivery*.

University-wide professional development activities for staff were conducted during the year, including the following topics: learning and teaching seminars for sessional staff; approaches to teaching in higher education, problem-based learning; new technologies; online assessment; online conferencing; cross-cultural learning and teaching; action learning; mastery learning; internationalisation of curriculum and off-shore teaching, and experiential learning.

## The Intersectoral Advantage

The Intersectoral Advisory Committee redeveloped its Strategic Development Plan into a Master Plan during the year, using the format devised under the University's new integrated planning and review system. The Committee again funded a number of valuable projects including:

- data analysis of students moving between the sectors
- identifying opportunities for collaboration between Co-operative Research Centres (CRCs) and the TAFE Division
- a new dual award in the area of Advanced Digital Technology/Production
- research into training/retraining needs of older workers
- a model for a jointly conducted qualification in the disciplines of Public Relations and Media
- mapping projects focused on the relationship between training package competencies, higher education programs and dual qualifications
- environmental sustainability
- IBL dual award program.

In order to improve communication between the sectors as well as generate ideas for collaborative projects, a series of successful Intersectoral Forums was held.

The number of Higher Education programs with articulation and credit transfer agreements with TAFE programs stood at 42. Five programs were offered jointly by the Higher Education and TAFE Divisions, as well as 11 dual qualifications (coordinated bachelor and diploma programs).

The TAFE Division's successful Industry Consulting Services started to broaden its role by taking on management of a Higher Education Division program.

March 2002 saw the launch of Swinburne Lilydale's Student Centre – an excellent model of intersectoral on-campus cooperation and 'one-stop' provision of administrative and educational services.

## Major Reviews of 2002

### **AUQA Audit**

Swinburne was included in the first round of audits by the Australian Universities Quality Agency (AUQA), and an audit panel visited the University in September.

As required, the University undertook a 'self-review' of all aspects relating to academic quality. As a result of the self-review a number of further improvements were completed or initiated, in a range of areas, in addition to those already planned as a result of the normal cycle. These included changes to the course accreditation, course review and course evaluation policies and procedures, as well as improvements to policies and procedures relating to off-shore programs and operations.

The University submitted its 'Performance Portfolio' to AUQA on 14 June 2002.

The Portfolio outlined the quality assurance, improvement and management processes in the following major areas of operations that relate directly to academic quality:

- Leadership and Direction
- Learning and Teaching
- Intersectoral Advantage
- Off-shore Developments
- Research
- Human Resources
- Complaints and Grievances
- Risk Management.

The Portfolio included evaluations of the University's strengths and weaknesses in the various areas, together with lists of improvements needed.

Outcomes data relating to the key areas of learning and teaching, research and human resources were collated and presented, and showed that the University was achieving its objectives in each area.

Subsequently, a five-member panel appointed by AUQA visited the University over 23-25 September and undertook an extensive series of interviews with all categories of staff, students, and external stakeholders, including:

- Senior management
- Members of Council
- Academic and general staff of four schools
  - Australian Graduate School of Entrepreneurship
  - School of Business
  - National School of Design
  - Engineering and Science
- Heads of Schools/Head of Studies (Lilydale)
- Research co-ordinators
- External members of course advisory committees
- IBL co-ordinators
- Human Resources
- Learning and Teaching Support and Information Resources
- External stakeholders such as IBL partners, research partners, employers of Swinburne graduates.

The panel's report was due in the first quarter of 2003.

### **Performance Audit of International Students in Victorian Universities**

From September 2001, the University was required to provide information for a performance audit of international students in Victorian Universities for the Victorian Auditor-General. The University was required to show how it had implemented the recommendations of a previous audit in 1993 that had covered five areas:

- operational and strategic process improvement
- safeguarding entry and academic standards
- financial administration of programs
- engagement and monitoring of agents
- management of offshore programs.

The University supplied documentation mainly consisting of its policies and procedures relating to these areas.

The Auditor General's Report accepted that the University had implemented all the applicable 1993 recommendations.

### **University Council's Risk Management Strategy**

Risk management is not a recent phenomenon for Swinburne University of Technology. Management has always been very conscious of the need to identify and manage the risks that are associated with the diverse activities undertaken, under consideration or in progress. The principles of risk management have consistently been applied through the use of tools such as business plans, SWOT analysis, due-diligence inquiries, operational reviews and performance audits. These tools have been applied so that management would be more aware of the range of scenarios that might be confronted, and that appropriate strategies to best manage these scenarios might be identified.

At the highest level, responsibility for risk management lies with two Council Committees, the Finance Committee and the Audit Committee, and with the University's senior management. Finance Committee exercises general oversight of the financial affairs of the University, and the terms of reference of the Audit Committee include: "ensure that adequate systems of internal control and risk management operate within the University". The Office of the Director, Internal Audit is dedicated to carrying out this function.

In recent years it became obvious that there was a need to introduce a formal risk management program, one that complied with the Australian and New Zealand Standard (AS/NZ 4360:1995).

Consequently, in 1999 a formal Policy and Principles were developed, based on the Standard, and after consideration of best practice and benchmark policies operating in other universities. They address a very simple objective: that the University "will develop an organisational culture that optimises its ability to achieve business objectives while ensuring appropriate management of risks". The Policy and Principles, which provide a comprehensive approach to identifying and managing risk, were implemented in July 2001, and were approved by the Audit Committee.

Under the Policy and Principles, all managers have responsibility for ongoing consideration, assessment and appropriate action to address risk in their areas of responsibility including:

- occupational health and safety
- employee relations

- financial operations
- emergency management
- insurance protection
- new legislative requirements including Privacy and Whistleblowers Legislation.

A Risk Management Framework supports this responsibility through deployment of a number of approaches including:

- management of risks on an everyday basis (with much activity in this area being a matter of common sense)
- risk management workshop programs
- ongoing internal audit reviews
- continual monitoring and review of policy and procedures in areas of high risk
- appropriate action to identify and implement requirements for new legislation
- clearly defined management accountability for management of risk, especially in occupational health and safety, information technology, and emergency services
- a risk map that covers the broad risk categories and helps line management focus on the identification of the key stakeholders involved.

Policies in high risk areas are benchmarked against standards and sector-wide benchmarks.

### **Building Highlights**

In February 2002, Swinburne's Foundation Chancellor, Richard Pratt, and Frank Bannon, Senior Deputy Vice-Chancellor, formally opened the 'Cloisters' area of the University.

The Cloisters is the culmination of an 18-month project that included the establishment of Haddons café, renovation of the student administration area, and extensive paving and landscaping. This project has changed the face of the campus and provided spaces for students to relax away from lecture theatres and laboratories. Members of staff also enjoy the open space, and in particular the opportunity to meet at 'Haddons', which was named in honour of the architect who designed the AR building where the café is located.

## ■ University establishment

### A Proud History

The 1992 proclamation by the Parliament of Victoria of the *Swinburne University of Technology Act* marked not only recognition of its 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 Institute of TAFE 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.

Swinburne was established as the Eastern Suburbs Technical College by the Honourable George Swinburne, a former Mayor of Hawthorn and member of the Parliament of Victoria. The first students were 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 Mr. Swinburne.

Swinburne Council was given power to grant bachelor degrees, and the first of these was awarded at a conferring ceremony held on Thursday, 21 May 1981 at the Camberwell Civic Centre.

Swinburne University of Technology was proclaimed on 1 July 1992. 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 2002 was the Victorian Minister for Education and Training.

For funding purposes and some aspects of strategic planning the relevant Minister in 2002 was the Federal Minister for Education, Science 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
- 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



- 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
- 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
- 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 Deputy Vice-Chancellors, the Pro Vice-Chancellor Research and Industry Liaison, 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.



## ■ Members of Swinburne Council 2002

Name of member	Qualifications, honours and awards	Category of membership
Dr. D (Douglas) MITCHELL Chancellor	BSc(Melb), MSc, PhD(London)	Appointed by University Council
Mr T W (Trevor) BROWN (Deputy Chancellor)	FCA, ASCPA	Appointed by University Council
Professor J G (Iain) WALLACE (Vice-Chancellor)	MA, MEd(Glasgow), 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(Monash)	Ex Officio – Chair of the Board of Technical Studies
Ms B (Barbara) CAMFIELD	BA(SIT), AssocDipLib(RMIT)	Elected by General Staff
Ms K (Karen) CLEAVE	BEcon(La Trobe)	Appointed by the Minister
Mr D J (David) EYNON	BEcon(Monash), MA(Melb)	Appointed by Governor-in-Council
Ms H (Heather) GRAY	BA(Hons), LLB(Hons)	Appointed by Governor-in-Council
Mr. G (Gautam) GUPTA	BSLH, GradDipInfTech (Information Systems Development)(SUT)	Elected by Higher Education Students
Mr R G (Robert) HODGES	DipEng(Aero)(RMIT)	Appointed by Governor-in-Council
Ms J (Judith) KING	BA(Murd), FAICD	Appointed by University Council
Mr. G M (Geoff) LEONARD	BSc(Melb), MACS	Elected by Higher Education Academic Staff
Mr S (Sam) LIPSKI	AM, BA(Melb)	Appointed by Governor-in-Council
Professor H (Helmut) LUECKENHAUSEN	GradDip(Industrial Design)(RMIT), DipEd(Hawthorn), MDIA, AADM	Ex Officio, Chair, Academic Board
Mr. J (John) PERRYMEANT	DipBus(Health & Community Services Management)	Elected by TAFE Students
Mr. D (Duncan) STREET	BA(Hons)(Otago), DipEd(Christchurch)	Elected by TAFE Academic Staff
Mr D (Doug) WATSON	DipMS(London), FCIS, FAICD, FAIBF	Appointed by Governor-in-Council
Ms K N (Kath) WATSON	AM, BA, DipEd, BEd(Melb)	Appointed by University Council
Mr I R (Ross) WILSON	BEcon(Hons), MBA(Monash)	Appointed by Governor-in-Council
Vacant (2)		Appointed by University Council

## ■ Senior offices and their areas of responsibility

### Chancellor

Dr. D Mitchell, BSc(Melb), MSc, PhD(London)

Doctor Mitchell was elected Chancellor of the University at the meeting of Council on 25 February 2002.

The Chancellor is the titular and ceremonial head of the University. The Chancellor is 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 University's global operations and strategic planning.

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

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

### Deputy Vice-Chancellor, Swinburne, Lilydale

Professor B van Ernst, AM, BA, BEd(Mon), MEd(La Trobe), PhD(La Trobe), TPTC, MACE

### Deputy Vice-Chancellor, TAFE Division

A Crozier, BSc (Hons) (London), PGCE(Camb), ARCS

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 and Industry Liaison

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

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

### Vice President, Resources

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

The Vice President, Resources has responsibility for the major administrative and operational areas of Facilities and Services, Finance, Human Resources, Information Resources, Information Technology Services, Security, and the Office of the University Solicitor.

### Vice President, Student Affairs

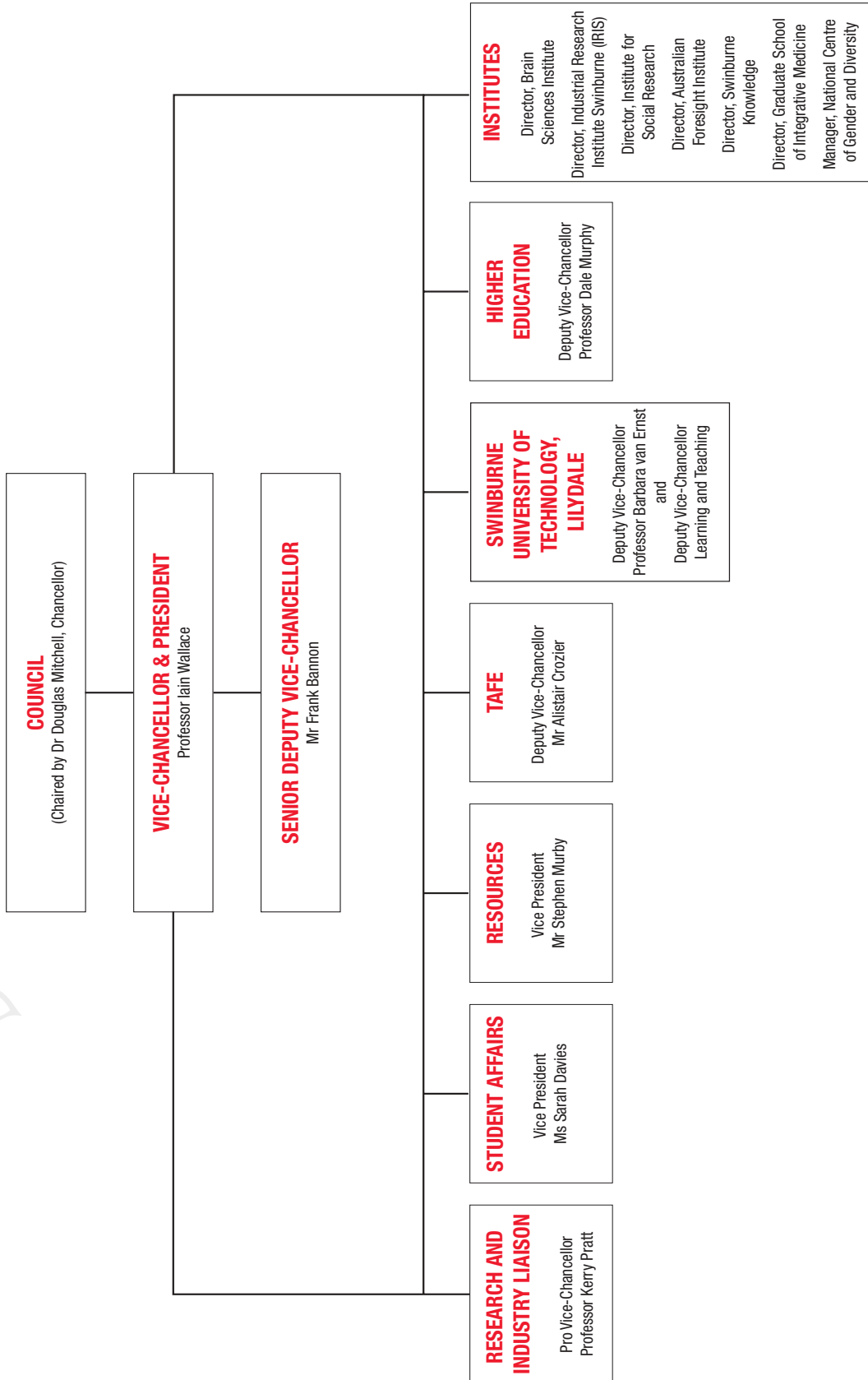
S Davies, BA(Hons) (Leic), Dip. Marketing(CIM), AFAMI, CPM.

The Vice President, Student Affairs is responsible for all aspects of the University's relations with the community, and with all services that support students, including Registrar's Office, University Secretariat, Student and Residential Services, Careers and Employment, Alumni and Development, Swinburne Press, Education Abroad, International Student Unit, and Marketing.

The Vice President, Student Affairs also has responsibility for internationalisation in general.

# ■ Swinburne University of Technology organisation chart

## SWINBURNE UNIVERSITY OF TECHNOLOGY ORGANISATION CHART



## Statistical Snapshot 2002

### Student Statistics (1)

	2000	2001	2002
Total Student Enrolments (persons)	13,734	14,118	14,320
Commencing Enrolments (persons) (3)	5,109	5,162	5,260
Total Student Load (EFTSU)	9,691	9,838	9,951
Commencing Load (EFTSU) (3)	3,517	3,543	3,592

### By Funding Source (EFTSU)

	2000	2001	2002
Operating Grant	6,741	6,376	6,250
Fee Paying Overseas	1,872	2,257	2,405
Fee Paying Local	1,078	1,205	1,296

### By Level of Course (EFTSU)

	2000	2001	2002
Postgraduate Research Awards	395	404	353
Postgraduate Coursework Awards	1,570	1,889	1,958
Bachelors Degree (2)	7,726	7,545	7,640

### By Division/School (EFTSU)

Chancellery Academic:	2000	2001	2002
Integrative Medicine	21	24	27

### Higher Ed. Hawthorn & Prahran:

School	2000	2001	2002
Biophysics & Elec. Eng.	1,079	1,191	1,349
Brain Science Institute	19	20	15
Business	1,549	1,377	1,299
Design	674	724	801
Engineering Science	1,496	1,365	1,318
I.R.I.S	73	90	105
Information Technology	1,664	1,995	1,942
Institute for Social Research		31	34
AGSE	527	523	499
Mathematical Sciences	95	67	56
Social & Beh. Sci.	981	879	848
<b>Divisional Total</b>	<b>8,159</b>	<b>8,262</b>	<b>8,265</b>

Division of S.U.T. at Lilydale	1,512	1,552	1,659
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### By Campus (EFTSU)

	2000	2001	2002
Hawthorn	7,505	7,562	7,491
Lilydale	1,512	1,552	1,659
Prahran	674	724	801

### By Gender (EFTSU)

	2000	2001	2002
Female	4,127	4,088	4,070
Male	5,564	5,750	5,881

### By Attendance Type (EFTSU)

	2000	2001	2002
Full Time	7,287	7,326	7,420
Part Time	2,404	2,512	2,531

### International Enrolments (1)

	2000	2001	2002
<b>TOTAL (Headcount)</b>	<b>2570</b>	<b>3020</b>	<b>3276</b>
Commencing (3)	1374	1396	1585
Returning	1196	1624	1691

### By Gender

	2000	2001	2002
Female	985	1068	1115
Male	1585	1952	2161

### By Level of Course

	2000	2001	2002
Postgraduate Research Awards	98	127	53
Postgraduate Coursework Awards	982	1275	1327
Bachelors Degree (2)	1490	1618	1896

### Academic Profile (1)

Broad Field of Study available at Swinburne (Higher Education)	Student %EFTSU	Student %EFTSU	Student %EFTSU
	2000	2001	2002
Creative Arts	9	8	8
Engineering	17	21	21
Health	1	1	1
Information Technology	21	23	23
Management & Commerce	21	22	23
Natural & Physical Sciences	13	9	8
Society & Culture	18	16	16

### TAFE Summary (4)

2002 By Campus	Person/ Course	Contact Hours
Croydon	4,168	1,212,636
Hawthorn	6,246	2,568,222
Healesville	184	40,087
Lilydale	1,611	642,502
Prahran	4,533	1,981,660
Wantirna	4,191	1,297,649
Off Campus	1,319	120,661
Off Shore	49	30,780
Out Reach	263	19,280
Distance Venue	256	12,660
Enterprise/Workplace	2,597	558,636
<b>TAFE Total</b>	<b>25,417</b>	<b>8,484,773</b>

(Includes multiple course enrolments)

### Research Student Profile

Commencing Load (Doctoral)	61.4
Commencing Load (Masters)	19.5
Returning Load	272.1
<b>Total Research Students</b>	<b>353</b>



**Staff Statistics (1) Higher Education**

	2000	2001	2002
<b>Total Staff (FTE)</b>	831	834	839
By Award (FTE)			
Academic / Research	366	394	392
General	465	440	447
<b>By Division/Schools/Admin Unit (FTE)</b>			
Support Units	345	307	309
<b>Chancellery Academic:</b>			
Integrative Medicine	6	7	6
<b>Higher Ed. Hawthorn &amp; Prahran:</b>			
<i>School</i>			
Biophysics & Elec. Eng.	61	80	92
Brain Science Institute	14	14	8
Business	72	62	61
Design	33	38	33
Engineering Science	81	86	67
I.R.I.S	20	27	30
Information Technology	53	67	74
Institute for Social Research		12	20
AGSE	27	27	25
Mathematical Sciences	24	26	25
Social & Beh. Sci.	51	33	39
<b>Divisional Total</b>	<b>436</b>	<b>472</b>	<b>474</b>
Division of S.U.T. at Lilydale	45	48	51

**Staff Statistics (6) TAFE**

<b>Teaching Staff Headcount</b>	2001	2002
Full time	314	325
Part time	201	259
Sessional	387	449
<b>Total</b>	<b>902</b>	<b>1,033</b>

**TAFE Summary (4)**

<b>2002 Headcount</b>	Full	Part	Total
<b>By Status and Gender</b>	Time	Time	Total
Female	3,213	8,860	12,073
Male	3,043	9,594	12,637
<b>Total Persons</b>	<b>6,256</b>	<b>18,454</b>	<b>24,710</b>

**TAFE (Thailand)**

<b>2002 Headcount (6)</b>	Full Time	Total
<b>By Status</b>	Full Time	Total
	64	64

**Swinburne, Sarawak (Malaysia)**

<b>2002 Headcount</b>	Full	Part	Total
<b>By Status</b>	Time	Time	Total
	419	0	419

**NOTES:**

- (1) Figures as at census date 31/3 & 31/8 of each year for Higher Ed. sector
- (2) Includes Bachelor Honours
- (3) Commencing after 31/8 previous year
- (4) TAFE 2002 official statistics as sent to OTTE
- (5) Income and Expenditure figures include Higher Education and TAFE
- (6) NICA has been excluded

## ■ 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 field 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 – Pratt Campus, Prahran and Wantirna - and two international campuses – Laem Chabang in Chon Buri Thailand, and in Kuching, Sarawak, Malaysia.

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 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
- Division of TAFE.

Each teaching division in Swinburne Australia is headed by a Deputy Vice-Chancellor. The academic programs offered by the branch campus being established in Kuching, Malaysia, are under the control of a Pro Vice-Chancellor (Academic).

The Higher Education sector offers the qualifications of undergraduate 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 programs. A number of 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 three 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 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.

The Research Institutes are:

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

In addition the University has the Graduate School of Integrative Medicine, the Australian Foresight Institute and the National Institute of Circus Arts (NICA), which are among international leaders in their disciplines.

## Swinburne University of Technology, Lilydale

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 fulfillment, 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.

## 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 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 the 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.

## ■ Operational objectives for 2002 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.

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 2002.



## ■ The Entrepreneurial University

### Statement of Direction 2010 Objective

Swinburne will become a renowned centre for entrepreneurship and innovation. Entrepreneurship and innovation will be a hallmark of everything that we do. We will prepare students to participate in the new economy and society of the 21st century and heighten their awareness of, and capacity to make the choice between, employment and self-employment.

We will do this by emphasising the following strategies:

- creating an inspiring culture of creativity and innovation throughout the University
- pursuing innovation in the forms of
  - new technologies
  - new products (which can be based on existing technologies)
  - new forms of business organisation and services
  - new forms of social organisation
  - new and improved administrative processes
  - new education approaches
  - new course materialsfor the benefit of society as a whole
- creating an environment favourable to the creation and development of Intellectual Property (IP) throughout the University
- building a general learning environment conducive to innovation and entrepreneurship
- commercialising IP generated by staff and students;
- providing appropriate infrastructure support for commercialisation and development of IP
- sourcing seed and venture capital for commercialisation and development of IP
- providing incentives to staff and students for the commercialisation of IP they generate
- making available to all students subjects in, and content relating to, innovation and entrepreneurship.

Swinburne defines an entrepreneurial university as one that pursues the traditional academic goals of developing and transmitting knowledge, with an innovative and entrepreneurial approach. While accumulating resources is not an end in itself for a university, achieving academic goals requires resources to be accumulated. The primary goal is to improve the educational environment for the benefit of our students.

### Strengthening Leadership and Direction

Leadership and direction applies to both internal activities and externally in the University's relationships with the community. The goal is to ensure the University is able to grasp opportunities as they arise, and that University processes, systems and corporate services support such initiatives. Decision-making models need to be developed at all levels that will enable the appropriate mix of executive, collegial and strategic decision-making processes.

Swinburne Lilydale has developed significant projects with regional partners. They are:

- Yarra Valley, Dandenongs and the Ranges – Food, Wine and Tourism Online
- Yarra Ranges Enterprise Centres, Regional Business Incubator
- Yarra Valley Regional Branding Project
- Sustainability Case Studies
- Small Business Triple Bottom Line Indicators
- Dreaming Stories of the Yorta Yorta People
- Wine Export Feasibility Study for Eight Local Winegrowers.

The Division also contributed to the development of the Shire of Yarra Ranges 2020 vision statement, which included, among other things, Reconciliation Week and Shire Graduate Certificate.

### Promoting Innovation

The Swinburne Venture Cup was held for the third year in 2002 attracting 176 students in 51 groups. 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.



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. The Venture Cup also provides a vehicle to encourage Masters of Entrepreneurship students to help prepare Swinburne IP for commercialisation, by opportunity assessments and business planning. 2002 winners in the Venture Cup are listed in the Recognition section.

In support of the competition Swinburne Knowledge offers a series of seminars covering some key aspects of developing a business opportunity. The seminars also aim to provide networking occasions to form teams of students. The Venture Cup has enjoyed growing support from both students and their lecturers, as it provides an ideal opportunity to test their theories and participate in innovation, entrepreneurship and enterprise.

*Swinke*, an online newsletter, was launched formally in 2002. *Swinke* is an e-marketing initiative that uses the web as a primary communication tool for prospective students, current students, alumni and staff. It is now fully implemented and includes undergraduate and post-graduate editions, a staff *Swinke – SwinWorld online*, and plans for an alumni edition.

Swintrak, an innovative online system to provide information and job opportunities for employers and students was also launched. SwinTrak provides students with life-long support to build their careers via global careers network.

The University undertook a major scenario planning project with consultant and futurist Hardin Tibbs. This has tailored the University's understanding and interpretation of the future external environment, and identified new and emerging areas of interest for both teaching and research. Implementation and use of the outcomes of the Project will continue in 2003.

In its pursuit of innovative marketing strategies, the Higher Education Division developed the following range of activities:

- an interstate marketing strategy
- Student Ambassador Program
- Young Entrepreneurs Summer Program (in conjunction with the Australian Graduate School of Entrepreneurship)

- the Boroondara Young Leaders Program
- Year 11 science prizes to high achieving students
- the Young Achievement Australia Business Skills Program
- Just BU Forum
- four Secrets of Science Seminars.

In October 2002 the Minister for Education and Training, Hon Lynne Kosky, announced the establishment of four industry-leading TAFE Specialist Centres. Swinburne was selected as the Specialist Centre for Advanced Manufacturing and will provide leadership, training research and development in an area crucial to the Victorian economy. Swinburne TAFE will receive \$450,000 towards establishment costs.

The Centre for Sustainability, established in 2001, received State funding of \$600,000 to further develop, as the lead agent of a consortium which includes South West TAFE, Sunraysia TAFE and the University of Ballarat.

The Centre for New Technologies and Society, located in the School of Social and Behavioural Sciences, was established in March 2002. Four key programs have been established, for which program directors have been appointed. These are:

- Public Attitudes to New Technologies – Dr. Christine Critchley
- New Technology Entrepreneurs – Assoc. Professor Michael Gilding
- Biotechnology and Society – Dr. Lyn Turney; and
- Digital Cultures – Dr. Mark Finn.

## Learning and Teaching in the Entrepreneurial University

In addition to the achievements outlined in the Vice-Chancellor's Overview, a key focus has been to embed entrepreneurial attributes into the curriculum. In the Higher Education Division, this is a progressive strategy linked to the re-accreditation process. All programs re-accredited in 2002 now include entrepreneurial attributes, and a new single subject in entrepreneurship, 'New Venture Development & Management' (it was piloted last year as part of the Study in Greece program) for undergraduate programs has been approved by the Academic Board.

## Funding New Opportunities

The TAFE Division was again successful in its tender activity, attracting some \$5.9million worth of projects including:

- management/leadership training Australia-wide for Telstra
- frontline management training for the Department of Environment and Sustainability
- delivery of the Certificate IV in Community Services (Community Housing) for the Office of Aboriginal Housing in New South Wales.

Several new TAFE ventures were developed to support community development and partnerships. The TAFE Business Enterprise Centre, in conjunction with local councils, continued its work in supporting small businesses through the GROW Program offered to small business owners and operators within the City of Knox, Maroondah, Boroondara and the Shire of Yarra Ranges.

## Commercialising Intellectual Property

The Higher Education Division undertook a consultancy project on commercialisation of intellectual property during the year. This project involved Schools and Swinburne Knowledge and aims to improve the conversion rate of ideas into commercial reality, including assessing the potential of research theses for commercialisation.

## Aligning Infrastructure and Service Functions for an Entrepreneurial University

Developing an entrepreneurial university relies on a partnership between academic and service departments, and the continuing review and development of innovative practice in administration and service provision. The challenge to reflect on their direct contributions to the University's entrepreneurship strategy has been met with enthusiasm by corporate services departments.

All corporate services departments, as well as academic units, were asked to consider customer services issues during 2002 from the internal and external perspective to identify improvement actions. Schools in the Higher Education Division have held regular student forums, with improvements particular to each school, such as improved re-enrolment and timetabling processes, being implemented as a result. The Higher Education Divisional Office reviews its services on a regular basis, with the aim of ensuring they meet, and add value to, the key needs of the Division.

The University approved financing arrangements for a new building at Swinburne Lilydale. This will house the Centre for eBusiness and Communication, and Centre for Regional Development (the Centres are currently located off campus), and will have facilities and resources for public use. In addition to saving costs and eliminating distance barriers, the co-location of undergraduate and postgraduate learning, teaching and research activities will generate synergies benefiting the Division, the University and the region.

## The Student Experience Project

A Steering Group was established to plan and implement changes to culture and work practices that place the student as the focus of administrative and support arrangements. The Student Experience Project was undertaken during 2002, with broad consultation and involvement of staff across the University to re-design the provision of student services. The Student Experience Project (SEP) started in February 2002 and by October the working groups had finalised their reports and presented a number of core recommendations. The recommendations were reviewed and agreed to, and signed off by the Executive Group. Analysis has started on the impact of implementing the recommendations on current activities and structure.

One of the key recommendations of the SEP was the establishment of a one-stop shop service for all prospective and current students. Documents have been distributed that detail ideas/concepts about the one stop shop and the services to be included. Campus specific teams have been formed and a 2003 implementation plan established.

## ■ The Research Intensive University

### Statement of Direction 2010 Objective

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.

All Schools will pursue research that has high impact on the scholarly world and on society at large. We will achieve these goals through the following major strategies:

- developing a research portfolio spanning the entire range from strategic basic (discovery) to applied research (linkage)
- concentrating and enhancing research in selected areas of excellence where the University can be competitive, and can build a national and/or international reputation
- distributing resources to centres of excellence on a performance basis
- recruiting research 'stars'
- providing a vibrant research environment for research students
- developing generic capabilities in research students including leadership, teamwork and interpersonal skills
- promoting good practice in supervision and research degree management
- providing high quality research resources and infrastructure
- building co-operative relationships with centres of research in industry and overseas, and opportunities for exchange and collaboration
- increasing research inputs and quality research outputs
- attracting more high-calibre students to undertake Higher Degrees by Research at Swinburne
- providing scholarship support to Higher Degree by Research students
- linking research to teaching.

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". Swinburne has a long-standing strategy of focusing its research activity and concentrating resources in specific areas to build excellence. The identification of new areas of focus is ongoing, with selection guidelines for new investment formulated during 2002.

### Increasing Research Funding and Profile

External funding for research is achieved from a number of funding sources, and is dependent on the University's research performance. The University's research income for 2001 (the income figures lag by one year) was \$8,486,769, an increase of 6.82% over 2000 (\$7,944,837). Details of research grants obtained during the year are provided at the end of this section.

The Australasian Housing Information Network (AHIN) is a joint project between Swinburne Institute for Social Research and InfoXchange Australia. AHIN is a coordinated and standardised system for accessing housing information on a Regional, National, State and Territory basis. It provides:

- a 'one stop shop' to linked information on housing issues and trends, housing markets, the housing industry, housing agencies, their profiles and procedures
- access to a store of housing and urban research, data and publications
- links to key local, national, regional and international housing web sites and resources
- information for organisations in Australia, New Zealand and overseas, according to sector of interest and expertise
- a network for international searches on Australasian housing issues.

The Directors of The Asia-Pacific Centre for Philanthropy and Social Investment (APCPSI) joined the Institute for Social Research Advisory Committee in 2002. The APCPSI conducts professional education programs, undertakes research, and provides consulting services for individuals, families and corporations who are interested in philanthropy, social investment and grant making. Following very successful launches in both Melbourne and Sydney, a

number of seminars were held over 2002, culminating in the visit to Australia by Professor Christine Letts, a world authority on philanthropy from Harvard University.

The APCPSI – which is unique in Australia and one of few in the world – aims to be the region's leading provider of information, advice and training for grant makers. Beginning in 2003, a suite of graduate courses in Philanthropy and Social Investment will be offered. The Myer and Pratt Foundations assisted with the establishment of the Centre.

Research funding was raised to support studies into the Ethics of Giving and into the use of computers by low income housing commission tenants. Institute staff continued to hold directorships in external organisations including Ecumenical Housing, InfoXchange and the Tenants Union. The Citizenship program in the Institute is being re-oriented towards community renewal and social partnerships, with the Institute instrumental in developing a pilot model for the Victorian State Neighbourhood Renewal Scheme.

The Swinburne Centre for Neuropsychopharmacology (SCNP) was established in 2002 as a strategic initiative of Swinburne to advance research in the science of Neuropsychopharmacology. The Centre is committed to understanding the relationship between neurochemicals and neuropsychological and physiological functioning in both normal human and clinical populations.

## Research Training

The Office of Research and Graduate Studies introduced Research Education Development programs for its students. The programs aim to provide an articulated program of induction and skills training for both local and international postgraduate students.

The National School of Design has developed a new panel model for research supervision and the specific training required for this model. The panel approach recognises that design is a recent entrant into the area of academic research. The panel supervision model allows a research culture to be more rapidly promulgated in the field of design.

## Building the Research Culture

Research Week was held again in 2002. The theme of this year's Research Week was "Research Connections" with many activities taking place during three days in October. The program featured a number of engaging speakers from universities, government agencies, as well as industry representatives. It provided a great opportunity to hear about the latest developments in research priority setting, both in government and in key research agencies such as the CSIRO, and to better understand how to tap into both industry and philanthropy funds to advance your research.

Highlights included the Great Debate, as the topic "Research: Does it matter who you do it with!" was argued between debaters, and the Research Dinner where 150 of our staff and partners from all disciplines gathered for a fun night at the Kelvin Club to see our Chancellor (who has a strong interest in our research) present the Research Excellence Awards and hear the three (alternative) tenors perform.

Sponsors included SUPA (Swinburne University Postgraduate Association), Haddon's Café, and the Alumni and Development Unit.

Building the research culture is a partnership between academic and corporate units. A wide range of administrative activities underpins the research activity in academic units.

Industry Based Learning developed a database to record an inventory of existing contracts and skills relevant to particular industries. This will form the basis of discussions with senior industry management with a view to expanding and consolidating key alliances. A pilot program with Bosch Australia commenced in 2002. A brochure for industry partners describing the nature of the ARC Linkage scheme was also developed.

Learning and Teaching Support undertook research for the Australian Universities Teaching Committee in conjunction with Charles Sturt University on Multiple Modes of Delivery of Higher Education. The unit also provided internal research support to other corporate units such as evaluating the pilot of wireless LAN at Swinburne.

## Research Across the University

A significant strategy to foster research links between the Research Centres and Institutes and the TAFE Division has seen continuing discussions with the DVC TAFE and senior staff about mechanisms for involving TAFE staff in research. A development scheme for allowing TAFE staff to spend some time in one of the Research Institutes is being discussed, as have possible research and training opportunities for TAFE staff in MiniFAB (a facility to produce prototype microtechnology platforms for sensors and other instrumentation). The TAFE Strategic Statement prepared in response to the State Education Minister's Statement on Knowledge and Skills for the Innovation Economy was informed by these discussions. A program to establish research clusters has been established, with a 'water' cluster being trialed as a pilot.

The **TAFE Division** is now developing a research presence. Research received a higher profile in the Division when the Victorian Government endorsed the establishment of an Emerging Skills Research Unit which will monitor emerging skill needs, particularly those associated with the current and projected activities of Cooperative Research Centres, to address and assess the availability of appropriate training resources across the Victorian VET sector.

The Division has also just won its second National Council for Vocational Education and Research Project. While research has not been a traditional part of a VET professional's role, many staff are actively engaged in research.

**Swinburne, Lilydale** has only recently begun to develop its research activity, following an expansion of its original learning and teaching mission. The Division has developed a research capability statement, adopted a Divisional Research Plan, and begun to offer PhDs. A Divisional Research Advisor/Mentor has also been appointed. The Division is underpinning its flexible learning and teaching with sound theoretical models, and reporting this work at national and international conferences.

## Quality Assurance – Two Research Institutes

External reviews of the Brain Sciences Institute (BSI) and the Institute for Social Research were conducted in 2002. Review Panels were appointed in December 2001 to assess the performance of the Institutes in terms of the:

- quality of research outcomes
- impact of research outcomes
- quality of research student supervision
- adequacy and appropriateness of physical resources and working environment
- the contribution of Institute research to the reputation of the University.

The BSI Review Panel determined that the Institute has demonstrated a very high research standard in the area of cognitive neuroscience and developed a very considerable entrepreneurial presence. Concerns raised by the Panel have been addressed over 2002 and include:

- the need to broaden the research base and associated methodologies for the research focuses within the field of cognitive neuroscience
- the desirability of targeting high impact refereed research journals in order to raise awareness of the BSI both nationally and internationally.

The ISR Review Panel found that the Institute has demonstrated a very high research standard in the area of social policy and developed a very considerable presence in the field. Overall, the Panel were of the view that the Institute is performing at a high level of excellence in its endeavours. In addition to assessing these elements as they are reflected within the ISR, the Panel also dealt with the issues surrounding the various structural and management models for locating the University's research institutes in the future and has proposed some matters for consideration by the University's senior management.



## Research Grants

### **Australian Research Council (ARC) programs**

Of the research funding received from nationally competitive sources, Swinburne has been particularly successful in obtaining funding under Australian Research Council (ARC) programs. The table below lists new ARC grants received to start in 2002:

#### **ARC Discovery Project Grant**

<b>Investigators</b>	<b>Project Title</b>	<b>School</b>	<b>Total Amount Awarded</b>	<b>Duration of Grant</b>
Prof Min Gu & Dr Daniel Day	Development of three-dimensional high-density optical data storage and photonic crystals in photo-polymers with a super-resolution imaging system	School of Biophysical Sciences and Electrical Engineering	\$377,000	3 years
Dr David Liley & A/Prof Tim Hendtlass	Verification of a theoretical model of the dynamical genesis of brain electrical activity	School of Biophysical Sciences and Electrical Engineering	\$165,000	3 years
Prof Yos Morsi	Fluid dynamics and mechanical stress of tissue heart valves	Industrial Research Institute Swinburne	\$202,000	3 years
A/Prof Dan Nicolau	Probing the function of protein molecular motors on nano-fabricated structures	Industrial Research Institute Swinburne	\$239,000	3 years
Dr Wayne Rowlands	Generation and application of ultracold molecules	School of Biophysical Sciences and Electrical Engineering	\$70,000	1 year
Prof Penelope Sanderson	Sonification for complex, mission-critical work environments	School of Information Technology	\$259,000	3 years
Prof Andrei Sidorov, Prof Peter Hannaford & Prof Russell McLean	Integrated atom optics: Guiding matter waves with magnetic microstructures	School of Biophysical Sciences and Electrical Engineering	\$203,000	3 years



**ARC Linkage Project Grants**

Investigators	Project Title	School	Total Amount Awarded	Duration of Grant
Prof Terry Burke & Dr David Hayward	Inner urban public housing redevelopment: A case study of the high rise estate at Kensington, Melbourne	Institute for Social Research	\$67,635	3 years
Prof Terry Burke & Dr David Hayward	Public-private partnerships as a solution to housing affordability problems: A case study of an inner urban development	Institute for Social Research	\$67,635	3 years
Prof Terry Burke & Dr David Hayward	Managing medium density development: A municipal case study	Institute for Social Research	\$67,635	3 years
A/Prof Stephen Clarke	Dynamic prediction models in Australian rules football using real time performance statistics	School of Mathematical Sciences	\$67,635	3 years
Dr Francois Malherbe, Prof Kerry Pratt & Dr Patricia Andy	Reforming of liquid hydrocarbon fuels for application in solid oxide fuel cells technology	School of Engineering and Science	\$207,186	3 years
Prof Syed Masood & A/Prof Milan Brandt	Laser assisted machining of hard-to-wear materials for slurry pump and mineral processing equipment	Industrial Research Institute Swinburne	\$45,090	2 years
Prof Syed Masood & Dr Pio Iovenitti	Development of high performance mechanical sorting of plastics for recycling	Industrial Research Institute Swinburne	\$45,090	2 years
Prof Susan Moore	Enhancing psychosocial adaptation after temporal lobectomy surgery for control of epilepsy seizures	School of Social and Behavioural Sciences	\$67,635	3 years
Prof Yos Morsi	Particle deposition in the human lung – Computer Aided Design	Industrial Research Institute Swinburne	\$67,635	3 years
Prof Yos Morsi	Flow field evaluation of Auslron top submerged injection system	Industrial Research Institute Swinburne	\$67,635	3 years
A/Prof Romesh Nagarajah & Dr Pio Iovenitti	Zero defect manufacturing of complex assemblies	Industrial Research Institute Swinburne	\$164,586	3 years
Dr Igor Sbarski & Prof Syed Masood	Development of composite materials from waste paper and plastics	Industrial Research Institute Swinburne	\$45,090	2 years

**ARC Linkage Infrastructure Equipment and Facilities Grants**

Investigators	Project Title	School	Total Amount Awarded
Professor Elias Siores	Research facility for plastics and composites: Dynamic mechanical analyser and rheometer system	Industrial Research Institute Swinburne	\$100,000

**ARC Linkage International Grants**

Investigators	Project Title	School	Total Amount Awarded	Duration of Grant
Prof Brad Gibson	The chemistry of the Milky Way: From micro to macro physics	School of Biophysical Sciences and Electrical Engineering	\$70,050	3 years
Prof Min Gu	Characterisation and fabrication of nanophotonic devices based on multi-layer stacks	School of Biophysical Sciences and Electrical Engineering	\$28,200	3 years

## Other Grants

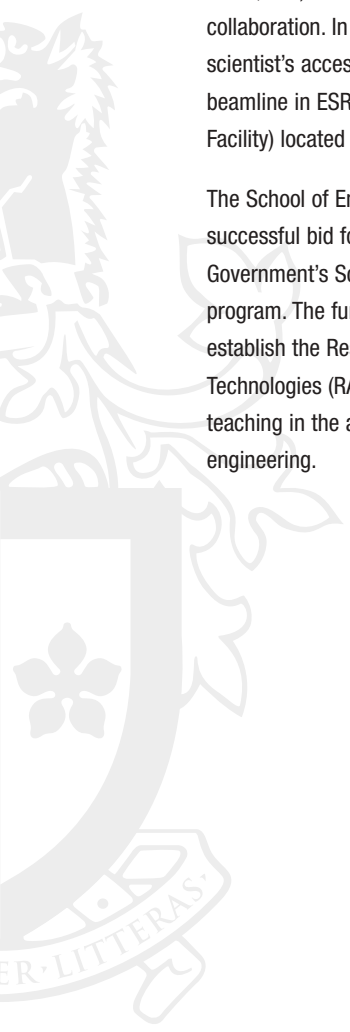
The Industrial Research Institute Swinburne (IRIS) was awarded five **Research and Development Grants** in technological areas of interest to the Furniture Industry.

The initial grant totalled \$988,000 which will be increased when further projects come online as the research and development progresses.

These projects cover aspects of e-commerce in the furniture industry as well as advanced manufacturing techniques and involve the European Union, the IMS framework, as well as local manufacturers.

IRIS has also been successful in establishing a strategic long term research collaboration with L'Oreal France – the world's leading cosmetic company. The collaboration is in the area of fundamental research into the structure and functions of protein molecules in human hair keratin. L'Oreal has developed substantial activities in fundamental research of protein structure from its beginnings, and will fund \$149,000 cash to IRIS in this first year of collaboration. In addition, L'Oreal will provide the team scientist's access to the micro-analysis synchrotron beamline in ESRF (the European Synchrotron Radiation Facility) located in Grenoble, France.

The School of Engineering and Science is a partner in a successful bid for funding under the Victorian Government's Science, Technology and Innovation program. The funding of \$4.73 million will be used to establish the Research Centre for Advanced By-Wire Technologies (RABit) which will support research and teaching in the areas of robotics and automotive engineering.



## ■ Internationalisation

### Statement of Direction 2010 Objective

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.

We will achieve this through the following major strategies:

- developing a more global culture and outlook
- delivering selected Swinburne programs off-shore in a range of different ways
- developing further linkages with overseas institutions for both teaching and research
- bringing about major increases in staff and student mobility
- consolidating a coordinated approach to international projects
- becoming a major provider of off-shore training for overseas and multi-national companies
- internationalising teaching and curricula
- recruiting more international students from a wider range of source countries
- accessing more overseas research funding and participating in more overseas research projects.

A related project will be assisting in the development of a network of off-shore educational institutions, which will facilitate achievement of the internationalisation strategies.

### Introduction

Internationalisation activities in 2002 have been focused on clarifying the intent of the internationalisation theme, and developing and refining the associated Internationalisation Master Plan, which is due for completion in 2003.

An internationalisation enabling plan was developed to ensure that the University had in place the appropriate infrastructure and policies and procedures framework to support the development of internationalisation as a strategic theme. The Master Plan now being developed will continue to focus strategic international activity across the University.

A long-term strategic approach to internationalisation is under development, which will include a stronger image and reputation in the global marketplace and the development of a global brand.

Each of the teaching Divisions has worked on developing internationalisation plans. The TAFE Division developed an integrated international marketing plan during 2002 through market research and a consultative positioning forum.

Individual Schools in the Higher Education Division have also developed their own internationalisation plans that focus activity within their units.

### Student Exchange and Study Abroad

The demand for exchange places (incoming) at Swinburne remains consistent, while the total number of outgoing exchange students (including Study Abroad) continues to rise. The Education Abroad Office is developing a number of strategies to increase the participation rates of Swinburne students, including an awareness campaign to ensure that they are aware of the international opportunities available to them. All Swinburne's current exchange agreements have been reviewed, with new agreements signed with a number of institutions including: Kettering University in the USA, Surrey University in the UK, and the University of Saskatchewan in Canada.

An Education Abroad Network has been established to ensure that the Education Abroad Office is responsive to the needs of the Schools and as a way of disseminating information that is important to the smooth running of the Education Abroad program.

The Education Abroad Network's membership comprises:

- Manager, Education Abroad (Chair)
- staff of the Education Abroad Offices from both the Hawthorn and Lilydale campuses
- an administrative representative from each School.

Examples of innovative programs designed to provide international opportunities for Swinburne students include the Study in Greece program. This program provided Swinburne students with the opportunity to study two Swinburne subjects in an extensive mode during the mid year break on the island of Crete, Greece. The two subjects delivered by Swinburne academics were 'Professional Communication Practice' and 'New Venture Development Management'. The subjects were chosen due to their broad appeal to students studying across all disciplines and hence resulted in a wide cross section of students participating.

The School of Business has developed a distinctive International Business degree with mandatory international student exchange and Industry Based Learning placements. A total of 22 students enrolled in the single degree and combined Business/Language degrees in 2002.

## International Projects and Consultancy

The International Projects Unit completed the following projects in 2002:

### Philippines

- Revision of the Philippines System Accounts – Australian study program with the Australian Bureau of Statistics in Canberra for the Philippines National Statistics Coordination Board
- Financial Management Information Systems – Scoping exercise of hardware, software and system requirements for the financial management systems as part of the Philippines Australian Quality Technical Vocational Education Project
- Developing Industry Clusters – Facilitated a Search conference in Manila, an exposure visit to Australia, and action planning in Mindanao for the Mindanao Department of Trade and Industry
- Citizen Education – For the Gallang Pook Foundation (Philippines) – supported the development of a Citizen Education framework, set up a video facility and produced a series of 10 videos highlighting best practices in Local Government Units throughout the Philippines.

## Student Mobility/Study Abroad Statistics 2002

	Student Mobility		Study Abroad
	Incoming	Outgoing	Outgoing
Higher Education Division Hawthorn & Prahran	89	59	16
Lilydale Division	29	12	4.5
Study in Greece program		50	
Study in Hong Kong program		17	
Study in Italy (Treviso)		40	
European Union Study Tour		8	
<b>Totals</b>	<b>118</b>	<b>186</b>	<b>20.5</b>

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

Source: Education Abroad Office, Schools.



**Vietnam**

- Access Network Technology – Customised short course training provided in Australia for the Hanoi Post and Telecommunications.

**Saudi Arabia**

- Quality Training Framework Study Program – Customised program for the General Organisation for Technical Education and Vocational Training in Saudi Arabia with the outcomes being a draft Quality framework and an implementation plan.

**Papua New Guinea**

- Balus Project – Short course series presented in a range of generic management areas for the Civil Aviation Authority of PNG.

**Singapore**

- Out of School Hours Care – Facilitated a study tour for Singaporean child care workers
- Graduate Certificate in Parent Group Leadership – Delivered in Singapore with 45 graduates.

**People's Republic of China**

- Local Government Management Training – Customised training for Guizhou Local Government with the support of the Maroondah and Yarra Ranges local councils.

**French Polynesia**

- Frontline Management – 12 week customised frontline management program for existing and potential small business owners/operators from French Polynesia.

**Vanuatu**

- Frontline Management – Ongoing program at Certificate and Diploma levels for the staff of the Vanuatu Institute of Technology.

Staff from the TAFE and Higher Education Divisions have been involved in the delivery of the programs, many of which have been undertaken jointly with Australian and offshore associates.

Contractors have included International Training Australia, RMIT International, Philippines Australia Governance Facility, Philippines Australia Short Term Training Facility, IDP Vietnam, and the Overseas Projects Corporation of Victoria.

**Off Shore Delivery**

In addition to the University's presence in Sarawak and Thailand, individual Schools and Divisions continue to build significant off shore delivery profiles.

The **School of Information Technology** is offering a program in Bachelor of Science (Information Technology) in Hong Kong. The program is a partnership with the Hong Kong Institute of Vocational Education (Tsing Yi). Swinburne staff deliver the lectures for this program in Hong Kong and Hong Kong Institute of Vocational Education staff provide the tutorial/ laboratory support. The program is delivered in block mode, with each subject conducted over an intensive six-week period. Swinburne staff moderate assignment marking and conduct all exam marking. The first intake included well over 100 students.

The **Australian Graduate School of Entrepreneurship** has finalised a licensing agreement to run the Graduate Diploma of Entrepreneurship and Innovation in Singapore, building on the successful operation to deliver the Master of Entrepreneurship and Innovation in Israel.

Planning for the delivery of **National School of Design** programs in Hong Kong and Singapore is underway. The School was approached by international providers in these areas to deliver these programs, an indication of the School's growing international reputation.

Swinburne **Lilydale** has signed an agreement with the China University of Mining and Technology (CUMT) for provision of the Bachelor of Business (eCommerce) in China. Chinese students will undertake two years of study in China followed by two further years of study in Australia. The first students are expected to arrive in 2004.

In the **TAFE** Division, a Diploma of Information Technology (Multimedia) was developed for China, and opportunities for nursing training were explored with the Chinese Women's Federation.

Subjects offered at Swinburne's overseas campuses are being aligned with TAFE Diplomas in computing, network engineering and software engineering. Negotiations are also underway to offer TAFE eBusiness programs in mixed online and attendance mode at the Institute of Vocational Education in Hong Kong.

## International Connections

The University continues to support two-way links, agreements, visits and delegations. Swinburne staff travel overseas to deliver papers at international conferences, negotiate agreements with universities and colleges, or to participate in delegations. International visitors continued to be welcomed at Swinburne, and some notable international delegations included:

- a group of Deans and senior administrators from the tertiary education sector of the Kingdom of Saudi Arabia, looking at the University's quality training framework and the VET sector in general
- a group of Malaysian government and university officials visited Swinburne in May for a "Quality Assurance" study visit
- a delegation from Finnish universities, quality assurance agencies and government departments visited Swinburne in October to hear about Swinburne's quality and planning systems
- four senior staff from Universities and Institutes of Technology in Indonesia spent a week at Swinburne under the auspices of the AVCC, DEST and Indonesian agencies. Their objective was to investigate Australian research management and training.

Links and agreements with international institutions occur for the most part at the local level. Most academic units have strategies to enhance cooperation agreements with institutions, and to attract international visitors.

## Corporate Support and Staff Development

The International Student Unit has appointed a Customer Relationship Manager to develop more effective marketing and communications to international students from prospective student to alumni. A Market Intelligence Officer was also appointed to develop and manage data collection, analysis and reporting of information to underpin decision making about the University's international student strategies. Regular briefings on international student activities are held at various levels and functions throughout the University, and an International Open Day, to provide information to international students in Melbourne, was held for the first time in 2002.

A staff member from the Information Resources Group was seconded to the Sarawak campus in late 2002, to review



the operations of the campus, report on it, manage the library during a period when the position was vacant, and participate in the selection of a new campus librarian. Arrangements have been made for up to 90% of online content to be provided to overseas campuses.

The Alumni and Development Office appointed an International Alumni Officer in 2002 who is based at the Sarawak campus. The Office continues to provide a point of liaison for the University's involvement in the Australian Universities International Alumni Convention, and has established an electronic newsletter aimed at international alumni.

Careers and Employment provides access to international employment opportunities through SwinTrak which offers students and job seekers the ability to best prepare for today's competitive job market. SwinTrak allows its users to:

- search for jobs locally and globally
- create a SwinTrak resume that can be used onsite to apply for positions, is stored on our database, and can be accessed by employers
- create covering letters which can be attached to your resume whilst applying for positions onsite
- set up job search Agents, which are automatic job hunters that can e-mail positions to your inbox daily.

Visits to Malaysian employers to establish links for international graduates were undertaken in 2002, and a brochure to market the services offered by the Unit to potential international employers was developed. The unit also produced a publication to support international students seeking employment in Australia.

Student accommodation opened at Swinburne Lilydale provided much-needed infrastructure for international students, especially considering Lilydale's location in the outer-east of Melbourne.

Learning and Teaching Support have provided web sites that can be accessed from overseas for all undergraduate courses and most postgraduate courses. Business, engineering and communications education materials have been provided to overseas campuses; and access facilitated to Blackboard for use by overseas campuses. The Learning and Teaching Support Help Desk is available to students off shore through a web request form and via email.

Student Services trialed a domestic/international student integration program for Japanese and local students. This program aimed to increase integration between local and international students, and to enhance internationalisation for our local students on campuses. Induction sessions on adjustment skills to studies were run for international students according to the specific needs of each group, for example, PhD students, exchange students and mature-age students. A training workshop on basic listening and counselling skills was held for International Student Advisors.

## Grants

University Mobility in the Asia Pacific (UMAP) grants to the value of \$42,500 were awarded to the Higher Education Division in 2002. This will allow ten undergraduate students to undertake in-country study or accredited work experience programs of varying lengths in Canada, Korea, Malaysia, New Zealand, and the United States of America. Swinburne staff members will also be visiting these exchange institutions to negotiate and monitor these arrangements.

### 2002 Largest Source Countries for International Students

Rank	Country	Students	%
1	Indonesia	234	14.6
2	India	206	12.9
3	Hong Kong	167	10.4
4	Malaysia	166	10.4
5	Thailand	113	7.1
6	China	112	7.0
7	Vietnam	77	4.8
8	Taiwan	73	4.6
9	Norway	73	4.6
10	Sri Lanka	52	3.2
<b>Total</b>		<b>1273</b>	<b>79.6%</b>

NOTE that for the whole year, the top 6 Source Countries make up 998, or 62.4% of the yearly intake.

## ■ Flexible Learning and Teaching

### Statement of Direction 2010 Objective

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.

Learning outcomes and educational practices will be specified for all courses. These will consist of generic graduate attributes or capabilities specified in the University's Learning and Teaching Master plan, as well as specific outcomes relevant to the vocational area concerned (in the case of TAFE courses, these will be derived from National Training Packages).

We will achieve these goals through a variety of strategies including:

- enabling students to exercise choice in relation to time, pace, place and mode of learning, and mode of assessment (the major part of 'flexible learning')
- making curricula more flexible
- creating a culture of professional teaching practice based on collegial reflection about:
  - teaching approaches
  - curriculum content
  - assessment approaches
- promoting learning and teaching practices appropriate for the specified learning outcomes including, among others:
  - teaching communities
  - learning communities (including appropriate use of peer tutoring)
  - widespread use of group projects, including interdisciplinary group projects
  - problem based learning
  - assessment approaches which test for specified learning outcomes
- ensuring all students in vocational courses achieve competencies or capabilities necessary to practice in the relevant profession or vocation.

### Introduction

The Swinburne Flexible Learning and Teaching Strategic Development Plan envisages pedagogical development arising from:

- the commitment to flexible provision of Higher Education
- an emphasis on learner-centred, interactive approaches to teaching
- the definition of expected attributes of Swinburne graduates.

The Flexible Learning and Teaching Strategic Development Plan indicates a range of strategies for achieving the objectives specified including:

- the designation by heads of academic units of an Educational Development Co-ordinator [EDC] in each of the Higher Education schools and at Lilydale to provide leadership in the development of learning and teaching. This initiative was supported by funding at a rate of \$15000 per academic unit per annum commencing in Semester 2 2002
- the establishment of a liaison committee between Educational Development Co-ordinators and Learning and Teaching Support [LTS] in pursuit of the Swinburne Flexible Learning and Teaching Strategic Development Plan
- upgrading of the Blackboard online learning management system
- professional development for sessional teachers and staff new to teaching
- the definition of attributes of Swinburne graduates and systematically working toward their incorporation in the curriculum through accreditation and reaccreditation documents and subject outlines.

Learners bring to Swinburne University of Technology a range of different experiences. However Swinburne expects that its graduates:

- are entrepreneurial in contributing to innovation and development within their business, workplace, or community
- are capable in their chosen professional, vocational or study areas
- operate effectively in work and community situations
- are adaptable and manage change
- are aware of environments in which they will be contributing.

These graduate attributes are elaborated differently in different discipline areas.



## Flexibility

Flexibility is interpreted broadly at Swinburne. It does not only mean online delivery of programs. Different models of delivery that suit the needs of particular student groups, different degree structures, flexible teaching periods, and services to facilitate student-centred decision making about learning continue to be developed and implemented.

A significant decision was taken late in 2002 to select Blackboard 6 as the preferred operating system for both higher education divisions. After three semesters of using a basic edition of Blackboard, Swinburne gained extensive knowledge of the characteristics required of a Learning Management System to enable the University to realize its flexible learning goals.

The move to a more robust enterprise version of Blackboard also enables Swinburne to realize its entrepreneurial goals whereby it can extend the capabilities of the base learning environment using approved "building blocks" such as the provision of offline communication facilities (a requirement of the Astronomy Online courses).

The TAFE Division operates using WebCT Campus Edition, and some intersectoral programs with Lilydale are also on WebCT.

A new Teacher's Qualification Policy was developed in line with the Australian Quality Training Framework. The minimum teaching qualifications for ingoing and fixed term contract at Levels 1-5 and for sessional teachers involved in delivery and assessment are:

- Certificate IV in Vocational Education and Training, or
- Certificate IV in Assessment and Workplace Training or equivalent

Learning and Teaching Support have provided a range of professional development programs open to all staff and including topics such as students with disabilities and online learning, assessment, use of learning technologies, problem based learning, etc.

The Higher Education Division, Hawthorn, Prahran and Lilydale, have introduced selected programs in an online format or with an online capability that includes subject outlines, media library and resource uploading.





## Teaching Qualifications

In conjunction with Napier University in Scotland, a Graduate Certificate in Teaching and Learning in Higher Education was developed in 2002. Learning and Teaching Support developed the first subject – Teaching with Learning Technology – for online delivery.

## Graduate Attributes and Generic Skills

Graduate attributes identified in the University Flexible Learning and Teaching Plan are now in the revised policy for accreditation and reaccreditation, and are being progressively incorporated into course performance processes. The University purchased software in 2002 that will allow the logging and retrieval of graduate attributes for individual students.

The School of Business aims to articulate within each subject the generic skills that will be developed by the subject, and how the development of these skills will be measured by assessment. In 2002, all Stage 1 subjects meet this criteria. All undergraduate programs re-accredited in 2002 in the School of Social and Behavioural Sciences incorporate generic skills development in the curriculum. An Innovation Skills Project is underway in the TAFE Division to develop a schedule for incorporating innovation skills in all courses.

## Enhancing the Employability of Graduates

In the TAFE Division, the School of Business and eCommerce established a practice firm for Public Relations students, and used the services of guest speakers in several courses. Both the Departments of Financial Services and Management ran conferences on career options. In the School of Social Sciences, there was a focus on improving the employability of learners with special needs, while in Engineering improved employability was sought through projects for 'real' clients in a number of areas. Arts, Hospitality and Sciences also used simulated or work-based experiences to enhance employability through, for example, the use of client briefs in art projects, training restaurants and events organisation.

## Recruitment and Selection of Students

The TAFE Division delivered on all its performance measures set by the Victorian government and exceeded its target for Traineeships and Apprenticeships. Demand

was strong for all programs, with the number of applications far exceeding the number of places available.

The Higher Education Division was again successful with its strategy to have the Division's entry score cut-offs at 85 or above for the majority of undergraduate programs. Local and international selection procedures and cut-off scores were linked in 2002 to ensure parity of entry standards.

Demand for Lilydale courses remained high with places filled in the first round of offers. ENTER cut-off scores were slightly higher than in 2001. Also at Lilydale, post-graduate load increased from 36 in 2001 to 49 in 2002.

## Industry Based Learning (IBL)

During 2002, web site resources for students, employers and prospective students have been developed, and work has been undertaken to improve the level of support and training provided to IBL supervisors, including presentations on innovative IBL models.

The Unit coordinates the University's membership of a number of networks and associations designed to locate new IBL opportunities, including international placements. Current international IBL partners include the University of Victoria in Canada, Odense University in Denmark, Nanyang Technological University in Singapore, and Northeastern University in the USA.

### IBL activity 1998 – 2002

	1998	1999	2000	2001	2002
Students placed	610	722	577	601	539
From different degree programs	27	36	40	47	59
Participating businesses	230	354	347	376	328

Source: Schools Performance Reports 2002/IBL Office

IBL policy and procedures have been adapted to fit new compliance legislation in 2002. New quality procedures have been introduced. A self-audit has been undertaken in all Schools, with improvement action being undertaken where necessary. Some schools have developed their own local IBL policy, procedures and reporting requirements to further enhance quality assurance.

Swinburne Lilydale has explored IBL options for differing periods of time, e.g. six months, 12 months and part-time

placements. In addition, an alternative Work Integrated Learning subject is available, where students undertake a contractual work related project, with an academic supervisor.

Within the University, many corporate and academic units employ students on IBL placements. The Corporate and Divisional Marketing Offices employ IBL students each year as Marketing Assistants in Higher Education & TAFE, and as Student Promotions Officers at Swinburne Lilydale and the Finance Department employed two students in 2002 rather than employing casuals. In previous years IBL students have subsequently been employed by these departments on completion of their course.

## Quality Assurance

### **Academic Unit Review**

A major activity for Swinburne Lilydale during 2002 was the piloting of the Academic Unit Review process. The Review comprised self-evaluation and external review, and resulted in a Developmental Action Plan, which has been incorporated into the Divisional Strategic Plans.

### **Subject and Course Evaluation**

A comprehensive review of the University's subject evaluation processes for higher education divisions began in 2002, with a revised survey instrument piloted in Hong Kong in 2002 and the 2002/3 summer semester. Improved and simplified reports have been produced. In the Higher Education Division, follow-up of subjects with low ratings each semester is a priority, as these ratings are used as part of the Division's performance based funding model.

Swinburne Lilydale also follows up low rating subjects and tracks improvements.

In the TAFE Division, a range of evaluation activities occurred, including the evaluation of ICS courses, and all short courses through participant feedback forms. In other schools, evaluation was linked to newly introduced courses, specific industry streams, pre-apprenticeships and courses with significant numbers of teachers.

### **Corporate Support**

The Information Technology Services Department and Learning and Teaching Support work together to ensure appropriate infrastructure is available to support the University's online subject delivery systems. Both departments also cooperated in the pilot Wireless Project

during 2002 which provided students and staff with wireless access to the Swinburne network while on campus. The Information Resources Group managed the University's participation in the statutory copyright licenses administered by Copyright Agency Ltd and coordinated by the Australian Vice-Chancellors Committee. The University was subject to copyright monitoring over Oct-Dec 2002, which drew praise from the surveyors, A C Nielsen.

The Information Resources Group also completed implementation of its online reserve project and extended the system to include exam papers. This is part of a broader strategy to develop Swinburne's online information resources on a 24/7 basis. Equipment was upgraded at the Wantirna and Croydon Campuses to improve facilities for students, and training programs for Swinburne staff were run jointly with Learning and Teaching Support and the TAFE Division.

Learning and Teaching Support continues to provide educational advice, materials development support, education design, graphic design, programming, and subject delivery to schools in the higher education divisions. Support was provided in 2002 for business and psychology summer schools and for the Masters in Writing, graduate diploma courses in Integrative Medicine, e-Business and subjects offered through Open Learning Australia. An online learning and teaching site was provided for all current Higher Education subjects. Work was also undertaken with Swinburne Press to be able to provide on demand printed material for staff and students.

Learning and Teaching Support worked with the Careers and Employment Unit to develop an online careers program for students to complement the successful Careers in the Curriculum program. As well as offering careers and employment workshops to staff and students throughout the year, the Unit continued to develop its online material enabling students to enhance their job-hunting skills.



## Courses accredited/re-accredited in 2002 – Higher Education Division

- Graduate Diploma in Social Science (Technical Communication) incorporating the Graduate Certificate in Social Science (Technical Communication)
- Bachelor of Design in Communication Design
- Bachelor of Design in Industrial Design
- Bachelor of Design in Interior Design
- Bachelor of Design in Multimedia Design
- Master of International Accounting incorporating the Graduate Diploma of International Accounting and Graduate Certificate of International Accounting
- Master of Technology
- Graduate Certificate of Entrepreneurship
- Master of Technology Management in Airport Planning, Operation and Management incorporating Graduate Diploma of Technology in Airport Planning, Operation and Management and Graduate Certificate of Technology in Airport Planning, Operation and Management
- Master of Technology Management in Aviation Human Factors incorporating Graduate Diploma of Technology in Aviation Human Factors and Graduate Certificate of Technology in Aviation Human Factors
- Master of Technology Management in Air Transportation Management incorporating Graduate Diploma of Technology in Air Transportation Management and Graduate Certificate of Technology in Air Transportation Management
- Master of Social Science in Philanthropy and Social Investment incorporating Graduate Diploma of Social Science in Philanthropy and Social Investment and Graduate Certificate of Social Science in Philanthropy and Social Investment
- Bachelor of Arts
- Bachelor of Arts in Media and Communication
- Bachelor of Social Science
- Bachelor of Social Science in Psychology
- Graduate Diploma of Social Science in Family Therapy
- Doctor of Business Administration incorporating the Executive Certificate of Business Administration.



## ■ The Intersectoral Advantage

### Statement of Direction 2010 Objective

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 businesses with manifold options.

We will achieve this through the following major strategies:

- developing highly flexible and innovative course offerings with multiple entry and exit points to support life-long learning
- allowing opportunities for students from diverse backgrounds, and in particular for students whose access to tertiary education has been limited, to participate in Swinburne programs
- enabling staff to engage in collaborative and curriculum and other learning and teaching developments across all of the teaching divisions
- ensuring our educational support services support and facilitate intersectoral programs and cooperation
- developing intersectoral initiatives which will support the internationalisation of the University and graduates' success in a global society
- continuing to break down the barriers between the sectors, including increasing cooperation across the sectors, especially where there are related discipline areas and programs.

### Intersectoral Articulation Options

Intersectoral Advisory Committee funded projects in this area included the development of a model for a jointly conducted qualification between Higher Education and TAFE in the disciplines of public relations and media, by establishing articulation arrangements between the Advanced Diploma of Business (Public Relations) and the Bachelor of Arts (Media and Communications).

The School of Information Technology collaborated with TAFE on the development and maintenance of new Unilink programs. A new Information Technology UniLink Program was offered for the first time in 2002, with over 30 students enrolled. This Unilink program is offered by the TAFE School of Engineering, and delivers a program equivalent to the first year of the BSc (Computer Science and Software Engineering), Bachelor of Information Systems or Bachelor of Multimedia (Multimedia Software

Development). The program is offered to international students who fell narrowly short of direct admission to the degree programs. Students who complete the Unilink program, through assessment equivalent to the corresponding degree subject assessment, are able to articulate into second year of the degree program.

The National School of Design aims to establish a series of pathways between TAFE and School courses including foundation year, further preparation for high achievers and UniLink. During 2002, a second, limited trial group in BDes(Graphic Design), was run in preparation for expansion of the program in 2003.

### Discipline Alignment and Curriculum Development

Intersectoral Advisory Committee funded projects in this area included:

- Maturity Plus – research into the training/re-training needs of older workers; and
- development of a TAFE qualification as a value-added option for Bachelor of Arts students (to replace the Bachelor of Arts/Diploma of Business Administration dual qualification).

Joint project activity with Higher Education in TAFE division, included four projects across Educational Development and the Schools, and two from Strategic and Business Development. Significant curriculum initiatives included:

- feasibility study into using the Diploma of Business (Administration) to add value to the Bachelor of Arts in the School of Behavioural and Social Sciences
- mapping marketing competencies from the Financial Services and Business Services Training Packages to Bachelor of Business degrees
- reaccreditation of the Bachelor of Business dual award with Swinburne, Lilydale
- activity in the TAFE School of Engineering has centred around cross teaching – cleaner production, multimedia, BTech at Lilydale, UniLink programs, teaching in Mechanical studies for Higher Education
- cross sectoral initiatives in digital technologies and industrial sciences (laboratory operations) liberal arts, sports coaching.

The School of Biophysical Sciences and Electrical Engineering (BSEE) runs a very successful Grad Cert/Grad



Dip/Masters suite of programs in Network Systems (telecommunications engineering). The aim of this course is to provide excellent career opportunities by offering a high level coverage of networking principles and an appreciation of the emerging issues and technologies in networks, together with specific competencies (industry certification material such as Cisco Certified Network Associate Qualification, Cisco Certified Network Professional Qualification, and Microsoft Certified Systems Engineering Qualification. CISCO programs are offered as part of BSEE's status as a CISCO Academy, which can award CISCO qualifications, in addition to the relevant Swinburne TAFE qualification. BSEE has agreed on shared laboratories and equipment for network studies (CISCO), with TAFE, which will be implemented in 2003, and has agreed on a collaboration, in the area of photonics (the use of light to manipulate and transfer information).

Funding of intersectoral project initiatives has produced valuable outcomes in:

- opportunities for collaboration between the TAFE Division and Cooperative Research Centres were investigated and potential areas identified
- work commenced to develop a new dual award in Advanced Digital Technology/Production.

### Communication and Coordination across the Sectors

In 2002 for the first time a consolidated approach to linking the University's key research areas with research and training capacity in the TAFE Division was taken in the preparation of a submission to the State Government.

The Industrial Research Institute Swinburne (IRIS) has purchased chemical analytical equipment from TAFE and is continuing to explore other opportunities for collaboration.

Swinburne, Lilydale is developing an Intersectoral Plan with the aim of developing a new model of intersectoral curriculum development.

The Australian Graduate School of Entrepreneurship (AGSE) is collaborating with Industry Consulting Services of the TAFE Division, particularly in the area of Executive Education. With this arrangement, Industry Consulting Services will market, and project-manage, Executive Education projects aimed at the corporate market and designed and delivered by AGSE staff.

In the Higher Education Division, a communications strategy was implemented with various discipline groups from TAFE and Higher Education meeting to network and discuss opportunities.

The Industry Liaison Network involved TAFE staff in its Network activities, with the aim of exploring intersectoral opportunities for students within the Industry Based Learning program.

Intersectoral Forums held during 2002 provided scope for facilitated cross-sectoral dialogue and idea generation.

### Intersectoral Professional Development

TAFE staff attended most of the University-wide professional development sessions conducted by Learning and Teaching Support.

### Corporate Support

Learning and Teaching Support made arrangements with TAFE to provide WebCT (the Division's subject delivery system) support for online delivery of selected higher education subjects.

The Information Resources Group provides services to all teaching divisions and provides reports to senior management groups on those services. User surveys cover all staff and students.

Information Technology Services provides services to all areas of the University, with the Information Technology Services Advisory Committee, a Standing Committee of the Information Management Committee, ensuring compliance with standards across the University. During 2002, information technology procurement was standardised across all divisions, and the department developed software to support statistical reporting to track movement of students between the sectors.

Corporate Marketing ran five University-wide events during 2002 – Open Day, Change of Preference, Postgraduate Campaign, Year 10 Campaign, and a Regional and Rural Campaign. Work is underway to include the Intersectoral Advantage in the University's branding position in 2003.



## ■ Recognition

### Entrepreneurship

#### **Swinburne Venture Cup**

This was held for the third year in 2002 attracting 176 students in 51 groups. 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.

The Cup Presentation Function was held in December at the Australian Graduate School of Entrepreneurship. The night was a rousing success with over 100 people attending, and the Hon John Brumby, Minister for State and Regional Development delivering the keynote speech and awarding the prizes.

Minister Brumby was introduced by our Chancellor Dr. Douglas Mitchell, who stressed the importance of developing business skills in our graduates, and acknowledged Swinburne's leading role in entrepreneurship education & development.

2002 winners of the Chancellor's prizes (\$10,000 to each winning team), and finalists were:

#### **TAFE**

##### **Winners**

*Spin Sisters* (Rebecca Russell, Ilena Solaja, Diploma of Arts – Small Companies and Community Theatre, Matthew Barnes, Bachelor of Business).

A theatre company using creative entertainment to explore topics and issues in corporate and secondary and tertiary institutions.

##### **Finalists**

*Guardog* – Email filtering system for SPAM and Virus prevention.

*Lezar* – production of hand made jewellery, marketed through various outlets.

*Progressive Wake Camp* – Establishment and operation of a wakeboard camp at Eildon.

### **Undergraduate**

#### **Winners**

*YES Youth Education Services* (Amanda Stoyan, Bachelor of Social Sciences – Psychology, Suzanne Eldridge, Bachelor of Arts – Psychology/Psychophysiology, Ami Seabrook, Bachelor of Social Sciences).

Their plan covers the development of an integrated service response for students experiencing difficulties with issues such as self-esteem, bullying, depression, etc.

#### **Finalists**

*Easybuild* – Fire Technology Services. Use of microchips and scanners in the building industry to identify wires and pipes.

*ESAS* – Real-time monitoring of elite athletes' physical condition.

*Peacock Blue* – Store/Café providing 'funky' maternity fashion.

### **Postgraduate**

#### **Winners**

*InVision* (Paul Bitetto, Susan Swingler, Daniel Yuncken, Master Entrepreneurship and Innovation)

*Cellular imaging company* – technology enables live microscopic imaging at sub-cellular levels for clinical diagnosis.

#### **Finalists**

*Whistling Kite* – remote monitoring of vital signs for 'at risk' members of the community

*SaveHeart* – The design and development of tissue engineered constructs and organs

*Ihelp Support Limited* – Innovative computer support for home and business

### **Stanford/Swinburne Enterprise Award**

Awarded to *InVision* – \$5,000 donated by the Stanford Group (Charles Pellegrino & Fred Ursini)

### **Information City**

#### **Victoria Incubator Award**

Awarded to *Whistling Kite* – A valuable package of business assessment, mentoring and potential incubator occupancy, for the Information and Communications Technology entry with highest potential.

### **Entrepreneurship Educator of the Year**

For the second year in a row, the Award for Entrepreneurship Educator of the Year from the Business Higher Education Round Table went to an academic from the Australian Graduate School of Entrepreneurship. Dr John Bailey won the award in 2002, following on from Professor Emeritus Murray Gillin in 2001.

### **Five Star program**

The Master of Business Administration program run by the Australian Graduate School of Entrepreneurship was given a 'five star' ranking by the Graduate Management Association of Australia – the first time the Swinburne MBA has achieved the top level rating.

### **Victoria Fellowship**

A PhD student in the School of Engineering and Science, Rachael Prince, was successful in winning one of the highly prestigious Victoria Fellowships which will allow her to further her studies in the United Kingdom and the Netherlands. The Victoria Prize recognises exceptional achievement in science, engineering or technology. It is awarded to an individual or group whose leading scientific discovery or technological innovation has significantly advanced Victoria's knowledge base or has the potential to lead to a commercial outcome. Candidates are nominated by their peers.

## **Research**

The **Chancellor's Research Scholarship** for 2002 was awarded to Haydon Knight, School of Biophysical Sciences and Electrical Engineering, for his project titled "Computational tools for use in baseband pulsar survey".

### **Swinburne Excellence Awards**

In 2002 there were two winners for the **Research Excellence Award**:

Professor Min Gu and Dennis McPhail from the Centre for MicroPhotonics, School of Biophysical Sciences and Electrical Engineering, in recognition of their research in the fields of optical data storage using polymer dispersed liquid crystals; and

Professor Con Stough from the Centre of Neuropsychopharmacology, School of Biophysical Sciences and Electrical Engineering, in recognition of his research work in the fields of Neuropsychology and Cognitive Neurosciences.

A Research Encouragement Award was presented to John Butler from the Arts Department, TAFE School of Arts, Hospitality and Sciences, in recognition of his research work in 'Second Class Theatre – Theatre in Victoria 1966-2000'.

The Research Excellence Awards were presented to the winners at the Research Dinner on 15 October 2002.

### **CRC (Cooperative Research Centres) Technology Award**

Each year the CRCs organisation awards prizes to projects that have achieved outstanding results. The CRC for International Food Manufacturing (based at Swinburne) was successful in winning a Technology Transfer Award based on the float of Plantic, a spin-off company that will commercialise research into biodegradable polymers.

## **Flexible Learning & Teaching**

### **Undergraduate Student wins International Conference Award**

Mr. Daniel Angus, a third year student in the Bachelor of Science (Research & Development), Bachelor of Engineering (Electrical and Electronic Engineering), is the joint winner of the best paper award (not just student paper) for his paper and presentation at the Cairn's conference, 'The Fifteenth International Conference on Industrial and Engineering Application of Artificial Intelligence and Expert Systems'.

The title of the paper was 'Ant Colony Optimisation Applied to a Dynamically Changing Problem'. Co-authors were Associate Professor Tim Hendtlass and Daniel Angus; and the paper was presented by Daniel Angus.

TAFE students continue to excel in their scholarship, with Swinburne students recognised at state and national titles:

- four students won silver medals at the National Workskills titles - Matthew Bell and Ben Walker competed in the construction carpentry section, Joshua Deppeler in the fluid power section and Ante Salinovic in the web design section
- an international student, Kazumi Maruo from Japan, represented Swinburne in the State final of the Student Waiter of the Year competition
- Jonathan Lilley, a graduate of the Diploma of Natural Resource Management program, was named runner-up at Victoria's Outstanding Student of the Year (Koori).

### **Victorian Outstanding Teacher/Trainer of the Year**

At a gala presentation in August, at the Crown Palladium, attended by over 800 people from the Victorian TAFE system, Minister Kosky announced that Swinburne TAFE Teacher Betty Key was the Victorian Outstanding Teacher/Trainer of the Year. Betty is a teacher and course coordinator in the Department of Industrial Sciences and in 2001 received the Swinburne Teacher Excellence Award. As well as a trophy and certificate, Betty won a \$10,000 scholarship.

### **Peter Quail Memorial Award – 2002**

Swinburne TAFE's top accounting student, Luise McNamara was presented with a certificate and a cheque for \$500 as the winner of this award. This award is contributed annually by the family of Peter Quail, a business department head at Swinburne in the late 80s.

### **Acumen Multimedia Award Winner**

Ms Lexi Thorn, currently studying the Bachelor of Multimedia (Business Marketing) is the winner of the inaugural Acumen Multimedia Award - a highly configured Dell notebook computer.

The Managing Director of Acumen Multimedia, Mr. Russell Yardley, made the presentation in March 2002 at an Industry-Based Learning ceremony organised by the School of Biophysical Sciences and Electrical Engineering.

Acumen Multimedia is an award-winning multimedia and e-business design company that specialises in high quality interactive multimedia products, Internet and intranet web-sites and e-commerce applications for business, government and education.

### **Swinburne Excellence Awards**

The 2002 Swinburne **Excellent Teacher (Higher Education)** Award was awarded to Louise Dunn, Program Manager and Industry Based Learning Coordinator from the School of Engineering and Science, for all-round excellence in the teaching of the Public and Environmental Health Course.

The 2002 Swinburne **Excellent Teacher (TAFE)** Award went to Richard Forster from the Department of Computing and Information Technology, TAFE School of Engineering for his work in software development for courses, for his leadership in the area of online education, web based multimedia development, programming and operating systems.

The 2002 **Teaching Incentive Award** went to Craig Jennings from the TAFE Access Department in recognition of his very successful innovative teaching methods for the Certificate of General Education, Youth Campus programs.

Certificates of Commendation were awarded to Neville Allport, Adjunct Teaching Fellow, Australian Graduate School of Entrepreneurship and Lisa Confoy from the Department of Hospitality & Tourism, TAFE School of Arts, Hospitality and Sciences.

The 2002 **Service Excellence Award** was awarded to the Online Reserve Project Team (Rose Humphries, Tony Davies, Nguyen Ly, Lynda Pels, Lynlee Rutherford and Robin Wright) of Information Resources, in recognition of their professional excellence in the development and implementation of the Library's Online Reserve Service.

The Administration Unit (Liz Standley, Alec Mallett, Donita Duggan, Helen Giouris, Helen Beaumont, Jean Gliddon and Georgia Sutton) of the National School of Design received a Certificate of Commendation in recognition of their professional excellence in the provision of an innovative pre-selection process for the first year NSD undergraduate program.

The Service Excellence Award was presented to the winners at the Senior Deputy Vice-Chancellor Advisory Committee meeting on 1 November 2002.

### **Edyth Rawson Scholarship**

In June 2002, two students studying at the Wantirna campus, were presented with Edyth Rawson Scholarships by the Director of Swinburne's Alumni and Development Unit, Bruce McDonald.

The \$500 scholarships, made possible by a former Swinburne student, Lori Beer, who named them after her philanthropic late aunt, Edyth Rawson, are judged on three criteria; academic performance, community involvement and financial hardship.

The two winners were Katrina Cameron, who won the mature age scholarship, and Samantha Winch, who won the scholarship for a student with a disability. Katrina Cameron will use her scholarship as payment to study another Swinburne course, while Samantha Winch will have a voice activator installed on her computer.

### ***Maurie Curwood Award winners***

The winners of the 2002 Maurie Curwood Awards are Shirley Smith (Staff Award) and Grace Antolini (Student Award).

Acknowledging the work of Maurie Curwood, the inaugural and only Director of the Outer Eastern College of TAFE, the awards, each worth \$2000, are presented annually to a staff member and a student.

The awards not only focus on the work of individuals, but on the efforts they make to create and maintain links and partnerships between Swinburne TAFE and the local community and industry.

### ***Inspiring Others: The 'Weary' Dunlop scholarship 2002***

Students are often too busy for voluntary work, but Swinburne psychology student Jane Brewer proves the rewards gained through community service far outweigh any time sacrificed.

Jane's efforts were recognised by the annual Sir Edward 'Weary' Dunlop scholarship. The \$3,000 scholarship is awarded to a student who performs at an outstanding academic level and shows a strong commitment to community service. The successful student also has to write a five-hundred word essay on the significance of war hero Weary Dunlop's life.

Jane was honoured to receive the scholarship and hopes it will inspire others to give their time and resources to help those that need it the most.

### ***Excellence in Educational Publishing***

In July 2002 Swinburne's own Tertiary Press won an Excellence in Educational Publishing award in the TAFE and Vocational Education Single Title category. The award was presented by The Australian in conjunction with the Australian Publishers Association, and TREAT (University of Sydney).

The title "Essentials of Business Law" written by Trischa Mann, published by Tertiary Press, was considered by the judges to demystify and explain the jargon of the law and provide clear explanations of the major concepts. It was also praised for the excellent figures which 'provide a scaffold and schema for understanding the legal process.'

### ***Spring into Gardening***

Horticulture department staff took out the Mayor's Award for the Best Display for a Community Group at the City of Stonnington Spring into Gardening 2002 Event in October. This is the second successive year Swinburne has won this award.

### ***Pride in Workmanship Award***

Gayle Christie in the Child and Family Studies Department at Croydon, was presented with the Croydon Rotary 'Pride in Workmanship' award for her work in the area.

Gayle is the e-learning leader in the department and has played a very significant role in the development of State-wide flexible learning resources in Children's Services.

### ***Community Services and Health Industry Training Awards***

The TAFE Division was rewarded for its innovative approach to education at the above awards. The Department of Community and Further Education was awarded the Innovative Training Delivery Award for a program delivered in conjunction with Ngwala Willumbong Cooperative to train indigenous drug and alcohol workers. The Child and Family Studies Department was a finalist in the Innovative Training Product section for a new Graduate Certificate in Social Science (Pre- and Post-Natal Family Support).

### ***Professional Recognition and Accreditation***

During 2002, new professional recognition and accreditation was provided by the Chartered Institute of Housing, and the Australian Institute of Housing, for the Housing Management course at the Institute for Social Research.

## **General**

### ***First Patron for Australian Foresight Institute***

The Australian Foresight Institute, the only one of its kind in the country, was created in 1999 to develop an innovative set of postgraduate programs and research in the area of applied foresight. In late 2002, the Hon. Dr Barry Jones AO accepted an invitation from Professor Richard Slaughter, to become the first patron of the Australian Foresight Institute. The writer, broadcaster, former Labor politician and 'living national treasure' is well qualified for the role, having created the Commission for the Future in 1984 among his many achievements.

**Awards**

Lilydale lecturer, John Iacono, received an Order of Australia medal in the 2002 Queens Birthday Honours list for services to education.

Mr. Derek Whitehead, Director of Information Resources, received an Order of Australia (OAM) in the 2002 Australia Day honours for his services to library and information services.

Dr. David Booth travelled to the Philippines to receive an honorary doctorate from De La Salle University in Manila, the largest University in the world, in recognition of his dedicated work in the development of science and engineering in the Philippines.

**Community Service Award**

Professor Avni Sali, Head of Swinburne's Graduate School of Integrative Medicine, received the prestigious St. Michael's Medallion, presented by the Executive Director of the United Nations Association of Australia.

Professor Sali received this award for his unusual and highly distinguished contribution to a broader understanding of health and well-being and for his very innovative community education in the field of holistic health. These awards acknowledge the contribution made by individuals in outstanding community work.

**Building Award**

Swinburne's purpose-built National Institute of Circus Arts (NICA) building at Prahran campus gained significant recognition in the recent Property Council of Australia Awards. The winning building was The Grandstand at Victoria Racing Club, which had a budget in excess of \$80 million, however Swinburne's building (cost: \$4 million) received one of only two other awards, a Special Commendation. Given the tight budget and stringent selection criteria for the awards, this commemoration is a tribute to all the staff that contributed to the building's design and construction.

**2002 Awards for Outstanding Women in Non-Traditional areas**

The National Centre for Gender & Cultural Diversity at Swinburne organises these awards which profile and applaud women who have achieved outstanding success in non-traditional areas across Australia. Swinburne is a major sponsor of the awards, and in 2002, other sponsors were IBM and the National Australia Bank.

**The award winners in 2002 were:***New Apprenticeship:*

Meagan Fowler, Douglas Constructions.

*Vocational Education and Training:*

Angela Bond, TAFE Tasmania.

*Higher Education:*

Sandra Petersen, University of Wollongong.

*Self Employed:*

Sharon Carvolth, Principal, Audit Services International.

*Less than five years in the Workforce:*

Eva Hanley, Thiess, Pty Ltd.

*More than five years in the Workforce – Joint Winners:*

Laura Thomas, Manager, Holden Monaro Program, Holden Ltd.

Bridget Dunn, Unit Manager, Dinez Nominees.

*IBM Award Information Technology – Student:*

Sarah Pulis, La Trobe University.

*IBM Award Information Technology – Workplace Manager:*

Jo-Ann Kellock, SuitsU.

*National Australia Bank Award – Women in Banking and Financial Services:*

Sylvia Falzon, Head, Client Service and Operations, Alpha Investment Management.

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



## ■ Human Resources

Swinburne's human resources approach aims to ensure that staff are able to effectively support the University's strategic directions and fulfill their own potential. A key strategy has been to develop systems and practices that engage staff in discussion and debate regarding the future directions of the organisation.

The following major areas underpinned activities in 2002:

- strategic HR planning
- recruitment and retention
- learning and development
- management development
- managing performance
- occupational health and safety
- operations and administration.

All departments in the University completed Human Resources strategies during 2002. The University introduced a Performance Planning, Review and Development (PPRD) system in 2002, and the target of 50% of staff to have completed an individual development plan was achieved. Some units have completed this process for 100% of their staff. The PPRD is linked directly to the University's strategic themes and provides the opportunity for all staff to identify how they can contribute to the achievement of those themes.

Staff development continues to be a critical strategy for the University, with a University wide 2004 target of 2% of operating budgets to be allocated to staff development introduced in 2002. The 2002 target of 25% of units reaching this level of expenditure was achieved. An extensive in-house professional development and compliance training program was delivered to 1256 staff across all organisational levels in the following areas:

- compliance: equity and privacy
- management/supervisor training
- selection and induction, cross-cultural issues, managing projects, networking and influencing and service innovation
- occupational health and safety.

The University made available to all organisational units staff survey reports and looked for local action and leadership change to improve performance in three Key Performance Indicators – organisational pride, job satisfaction and communication.

### Human Resources Department Highlights

A range of outcomes were achieved during 2002, including:

- success in obtaining an additional 2% funding arising from the second round of the federal Workplace Reform Program
- '360-degree feedback' performance management model implemented for all senior University managers
- review of all existing HR policies and procedures and development of further policies as required
- second University-wide staff survey undertaken
- implementation of performance, planning, review and development process for all University general, academic and TAFE teaching staff
- successful roll-out of web-based staff payroll information system for all University staff
- major technical upgrade to HR staff database.

### Staff Development

An extensive in-house professional development & compliance training program was conducted in the following areas:

- equity & privacy matters
- management/supervisor training (covering positive leadership, effective feedback, managing conflict, interpersonal skills, influencing & negotiation, time & stress management, performance planning, review & development)
- selection & induction, cross-cultural issues, managing projects, networking and influencing and service innovation
- occupational health & safety (covering emergency response, first aid, hazardous substances, OHS representatives, manual handling, OHS management system).

Staff development initiatives were delivered to 1,256 staff across all organisational levels of the University and covered a wide range of topics, determined after staff consultation and assessment of training requirements of the University, and delivered by internal and external training providers. Multiple training sessions were delivered in high-demand areas.

## Other Highlights

A University governance website has been developed, and all new staff are issued with organisation charts as part of a strategy to clarify decision-making processes and strategic directions.

Corporate Marketing provided media training for sixteen staff in 2002, including the University's new Chancellor. This aims to build the research profile and reputation of the University by increasing media coverage of research.

A professional development program is underway in the TAFE Division to ensure that 50% of teaching staff have information and communication technologies skills, and an induction program has been implemented for all new staff. Learner support information has been incorporated into these programs, including incorporation of material to assist in Australian Quality Training Framework compliance and training in WebCT, the Division's subject delivery system.

## 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.

Under the Disability Discrimination Act 1992, Swinburne University developed its Disability Action Plan 1997-98. It was intended, and it stated, that the Plan should be reviewed regularly. The Disability Action Plan was developed initially to identify any discriminatory practices that may exist within the University and to develop goals and strategies to overcome them. It is a vehicle for ensuring that all University functions, practices and services are inclusive of people with disabilities. A full review of the Plan commenced in 2002 and is still underway. The Review involves Higher Education, TAFE, Human Resources and the Student Union and is coordinated by Student Equity, Higher Education in Student Services.

## Industrial Relations

No time was lost during 2002 due to industrial disputes. 262 days were lost due to industrial injuries.

## Occupational Health and Safety

Building on existing OH&S activities, there was a high degree of activity in 2002, the highlights of which were:

- mandatory training for managers in OH&S
- establishment of an annual OH&S operating model
- campus and peak OH&S Committees established and operating
- development of key performance indicators for OH&S reporting
- implementation of *FigTree* OH&S reporting system
- completion of gap analysis of risk management systems
- reporting on OH&S compliance activity by all Divisions
- reviewing of OH&S policies and the development of a three year action plan
- hazardous substances compliance audit
- conduct workplace noise assessment and associated staff hearing tests
- reduction in WorkCover claims lodged with WorkCover insurer in 2002
- implementation of case management strategies and promotion of a culture of early intervention for workplace injuries
- noise assessments and hearing tests conducted for all campuses
- significantly improve awareness of OHS through the OHS training program.

## ■ Accountability

### Public Sector Management and Employment Act 1998

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

The University observes 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, which addresses issues of conduct.

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

The policy and procedure process is enhanced through an online Policies and Procedures Database, enabling greater staff access and awareness of the University's policies and procedures.

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

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

### Freedom of Information Act 1982

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 from 2000 to 2002.

### FOI Statistics 2000-2002

	2000	2001	2002
Number of requests	4	1	7
Number of requests refused	0	0	0
Number of requests awaiting a decision	0	0	0
Number of decisions to release:			
– in full	2	1	3
– in part	2	0	2
Number of decisions to exempt in full	0	1	3
Number of decisions indicating no documents identified	0	0	2
Number of internal reviews	0	0	0
Number of Administrative Appeals Tribunal appeals	0	0	0
Exemptions cited	s.33(1)	0	S30, S33(1), S35(1) (b)
Other Provisions cited	Nil	Nil	S18, S17 S23(3c)
Fees and charges collected	\$20	\$20	\$593.00

### 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.

### **Categories of Documents in the Possession of the University**

Swinburne has a University-wide records management application (RecFind). This system ensures that the University incorporates all relevant documents into its recordkeeping 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 Programmes
- 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 2002 are provided in the additional information available on request. This information can be obtained on request from the Foresight, Planning and Review Unit, telephone 03 9214 4386.

### **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**

Mr. Shane Arnold, 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>

## **Building Act 1993**

### **Statement of Compliance**

- 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).
- 1(b) All works comply with the 10 year liability gap as a matter of routine and an Occupancy Permit is obtained for new capital building works at the completion of all work.
- 2(a) Major works completed in 2002 included:
  - BA upgrade – WCs and level 2 foyer
  - Upgrade to Mitchells View Restaurant, Pratt Campus; and
  - Upgrade to Mecanix Restaurant, Prahran 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 an electronic 'Remote Requester' reporting 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 system.

- 4 The University's Capital Management Plan sets out a program for all buildings not strictly conforming with the Building Act 1993. In 2001 the University implemented a plan to bring all buildings up to this standard – this continued throughout 2002.
- 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.

**Building Works**

Buildings certified for approval in 2002	0
Works in construction and the subject of mandatory inspections	3
Occupancy Permits issued	2

**Maintenance**

Notices issued for rectification of sub-standard buildings requiring urgent attention	Nil
Involving major expenditure and urgent attention	Nil

**Conformity**

Number of buildings conforming with standards	72
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The policy establishes that people wishing to raise serious matters and seeking protection under the Act may do so in person or in writing to the Vice-Chancellor, the Director of Internal Audit or the Director of Human Resources. Where a serious matter is covered by the Act, the policy establishes referral and investigation procedures to meet all the requirements of the Act and the Ombudsman's Guidelines.

In 2002 two disclosures were made to the designated officers of the University, which showed 'reasonable grounds' and were recognised as protected disclosures. These disclosures were referred to the Ombudsman, who determined that they were 'public interest disclosures'. Both matters were referred back to the University for investigation.

The first disclosure alleged misuse of public monies, misuse of authority for personal gain and significant risk to public resources.

The second disclosure alleged falsification of records, overcharging for services and victimisation.

During the year these matters were investigated. The investigations are currently under review by the Ombudsman.

No disclosures were referred by the Ombudsman to Swinburne. No investigations were taken over by the Ombudsman. No requests were made under section 74 of the Act. No disclosures were declined during the year and the Ombudsman made no recommendations under this Act to the University during the year.

**Education Services for Overseas Students Act 2000**

**National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students**

The University complies with the Education Services for Overseas Students Act 2000 and the National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students.

**Whistleblowers Protection Act 2001**

**Statement on Ombudsman investigations**

Swinburne has established and published a policy and procedure to ensure compliance with the Act. This policy and procedure was posted to our intranet under the Human Resources web site in December 2001.

**Statement on the Auditor General's report on the operations of University Subsidiary Entities and Joint Ventures**

As a response to the Government's Governance Statement recommendations, in regard to the oversight of subsidiary entity operations, Item Five raised by the Auditor General, Council affirms that its over-riding principle will be to ensure that at least one external person is a director of each of these subsidiaries. The appointment of these persons would, if possible, be made from current Council members and be based on their field of expertise and level of experience in areas relevant to the subsidiary to which they would be appointed. Council determines that, to the extent permissible by corporations law, a primary responsibility of such an appointee would be to protect the



University's interests and provide appropriate reports to Council. Alternatively, should an appropriate Council member not be available, a suitable external appointment from the wider community should be sought.

Council has also established, through the University's Finance Committee, a Financial Risk Management Sub-Committee comprising a majority membership of external Councillors, which will develop models for appropriate screening and ongoing evaluation criteria in order to enable Council to properly discharge its responsibilities in respect of governance.

One of the models to be developed by the Sub-Committee will be a screening template, the contents of which will need to be addressed by each sponsor responsible for bringing forward proposals for new business ventures and/or contracts and decisions arising as a result of changed circumstances in existing undertaking and/or contracts.

## Risk management

In 1999, the University Council approved the Swinburne University of Technology risk management policy and principles document, which was drafted in accordance with the requirements of the Australian and New Zealand Standard AS/NZS 4360. The policy was developed with a very simple objective, stating that the University "will develop an organisational culture that optimises its ability to achieve business objectives while ensuring appropriate management of risks". In respect to consultancy and other

commercial activities, the University has introduced a Financial Risk Management Sub-Committee, which is comprised of four members of Council and the Vice-Chancellor. The Sub-Committee is responsible for ensuring that appropriate risk management and project evaluation is undertaken in all decisions related to the University's participation in new business ventures and/or contracts and in any decisions arising as a result of changed circumstances in existing undertakings and/or contracts.

The University has approved a number of policies and procedures that deal with consultancy services and commercial activities. These policies and procedures must be followed when negotiating contracts and all contracts must be formally approved both financially and legally prior to execution.

Risk management reviews are periodically conducted for the various academic and management units, to ensure that all risk matters are appropriately identified, evaluated and controlled accordingly. In accordance with reporting requirements, the following is a summary of those associates and commercial ventures with capital investment in excess of \$100,000 or turnover exceeding \$500,000 and any associates and commercial ventures which have no limited liability.

Associate/Commercial Venture	Principal Objects	Level of Financial Risk (High, Medium, or Low)	Level of Reputational Risk (High, Medium, or Low)
Swinburne Limited	Property holding company, for the land and buildings leased to the University	Low	Low
Swinburne Graduate School of Integrative Medicine Pty Limited	Postgraduate teaching unit of the University	Low	Medium
National Institute of Circus Arts Limited	Joint venture teaching unit of the University	Low	Low
Technology Training Co. Limited	Joint venture to provide vocational training in Thailand	Medium	Medium
Swinburne Ventures Limited	Advisory company to advise on the commercialisation of intellectual property	Low	Low
Neurometric Systems Pty Limited	Research activity unit associated with the Brain Sciences Institute	Low	Low
Swinburne Institute of Integrative Medical Research Limited	Entity to assist the Swinburne Graduate School of Integrative Medicine in clinical research	Low	Medium

### Statement on National Competition Policy

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.

### Additional information available on request

Consistent with the requirements of the Financial Management Act 1994, Swinburne University of Technology has prepared material on the following items, details of which are available on request:

- shares held beneficially by senior officers as nominees of a statutory authority or subsidiary
- publications
- statement regarding declarations of pecuniary interest;
- overseas visits undertaken
- major committees sponsored by Swinburne University of Technology
- changes in prices, fees, charges, rates and levies.

Enquiries regarding details of the above should be addressed to:

Yvonne Lynes  
Project Officer  
Swinburne University of Technology  
PO Box 218, Hawthorn, 3122

Telephone: 03 9214 4386  
Email: [ylynes@swin.edu.au](mailto:ylynes@swin.edu.au)



Swinburne University of Technology  
**Financial summaries  
and statements**

**2002**



## ■ Financial summaries

### Summary of financial results 1998 – 2002

	1998 \$000	1999 \$000	2000 \$000	2001 \$000	2002 \$000
Net Assets	220,629	223,329	280,033	295,866	305,504
Operating Surplus (Deficit)	2,587	2,700	11,738	13,567	1,566
Overseas Students Fee Revenue	15,178	20,807	24,323	29,639	34,148
Commonwealth Government Grants	53,050	47,069	53,219	55,890	56,335
State Government Grants	50,979	48,208	54,405	60,765	59,839

### Summary of Significant Changes in Financial Position during 2002

There were no significant changes in the University's financial position during 2002.

### 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 – 2002

Consultancies for 2002 are reported according to 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.

#### **Consultancies less than \$100,000**

There were 308 consultancies of less than \$100,000 each during the year. Expenditure totalled \$1,405,180. Details are available on request.

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

There was one consultancy in excess of \$100,000 during the year. This was with Sinclair Knight Merz for professional services and fees due to design and documentation of the BA Building, Stage 2, and totalled \$163,690.

### Declarations of Pecuniary Interests

All members, officers and employees of the University who are required to complete a declaration of pecuniary interests have been requested to do so. Under the provisions of the Swinburne University of Technology Act 1992 members of Council must declare any pecuniary interests they have in matters before Council, and are not entitled to vote on such matters.

### Shares held by Senior Officers

Information on share ownership is provided in the declarations of pecuniary interests.

### Statement that Public Funds allocated to the University have been allocated to the purposes specified by the Government or other public funding body

Commonwealth and State financial assistance, and assistance from other public funding bodies during the reporting period, was expended in accordance with the purposes for which it was specified.

The University has complied with the requirements of various programme guidelines that apply to the Commonwealth and State financial assistance identified in these financial statements.

## ■ 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
- does not confer membership of the Student Union or any other student organisation.

### Compulsory Non-Academic Fees, Subscriptions and Charges 2002

Compulsory non-academic fees, subscriptions and charges	Student status	Total GSF 2002 \$
<b>General Service Fee: Higher Education</b>		
	Full time, full year	276.00
	Full time, semester	138.00
	Full time, full year, concession	180.00
	Full time, semester, concession	90.00
	Part time, full year	138.00
	Part time, semester	69.00
	Part time, full year, concession	90.00
	Part time, semester, concession	45.00
	IBL/Distance Education: full year	56.00
	IBL/Distance Education: semester	28.00
	Part time IBL/Distance Education, full year	28.00
	Part time IBL/Distance Education semester	14.00
<b>General Service Fee: TAFE</b>		
<i>Hawthorn, Prahran</i>		
	Full time, full year	155.00
	Full time, semester	78.00
	Full time, full year, concession	102.00
	Full time, semester, concession	51.00
	Part time, full year	102.00
	Part time, semester	51.00
	Part time, full year, concession	65.00
	Part time, semester, concession	33.00
<i>Croydon, Wantirna, Lilydale, Healesville</i>		
	Full time, full year	114.00
	Full time, semester	57.00
	Full time, full year, concession	73.00
	Full time, semester, concession	37.00
	Part time, full year	73.00
	Part time, semester	37.00
	Part time, full year, concession	46.00
	Part time, semester, concession	23.00



## ■ Compulsory non-academic fees statement of income and expenditure year ended 31 December 2002

<b>Receipts from students (not including GST)</b>	<b>\$</b>
Brought forward	681,544
General Service Fees	3,879,241
<b>Total</b>	<b>4,560,785</b>

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

Remitted to Swinburne Student Union Inc.	2,549,727
Remitted to Swinergy (Swinburne University Sport and Recreation)	865,455
Carried Forward	1,145,603
<b>Total</b>	<b>4,560,785</b>

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

Visual and performing arts	96,833
Administration	30,283
Clubs and societies	34,722
Campus computers	63,536
Student Advisory Centre	57,156
Academic support	9,697
Equipment library	26,870
General expenses (including depreciation)	292,815
Communication and information	49,456
Hawthorn campus	1,062,309
Eastern campuses	868,840
Prahran campus	389,503
<b>Sub total</b>	<b>2,982,020</b>
Less expenditure funded by non-fee income	432,293
<b>Total</b>	<b>2,549,727</b>

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

Administration	336,976
Capital development fund	60,000
Club subsidies	34,424
Club portfolio	52,557
Depreciation	68,400
Finance	66,359
Hawthorn Sports Centre	100,821
Marketing	37,360
Team Swinburne	73,596
Recreation portfolio	71,562
Other expenditure	8,890
<b>Sub total</b>	<b>910,945</b>
Less expenditure funded by non-fee income	45,490
<b>Total</b>	<b>865,455</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 2002

The annual report of Swinburne University of Technology is prepared in accordance with:

FMA	<i>Financial Management Act 1994</i>
MFD	Directions of the Minister for Finance issued under section 8 of the <i>Financial Management Act 1994</i>
TEA	<i>1993 Tertiary Education Act 1993</i>
PAEC	Decision of Public Accounts and Estimates Committee of Parliament
RUG	Victorian Government response to the Review of University Governance
ESOS	<i>Education Services for Overseas Students Act 2000</i>
WPA	<i>Whistleblowers Protection Act 2001</i>

This index was prepared to facilitate identification of compliance with statutory disclosure requirements.

Clause	Disclosure	Page number(s)
<b>Report of Operations Directions</b>		
MFD 9.1.2 (i)	General and financial information	4-61,i,iii,F1-F41
MFD 9.1.2 (ii)	Signature of Chancellor or nominee	3
	Date of meeting at which Council approved annual report, or date of delegated approval	3
<b>Relevant general information</b>		
MFD 9.1.3 (i)(a)	Manner in which the university was established	11
MFD 9.1.3 (i)(a)	Relevant Minister	11
MFD 9.1.3 (i)(b)	Objectives, functions, powers and duties	12-13
MFD 9.1.3 (i)(c)	Nature and range of services, people and communities served	19-20
MFD 9.1.3 (i)(d)	Administrative structure	14-16
MFD 9.1.3 (i)(d) (i)	Members of the Council	14
MFD 9.1.3 (i)(d) (ii)	Occupants of senior offices and areas of responsibility	15
MFD 9.1.3 (i)(d) (iii)	Organisational chart	16
MFD 9.1.3 (i)(e)	Workforce data for current and previous year;	17-18, 48-49
	Statement on application of merit and equity principles	49
MFD 9.1.3 (i)(f)	Application and operation of the Freedom of Information Act 1982	50-51
<b>Financial Year information</b>		
MFD 9.1.3 (ii)(a)	Summary of the financial results with comparative results for preceding four years	56
MFD 9.1.3 (ii)(b)	Summary of significant changes in financial position	56
MFD 9.1.3 (ii)(c)	Operational objectives and performance including significant activities and achievements	21-42
MFD 9.1.3 (ii)(d)	Major changes or factors affecting the achievement of operational objectives	21
MFD 9.1.3 (ii)(e)	Events subsequent to balance date which may have a significant effect on operations in subsequent years	56
MFD 9.1.3 (ii)(f)	Consultancies in excess of \$100,000	56
MFD 9.1.3 (ii)(g)	Consultancies less than \$100,000	56
MFD 9.1.3 (ii)(h)	Compliance with the Building Act 1993	51-52
MFD 9.1.3 (ii)(i)	Additional information available on request	54
MFD 9.1.3 (ii)(k)	Implementation and compliance with National Competition Policy	54
<b>Relevant information also available on request</b>		
MFD 9.1.3 (iv)(a)	Declarations of pecuniary interests	54,56
MFD 9.1.3 (iv)(b)	Shares held by senior officers	54,56
MFD 9.1.3 (iv)(c)	Publications	51,54
MFD 9.1.3 (iv)(d)	Changes in prices, fees, charges, rates and levies	54
MFD 9.1.3 (iv)(e)	Major external reviews	9,27
MFD 9.1.3 (iv)(f)	Major research and development activities	5-6,25-30
MFD 9.1.3 (iv)(g)	Overseas visits	54
MFD 9.1.3 (iv)(h)	Promotional, public relations and marketing activities	23,42,49
MFD 9.1.3 (iv)(i)	Occupational health and safety	49
MFD 9.1.3 (iv)(j)	Industrial relations, accidents and disputes	49
MFD 9.1.3 (iv)(k)	Major committees sponsored by the university	54

Clause	Disclosure	Page number(s)
<b>Additional information</b>		
RUG	Statement that public funds allocated to the purposes specified by the Government or other public funding body	56,iii
RUG	Council's risk management strategy	10,53
ESOS	Compliance with <i>ESOS Act 2000</i>	52
WPA (section 104)	Compliance with the <i>Whistleblowers Protection Act 2001</i>	52
	Complaints made to and investigated by the Ombudsman	52
s. 12I TEA 1993	Compulsory non-academic fees, subscriptions and charges	57
PAEC (December 1997)	International initiatives and strategies	6-7,31-35
PSMEA ss 7 & 8	Employment processes and principles of conduct for public sector employees	50
MFD 9.8	Statement on occupational health and safety matters, and performance measures	48-49
<b>Financial Statements</b>		
MFD 9.2.2 (i)(a)	Financial operations: revenue and expenses	F7
MFD 9.2.2 (i)(b)	Financial position at end of year	F2
MFD 9.2.2 (i)(c)	Statement of cash flows	F3
MFD 9.2.2 (i)(d)	Notes to the financial statements	F4-F41
MFD 9.2.2 (i)(e)	Consolidated financial statements	F4
MFD 9.2.2 (ii)(a)	Financial statements prepared on accrual basis	F6
MFD 9.2.2(ii)(b)	Compliance with accounting standards	F4
MFD 9.2.2(ii)(c)	Compliance with Department of Finance accounting requirements	F4
MFD 9.2.2 (ii)(d)	Accounts prepared in accordance with historical cost convention	F4
MFD 9.2.2 (ii)(e)	Information for preceding year which corresponds to disclosures for current year	56
MFD 9.2.2 (iii)(a) (b)	Rounding of figures in financial statements	F4
MFD 9.2.2 (vi)(a)	Fair presentation of financial transactions and position	iii
MFD 9.2.2 (vi)(b)	Financial statements accord with Directions of the Minister for Finance	iii
MFD 9.2.2 (vi)(c)	Circumstances which would render financial statements misleading or inaccurate	iii
<b>Relevant information</b>		
MFD 9.2.3 (ii)(a)	Material operating revenue: operating grants, sale of goods, rendering of services	F7
MFD 9.2.3 (ii)(b)	Investment income	F8
MFD 9.2.3 (ii)(c)	Material revenue: sale of non-goods assets, non-current assets	F8
MFD 9.2.3 (ii)(d)	Material revenue: exchanges of goods or services	Nil
MFD 9.2.3 (ii)(e)	Depreciation, amortisation or diminution in value of assets	F9
MFD 9.2.3 (ii)(f)	Bad and doubtful debts	F9
MFD 9.2.3 (ii)(g)	Financing costs	F10
MFD 9.2.3 (ii)(h)	Net increment or decrement on revaluation of each asset category	F13
MFD 9.2.3 (ii)(i)	Auditor-General's fees	F10
MFD 9.2.3 (ii)(j)	Emoluments of Council	F18
MFD 9.2.3 (ii)(k)	Council members' shareholdings in the university	Nil
<b>Financial position</b>		
MFD 9.2.3 (iii)(a)	Details of assets	F12-F13
MFD 9.2.3 (iii)(b)	Details of liabilities	F14-F15
MFD 9.2.3 (iii)(c)	Details of capital	Nil
MFD 9.2.3 (iii)(d)	Details of reserves and transfers to and from reserves	F15
RUG	Summary table of financial performance of Associates and commercial ventures	F20

Clause	Disclosure	Page number(s)
<b>Other relevant information</b>		
MFD 9.2.3 (iv)(a)	Liabilities secured by a charge on assets	F14
MFD 9.2.3 (iv)(b)	Material contingent liabilities secured over assets	F23
MFD 9.2.3 (iv)(c)	Commitments for expenditure	F17
MFD 9.2.3 (iv)(d)	Government grants	F7-F8
MFD 9.2.3 (iv)(e)	Employee superannuation funds	F22-F23
MFD 9.2.3 (iv)(f)	Assets received without adequate consideration	Nil
<b>Responsible person-related disclosure</b>		
MFD 9.4.2 (i)	Names of council members	14,F17
MFD 9.4.2 (ii)	Remuneration of council members	Nil
MFD 9.4.2 (iii)	Council members' remuneration in bands of \$10,000	Nil
MFD 9.4.2 (iv)	Executive officers' remuneration	F18
MFD 9.4.2 (v)	Payments relating to council members' retirement	Nil
MFD 9.4.2 (vi)(a) (b)	Loans made, guaranteed or secured to a council member or related party	Nil
MFD 9.4.2 (vii)	Aggregate amount of loans made to council members and repayments received	Nil
MFD 9.4.2 (viii)(a)	Share or share option transactions by council members	Nil
MFD 9.4.2 (viii)(b)	Terms and conditions of favourable share or share option transactions by council members	Nil
MFD 9.4.2 (ix)	Other transactions with council members	F18
MFD 9.4.2(x)(a)	Aggregate amount of revenue or expense resulting from council members' transactions	F18
MFD 9.4.2(x)(b)	Aggregate amounts receivable and payable resulting from council members' transactions	Nil
MFD 9.4.2(x)(c)	Aggregate amounts of provisions for doubtful receivables resulting from council members' transactions	Nil
MFD 9.4.2(x)(d)	Other benefits derived by council members from transactions	Nil





Swinburne University of Technology  
**Financial statements**

**2002**







AUDITOR GENERAL  
VICTORIA

**AUDITOR-GENERAL'S REPORT**

**To the Members of the Parliament of Victoria, the responsible Ministers and the Members of the Council of Swinburne University of Technology**

**Audit Scope**

The accompanying financial report of Swinburne University of Technology for the financial year ended 31 December 2002, comprising a statement of financial performance, statement of financial position, statement of cash flows and notes to the financial statements, has been audited. The financial report includes the consolidated financial statements of the economic entity, comprising the Swinburne University of Technology and the entities it controlled at the year's end or from time to time during the financial year as disclosed in note 21 to the financial statements. The Members of the University's Council are responsible for the preparation and presentation of the financial report and the information it contains. An independent audit of the financial report has been carried out in order to express an opinion on it to the Members of the Parliament of Victoria, the responsible Ministers and the Members of the University's Council as required by the *Audit Act 1994*.

The audit has been conducted in accordance with Australian Auditing Standards to provide reasonable assurance as to whether the financial report is free of material misstatement. The audit procedures included an examination, on a test basis, of evidence supporting the amounts and other disclosures in the financial report, and the evaluation of accounting policies and significant accounting estimates. These procedures have been undertaken to form an opinion as to whether, in all material respects, the financial report is presented fairly in accordance with Accounting Standards and other mandatory professional reporting requirements in Australia and the financial reporting requirements of the *Financial Management Act 1994*, so as to present a view which is consistent with my understanding of the University's and the economic entity's financial position, financial performance and their cash flows.

The audit opinion expressed in this report has been formed on the above basis.


**Qualification**

As disclosed in note 15 to the financial statements, the University has reported revenue received in advance relating to financial assistance from the Commonwealth Government and HECS received in advance of \$5.9 million (\$5.7 million as at 31 December 2001) as a current liability. As the University effectively controlled these funds at 31 December 2002, this amount should have been recognised as revenue in accordance with the requirements of Australian Accounting Standard AAS 15 "Revenue". Accordingly, for the year ended 31 December 2002, revenue from ordinary activities, the operating surplus and the retained surplus are understated by \$5.9 million (\$5.7 million for the year ended 31 December 2001) and current liabilities are overstated as at 31 December 2002 by the same amount (\$5.7 million as at 31 December 2001). The \$5.7 million that should have been brought to account in the year ended 31 December 2001 in accordance with the requirements of AAS 15 has been included as revenue from ordinary activities and in the net surplus for the year ended 31 December 2002.

**Qualified Audit Opinion**

In my opinion, except for the effect on the financial report of the matters referred to above, the financial report presents fairly in accordance with applicable Accounting Standards and other mandatory professional reporting requirements in Australia and the financial reporting requirements of the *Financial Management Act 1994*, the financial position of Swinburne University of Technology and the economic entity as at 31 December 2002 their financial performance and cash flows for the year then ended.

MELBOURNE  
10 April 2003



J.W. CAMERON  
Auditor-General



SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

FINANCIAL REPORT

FOR THE YEAR ENDED 31 DECEMBER 2002


STATEMENT BY DEPUTY CHANCELLOR, VICE-CHANCELLOR AND  
PRINCIPAL ACCOUNTING OFFICER

We, the Deputy Chancellor, Vice-Chancellor and Principal Accounting Officer, state that in our opinion:

1. The attached financial statements and notes thereto present fairly the financial position as at 31 December 2002, and the performance for the year ended 31 December 2002 of the University and the consolidated entity.
2. The attached financial statements and notes thereto are prepared in accordance with the Australian Accounting Standards and other authoritative pronouncements of the Australian Accounting Standards Board, Urgent Issues Group Consensus Views and the provisions of the Financial Management Act 1994.
3. At the time of signing there are reasonable grounds to believe that the institution will be able to pay its debts as and when they become due.
4. Commonwealth financial assistance expended during the reporting period was expended in accordance with the purposes for which it was provided.
5. The University has complied with the requirements of various programme guidelines that apply to the Commonwealth financial assistance identified in these financial statements.

At the date of signing we are not aware of any circumstances that would render any particulars in the financial report either misleading or inaccurate.

TW BROWN  
Deputy Chancellor



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JG WALLACE  
Vice-Chancellor



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BM TELFORD  
Principal Accounting Officer



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Dated this 1<sup>st</sup> day of APRIL 2003.





**SWINBURNE UNIVERSITY OF TECHNOLOGY**  
 ABN 13 628 586 699  
**STATEMENT OF FINANCIAL PERFORMANCE**  
**FOR THE YEAR ENDED 31 DECEMBER 2002**

	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u> \$000	<u>2001</u> \$000	<u>2002</u> \$000	<u>2001</u> \$000
Revenue from Ordinary Activities	2	242,636	236,238	239,484	233,504
Expenses from Ordinary Activities (excluding borrowing cost expense)	3	240,123	220,547	237,274	219,288
Borrowing cost expense	4	644	649	644	649
Share of net result of associates and joint ventures accounted for using the equity method	8	-	-	-	-
<b>Surplus from Ordinary Activities before Income Tax Expense</b>		1,869	15,042	1,566	13,567
Income tax related to ordinary activities		-	-	-	-
<b>Surplus after related income tax expense</b>		1,869	15,042	1,566	13,567
<b>Net Surplus</b>	18.2	1,869	15,042	1,566	13,567
Outside equity interests in net surplus	17	80	133	-	-
<b>Net Surplus attributable to parent entity</b>		1,949	15,175	1,566	13,567
Net Increase (Decrease) in Asset Revaluation Reserve	16.2	10,201	(253)	7,767	(1,068)
<b>Total Changes in Equity other than those Resulting from Transactions with Owners as Owners</b>		12,150	14,922	9,333	12,499

The accompanying notes form part of these financial statements

**SWINBURNE UNIVERSITY OF TECHNOLOGY**  
 ABN 13 628 586 699  
**STATEMENT OF FINANCIAL POSITION AS AT 31 DECEMBER 2002**

	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>
<b><u>CURRENT ASSETS</u></b>					
Cash Assets	18.1	19,774	30,792	18,645	30,445
Receivables	7	6,735	6,982	6,135	6,408
Other Financial Assets	9.2	44,019	13,945	44,019	13,945
Other Assets	10.1	9,477	8,469	9,477	8,469
<b>Total Current Assets</b>		<b>80,005</b>	<b>60,188</b>	<b>78,276</b>	<b>59,267</b>
<b><u>NON-CURRENT ASSETS</u></b>					
Receivables	7	1,605	4,591	8,707	13,207
Investments Accounted for Using the Equity Method	8	98	98	278	299
Property, Plant and Equipment	11	343,348	340,749	287,117	285,019
Other Assets	10.2	101,973	101,869	101,973	101,869
<b>Total Non-current Assets</b>		<b>447,024</b>	<b>447,307</b>	<b>398,075</b>	<b>400,394</b>
<b>TOTAL ASSETS</b>		<b>527,029</b>	<b>507,495</b>	<b>476,351</b>	<b>459,661</b>
<b><u>CURRENT LIABILITIES</u></b>					
Payables	12	12,013	9,065	12,006	9,065
Interest Bearing Liabilities	13.2	1,000	1,000	1,000	1,000
Finance Leases	19.1	981	936	981	936
Provisions	14.1	16,037	15,031	15,967	15,019
Other Liabilities	15.1	22,400	18,331	22,400	18,331
<b>Total Current Liabilities</b>		<b>52,431</b>	<b>44,363</b>	<b>52,354</b>	<b>44,351</b>
<b><u>NON-CURRENT LIABILITIES</u></b>					
Interest Bearing Liabilities	13.3	5,500	6,500	5,500	6,500
Finance Leases	19.1	1,807	2,788	1,807	2,788
Provisions	14.2	9,287	8,287	9,245	8,287
Other Liabilities	15.2	101,941	101,869	101,941	101,869
<b>Total Non-current Liabilities</b>		<b>118,535</b>	<b>119,444</b>	<b>118,493</b>	<b>119,444</b>
<b>TOTAL LIABILITIES</b>		<b>170,966</b>	<b>163,807</b>	<b>170,847</b>	<b>163,795</b>
<b>NET ASSETS</b>		<b>356,063</b>	<b>343,688</b>	<b>305,504</b>	<b>295,866</b>
<b><u>EQUITY</u></b>					
Reserves	16.1	121,368	111,167	60,928	53,161
Retained Surplus	6	235,195	232,941	244,576	242,705
Equity Attributable to Parent Entity		356,563	344,108	305,504	295,866
Outside Equity Interest in Controlled Entities	17	(500)	(420)	-	-
<b>TOTAL EQUITY</b>		<b>356,063</b>	<b>343,688</b>	<b>305,504</b>	<b>295,866</b>

The accompanying notes form part of these financial statements

## SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

## STATEMENT OF CASH FLOWS FOR THE YEAR ENDED 31 DECEMBER 2002

	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</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		57,917	57,411	56,477	56,546
- Victorian Government		59,824	61,260	59,584	61,020
Higher Education Contribution Scheme					
- Student Payments		2,867	3,079	2,867	3,079
- Higher Education Trust Fund		20,835	25,272	20,835	25,272
Postgraduate Education Loans Scheme		3,368	-	3,368	-
Fees and Charges (inclusive of GST)		80,612	69,808	77,457	69,417
Interest and Dividends Received		3,018	2,026	3,001	2,011
Other Operating Receipts (inclusive of GST)		9,649	11,129	9,123	9,907
<b><u>Outflows</u></b>					
Borrowing Costs		(644)	(649)	(644)	(649)
Payments to Suppliers and Employees (inclusive of GST)		(207,611)	(203,641)	(204,866)	(202,494)
<b>Net Cash Provided by Operating Activities</b>	18.2	<b>29,835</b>	<b>25,695</b>	<b>27,202</b>	<b>24,109</b>
<b><u>CASH FLOWS FROM INVESTING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Sales of Property, Land and Buildings					
Plant and Equipment		751	360	751	360
<b><u>Outflows</u></b>					
Purchase of Investments		(30,085)	(7,021)	(30,085)	(6,923)
Payments for Property, Plant and Equipment		(8,618)	(22,762)	(8,305)	(21,249)
<b>Net Cash Used in Investing Activities</b>		<b>(37,952)</b>	<b>(29,423)</b>	<b>(37,639)</b>	<b>(27,812)</b>
<b><u>CASH FLOWS FROM FINANCING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Borrowings		(67)	3,720	-	3,720
<b><u>Outflows</u></b>					
Repayment of Borrowings		(881)	(1,000)	(1,000)	(1,000)
Distributions to Beneficiaries of Trusts		-	(75)	-	-
Repayment of Finance Leases		(936)	-	(936)	-
Loans to Related Parties		(1,017)	(717)	573	(908)
<b>Net Cash Provided by (Used in) Financing Activities</b>		<b>(2,901)</b>	<b>1,928</b>	<b>(1,363)</b>	<b>1,812</b>
<b>Net Increase (Decrease) in Cash Held</b>		<b>(11,018)</b>	<b>(1,800)</b>	<b>(11,800)</b>	<b>(1,891)</b>
Cash at Beginning of the Reporting Period		30,792	32,592	30,445	32,336
<b>Cash at End of the Reporting Period</b>	18.1	<b>19,774</b>	<b>30,792</b>	<b>18,645</b>	<b>30,445</b>

The accompanying notes form part of these financial statements

SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

NOTES TO THE FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 DECEMBER 2002**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.

**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 2002 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 inclusive of estimated oncosts of 16.2% per annum, 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 2002.

***Long Service Leave:***

A liability for long service leave inclusive of estimated oncosts of 16.2% per annum 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 2002 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 2002 was \$110,432,000 (2001: \$110,068,000). Of the 2002 amount, \$106,856,000 (2001: \$106,780,000) related to Higher Education employees and the remainder to TAFE employees. The liability in respect of Higher Education employees as at 30 June 2002 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



## SWINBURNE UNIVERSITY OF TECHNOLOGY

ABN 13 628 586 699

NOTES TO THE FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 DECEMBER 2002

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 \$6,270,000 (2001: increase of \$76,000), 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	42 years	(2001:	42 years)
Plant and Equipment			
Furniture	8 years	(2001:	10 years)
IT Equipment	3 years	(2001:	3 years)
Motor Vehicles	2 years	(2001:	2 years)
Other Equipment	15 years	(2001:	15 years)
Library Collection	15 years	(2001:	15 years)

Depreciation and the written down value of assets disposed of in the accounts totalled \$14,279,000 (Consolidated \$16,521,000).

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.

SWINBURNE UNIVERSITY OF TECHNOLOGY  
ABN 13 628 586 699  
NOTES TO THE FINANCIAL STATEMENTS  
FOR THE YEAR ENDED 31 DECEMBER 2002

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.

**SWINBURNE UNIVERSITY OF TECHNOLOGY**  
 ABN 13 628 586 699  
**NOTES TO THE FINANCIAL STATEMENTS**  
**FOR THE YEAR ENDED 31 DECEMBER 2002**

	Notes	Consolidated		Swinburne University of Technology	
		2002	2001	2002	2001
		\$000	\$000	\$000	\$000
<b>2 REVENUE FROM ORDINARY ACTIVITIES</b>					
<b>Operating Activities</b>					
Commonwealth Government Financial Assistance	2.1	51,414	50,475	49,974	49,610
Higher Education Contribution Scheme	29.2				
- Student Contributions		2,867	3,079	2,867	3,079
- Commonwealth Payments		20,820	25,406	20,820	25,406
Victorian Government Financial Assistance	2.2	60,079	61,005	59,839	60,765
Superannuation					
- Deferred Government Contributions	1(b)	6,270	6,194	6,270	6,194
- Commonwealth Supplementation		6,361	6,280	6,361	6,280
Postgraduate Education Loans Scheme	29.4	3,368	-	3,368	-
Fees and Charges	2.3	73,496	69,089	73,021	68,698
Royalties, Trademarks & Licences		210	693	210	459
Consultancy and Contract Research	2.5	9,118	8,878	9,118	8,878
Other Revenue	2.6	5,615	3,113	4,635	2,124
Total revenue from operating activities		239,618	234,212	236,483	231,493
<b>Outside Operating Activities</b>					
Investment Income	2.4	3,018	2,026	3,001	2,011
Total revenue from outside operating activities		3,018	2,026	3,001	2,011
<b>Total Revenue from Ordinary Activities</b>		242,636	236,238	239,484	233,504
<b>2.1 Commonwealth Government Financial Assistance Excluding HECS and PELS</b>					
<b>Higher Education</b>	Notes				
Teaching and Learning					
Operating Purposes excluding HECS and PELS	29.1	38,714	41,176	37,274	40,311
Capital Development Pool	29.3	-	1,559	-	1,559
Australian Research Council					
Large Research Grants	29.5	1,004	868	1,004	868
Research Fellowships	29.6	281	239	281	239
Strategic Partnerships with Industry	29.7	-	688	-	688
Linkage - Other (SPIRT)	29.8	951	-	951	-
Linkage - Infrastructure Equipment & Facilities	29.9	100	112	100	112
Indigenous Researchers' Development	29.10	(4)	-	(4)	-
International Researcher Exchange	29.11	23	17	23	17
DEST					
Small Research	29.12	-	138	-	138
Institutional Grants Scheme	29.13	-	-	-	-
Research Training Scheme	29.14	4,987	-	4,987	-
Systemic Infrastructure Initiative	29.15	1,674	-	1,674	-
Infrastructure Block Grant	29.16	425	276	425	276
Australian Postgraduate Awards	29.17	705	703	705	703
International Postgraduate Research Scholarships	29.18	106	80	106	80
Total Higher Education		48,966	45,856	47,526	44,991

**SWINBURNE UNIVERSITY OF TECHNOLOGY**  
 ABN 13 628 586 699  
**NOTES TO THE FINANCIAL STATEMENTS**  
**FOR THE YEAR ENDED 31 DECEMBER 2002**

	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>
<b><i>Commonwealth Government Financial Assistance Excluding HECS and PELS (Continued)</i></b>					
<b><u>TAFE</u></b>					
Buildings, Equipment and Maintenance		2,448	4,619	2,448	4,619
Total TAFE		2,448	4,619	2,448	4,619
		51,414	50,475	49,974	49,610
<b>2.2 <i>Victorian Government Financial Assistance</i></b>					
Higher Education		51	418	51	418
TAFE		59,788	60,347	59,788	60,347
Other Operating Grants		240	240	-	-
		60,079	61,005	59,839	60,765
<b>2.3 <i>Fees and Charges</i></b>					
Fees and charges were collected from the following sources during the reporting period:					
Continuing education		6,128	4,813	5,926	4,641
Fee paying overseas students		34,148	29,639	34,148	29,639
Fee paying non-overseas postgraduate students		8,150	9,428	8,150	9,428
TAFE fees and charges		10,474	10,726	10,474	10,726
Other	2.3.1	14,596	14,483	14,323	14,264
		73,496	69,089	73,021	68,698
<b>2.3.1 <i>Other</i></b>					
Proceeds from Ancillary Trading		4,604	1,945	4,604	1,945
Rental income and facility hire		578	420	578	420
Charges for Student Accommodation		1,668	1,646	1,668	1,646
Late Fees		21	154	21	154
Parking Fees		667	550	667	550
Library Fines		110	106	110	106
Student Excursions		410	100	410	100
Seminars, Functions and Academic dress hire		586	368	586	368
Other miscellaneous income		5,952	9,194	5,679	8,975
	2.3	14,596	14,483	14,323	14,264
<b>2.4 <i>Investment Income</i></b>					
Dividends		446	256	446	256
Other		2,572	1,770	2,555	1,755
		3,018	2,026	3,001	2,011
<b>2.5 <i>Consultancy &amp; Contract Research</i></b>					
Consultancy		1,417	1,581	1,417	1,581
Contract research		7,701	7,297	7,701	7,297
		9,118	8,878	9,118	8,878
<b>2.6 <i>Other Revenue</i></b>					
Donations and bequests		759	607	584	102
Scholarships and prizes		3,300	1,662	3,300	1,662
Proceeds from sale of assets		751	360	751	360
Other		805	484	-	-
		5,615	3,113	4,635	2,124

SWINBURNE UNIVERSITY OF TECHNOLOGY  
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	Notes	Consolidated		Swinburne University of Technology	
		2002	2001	2002	2001
		\$000	\$000	\$000	\$000
<b>3 EXPENSES FROM ORDINARY ACTIVITIES</b>					
Employee Benefits Expense	3.1	148,052	143,244	146,178	141,915
Depreciation and Amortisation Expenses	3.2	14,801	11,649	12,559	10,595
Buildings & Grounds		4,998	6,164	4,998	6,164
Asset Disposals Written Down Value	3.3	1,720	253	1,720	253
Bad & Doubtful Debts	3.4	5,293	170	5,293	1,145
Unfunded Superannuation		6,270	6,194	6,270	6,194
Operating Lease Rental Expense		5,430	4,516	5,430	4,516
Other Expenses	3.5	53,559	48,357	54,826	48,506
<b>Total Expenses from Ordinary Activities</b>		<b>240,123</b>	<b>220,547</b>	<b>237,274</b>	<b>219,288</b>
<b>3.1 Employee Benefits Expense</b>					
<b>Academic</b>					
-Salaries		69,823	68,160	68,217	66,831
Contributions to superannuation and pension schemes:					
- Emerging Cost	25	4,397	4,165	4,397	4,165
- Funded	25	7,412	8,501	7,412	8,501
Payroll Tax		3,799	3,722	3,799	3,722
Workcover		820	836	820	836
Long Service Leave Expense		900	(7)	900	(7)
Annual Leave Expense		221	594	221	594
Performance Allowances		394	264	394	264
<b>Total Academic</b>		<b>87,766</b>	<b>86,235</b>	<b>86,160</b>	<b>84,906</b>
<b>Non-Academic</b>					
-Salaries		47,835	44,834	47,567	44,834
Contributions to superannuation and pension schemes:					
- Emerging Cost	25	3,075	2,819	3,075	2,819
- Funded	25	5,182	5,753	5,182	5,753
Payroll Tax		2,656	2,518	2,656	2,518
Workcover		574	565	574	565
Long Service Leave Expense		630	(5)	630	(5)
Annual Leave Expense		155	402	155	402
Performance Allowances		179	123	179	123
<b>Total Non-Academic</b>		<b>60,286</b>	<b>57,009</b>	<b>60,018</b>	<b>57,009</b>
<b>Total Employee Benefits</b>	3	<b>148,052</b>	<b>143,244</b>	<b>146,178</b>	<b>141,915</b>
<b>3.2 Depreciation and Amortisation Expenses</b>					
Plant and Equipment		5,156	3,897	5,151	3,887
Buildings		7,115	5,640	4,883	4,596
Leased Assets		1,077	671	1,077	671
Library Collection		1,453	1,441	1,448	1,441
		<b>14,801</b>	<b>11,649</b>	<b>12,559</b>	<b>10,595</b>
<b>3.3 Asset Disposals Written Down Value</b>					
Land and Buildings		1,156	-	1,156	-
Library Collection		564	253	564	253
		<b>1,720</b>	<b>253</b>	<b>1,720</b>	<b>253</b>
<b>3.4 Bad &amp; Doubtful Debts</b>					
Bad Debts Written Off		902	88	902	88
Provision for Doubtful Debts		4,391	82	4,391	1,057
		<b>5,293</b>	<b>170</b>	<b>5,293</b>	<b>1,145</b>



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	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>
<b>3.5 Other Expenses</b>					
Scholarships, Grants & Prizes		5,586	5,288	5,511	5,229
Telecommunications		3,752	3,566	3,752	3,566
Fees		9,162	8,316	9,110	8,251
Non-Capitalised Equipment		9,176	9,454	9,008	9,419
Travel, Staff Development & Entertainment		4,642	4,659	4,555	4,659
Other Expenses	3.5.1	21,241	17,074	22,890	17,382
		<u>53,559</u>	<u>48,357</u>	<u>54,826</u>	<u>48,506</u>
<b>3.5.1 Other Expenses</b>					
Promotion and Advertising costs		3,036	3,184	3,036	3,184
Production costs		1,926	1,854	1,926	1,854
Consumables		6,592	6,313	6,592	6,313
Other Miscellaneous Expenses		9,687	5,723	11,336	6,031
	3.5	<u>21,241</u>	<u>17,074</u>	<u>22,890</u>	<u>17,382</u>
<b>4 BORROWING COST EXPENSE</b>		<u>644</u>	<u>649</u>	<u>644</u>	<u>649</u>
<b>5 REMUNERATION OF AUDITORS</b>					
Auditor General of Victoria - for auditing the financial report		69	60	48	44
<b>6 RETAINED SURPLUS</b>					
Retained surplus at the beginning of the year		232,941	214,507	242,705	225,804
Net surplus attributable to parent entity		1,949	15,175	1,566	13,567
Movement in asset revaluation reserve	16.2	305	3,334	305	3,334
Distribution to minority interest in trust		-	(75)	-	-
Retained surplus at the end of the year		<u>235,195</u>	<u>232,941</u>	<u>244,576</u>	<u>242,705</u>
<b>7 RECEIVABLES</b>					
<b>Current</b>					
Debtors		8,013	8,725	7,413	8,151
less: Provision for Doubtful Debts		(1,278)	(1,743)	(1,278)	(1,743)
		<u>6,735</u>	<u>6,982</u>	<u>6,135</u>	<u>6,408</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.	1,556	1,950	1,556	1,950
Other receivables from related companies	3,976	2,641	12,053	12,232
Other receivables	-	-	-	-
less: Provision for Doubtful Debts	(3,927)	-	(4,902)	(975)
	<u>1,605</u>	<u>4,591</u>	<u>8,707</u>	<u>13,207</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 repay the debts.

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		<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		<u>\$000</u>	<u>\$000</u>	<u>\$000</u>	<u>\$000</u>
	Notes				
<b>8</b>	<b>INVESTMENTS ACCOUNTED FOR USING THE EQUITY METHOD</b>				
	Investments in Associated Companies	98	98	278	299

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.

	<u>Carrying Amount of Investment</u>	
	<u>\$000</u>	<u>\$000</u>
Technology Training Company	\$000	\$000
- Principal Activity: Post-secondary education provider		
- Ownership interest 2002: 49% (2001: 49%)	-	-
Swinburne Holdings SDN BHD		
- Principal Activity: Post-secondary education provider		
- Ownership interest 2002: 50% (2001: 50%)	-	-
Swinburne Vabis Indochina Ltd		
- Principal Activity: Post-secondary education provider		
- Ownership interest 2002: 50% (2001:50%)	98	98
	98	98
Movement in Carrying Amount:		
Carrying amount at beginning of financial year	98	-
Share of profit/(loss)	-	-
Acquisitions during the year	-	98
Carrying amount at end of financial year	98	98

**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 dealer deposits at 11 a.m call. 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.

9.2 **Current**

Shares in Corporations - at Cost	8,759	7,221	8,759	7,221
Unsecured Notes	6,967	1,467	6,967	1,467
Treasury Corporation of Victoria	104	104	104	104
Dealer Term Deposits	28,189	5,153	28,189	5,153
	44,019	13,945	44,019	13,945

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		<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		\$000	\$000	\$000	\$000
		Notes			
10	<b>OTHER ASSETS</b>				
10.1	<b>Current</b>				
	Government Superannuation	4,915	4,911	4,915	4,911
	Inventories	861	676	861	676
	Other	6	-	6	-
	Prepayments	3,695	2,882	3,695	2,882
		<u>9,477</u>	<u>8,469</u>	<u>9,477</u>	<u>8,469</u>
10.2	<b>Non-Current</b>				
	Other	32	-	32	-
	Government Superannuation	101,941	101,869	101,941	101,869
		<u>101,973</u>	<u>101,869</u>	<u>101,973</u>	<u>101,869</u>
11	<b>PROPERTY, PLANT AND EQUIPMENT</b>				
	<u>Land and Buildings</u>				
	Land				
	- at University valuation (as at 31 December 2002)	66,415	56,571	51,417	44,007
	Buildings				
	- at independent valuation (as at 31 December 2000)	225,993	224,480	181,875	181,875
	- at cost	21,194	19,439	20,903	18,963
	- less: accumulated depreciation	(12,743)	(4,600)	(9,467)	(4,596)
	Work in progress - at cost	678	34	678	34
	Total Land and Buildings	<u>301,537</u>	<u>295,924</u>	<u>245,406</u>	<u>240,283</u>
	<u>Plant and Equipment</u>				
	Plant and Equipment				
	- at cost	66,284	62,749	66,243	62,643
	- less: accumulated depreciation	(47,514)	(42,364)	(47,498)	(42,347)
	Library Collection				
	- at cost	28,025	27,062	27,936	27,062
	- less: accumulated depreciation	(7,541)	(6,255)	(7,527)	(6,255)
	Plant and equipment under finance lease	6,739	6,739	6,739	6,739
	- less: accumulated amortisation	(4,182)	(3,106)	(4,182)	(3,106)
	Total Plant and Equipment	<u>41,811</u>	<u>44,825</u>	<u>41,711</u>	<u>44,736</u>
	<b>Total Property Plant and Equipment</b>	<u>343,348</u>	<u>340,749</u>	<u>287,117</u>	<u>285,019</u>

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**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 (incl. Work in Progress) \$000	Plant and Equipment (incl. Finance Leases) \$000	Library Collection \$000	<u>Total</u> \$000
<b><u>Consolidated</u></b>					
Balance at the beginning of the year	56,571	239,353	24,023	20,802	340,749
Additions	-	3,380	3,614	1,615	8,609
Disposals	(660)	(494)	-	(559)	(1,713)
Revaluations	10,505	-	-	-	10,505
Depreciation expense	-	(7,116)	(6,233)	(1,453)	(14,802)
Carrying Amount at End of Year	<u>66,416</u>	<u>235,123</u>	<u>21,404</u>	<u>20,405</u>	<u>343,348</u>
<b><u>Swinburne University of Technology</u></b>					
Balance at the beginning of the year	44,007	196,276	23,929	20,807	285,019
Additions	-	3,089	3,599	1,608	8,296
Disposals	(660)	(492)	-	(559)	(1,711)
Revaluations	8,072	-	-	-	8,072
Depreciation expense	-	(4,883)	(6,228)	(1,448)	(12,559)
Carrying Amount at End of Year	<u>51,419</u>	<u>193,990</u>	<u>21,300</u>	<u>20,408</u>	<u>287,117</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 2002 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 \$5,000.

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 lease payments.

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		<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		\$000	\$000	\$000	\$000
12	<b>PAYABLES</b>				
	Trade Creditors	5,760	7,233	5,753	7,233
	Sundry Creditors	6,253	1,832	6,253	1,832
		12,013	9,065	12,006	9,065
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 Bank of Melbourne	1,000	1,000	1,000	1,000
		1,000	1,000	1,000	1,000
13.3	<b>Non-Current</b>				
	Loan from Bank of Melbourne	5,500	6,500	5,500	6,500
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	1,500	2,500	1,500	2,500
		5,500	6,500	5,500	6,500
13.5	<b>Financing Arrangements</b>				
	Unrestricted access was available at balance date to the following bank overdraft:				
	<u>Overdraft Standby</u>				
	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
	<u>Net debt limit</u>				
	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	9,923	9,489	9,853	9,477
	Long Service Leave	6,114	5,542	6,114	5,542
		16,037	15,031	15,967	15,019
14.2	<b>Non-Current</b>				
	Long Service Leave	9,287	8,287	9,245	8,287



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	Notes	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		\$000	\$000	\$000	\$000
<b>15 OTHER LIABILITIES</b>					
<b>15.1 Current</b>					
Financial Assistance in Advance - Commonwealth		3,990	3,848	3,990	3,848
Financial Assistance in Advance - State		-	255	-	255
HECS Received in Advance		1,870	1,855	1,870	1,855
Student Fees in Advance		11,266	7,081	11,266	7,081
Deferred Employee Benefits for Superannuation	1(b)	4,915	4,911	4,915	4,911
Other		359	381	359	381
		22,400	18,331	22,400	18,331
<b>15.2 Non-Current</b>					
Deferred Employee Benefits for Superannuation	1(b)	101,941	101,869	101,941	101,869
		101,941	101,869	101,941	101,869
<b>16 RESERVES</b>					
<b>16.1 Composition of Reserves</b>					
Asset revaluation reserve	16.2	120,751	110,550	60,674	52,907
General reserve		617	617	254	254
Balance at end of year		121,368	111,167	60,928	53,161
<b>16.2 Movements in Reserves</b>					
Asset revaluation reserve					
- Balance at beginning of year		110,550	110,803	52,907	53,975
- Increase in Land and Buildings		10,506	3,081	8,072	2,266
- Transfer to Retained Surplus -Land & Buildings	6	(305)		(305)	
- Transfer to Retained Surplus - Library Collection		-	(2,838)	-	(2,838)
- Transfer to Retained Surplus - Equipment		-	(496)	-	(496)
- Balance at end of year	16.1	120,751	110,550	60,674	52,907
General reserve					
- Balance at beginning of year		617	617	254	254
- Balance at end of year		617	617	254	254
<b>17 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		(420)	(287)		
- Share of current year's operating result		(80)	(133)		
- Balance at end of year		(500)	(420)		

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## 18 NOTES TO THE STATEMENT OF CASH FLOWS

	Notes	Swinburne University			
		Consolidated		of Technology	
		2002	2001	2002	2001
		\$000	\$000	\$000	\$000
18.1	<b>Cash Assets balance consists of</b>				
	Cash	3,139	4,083	2,010	3,736
	Deposits at Call	16,635	26,709	16,635	26,709
	Balances per Statement of Cash Flows	19,774	30,792	18,645	30,445
18.2	<b>Reconciliation of Net Cash Provided by Operating Activities to Net Surplus</b>				
	Net Surplus	1,869	15,042	1,566	13,567
	Net Profit (Loss) from Sale of Assets	969	(107)	969	(107)
	Non-cash items in Net Surplus:				
	Depreciation and amortisation expenses	14,805	11,646	12,559	10,595
	Provisions	5,468	345	5,368	1,308
	Changes in assets and liabilities				
	Increase in prepaid fees	4,185	1,214	4,185	1,214
	Decrease (Increase) in receivables	738	608	738	608
	(Increase) in other current assets	(1,004)	(554)	(1,004)	(554)
	Decrease in investment in associated company	-	-	-	-
	Increase (Decrease) in payables	2,805	(2,499)	2,821	(2,522)
	Net Cash Provided by Operating Activities	29,835	25,695	27,202	24,109

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	1,089	1,089
- Later than 1 yr, not later than 5 yrs	1,883	2,971	1,883	2,971
	-	-	-	-
Minimum Lease Payments	2,972	4,060	2,972	4,060
less: Future finance charges	(184)	(336)	(184)	(336)
	2,788	3,724	2,788	3,724
Representing Lease Liabilities:				
Current	981	936	981	936
Non-current	1,807	2,788	1,807	2,788
	2,788	3,724	2,788	3,724

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	Notes	<u>Swinburne University</u>			
		<u>Consolidated</u>		<u>of Technology</u>	
		<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
		\$000	\$000	\$000	\$000
<b>19.2 <i>Operating Lease Commitments</i></b>					
Non-cancellable Operating Leases contracted for but not capitalised in the accounts.					
Payable:					
- Not later than 1 year		4,288	3,460	4,288	3,460
- Later than 1 yr, not later than 5 yrs		4,079	3,620	4,079	3,620
		8,367	7,080	8,367	7,080
<b>19.3 <i>Capital Expenditure Commitments</i></b>					
Capital expenditure commitments contracted for:					
Capital expenditure projects		2,459	2,884	2,459	2,884
Payable:					
- Not later than 1 year		2,459	2,884	2,459	2,884
		2,459	2,884	2,459	2,884

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 2002:*

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)  
 Mr. G. Gupta BSLH,GradDipInfTech(Information Systems Development) (SUT)  
 Ms J King, BA(Murd) FAICD  
 Mr S Lipski, AM, BA(Melb)  
 Prof H Lueckenhausen, Grad Dip Industrial Design(RMIT), DipEd(Haw), MDIA, AADM  
 Mr. G. Leonard, BSc(Melb) MACS  
 Dr. D. Mitchell, Bsc(Melb),MSc, PhD(London)  
 Mr. J. Perrymeant, DipBus (Health and Community Services Management)  
 Mr. D. Street, BA(Hons)(Otago), DipEd(Christchurch)  
 Prof J G Wallace, MA, MEd(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)

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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:

	<u>Number of</u> <u>Responsible Persons</u>	
	<u>2002</u>	<u>2001</u>
\$50,000 - \$59,999	-	1
\$60,000 - \$69,999	1	-
\$110,000 - \$119,999	-	1
\$120,000 - \$129,999	1	-
\$130,000 - \$139,999	1	1
\$330,000 - \$339,999	1	1
Total remuneration received, or due and receivable, by responsible persons from the university and its controlled entities amounted to	\$000 659	\$000 638

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 \$49,720 in 2002 to the university (2001: \$40,879).

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 below in their relevant income bands:

**Executive Officer Remuneration (Continued)**

	<u>No. of Executives</u>	
	<u>2002</u>	<u>2001</u>
\$100,000 - \$109,999	23	5
\$110,000 - \$119,999	32	32
\$120,000 - \$129,999	6	8
\$130,000 - \$139,999	11	4
\$140,000 - \$149,999	3	4
\$150,000 - \$159,999	2	1
\$160,000 - \$169,999	3	3
\$170,000 - \$179,999	1	-
\$180,000 - \$189,999	1	1
\$230,000 - \$239,000	1	1
Total remuneration received, or due and receivable, by executive officers included above from the university and its controlled entities amounted to	\$000 10,155	\$000 7,359

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21 **INVESTMENTS in CONTROLLED ENTITIES**

<u>Name of Entity/ Country of Incorporation/Class of Shares</u>	<u>Equity Holding</u>	
	<u>2002</u>	<u>2001</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)	-	-
Swinburne Ventures Limited/Australia/no shares (limited by guarantee) (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.



**INVESTMENTS IN CONTROLLED COMPANIES**

## Statement of Financial Performance

Name	Domicile	Ownership Interest %	Total Revenue 2002 \$' 000	Total Revenue 2001 \$' 000	Total Expenditure 2002 \$' 000	Total Expenditure 2001 \$' 000	Operational Result 2002 \$' 000	Operational Result 2001 \$' 000
<i>Centre for Innovation and Enterprise Pty Limited</i>								
<i>Swinburne Limited</i>	Victoria	100%	-	-	-	-	-	-
<i>Neurometric Systems Pty Limited</i>	Victoria	Ltd. By Guarantee	2,230	1,039	2,230	943	-	96
<i>Institute for Innovation and Enterprise Limited</i>	Victoria	100%	-	-	1	1	(1)	(1)
<i>Swinburne Graduate School of Integrative Medicine Pty Ltd</i>								
<i>Swinburne Ventures Limited</i>	Victoria	57%	656	433	844	743	(187)	(309)
<i>National Institute of Circus Arts Ltd</i>	Victoria	Ltd. By Guarantee	-	-	-	-	-	-
<i>National Institute of Circus Arts Ltd</i>	Victoria	Ltd. By Guarantee	2,492	2,061	1,974	1,400	518	661
<b>Total University Controlled Entities</b>			<b>5,378</b>	<b>3,533</b>	<b>5,049</b>	<b>3,087</b>	<b>330</b>	<b>447</b>

## Statement of Financial Position

Name	Total Assets 2002 \$' 000	Total Assets 2001 \$' 000	Borrowings 2002 \$' 000	Borrowings 2001 \$' 000	Total Liabilities 2002 \$' 000	Total Liabilities 2001 \$' 000	Equity 2002 \$' 000	Equity 2001 \$' 000
<i>Centre for Innovation and Enterprise Pty Limited</i>								
<i>Swinburne Limited</i>	56,450	55,966	6,711	8,661	6,711	8,661	49,739	47,305
<i>Neurometric Systems Pty Limited</i>	-	-	205	204	205	204	(205)	(204)
<i>Institute for Innovation and Enterprise Limited</i>	1	1	-	-	-	-	1	1
<i>Swinburne Graduate School of Integrative Medicine Pty Ltd</i>								
<i>Swinburne Ventures Limited</i>	86	89	1,177	1,069	1,253	1,069	(1,167)	(980)
<i>National Institute of Circus Arts Ltd</i>	1,501	834	124	-	161	11	1,340	823
<b>Total University Controlled Entities</b>	<b>58,038</b>	<b>56,890</b>	<b>8,217</b>	<b>9,934</b>	<b>8,330</b>	<b>9,945</b>	<b>49,708</b>	<b>46,945</b>

## 21.2 OTHER RELATED ENTITIES

## Statement of Financial Performance

Name	Domicile	Ownership Interest %	Total Revenue 2002 \$' 000	Total Revenue 2001 \$' 000	Total Expenditure 2002 \$' 000	Total Expenditure 2001 \$' 000	Operational Result 2002 \$' 000	Operational Result 2001 \$' 000
<i>Swinburne University</i>								
Technical Training Company	Thailand	49%	Not Available	567	Not Available	1,114	Not Available	(547)
Swinburne Institute of Integrative Medical Research Limited (Administrator appointed 28 March 2003)	Victoria	Ltd. By Guarantee	Not Available	676	Not Available	2,494	Not Available	(1,818)
<i>Swinburne Limited</i>								
Swinburne Holdings Sdn Bhd	Malaysia	50%	Not Available	1,323	Not Available	1,493	Not Available	(170)
Swinburne Vabis Indochina	Vietnam	50%	Not Available	Not Available	Not Available	Not Available	Not Available	Not Available
<b>Total University Associates and Other Related Entities</b>				<b>2,566</b>		<b>5,101</b>		<b>(2,535)</b>

## Statement of Financial Position

Name	Total Assets 2002 \$' 000	Total Assets 2001 \$' 000	Borrowings 2002 \$' 000	Borrowings 2001 \$' 000	Total Liabilities 2002 \$' 000	Total Liabilities 2001 \$' 000	Equity 2002 \$' 000	Equity 2001 \$' 000
<i>Swinburne University</i>								
Technical Training Company	Not Available	2,444	Not Available	3,242	Not Available	3,549	Not Available	(1,105)
Swinburne Institute of Integrative Medical Research Limited (Administrator appointed 28 March 2003)	Not Available	8,413	Not Available	6,249	Not Available	6,567	Not Available	1,846
<i>Swinburne Limited</i>								
Swinburne Holdings Sdn Bhd	Not Available	2,624	Not Available	2,471	Not Available	3,507	Not Available	(883)
Swinburne Vabis Indochina	Not Available	Not Available	Not Available	Not Available	Not Available	Not Available	Not Available	Not Available
<b>Total University Associates and Other Related Entities</b>		<b>13,481</b>		<b>11,962</b>		<b>13,623</b>		<b>(142)</b>

Note: Other Related Entities are companies that the University does not control but includes University employees on the Board of Directors

\*\* Not Available: Financial Statements in Associated companies are currently in the process of being prepared and audited but are as yet unavailable

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## 21.2 INTERESTS in ASSOCIATED ENTITIES:

Swinburne Intellectual Property Trust through its trustee Swinburne Ventures Limited has interests in the following entities which are all in the early stages of product development.

3DCD Technology Pty. Ltd

Exago Pty Ltd

Genos Pty Ltd

OpalTree Pty Ltd (formerly IP Flex Pty. Ltd.)

Plantic Pty Ltd

SportsBet21 Pty Ltd

Nanotechnology Victoria

VROOM

MiniFAB Pty Ltd:

Netschool Pty Ltd

## 22 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 (OTTE). The university has a 25% participatory interest, being one member of the consortium contracted by OTTE 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.

## 23 SEGMENT INFORMATION

	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
	<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
	\$000	\$000	\$000	\$000
<b><i>Industry</i></b>				
<b><u>Revenue</u></b>				
Higher Education	152,496	140,334	149,344	139,661
TAFE	90,140	95,904	90,140	93,843
	<u>242,636</u>	<u>236,238</u>	<u>239,484</u>	<u>233,504</u>
<b><u>Results</u></b>				
Higher Education	6,964	14,934	6,661	14,120
TAFE	(5,095)	108	(5,095)	(553)
	<u>1,869</u>	<u>15,042</u>	<u>1,566</u>	<u>13,567</u>
<b><u>Assets</u></b>				
Higher Education	351,130	329,827	300,313	282,678
TAFE	175,899	177,668	176,038	176,983
	<u>527,029</u>	<u>507,495</u>	<u>476,351</u>	<u>459,661</u>
<b><i>Geographical</i></b>				
<b><u>Revenue</u></b>				
Australia	242,636	236,238	239,484	233,504
	<u>242,636</u>	<u>236,238</u>	<u>239,484</u>	<u>233,504</u>
<b><u>Results</u></b>				
Australia	1,869	15,042	1,566	13,567
	<u>1,869</u>	<u>15,042</u>	<u>1,566</u>	<u>13,567</u>

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	<u>Consolidated</u>		<u>Swinburne University of Technology</u>	
	<u>2002</u>	<u>2001</u>	<u>2002</u>	<u>2001</u>
SEGMENT INFORMATION (CONTINUED)	\$000		\$000	
<u>Assets</u>				
Australia	526,931	507,397	476,351	459,661
Asia	98	98	-	-
	527,029	507,495	476,351	459,661
<b>24 ASSETS AND LIABILITIES OF TRUSTS FOR WHICH THE INSTITUTION IS TRUSTEE</b>				
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)	21	140	-	-
	21	140	-	-
Non-Current Liabilities (Non-interest bearing liabilities)	66	140	-	-
	66	140	-	-

**25 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 2002 contributions were \$7,297,000 (2001: \$6,984,000). No employer contributions were outstanding as at 31 December 2002.

**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 2002 the cost amounted to \$1,529,000 (2001: \$1,719,000) which was fully funded by OTTE.

***State Employees Retirement Benefit Scheme***

Superannuation contributions are calculated in accordance with the award agreement and amounted to \$31,000 (2001: \$67,000). No employer contributions were outstanding at 31 December 2002. Employer contributions are made at the rate of 12.1%. As at 30 June 2002 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 2002 was \$551,000 (2001: \$701,000).

***Superannuation Scheme for Australian Universities***

The employer contribution rate in 2002 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 \$8,684,000 (2001: \$7,670,000)

***Tertiary Education Superannuation Scheme***

The employer contribution rate in 2002 was 3% of full-time employee salaries (for those eligible in SSAU) and 8% of part-time employee salaries (for SGC employees, including full time); contributions by employees are not required. The scheme is fully funded. Contributions amounted to \$2,466,000 (2001 : \$2,243,000).

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**SUPERANNUATION (CONTINUED)**

*VicSuper Fund*

The employer contribution rate in 2002 was 9% of employee salaries; contributions by employees are not required. Employer contributions during the year were \$3,235,000 (2001: \$2,555,000). The scheme is fully funded.

26 **CONTINGENT LIABILITIES**

There are no contingent liabilities except in relation to 'Letters of Comfort' provided by the University to certain subsidiary companies that have a deficiency in their books.

27 **EVENTS SUBSEQUENT TO BALANCE DATE**

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

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**28.0 FINANCIAL INSTRUMENTS**

28.1 The university's accounting policies and 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 18

**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.

The average maturity of Longer Term Deposits can vary up to 180 days.



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*(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.

Derivatives and Unrecognised Financial Instruments

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

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## 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.

**2002***(i) Financial Assets*

	Floating Interest Rate	Fixed Interest Maturing In:			Non-interest Bearing	Total Carrying Amount Per Statement of Financial Position	Net Fair Value	Weighted Average Effective Interest Rate
		1 Year or less	Over 1 to 5 Years	More than 5 Years				
	\$000	\$000	\$000	\$000	\$000	\$000	\$000	
Cash Assets	3,139					3,139	3,139	4.20
Receivables					8,340	8,340	8,340	
Unsecured Notes		6,967				6,967	7,173	5.97
Shares in Corporations					8,759	8,759	8,043	
Dealer Term Deposits	44,928					44,928	44,928	4.61
<i>(ii) Financial Liabilities</i>								
Payables					(12,013)	(12,013)	(12,013)	
Interest Bearing Liabilities			(4,000)	(1,500)		(5,500)	(5,500)	6.36
Finance Leases		(981)	(1,807)			(2,788)	(2,788)	4.70
<b>Net Financial Assets/(Liabilities)</b>	<b>48,067</b>	<b>5,986</b>	<b>(5,807)</b>	<b>(1,500)</b>	<b>5,086</b>	<b>51,832</b>	<b>51,322</b>	

**2001***(i) Financial Assets*

	Floating Interest Rate	Fixed Interest Maturing In:			Non-interest Bearing	Total Carrying Amount Per Statement of Financial Position	Net Fair Value	Weighted Average Effective Interest Rate
		1 Year or less	Over 1 to 5 Years	More than 5 Years				
	\$000	\$000	\$000	\$000	\$000	\$000	\$000	
Cash Assets	4,083					4,083	4,083	3.20
Receivables					11,573	11,573	11,573	
Unsecured Notes		1,467				1,467	1,467	7.06
Shares in Corporations					7,221	7,221	7,221	
Dealer Term Deposits	31,966					31,966	31,966	4.70
<i>(ii) Financial Liabilities</i>								
Payables					(9,065)	(9,065)	(9,065)	
Interest Bearing Liabilities		-	(4,000)	(3,500)		(7,500)	(7,500)	6.36
Finance Leases		(936)	(2,788)			(3,724)	(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>9,729</b>	<b>36,021</b>	<b>36,021</b>	

## Reconciliation of Net Financial Assets to Net Assets

	Notes	2002		2001	
		Carrying Amount	Net Fair Value	Carrying Amount	Net Fair Value
		\$000	\$000	\$000	\$000
Net financial assets as above		51,832	51,322	36,021	36,021
<i>Non financial assets and liabilities</i>					
Investment in associated company	8	98	98	98	98
Other assets	10	111,450	111,450	110,338	3,558
Property, plant and equipment	11	343,348	343,348	340,749	340,749
Provisions	14	(25,324)	(25,324)	(23,318)	(23,318)
Other liabilities	15	(124,341)	(124,341)	(120,200)	(13,420)
Net assets per statement of financial position		357,063	356,553	343,688	343,688

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29 **ACQUITTAL OF COMMONWEALTH GOVERNMENT FINANCIAL ASSISTANCE**  
 Amounts received and expended pursuant to the Higher Education Funding Act 1988.

	<u>2002</u>	<u>2001</u>
	\$000	\$000
<b><i>Teaching and Learning</i></b>		
29.1 <b><i>Operating financial assistance excluding HECS and PELS</i></b>		
Financial assistance received in advance in previous period	3,657	3,159
<i>Plus</i> Financial assistance received in the reporting period	35,387	40,809
<i>Less</i> Financial assistance received in advance for next reporting period	(3,237)	(3,657)
Accrual adjustment - superannuation supplementation	734	-
Accrual adjustment - 2002 Workplace Reform program	733	-
<b>Revenue attributed to the reporting period</b>	37,274	40,311
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	37,274	40,311
<i>Less</i> Expenses in current reporting period	37,274	40,311
<b>Surplus for reporting period</b>	-	-
29.2 <b><i>Higher Education Contribution Scheme</i></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	1,855	1,989
<i>Plus</i> Financial assistance received in the reporting period	20,835	25,272
<i>Plus</i> Contributions from students	2,867	3,079
<i>Less</i> Financial assistance received in advance for next reporting period	(1,870)	(1,855)
<b>Revenue attributed to the reporting period</b>	23,687	28,485
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	23,687	28,485
<i>Less</i> Expenses in current reporting period	23,687	28,485
<b>Surplus for reporting period</b>	-	-
29.3 <b><i>Capital Development Pool</i></b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	-	1,559
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	-	1,559
<i>Plus</i> Surplus from previous reporting period	-	60
<b>Funds available in current reporting period</b>	-	1,619
<i>Less</i> Expenses in current reporting period	-	1,619
<b>Surplus for reporting period</b>	-	-

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	<u>2002</u>	<u>2001</u>
	\$000	\$000
29.4 <b>Postgraduate Education Loans Scheme</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period	3,368	
Less Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>3,368</u>	-
Plus Surplus from previous reporting period	-	
<b>Funds available in current reporting period</b>	<u>3,368</u>	-
Less Expenses in current reporting period	3,368	
<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>
 <b><u>Australian Research Council</u></b>		
29.5 <b>Large Grants</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period	1,065	868
Less Financial assistance received in advance for next reporting period	(61)	-
<b>Revenue attributed to the reporting period</b>	<u>1,004</u>	868
Plus Surplus from previous reporting period	277	328
<b>Funds available in current reporting period</b>	<u>1,281</u>	1,196
Less Expenses in current reporting period	1,109	919
<b>Surplus for reporting period</b>	<u>172</u>	<u>277</u>
 29.6 <b>Research Fellowships</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period	288	239
Less Financial assistance received in advance for next reporting period	(7)	
<b>Revenue attributed to the reporting period</b>	<u>281</u>	239
Plus Surplus from previous reporting period	131	152
<b>Funds available in current reporting period</b>	<u>412</u>	391
Less Expenses in current reporting period	262	260
<b>Surplus for reporting period</b>	<u>150</u>	<u>131</u>
 29.7 <b>SPIRT (Strategic Partnerships with Industry)</b>		
Financial assistance received in advance in previous period	-	-
Plus Financial assistance received in the reporting period		688
Less Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>-</u>	688
Plus Surplus from previous reporting period	296	325
<b>Funds available in current reporting period</b>	<u>296</u>	1,013
Less Expenses in current reporting period	240	717
<b>Surplus for reporting period</b>	<u>56</u>	<u>296</u>

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	<u>2002</u>	<u>2001</u>
	\$000	\$000
29.8 <b><i>SPIRT - Linkage Projects</i></b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	1,009	-
<i>Less</i> Financial assistance received in advance for next reporting period	(58)	-
<b>Revenue attributed to the reporting period</b>	<u>951</u>	-
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>951</u>	-
<i>Less</i> Expenses in current reporting period	722	-
<b>Surplus for reporting period</b>	<u>229</u>	-
29.9 <b><i>Research Infrastructure Equipment and Facilities</i></b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	100	112
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>100</u>	<u>112</u>
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>100</u>	<u>112</u>
<i>Less</i> Expenses in current reporting period	100	112
<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>
29.10 <b><i>Indigenous Researchers' Development</i></b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	(4)	-
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>(4)</u>	-
<i>Plus</i> Surplus from previous reporting period	4	6
<b>Funds available in current reporting period</b>	<u>-</u>	<u>6</u>
<i>Less</i> Expenses in current reporting period	-	2
<b>Surplus for reporting period</b>	<u>-</u>	<u>4</u>
29.11 <b><i>International Researcher Exchange</i></b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	23	17
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>23</u>	<u>17</u>
<i>Plus</i> Surplus from previous reporting period	4	3
<b>Funds available in current reporting period</b>	<u>27</u>	<u>20</u>
<i>Less</i> Expenses in current reporting period	21	16
<b>Surplus for reporting period</b>	<u>6</u>	<u>4</u>

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	<u>2002</u>	<u>2001</u>
	\$000	\$000
<b><u>DEST</u></b>		
29.12 <b><i>Small Research</i></b>		
Financial assistance received in advance in previous period	-	11
<i>Plus</i> Financial assistance received in the reporting period		127
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	-	138
<i>Plus</i> Surplus from previous reporting period	84	76
<b>Funds available in current reporting period</b>	84	214
<i>Less</i> Expenses in current reporting period	84	130
<b>Surplus for reporting period</b>	-	84
29.13 <b><i>Institutional Grants Scheme</i></b>		
Financial assistance received in advance in previous period	-	
<i>Plus</i> Financial assistance received in the reporting period	139	
<i>Less</i> Financial assistance received in advance for next reporting period	(139)	-
<b>Revenue attributed to the reporting period</b>	-	-
<i>Plus</i> Surplus from previous reporting period		
<b>Funds available in current reporting period</b>	-	-
<i>Less</i> Expenses in current reporting period		
<b>Surplus for reporting period</b>	-	-
29.14 <b><i>Research Training Scheme</i></b>		
Financial assistance received in advance in previous period	399	
<i>Plus</i> Financial assistance received in the reporting period	4,984	
<i>Less</i> Financial assistance received in advance for next reporting period	(396)	-
<b>Revenue attributed to the reporting period</b>	4,987	-
<i>Plus</i> Surplus from previous reporting period		
<b>Funds available in current reporting period</b>	4,987	-
<i>Less</i> Expenses in current reporting period	4,987	-
<b>Surplus for reporting period</b>	-	-
29.15 <b><i>Systemic Infrastructure Initiative</i></b>		
Financial assistance received in advance in previous period	-	
<i>Plus</i> Financial assistance received in the reporting period	1,686	
<i>Less</i> Financial assistance received in advance for next reporting period	(12)	-
<b>Revenue attributed to the reporting period</b>	1,674	-
<i>Plus</i> Surplus from previous reporting period		
<b>Funds available in current reporting period</b>	1,674	-
<i>Less</i> Expenses in current reporting period	158	
<b>Surplus for reporting period</b>	1,516	-



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	<u>2002</u>	<u>2001</u>
	\$000	\$000
<b>29.16 Infrastructure Block</b>		
Financial assistance received in advance in previous period	34	22
<i>Plus</i> Financial assistance received in the reporting period	440	288
<i>Less</i> Financial assistance received in advance for next reporting period	(49)	(34)
<b>Revenue attributed to the reporting period</b>	<u>425</u>	<u>276</u>
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>425</u>	<u>276</u>
<i>Less</i> Expenses in current reporting period	425	276
<b>Surplus for reporting period</b>	<u>-</u>	<u>-</u>
<b>29.17 Australian Postgraduate Awards</b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	705	703
<i>Less</i> Financial assistance received in advance for next reporting period	-	-
<b>Revenue attributed to the reporting period</b>	<u>705</u>	<u>703</u>
<i>Plus</i> Surplus from previous reporting period	47	-
<b>Funds available in current reporting period</b>	<u>752</u>	<u>703</u>
<i>Less</i> Expenses in current reporting period	688	656
<b>Surplus for reporting period</b>	<u>64</u>	<u>47</u>
<b>29.18 International Postgraduate Research Scholarships</b>		
Financial assistance received in advance in previous period	-	-
<i>Plus</i> Financial assistance received in the reporting period	137	80
<i>Less</i> Financial assistance received in advance for next reporting period	(31)	-
<b>Revenue attributed to the reporting period</b>	<u>106</u>	<u>80</u>
<i>Plus</i> Surplus from previous reporting period	-	-
<b>Funds available in current reporting period</b>	<u>106</u>	<u>80</u>
<i>Less</i> Expenses in current reporting period	97	80
<b>Surplus for reporting period</b>	<u>9</u>	<u>-</u>

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

29.19 *Summary of Unspent Financial Assistance Received from Commonwealth Government*

<b>Category of Financial Assistance</b>	Amount unspent as at 31-Dec-02	Amount that is likely to be approved by the Common- wealth for carry forward	Amount that is likely to be recovered by the Common- wealth
	\$000	\$000	\$000
<b>Teaching and Learning:</b>			
Operating excluding HECS	-	-	
HECS	-	-	
Capital Development Pool	-	-	
PELS	-	-	
<b>ARC:</b>			
Large Grants	172	172	
Research Fellowships	150	150	
SPIRT - (Strategic Partnerships with Industry)	56	-	56
SPIRT- Linkage - Projects	229	229	
Linkage - Infrastructure Equipment and Facilities	-	-	
Indigenous Researchers' Development	-	-	
International Researcher Exchange	6	6	
<b>DEST:</b>			
Small Research	-	-	
Institutional Grants Scheme	-	-	
Research Training Scheme	-	-	
Systemic Infrastructure Initiative	1,516	1,516	
Infrastructure Block	-	-	
Australian Postgraduate Awards	64	64	
International Postgraduate Research Scholarships	9	9	-
	2,202	2,146	56

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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	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>Revenue</b>					
Commonwealth Government Financial Assistance	2.1	47,526	2,448	44,991	4,619
Higher Education Contribution Scheme					
- Student Contributions	29.2	2,867	-	3,079	-
- Commonwealth Payments	29.2	20,820	-	25,406	-
Victorian Government Financial Assistance	2.2	51	59,788	418	60,347
Superannuation					
- Deferred Government Contributions	1(b)	6,270	-	6,194	-
- Commonwealth Supplementation		6,361	-	6,280	-
Postgraduate Education Loans Scheme	29.4	3,368	-	-	-
Fees and Charges	30.2	47,658	25,363	41,779	26,919
Investment Income	30.3	1,856	1,145	1,147	864
Royalties, Trademarks & Licences		207	3	459	-
Consultancy and Contract Research	30.4	8,549	569	8,134	744
Other Revenue	30.5	3,811	824	1,774	350
<b>Total Operating Revenue</b>		<b>149,344</b>	<b>90,140</b>	<b>139,661</b>	<b>93,843</b>
<b>Expenses</b>					
Employee Benefits Expense	30.6	83,731	62,447	76,900	65,015
Depreciation and Amortisation Expenses	30.7	7,580	4,979	6,962	3,633
Borrowing Costs	30.8	644	-	649	-
Buildings & Grounds		1,357	3,641	2,591	3,573
Asset Disposals Written Down Value	30.9	505	1,216	226	27
Bad & Doubtful Debts	30.10	5,113	180	928	217
Unfunded Superannuation		6,270	-	6,194	-
Operating Lease Rental Expense		5,354	76	3,995	521
Other Expenses	30.11	32,129	22,696	27,096	21,410
<b>Total Operating Expenses</b>		<b>142,683</b>	<b>95,235</b>	<b>125,541</b>	<b>94,396</b>
<b>Net Surplus (Deficit)</b>		<b>6,661</b>	<b>(5,095)</b>	<b>14,120</b>	<b>(553)</b>

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	Notes	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.2 Fees and Charges</b>					
Continuing education		1,934	3,992	601	4,040
Fee paying overseas students		28,909	5,239	25,190	4,449
Fee paying non-overseas postgraduate students		11,388	130	9,428	-
Less: DEST Grant for PELS		(3,368)	-	-	-
TAFE fees and charges		-	10,474	-	10,726
Other	30.2.1	8,795	5,528	6,560	7,704
		<u>47,658</u>	<u>25,363</u>	<u>41,779</u>	<u>26,919</u>
<b>30.2.1 Other</b>					
Proceeds from Ancillary Trading		754	3,850	685	1,260
Rental income and facility hire		423	155	341	79
Charges for Student Accommodation		1,668	-	1,646	-
Late Fees		21	-	154	-
Parking Fees		667	-	550	-
Library Fines		110	-	106	-
Student Excursions		389	21	58	42
Seminars, Functions and Academic dress hire		389	197	335	33
Other miscellaneous income		4,374	1,305	2,685	6,290
	30.2	<u>8,795</u>	<u>5,528</u>	<u>6,560</u>	<u>7,704</u>
<b>30.3 Investment Income</b>					
Dividends		220	226	128	128
Other		1,636	919	1,019	736
		<u>1,856</u>	<u>1,145</u>	<u>1,147</u>	<u>864</u>
<b>30.4 Consultancy &amp; Contract Research</b>					
Consultancy		848	569	842	739
Contract research		7,701	-	7,292	5
		<u>8,549</u>	<u>569</u>	<u>8,134</u>	<u>744</u>
<b>30.5 Other Revenue</b>					
Donations and bequests		511	73	88	14
Scholarships and prizes		3,300	-	1,662	-
Proceeds from sale of assets		-	751	24	336
Other		-	-	-	-
		<u>3,811</u>	<u>824</u>	<u>1,774</u>	<u>350</u>
<b>30.6 Employee Benefits Expense</b>					
Salaries					
- Academic		34,909	33,308	34,673	32,158
- Non-Academic		28,200	19,367	28,283	19,378
Contributions to superannuation and pension schemes:					
- Emerging Cost		7,472	-	6,984	-
- Funded		7,411	5,183	7,344	4,083
Payroll Tax		3,549	2,906	3,315	2,925
Workcover		766	628	744	657
Long Service Leave Expense		630	900	(4,382)	4,370
Annual Leave		358	18	(294)	1,290
Performance Allowances		436	137	233	154
		<u>83,731</u>	<u>62,447</u>	<u>76,900</u>	<u>65,015</u>

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	Notes	2002		2001	
		Higher Ed.	TAFE	Higher Ed.	TAFE
		\$000	\$000	\$000	\$000
<b>30.7 Depreciation and Amortisation Expenses</b>					
Plant and Equipment		3,622	1,529	3,342	545
Buildings		1,938	2,945	1,876	2,720
Leased Assets		727	350	455	216
Library Collection		1,293	155	1,289	152
		<u>7,580</u>	<u>4,979</u>	<u>6,962</u>	<u>3,633</u>
<b>30.8 Borrowing Costs</b>		<u>644</u>	<u>-</u>	<u>649</u>	<u>-</u>
<b>30.9 Asset Disposals Written Down Value</b>					
Land and Buildings		-	1,156	-	-
Library Collection		505	60	226	27
		<u>505</u>	<u>1,216</u>	<u>226</u>	<u>27</u>
<b>30.10 Bad &amp; Doubtful Debts</b>					
Bad Debts Written Off		898	4	77	11
Provision for Doubtful Debts		4,215	176	851	206
		<u>5,113</u>	<u>180</u>	<u>928</u>	<u>217</u>
<b>30.11 Other Expenses</b>					
Scholarships, Grants & Prizes		5,461	50	5,216	13
Telecommunications		2,785	967	2,684	882
Fees		5,174	3,936	4,876	3,375
Non-capitalised Equipment		6,712	2,296	4,589	4,830
Travel, Staff Development & Entertainment		3,536	1,019	3,585	1,074
Other Expenses	30.11.1	8,461	14,428	6,146	11,236
		<u>32,129</u>	<u>22,696</u>	<u>27,096</u>	<u>21,410</u>
<b>30.11.1 Other Expenses</b>					
Promotion and Advertising costs		1,758	1,278	1,898	1,286
Production costs		-	1,926	-	1,854
Consumables		3,554	3,038	3,838	2,475
Other Miscellaneous Expenses		3,149	8,186	410	5,621
	30.11	<u>8,461</u>	<u>14,428</u>	<u>6,146</u>	<u>11,236</u>

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**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	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.13 <i>Statement of Financial Position</i></b>					
<b><u>CURRENT ASSETS</u></b>					
Cash Assets	30.23	10,522	8,123	14,843	15,602
Receivables (including intra-entity)	30.15	13,286	1,760	9,127	4,754
Investments	30.16	26,815	17,204	6,336	7,609
Other	30.17	8,436	1,041	7,677	792
Total Current Assets		59,059	28,128	37,983	28,757
<b><u>NON-CURRENT ASSETS</u></b>					
Receivables	30.15	8,707	-	13,207	-
Investments	30.16	127	151	148	151
Property, Plant and Equipment	30.18	130,463	156,654	129,471	155,548
Government Superannuation Liabilities	30.17	101,957	16	101,869	-
Total Non-current Assets		241,254	156,821	244,695	155,699
<b>TOTAL ASSETS</b>		<b>300,313</b>	<b>184,949</b>	<b>282,678</b>	<b>184,456</b>
<b><u>CURRENT LIABILITIES</u></b>					
Payables (including intra-entity)		9,020	11,897	7,336	9,202
Interest Bearing Liabilities		1,000	-	1,000	-
Finance Leases		665	316	635	301
Provisions	30.19	10,833	5,134	10,132	4,887
Other	30.20	22,082	318	15,064	3,267
Total Current Liabilities		43,600	17,665	34,167	17,657
<b><u>NON-CURRENT LIABILITIES</u></b>					
Interest Bearing Liabilities		5,500	-	6,500	-
Finance Leases		1,210	597	1,875	913
Provisions	30.19	4,683	4,562	4,396	3,891
Other	30.20	101,941	-	101,869	-
Total Non-current Liabilities		113,334	5,159	114,640	4,804
<b>TOTAL LIABILITIES</b>		<b>156,934</b>	<b>22,824</b>	<b>148,807</b>	<b>22,461</b>
<b>NET ASSETS</b>		<b>143,379</b>	<b>162,125</b>	<b>133,871</b>	<b>161,995</b>
<b><u>EQUITY</u></b>					
Reserves	30.21	22,496	38,432	19,649	33,512
Retained Surplus	30.22	120,883	123,693	114,222	128,483
<b>TOTAL EQUITY</b>		<b>143,379</b>	<b>162,125</b>	<b>133,871</b>	<b>161,995</b>



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	Notes	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.14 Cash Flow</b>					
<b><u>CASH FLOWS FROM OPERATING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Financial Assistance					
- Commonwealth Government		57,397	2,448	51,927	4,619
- Victorian Government		51	59,533	418	60,602
Higher Education Contribution Scheme					
- Student Payments		2,867	-	3,079	-
- Higher Education Trust Fund		20,835	-	25,272	-
Fees and Charges		56,753	20,704	50,039	19,378
Interest and Dividends Received		1,856	1,145	1,147	864
Other Operating Receipts		11,591	5,604	4,450	7,723
<b><u>Outflows</u></b>					
Interest Paid		(644)	-	(649)	-
Payments to Suppliers and Employees		(127,261)	(85,676)	(122,588)	(82,172)
<b>Net Cash Provided by Operating Activities</b>		<b>23,445</b>	<b>3,758</b>	<b>13,095</b>	<b>11,014</b>
<b><u>CASH FLOWS FROM INVESTING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Sales of Fixed Assets		-	751	24	336
<b><u>Outflows</u></b>					
Purchase of Investments		(20,490)	(9,595)	(3,146)	(3,777)
Payments for Property, Plant and Equipment		(6,230)	(2,076)	(12,689)	(8,560)
<b>Net Cash Used in Investing Activities</b>		<b>(26,720)</b>	<b>(10,920)</b>	<b>(15,811)</b>	<b>(12,001)</b>
<b><u>CASH FLOWS FROM FINANCING ACTIVITIES</u></b>					
<b><u>Inflows</u></b>					
Proceeds from Finance Leases		-	-	2,510	1,214
<b><u>Outflows</u></b>					
Repayment of Finance Leases		(635)	(301)	-	-
Repayment of Borrowings		(1,000)	-	(1,000)	-
Loans to Related Parties		589	(16)	(912)	-
<b>Net Cash Provided by (Used in) Financing Activities</b>		<b>(1,046)</b>	<b>(317)</b>	<b>598</b>	<b>1,214</b>
Net Increase/(Decrease) in Cash Held		(4,321)	(7,479)	(2,118)	227
Cash at Beginning of the Reporting Period		14,843	15,602	16,961	15,375
Cash at End of the Reporting Period	30.23	10,522	8,123	14,843	15,602

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	Notes	2002		2001	
		Higher Ed.	TAFE	Higher Ed.	TAFE
		\$000	\$000	\$000	\$000
<b>30.15 Receivables</b>					
Current:					
Debtors		14,197	2,127	10,326	5,298
Provision for Doubtful Debts		(911)	(367)	(1,199)	(544)
		<u>13,286</u>	<u>1,760</u>	<u>9,127</u>	<u>4,754</u>
Non Current:					
Receivable from associated company		1,556	-	1,950	-
Other receivables from related companies		12,053	-	12,232	-
Other receivables		-	-	-	-
Provision for Doubtful Debts		(4,902)	-	(975)	-
		<u>8,707</u>	<u>-</u>	<u>13,207</u>	<u>-</u>
<b>30.16 Investments</b>					
Current:					
Shares in Corporations - at cost		4,490	4,269	3,721	3,500
Unsecured Notes		4,217	2,750	1,467	-
Treasury Corporation of Victoria		104	-	104	-
Dealer Term Deposits		18,004	10,185	1,044	4,109
		<u>26,815</u>	<u>17,204</u>	<u>6,336</u>	<u>7,609</u>
Non-Current:					
Investment in Associated Company		127	151	148	151
		<u>127</u>	<u>151</u>	<u>148</u>	<u>151</u>
<b>30.17 Other Assets</b>					
Current:					
Government Superannuation		4,915	-	4,911	-
Inventories		-	861	-	676
Other		3	3	-	-
Prepayments		3,518	177	2,766	116
		<u>8,436</u>	<u>1,041</u>	<u>7,677</u>	<u>792</u>
Non-Current:					
Other		16	16	-	-
Government Superannuation		101,941	-	101,869	-
		<u>101,957</u>	<u>16</u>	<u>101,869</u>	<u>-</u>

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	Notes	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.18 Property, Plant and Equipment</b>					
<u>Land and Buildings</u>					
Land					
- at University valuation (as at 31 December 2002)		18,114	33,303	15,268	28,739
Buildings					
- at independent valuation (as at 31 December 2000)		75,936	105,939	75,936	105,939
- at cost		5,515	15,388	4,204	14,759
- less: accumulated depreciation		(3,811)	(5,656)	(1,872)	(2,724)
Work in progress - at cost		603	75	-	34
Total Land and Buildings		96,357	149,049	93,536	146,747
<u>Plant and Equipment</u>					
Plant and Equipment					
- at cost (Reversion to cost basis 31 December 2001)		44,545	21,698	41,620	21,023
- less: accumulated depreciation		(30,366)	(17,132)	(26,744)	(15,603)
Library Collection					
- at cost (Reversion to cost basis 31 December 2001)		23,990	3,946	23,232	3,830
- less: accumulated depreciation		(5,788)	(1,739)	(4,624)	(1,631)
Plant and equipment under finance lease		5,341	1,398	5,341	1,398
- less: accumulated amortisation		(3,616)	(566)	(2,890)	(216)
Total Plant and Equipment		34,106	7,605	35,935	8,801
Total Property Plant and Equipment		130,463	156,654	129,471	155,548

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.

	Land \$000	Buildings (incl. Work in Progress) \$000	Plant and Equipment (incl. Finance Leases) \$000	Library Collection \$000	Total \$000
<u>Higher Education</u>					
Balance at the beginning of the year	15,268	78,268	17,327	18,608	129,471
Additions	-	1,914	2,925	1,388	6,227
Disposals	-	-	-	(502)	(502)
Revaluations	2,847	-	-	-	2,847
Depreciation expense	-	(1,938)	(4,349)	(1,293)	(7,580)
Carrying Amount at End of Year	18,115	78,244	15,903	18,201	130,463
<u>TAFE</u>					
Balance at the beginning of the year	28,739	118,008	6,602	2,199	155,548
Additions	-	1,175	674	220	2,069
Disposals	(660)	(492)	-	(57)	(1,209)
Revaluations	5,225	-	-	-	5,225
Depreciation expense	-	(2,945)	(1,879)	(155)	(4,979)
Carrying Amount at End of Year	33,304	115,746	5,397	2,207	156,654

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	Notes	2002		2001	
		Higher Ed.	TAFE	Higher Ed.	TAFE
		\$000	\$000	\$000	\$000
<b>30.19 Provisions</b>					
Current:					
Annual Leave		6,604	3,249	6,246	3,231
Long Service Leave		4,229	1,885	3,886	1,656
		<u>10,833</u>	<u>5,134</u>	<u>10,132</u>	<u>4,887</u>
Non-Current:					
Long Service Leave		4,683	4,562	4,396	3,891
		<u>4,683</u>	<u>4,562</u>	<u>4,396</u>	<u>3,891</u>
<b>30.20 Other Liabilities</b>					
Current:					
Financial Assistance in Advance - Commonwealth		3,990	-	3,848	-
Financial Assistance in Advance - State		-	-	-	255
HECS Received in Advance		1,870	-	1,855	-
Student Fees in Advance		11,147	119	4,284	2,797
Deferred Employee Benefits for Superannuation		4,915	-	4,911	-
Other		160	199	166	215
		<u>22,082</u>	<u>318</u>	<u>15,064</u>	<u>3,267</u>
<b>Other Liabilities</b>					
Non-Current:					
Deferred Employee Benefits for Superannuation		101,941	-	101,869	-
		<u>101,941</u>	<u>-</u>	<u>101,869</u>	<u>-</u>
<b>30.21 Reserves</b>					
Composition of Reserves:					
Asset revaluation reserve		22,242	38,432	19,395	33,512
General reserve		254	-	254	-
Balance at end of year		<u>22,496</u>	<u>38,432</u>	<u>19,649</u>	<u>33,512</u>
Movements in Reserves:					
Asset revaluation reserve					
Balance at beginning of year		19,395	33,512	21,439	32,536
Increase in valuation of Land and Buildings		2,847	5,225	807	1,459
Transfer to Retained Earnings on Property disposal			(305)	-	-
Transfer of Library valuation due to reversion to cost basis				(2,562)	(276)
Transfer of furniture valuation due to reversion to cost basis				(289)	(207)
Balance at end of year		<u>22,242</u>	<u>38,432</u>	<u>19,395</u>	<u>33,512</u>
General reserve					
Balance at beginning of year		254	-	254	-
Balance at end of year		<u>254</u>	<u>-</u>	<u>254</u>	<u>-</u>
Total Reserves at end of year		<u>22,496</u>	<u>38,432</u>	<u>19,649</u>	<u>33,512</u>
<b>30.22 Retained Surplus</b>					
Retained surplus at the beginning of the year		114,222	128,483	97,251	128,553
Net Surplus (Deficit)		6,661	(5,095)	14,120	(553)
Transfer from asset revaluation reserve		-	305	2,851	483
Retained surplus at the end of the year		<u>120,883</u>	<u>123,693</u>	<u>114,222</u>	<u>128,483</u>

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	Notes	2002		2001	
		Higher Ed. \$000	TAFE \$000	Higher Ed. \$000	TAFE \$000
<b>30.23 Notes to Statement of Financial Position and Cash Flow</b>					
Cash Assets balance consists of:					
Cash		1,649	361	3,647	89
Deposits at Call		8,873	7,762	11,196	15,513
		<u>10,522</u>	<u>8,123</u>	<u>14,843</u>	<u>15,602</u>
Reconciliation of Cash Flow From Operating Activities to Net Surplus (Deficit):					
Net Surplus (Deficit)		6,661	(5,095)	14,120	(553)
Non-cash flows in Net Surplus (Deficit):					
Depreciation		7,580	4,979	6,962	3,633
Provisions		4,627	741	(1,176)	2,484
Net Profit from Sale of Assets		505	465	202	(309)
Changes in assets and liabilities					
Increase (decrease) in prepaid fees		6,863	(2,678)	2,214	(1,000)
(Increase) decrease in receivables		(2,433)	3,171	290	318
(Increase) decrease in other current assets		(755)	(249)	(522)	(32)
Increase (decrease) in accounts payable		397	2,424	(8,995)	6,473
Cash Flows from Operating Activities		<u>23,445</u>	<u>3,758</u>	<u>13,095</u>	<u>11,014</u>
<b>30.24 Finance Leases</b>					
Commitments in relation to finance leases are payable as follows:					
Not later than 1 year		738	351	738	351
Later than 1 yr, not later than 5 yrs		1,260	623	1,994	977
Minimum Lease Payments		1,998	974	2,732	1,328
less: Future finance charges		(123)	(61)	(222)	(114)
Total Finance Lease Commitments		<u>1,875</u>	<u>913</u>	<u>2,510</u>	<u>1,214</u>
Representing Lease Liabilities:					
Current		665	316	635	301
Non-current		1,210	597	1,875	913
		<u>1,875</u>	<u>913</u>	<u>2,510</u>	<u>1,214</u>

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