

**ANU
ENTERPRISE**

020

2020 YEAR IN REVIEW

IS A WHOLLY OWNED
SUBSIDIARY OF



**Australian
National
University**

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CHAIR MESSAGE

As an engagement company, ANU Enterprise is an impact enabling vehicle which seeks to deliver significant value to its shareholder The Australian National University (ANU) offering a range of services and activities through its Business Development and Project Management functions and subsidiary companies.

Not surprisingly, due to COVID-19, ANU Enterprise has experienced lower revenues in 2020. Nevertheless, the overall value for the university is now accepted as including parameters that are not necessarily reflected in ANU Enterprise financial accounts. We are confident that the company's profile and value proposition will continue to grow.

Despite the virtual environment, the company submitted significantly more ANU tenders during the pandemic than in the entire previous year. This has reinforced the value to the university and has confirmed the future of ANU Enterprise. A promising indicator of future success is the university's decision to establish a policy of extended offerings, such as Paid Outside Work coordination, through ANU Enterprise.

In terms of the company's subsidiaries, The Social Research Centre (SRC) effectively instituted remote working procedures and was successful in the renewal of several large multi-year projects. The company continues to deliver significant financial returns to ANU through HERDC payments and dividends to ANU Enterprise as its shareholder.

With the pandemic denying the technical team the opportunity to travel to China to complete the outstanding SHRIMP instrument installation and commissioning, the planned divestment of Australian Scientific Instruments (ASI) has been delayed.

During the year, Alan Davie retired from the ANU Enterprise Board after 14 years of outstanding service. David Henderson was appointed to the Board, replacing Alan, as an independent non-executive director with extensive experience.

We also welcomed Professor Rae Frances and Professor Veronica Taylor as additional non-executive directors, bringing closer engagement with their ANU Colleges and the broader university.

Lastly, this message would not be complete without noting the retirement of Professor Michael Cardew-Hall as ANU Pro-Vice Chancellor of Innovation and Enterprise and CEO of ANU Enterprise. Mick has been instrumental in the repositioning and alignment of the company within the university over a number of years. We are pleased that Mick will continue as Non-Executive Chair of SRC and ASI.

The Board has appointed Anthony Pagès, currently General Manager and Deputy CEO, as Interim CEO of ANU Enterprise from 01 January 2021, and wish him all the best in the role.



Yours sincerely

Bruce McKay, Chair
ANU Enterprise Pty Limited

KEY PERFORMANCE INDICATORS

KPI	2018	2019	2020	Company Assessment
Tenders/bids co-ordinated and submitted on behalf of ANU (no ANUE Project Management or ongoing role) ^a	16 tenders \$16.7 M	25 tenders \$19 M	32 tenders \$ 99 M	✓
Tenders/bids won for ANU (no ANUE Project Management or ongoing role) ^b	8 tenders \$ 7.1 M	9 tenders \$ 7 M	11 tenders \$ 1.1 M *	✓
Total New Contract Value signed during 2020 (ANUE and ANU excl. SRC contracts) ^c	\$ 20.1 M	\$ 19 M	\$ 3.2 M	✓
Value new contracts signed for ANU Enterprise (Project Management work) ^e	\$ 13 M	\$ 12 M	\$ 2 M	↔
HERDC funding received by ANU through ANU Enterprise Group activities (Incl. SRC) ^d	\$ 3 M	\$ 4 M	\$ 3.8 M	✓
Number of new academics utilising the ANU Enterprise value proposition ^f	154	120	136	✓
Number of relevant opportunities flagged to ANU	77	80	110	✓
Business Development Support ^g	\$948,000	\$985,000	\$916,000	✓
Net promoter score ^h	N/A	N/A	59	✓

a. Where ANU Enterprise has been formally engaged to assist an ANU led tender or bid.

b. Records when ANU tenders or bids win, regardless of whether contract funds have been received.

* As of Dec 20, 12 tender outcomes pending worth \$84M due to COVID delays

c. Combined total (ANU Enterprise and ANU) based only on the contract value of new work won or secured (not delivered) during the year.

d. HERDC funding that will be received by ANU, based on HERDC eligible work undertaken through ANUE and SRC, as reported and audited to ANU for the year. Based on 31 cents in the dollar from 2018 onwards.

e. Numbers recorded only where ANU Enterprise has been formally engaged to undertake work for or on behalf of an academic.

f. Total value of contracts signed by ANU Enterprise Pty Ltd for Project Management work - all projects are ANU related

g. ANU Enterprise employed business development team - salary + oncosts.

h. Net Promoter Score measures customer satisfaction. Industry benchmark is 39. See Page 16

EXECUTIVE MESSAGE & KEY PRIORITIES

During 2020, Engagement and Impact, People, Culture, Systems and Value Proposition were all key priorities which we are proud to have progressed. The planning we did, and anticipation of risk, paid dividends in continuity through a period of change at all levels exacerbated by the COVID-19 crisis.

Value Proposition to ANU

2020 is a unique year. ANU Enterprise started the year with a full portfolio of projects for the first time since its repositioning in 2016 only to see 60% of its projects suspended by the COVID-19 pandemic. This impact was shared across the University ecosystem. To help with the ANU recovery effort, ANU Enterprise played its part and delivered substantial support to the academic community.

Since mid-June, the end of lock-down in the ACT, we have seen a dramatic increase in requests for assistance from all parts of ANU, both in the business development and project management services.

ANU Enterprise submitted more ANU tenders in the last three months than it did in total in 2019. We attribute this impact to:

1. An increase in government procurement for services and projects,
2. Greater awareness and track-record of ANU Enterprise,
3. The university objective to diversify its sources of funding and increase collaboration with Industry and Government, and
4. A push for ANU impact to benefit society as a whole.

In addition, feedback during the reporting period has been very positive – from all parts of ANU.

Engagement and Impact

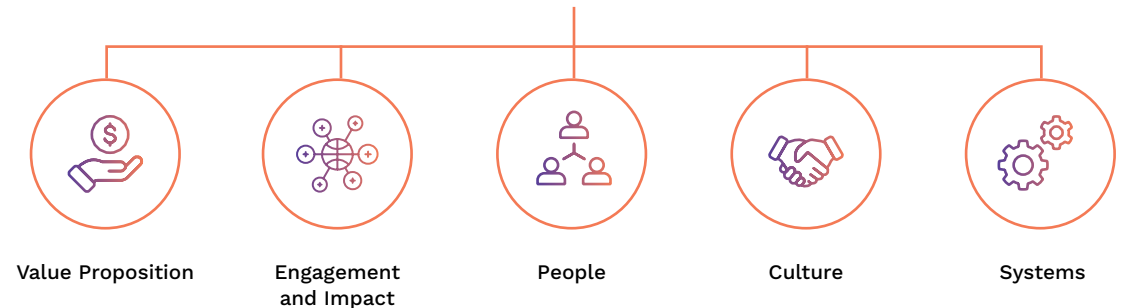
ANU Enterprise is an engagement company and has at the core of its mission to maximise the impact of ANU on society. As part of this mission, effective engagement and communication around the company and the value it delivers to ANU and its stakeholders is essential. In 2020, we designed and implemented the ANU Enterprise engagement strategy to achieve this. We got serious about seeking and actioning feedback from the ANU community; we got consistent with our key messages across all our key communication channels to ensure academics and partners hear from us and the impact of ANU research and expertise.

Consistent messaging resulted in increased visibility and perception of value, which in turn, led to ANU Enterprise being integral to many ANU initiatives like the University's Paid Outside Work policy.

People

Our staff is what makes ANU Enterprise special. After significant recruitment efforts, 2020 saw ANU Enterprise recruit its inaugural Head of Engagement and Marketing – Susan Blain. The Company made considerable progress this year in achieving efficiency through clarity around roles and respective dynamics. Finally, 2020 saw ANU Enterprise enact its succession planning for its CEO position by appointing Anthony Pagès in the role of Interim Chief Executive Officer.

ANU ENTERPRISE



Culture

ANU Enterprise is proud of its organisational culture. COVID-19 tested it to its core by reducing the ability to have the team connect in person in a supportive office environment. However, we are pleased to report that the team embraced the challenge and managed to keep the ANU Enterprise culture well and truly alive despite the remote working configuration. Once the team got back together in June 2020, we spent some time relaunching the year by redefining our corporate values and shared goals. Our "Relaunch" was the foundation upon which we achieved a record-breaking performance for ANU for the remainder of 2020.

Systems

2020 saw ANU Enterprise refine its administrative systems and process to achieve better efficiency and responsiveness for our academic community. In particular, we invested in improvements to our Business Management System (our whole-of-business workflow) to streamline and produce scalable results.

Forward looking

At the time of writing, 2021 is looking more positive with some key projects restarting in the international space as well as Executive Education initiatives. 2021 will also see ANU Enterprise play a crucial role in the supporting and driving of Consulting and Paid Outside Work activities at ANU. Key to our approach will be the increased consultation and collaboration with the Colleges, Schools, and academics to ensure we deliver maximum value and support.



Prof. Michael Cardew-Hall
Chief Executive Officer



Frank Papa
Chief Operating Officer &
Company Secretary



Anthony Pagès
General Manager &
Deputy CEO

WORKING TOGETHER TO ENABLE COMMERCIAL OPPORTUNITY.

Despite the challenges that our community has faced, I am incredibly proud of the determination and resilience that has been shown by staff across all parts of ANU, including, of course, ANU Enterprise.

The circumstances of 2020 were extraordinary, but we have all witnessed our colleagues and students rising to the challenges, making the best of the most difficult of situations, and adapting to support the progress of the University.

The COVID-19 pandemic has driven us to re-think and re-prioritise how we develop, invest in, and deliver research. Indeed, never has research been more critical to the University, to industry and to our society. Beyond COVID, research impact across all our disciplines should continue to harness this focus, to thrive and deliver in the post-COVID world.

As Deputy Vice-Chancellor (Research and Innovation) at ANU, and a board member of ANU Enterprise, I am responsible for the ANU strategy as it relates to research and innovation. My role is to develop and implement strategies, policies, and systems to deliver the University's strategic research goals.

These goals are:

- We will grow our research income by \$60.5 million by 2025 (in 2018 dollars).
- Our research to be assessed as ERA 5 (i.e. "well above world standard") in every 2-digit field in which we submit.
- We will develop and implement benchmarks of research productivity that are comparable to the best of the Go8. These will apply at the School level.

- The impact of our work will be assessed as "high" in at least 75% of the fields in which we submit to the research Engagement and Impact Assessment (EI) 2024.
- We will grow our engagement with industry. This will be indicated by:
 - » The creation of a further 12 spin-out companies by 2025;
 - » The hosting of 10 new SMEs on campus by 2025; and
 - » The presence of two major established companies on campus.

Innovation ANU, the Office of Business Engagement and Commercialisation, ANU Enterprise and ANU Connect Ventures together represent a complete suite of commercial engagement services, with the primary goal of delivering for and with both our industries and our communities.

I have had the privilege of worked closely with the ANU Enterprise CEO and Head of Innovation ANU, Professor Michael Cardew-Hall for the last two years, though I have known of his work for many more. Professor Cardew-Hall steps down from his role as Pro Vice-Chancellor (Innovation & Enterprise) and as CEO, ANU Enterprise, at the end of 2020. This marks the end of a critical era of change at the University, the Portfolio and at ANU Enterprise, where Mick has driven the research and innovation agenda. The University has prospered from his stewardship, and we look forward to continuing to engage with Mick in the future.

RESEARCH & INNOVATION AT ANU

ENGAGING THROUGH CHANGE

ANU endured the impacts of the bushfires and smoke, the devastating hailstorm and – of course – COVID- 19. ANU is committed to emerging from these crises poised to build on its already formidable reputation, and ANU Enterprise has a critical part to play.

The Research & Innovation Portfolio supports over 1700 FTE research staff across the University. Between 2019 and 2020, the Portfolio supported and delivered hundreds of impactful research solutions to industry and government, through tenders, grant submissions and commercial opportunities. ANU Enterprise is a dedicated resource for the University; its mission is aligned to the success of ANU, ensuring the recovery and re-emergence of ANU, by reigniting collaboration through diverse funding sources from Industry and Government.

The agility and responsiveness of ANU Enterprise have been evidenced by the submission of over \$128 million worth of tenders in the space of 6 months. With our staff, ANU Enterprise identified over 102 opportunities and worked with almost 200 academics to achieve 40 per cent more tender submissions in the last six months than in any other 12 month period – an extraordinary result and a very significant contribution to setting us up for the coming years.

ANU Enterprise has made great progress this year. ANU measures the contribution of ANU Enterprise based on overall value provided, which includes financial and non-financial metrics, both direct and indirect/ For example, we will see ANU Enterprise having a much greater role in helping ANU academic staff benefit from the rules around undertaking external work.

Together, we have demonstrated resilience and endeavour, and I look forward to the continued success of ANU Enterprise in 2021.

Regards



Professor Keith Nugent
Deputy Vice-Chancellor (Research and Innovation)
Director – ANU Enterprise



ABOUT ANU ENTERPRISE

WE WORK BEHIND THE SCENES TO MAXIMISE THE IMPACT OF ANU RESEARCH ON SOCIETY.

We enable ANU researchers to generate and deliver consulting, contract research and executive education projects with industry and government, through providing business development and project management support services.

These services allow ANU researchers to focus on their area of expertise and the delivery of societal impact, with the assurance that project management will meet best-practice standards.

OUR ENVIRONMENTAL IMPACT

121 Marcus Clarke Street, home of ANU Enterprise, achieved a 5.5 STAR Energy NABERS Rating and 4.5 STAR Water NABERS Rating in 2020. The building owners maximise environmental outcomes through careful management of heating, ventilation, and air conditioning systems.

We are proud to note our building practices stormwater recycling for irrigation and wastewater systems, and in 2020 installed the owners installed a photovoltaic array on the roof, to reduce the building's carbon footprint further. The building's extended waste streams ensure waste material is recycled, reducing the impact on landfill.



ANU Enterprise's 2020 printing was equal to 2.4 trees. The low printing impact is equivalent to 255 Kilograms of CO₂ OR 5 lifetimes of lightbulb energy.



Ellen Bussell (Project Management), Dr John Shellard (Business Development), Susan Blain (Engagement and Marketing), Alana Morley (Business Development), Marjo Van Den Nieuwenhuijzen (Corporate Services), Elouise O'Toole (Business Development),

Jennifer Burgess (Project Management), Pia Eliason (Project Management), Ghita Medrek (Graduate), Prof Michael Cardew-Hall (Executive), Frank Papa (Executive), Anthony Pages (Executive). Not Pictured: Kylie Elliot (Corporate Services), Isabella Novak (Engagement and Marketing), Young Kim (Business Development)

TREND ALERT FOR RESEARCH SERVICES

UNPRECEDENTED TIMES AND RESEARCH PROCUREMENT

Despite the challenges of 2020, ANU Enterprise flagged a record number (110) of relevant tender opportunities to ANU academics, ANU Schools and Colleges, with a combined potential contract value of over \$99 Million.

Of these tenders, Commonwealth Government (57%) were the majority of opportunities flagged, followed by State Governments (27%) and International tenders (10%). Industry (4%) and Charity (2%).

Our analysis of the opportunities ANU Enterprise flagged for ANU in 2020 demonstrates the Commonwealth priorities relevant to ANU were focused on Agriculture (24%), Health (17%), Foreign Affairs and Trade (17%) and the Environment (16%).

Priorities for State Governments (Australia-wide) in 2020, included Government department requirements (30%), Community (26%), Environment (18%), Law & Justice (15%) and Health (11%).

The focus for International tenders was primarily International Community, Development with a particular emphasis on capacity building programs in the field of climate change (40%).

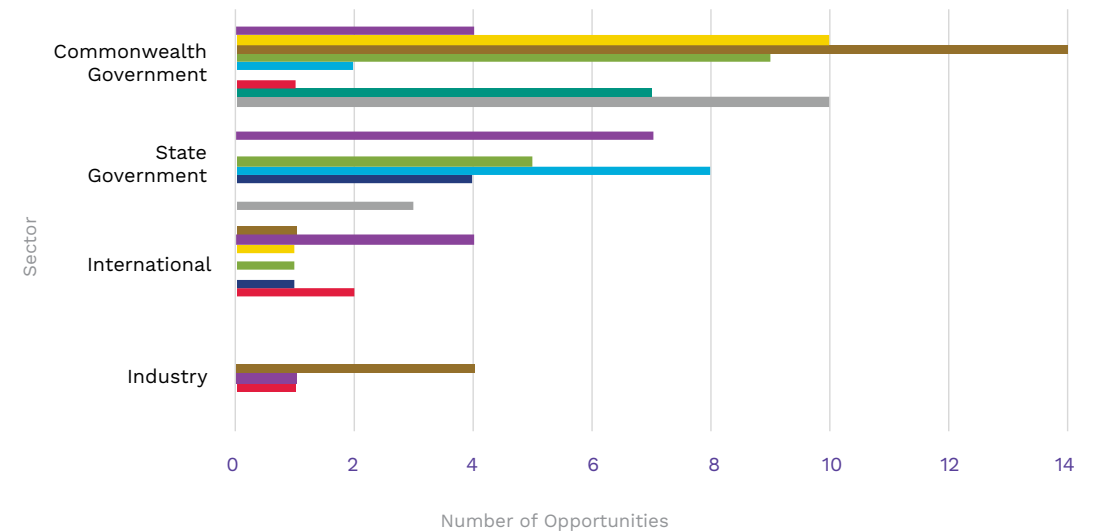
In 2020, ANU Enterprise supported ANU to win 45% of tenders submitted.

Trends for 2021

Our analysis of the 2020 flagged opportunities for Commonwealth Government procurement revealed the following spending priorities:

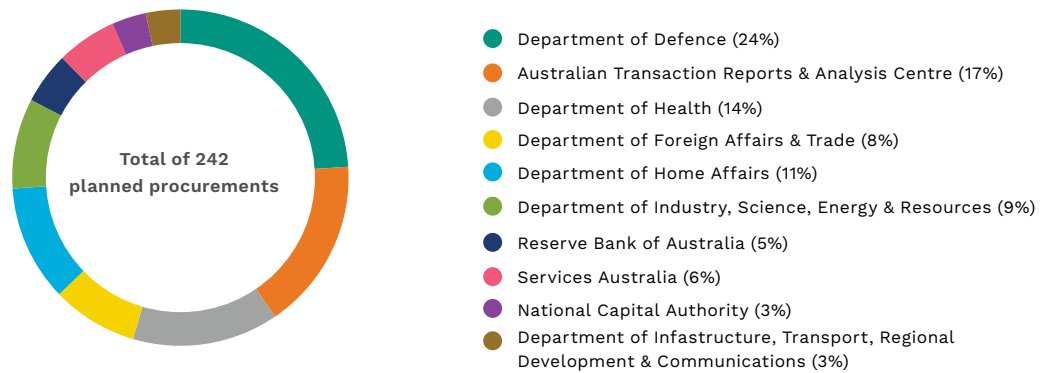
- Executive Education and capability uplifting of Australian Public Service and Defence Force Personnel,
- Agriculture, (including sustainable farming practices and regional communities),
- Foreign Affairs and Trade,
- Environment (including Climate change); and
- the Health of Australians.

Flagged Opportunities for ANU in 2020



- Other (Mining, Energy, Business, Risk)
- Foreign Affairs/Trade
- Environment (Water, Bushfires and Climate)
- Law & Justice
- Defence
- Community (Women, Children, Sport, Safety (including workplace))
- Agriculture
- Government Department
- Education
- Health

Planned Procurement from top 10 Australian Agencies relevant to ANU on AusTender 2020-2022



Planned Procurements (PP) provide the subject matter of the procurement, the estimated financial year quarter of the approach to market (ATM), whether the procurement will potentially allow multi-entity access, and the goods and services category code (UNSPSC code).

For State Governments, ANU Enterprise expects to see an increase in Government sector service requirements in the areas of local Community (including, Child Safety, Youth and Women, Rural and Regional), the Environment (including Forestry, Water Management, Planning & Industry), and Law & Justice and Health.

We expect Government tenders to continue to be a key driver of increasing category two funding for ANU in 2021.

Statistics and data released in 2018-2019 on AusTender recorded 78,150 contracts with a combined value of \$64.5 billion¹. 60% of these contracts (\$40 billion) were awarded for the delivery of 'Services'. Within these Services are specific sub-categories that are relevant to ANU, including Engineering and Research and Technology-Based Services (\$9.7 billion), Defence and Law Enforcement and Security Services (\$2.3 billion) Education and Training Services (\$957.4 million), and Environmental Services (\$843.1 million).

Planned procurements by the Commonwealth Government (131 Commonwealth Agencies) between November 2020 to June 2022 indicates which Departments and Agencies expect to go to market. Our graph shows the quartile in which agencies plan to approach the market. Procurements are listed by Agency spend from highest to lowest.

In 2020, The Department of Defence was a significant source of opportunities for ANU in the fields of research, executive education, and training. ANU Enterprise supported ANU tender submissions to the value of approx. \$60M. The increased demands placed on Defence in 2020 included bushfire disaster response and pandemic support including border control, hotel security and international security, is reflected in the planned procurement pipeline for 2021 and suggest that the trend we have seen in 2020 will continue.

Business Development Role in securing opportunities

The role of ANU Enterprise Business Development Team is to enable ANU Research Community to secure external consulting, contract research and engagement opportunities in Government and Industry, to deliver world-changing impact to society through research findings.

ANU Enterprise typically supports ANU to engage in the following types of tenders:

- Public competitive tenders,
- Selective competitive tenders,
- Request for Quotes (**RFQ**), Approach to Market (**ATM**), Request for Tenders (**RFT**)
- Unsolicited Proposals, and
- Expressions of Interest (**EOI's**).

¹ The Australian Government, Department of Finance website, 2018-2019 <<https://www.finance.gov.au/government/procurement>> as at 22 October 2020.

ANU ENTERPRISE SUBSIDIARY



The year was focussed on the finalisation of the product line divestment contracts which were announced in our previous report.

With the transfer and transition of the RESOLution, Alphachron and RESOchron product lines, to Applied Spectra Inc having been completed in August 2019, the focus for 2020 was finalisation of SHRIMP.

The SHRIMP product line has been exclusively Licenced to the Dunyi (Beijing) Technology Development Co. (DTDC). A Research Collaboration Arrangement has also been entered into between ANU and DTDC. During the year knowledge transfer between the ASI team and DTDC was formalised and continues whilst the ban on international travel continues.

The final SHRIMP instrument (shipped in December 2019) was due for installation at the Shandong Institute of Geological Sciences, with completion by mid-2020. Unfortunately, this has been delayed due to COVID-19 however we remain hopeful that installation can be finalised in the later part of 2021.

Completion of the product line divestment strategy has secured the best possible outcome for customers, agents, staff, our shareholder and the research reputation of ANU. The transitional arrangements will extend into 2021 which ANU Enterprise will continue to support.



ASI's Sensitive High Resolution Ion Micro Probe (SHRIMP). Photo supplied: Trevor Ireland.



"The Social Research Centre's mission is to inform decision-making and advance understanding of society through world-class social research and evaluation."

to enable students and institutions to interactively compare performance measures across universities. SRC collaborated with state departments of education to continuously improve data collection for the Australian Early Development Census that tracks child development across a range of measures. SRC also conducted public health surveys in three Australian states.

The company's Life in Australia™ research panel, Australia's only probability-based online panel, continued to be in high demand. The panel provided the ANU Centre for Social Research and Methods data to assess the impact of the 2019-20 bushfires and for Australia's first longitudinal examination of the social, mental, economic, and political impacts of the coronavirus by assessing people's attitudes and experiences of COVID-19 before and during the pandemic. Fielding the European Social Survey questions on Life in Australia enabled direct comparisons between data collected from survey respondents in Europe and Australia.

To enable the implementation of more than 400 recommendations for improving the safety of children in institutions and addressing historical child sexual abuse by the Royal Commission into Institutional Responses to Child Sexual Abuse, the SRC evaluation team worked with the Australian Government Attorney-General's Department to create a comprehensive evaluation framework for implementation by the Australian and state and territory governments.

SRC collected wave three data for the Australian Longitudinal Study on Male Health (Ten to Men) for the Australian Institute for Family Studies. This study is designed to inform the National Male Health Policy which provides findings about male health outcomes to improve programs, services and policies for all Australian men and boys.

In 2020, SRC collaborated with ANU's CSRM and Research School of Population Health and developed relationships with many other researchers across the university. At the end of 2019, SRC's total value proposition to ANU since acquisition in 2014 totalled \$29.4M, including the generation of \$13.9M in HERDC funding. Estimated additions for 2020 total \$5.5M, including the generation of \$4.8M in HERDC funding.

ANU ENTERPRISE SUBSIDIARY



**Social
Research
Centre**

The Social Research Centre's mission is to inform decision-making and advance understanding of society through world-class social research and evaluation. At the heart of the mission is a commitment to conducting high quality, ethically sound research in a socially responsible manner.

Their vision is to be Australia's leading social research organisation, known for excellence, rigour and transparency and a commitment to innovative, collaborative research that makes a positive difference to society.

Through 2020, driven by the impact of COVID-19, the company fast-tracked multiple strategic initiatives enabling it to continue to flourish under Victoria's mandated work from home direction. Call centre operations moved to a remote model in April. Since then, the company has been able to recruit social research interviewers from across Australia and successfully induct, train, and support them remotely. All research, evaluation,

data science and support staff also transitioned to full work from home, embracing new technologies and driving innovation to ensure that all service offerings were available to clients through virtual means.

In 2020, SRC staff worked on 220 projects for federal and state government agencies, and academic, not-for-profit, and other mission-aligned clients. Through its research this year, SRC brought new knowledge and understanding to issues including but not limited to the quality of education at Australian universities; patterns in child development; trends in public health; impacts of bushfires and COVID-19 on wellbeing; evaluations of several federal and state programs, and international comparisons.

For the Department of Education Skills and Employment, SRC commenced the third Quality Indicators of Learning and Teaching contract, building web portals with data visualisations

CUSTOMER FEEDBACK

MAKING THE LOGISTICS DISAPPEAR, SO THE RESEARCH IMPACT MATTERS MOST

One of the great privileges of capturing customer sentiment is when you get to meet customers in person and hear first-hand about the impact of the organisation you work for.

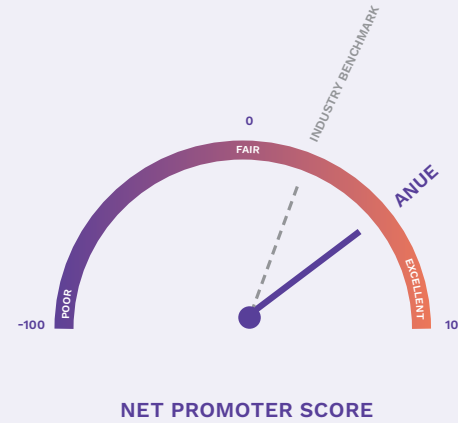


Pictured above: Dr David Freudenberger, Researcher, ANU Fenner School of Environment and Society, speaking to Susan Blain and Jennifer Burgess, ANU Enterprise.

The first researcher I met was Dr David Freudenberger from ANU Fenner School of the Environment. David spoke passionately about his longstanding rapport with ANU Enterprise advising on mine site rehabilitation in NSW (most recently). David told me that over the years, ANU Enterprise had become an essential service provider to him and his projects. He said we delivered project support and logistics, which enabled him to concentrate on the science. It doesn't get better than that!

Susan Blain
Head of Engagement & Marketing
ANU Enterprise Pty Limited.

Net Promoter Score at ANU Enterprise 2020

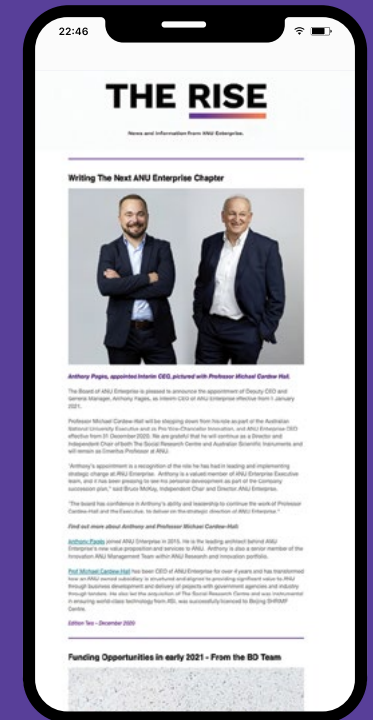


In 2020, ANU Enterprise commenced surveying customers using the Net Promoter Score (NPS) methodology to ensure we maintain a focus on quality service standards and expectations of our research experts.

Survey feedback now arrives almost daily and is a valuable cornerstone to the engagement process, ensuring the Board, Management and the team, consistently delivers value to the University, and that customer service is measured and improved at regular intervals.

ANU Enterprise has a Net Promoter Score of 59. To me, this indicates we are delivering customer loyalty consistently and above industry standards.

Our survey program one of the five pillars of engagement with the research community at ANU. During 2020, we engaged with more than 50% of the university research community. We've implemented continuous improvements to our services as a result of the feedback we've received this year.



Launch of *The Rise* Newsletter

Despite the turmoil of COVID-19, 2020 also saw the delivery of a second pillar of the engagement strategy – *The Rise* newsletter. A play on the company name, the first edition of *The Rise* was widely read by academics, industry and government stakeholders, providing our readers with useful content on project management and practical guidance for researchers looking to keep abreast of category 2 and 3 funding opportunities.

I look forward to meeting more researchers in the coming year and learning more about what matters to them as they deliver their insightful work for the benefit of the society we live in.



Susan
Susan Blain, Head of Engagement & Marketing at ANU Enterprise, is responsible for the engagement program. Before joining ANU Enterprise, she worked for over 25 years in the professional services sector.

ENGAGEMENT AT ANU ENTERPRISE



Researchers
Number of ANU researchers ANU Enterprise worked with in 2020 by ANU college:

Total: 207
136 researchers using ANU Enterprise for the first time.

ANU College of Science



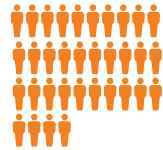
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ANU College of Health & Medicine



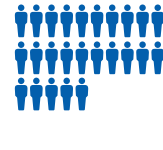
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ANU College of Asia & the Pacific



34

ANU College of Arts & Social Sciences



25

ANU College of Business & Economics



16

ANU College of Engineering & Computer Sciences



11

ANU Central and Other



10

ANU College of Law



9

Industry & Government

Examples of organisations ANU Enterprise engage with on behalf of ANU Researchers in 2020



ANU ENTERPRISE CAPABILITY

COVID-19 RESPONSE

2020 was a remarkable year. A year of substantive change, with social norms turned on their head and a sense of uncertainty that has impacted the higher education sector perhaps more so than the introduction of free education in 1974.

By the end of 2020, our capability in managing projects and facilitating engagements for ANU stood out. The Project Management team provided a grounded, practical, and result-oriented approach to supporting ANU academics and professional staff to navigate the crisis.

Before the pandemic, the Project Management Office was preparing to welcome executive education students to Australia from South-East Asia and Africa; mobilise a team on a \$1.5 million program in Papua New Guinea, and deploy ANU academics throughout South-East Asia and the Pacific.

The team were providing financial and contract management support to academics, while managing logistics for interstate travel for endangered Bird studies and bush fire recovery projects.

With 45 projects under management throughout the year, as the pandemic emerged, the team transitioned our focus to threat management, safety and wellbeing, and enabling business continuity. ANU Enterprise risk management practices adhere to a culture of continuous improvement, ongoing monitoring of context, cultural impact and risk management.

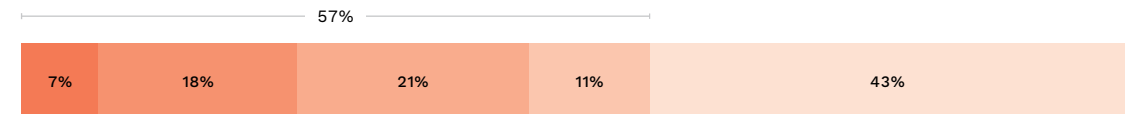
ANU Enterprise Project Threat Management Approach

Our Project Management Office immediately responded with our Assess and Act plan. Our priority - the exposure of subcontractors, consultants, ANU academics and staff to COVID-19 impacts on health, safety and wellbeing. We identified 57% of the project portfolio required immediate action such as cancelling or delaying travel, reinforcing location and travel restrictions and facilitating insurance considerations. We successfully reduced the exposure level to satisfactory levels for all personnel.

Return to Australia plans included assisting an ANU academic in Myanmar working with the United Nations Development Program who was then due to fly to Indonesia to facilitate workshops on a DFAT funded program. ANU Enterprise promptly communicated with the academic and clients and co-ordinated return flights for a safe return to Australia.

In the second phase of our COVID Threat Response, we Scan, Respond, and Implement project contingencies. We assessed the project portfolio to understand the unfolding complexities of the pandemic, reducing the impact of the threat on project delivery while continuing to respond to personnel safety issues.

Personnel Impact Assessment Exposure to COVID-19, March 2020

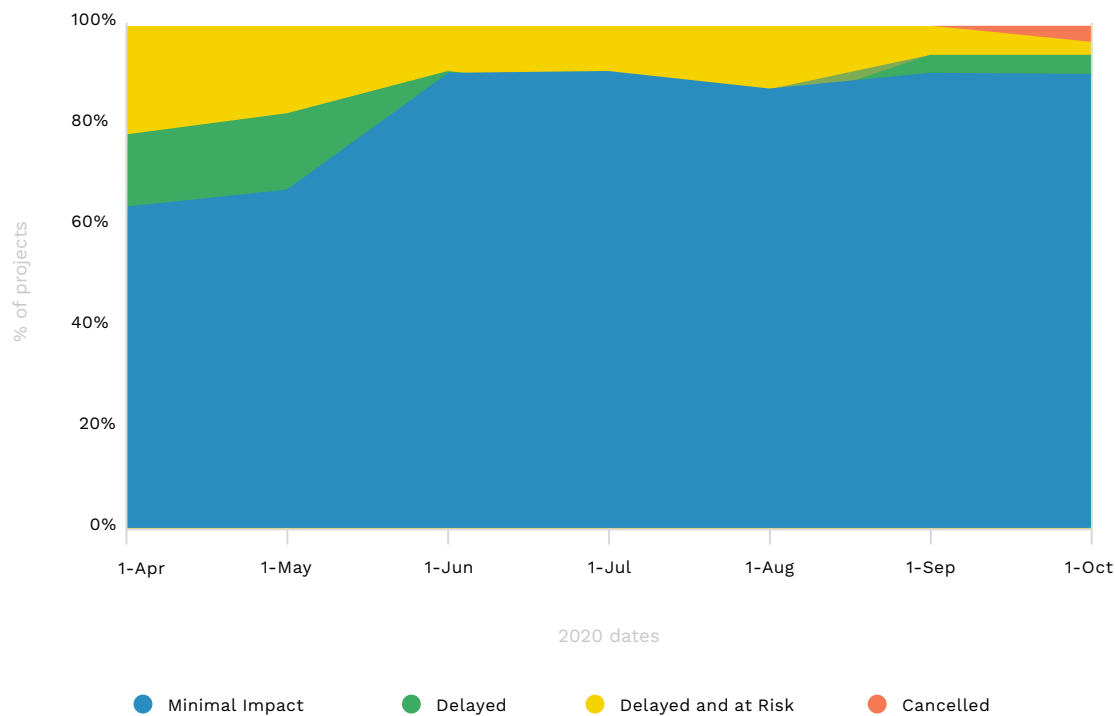


- Risk: Personnel Overseas
- Risk: Face-to-Face Required
- Risk: Planned International Travel
- Risk: Required Domestic Travel
- No Immediate Risk

To assess, define, monitor, and communicate the impacts of COVID-19, the ANU Enterprise Project Management Office classified projects in the following categories:

Activity Cancelled	Projects ceased and/or force majeure enacted
Delayed or at Risk	Projects delayed immediately or in the long-term and are at risk of being cancelled or significantly reduced in scope
Delayed	Temporary project delay but highly likely to continue due to rephasing, rescoping or new timelines
Minimal Impact	Projects where the scope, subcontractor, client or the funder has confirmed no change, where activities were transitioned online seamlessly, or where impacts of the threat were resolved

Project Portfolio Impact Assessment — Impacted by COVID-19
April 2020 to October 2020



ANU Enterprise focussed on enabling continuity of the projects within our portfolio through innovation, renegotiation, rephasing, rescoping, adjusting strategic objectives and timelines. With our active management, 91% of the project portfolio were classified as Minimal Impact by October, despite the trying times. Only one contract was terminated due to revised funding priorities.

Across the project portfolio, we identified and implemented a variety of strategies to facilitate project continuity including online course and remote project management solutions, redesigning the operational model and objectives of international programs, and providing support letters for travel.

Patient Health Care Project

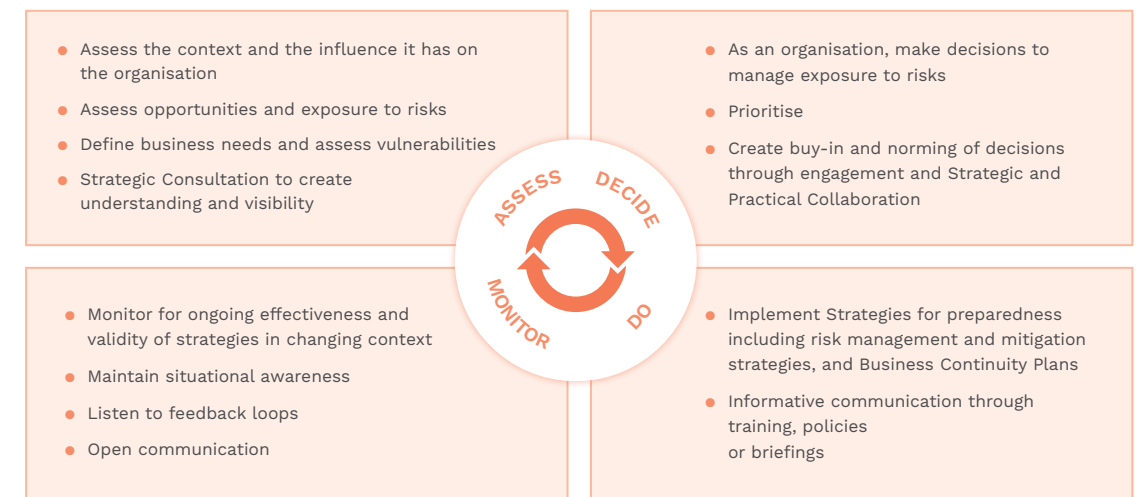
ANU Enterprise facilitates collaborative relationships between ANU academics, Institutes, Colleges and Schools, enabling greater engagement with industry and government. One such relationship between Marie Stopes Australia and the ANU Biological Data Science Institute is targeted at value-based patient-focussed models of healthcare building on qualitative research to understand and provide access to healthcare options that align with diverse and

personal choices. The second phase Cohort Study could not proceed as COVID-19 stressors such as border lockdowns, social distancing, and employment loss would have greatly impacted responses, and had the potential to increase patient stress. We worked with the Biological Data Science Institute Team and Marie Stopes Australia to facilitate flexible contract changes and delivery timelines. The changes enabled the continuity of the collaborative relationship, funding continuity and ANU personnel to continue working on the project by focusing on novel patient optimisation engines associated with later phases of the project.

The final phase of our Threat Management Approach is to Embed and Integrate. In this phase, the PMO reviews and incorporates the response strategies implemented throughout the threat management response by identifying practices to integrate into our work.

Our COVID-19 response has proven successful this year. Our Risk Management Approach delivered project-specific results which support the delivery of impact by ANU academics. Key to this result was our swift transition from ongoing risk management to threat management, and the practical effectiveness of our monitoring, communication and culture, keeping the needs of ANU central to our effort.

ANU Enterprise Project Risk Management Approach





CUSTOMER SPOTLIGHT: ASHLEE BETTERIDGE

ANU COLLEGE OF ASIA & THE PACIFIC

Image Above: Ashlee Betteridge with ANU-UPNG Summer School students in Canberra, 2019. Photo credit: Ashlee Betteridge.

Alongside our support for individual paid outside work, ANU Enterprise offers flexible support to units within ANU who are seeking to take on complex projects that fall outside the common experience of ANU academic and professional teams.

In 2020, ANU Enterprise supported the Crawford School's Development Policy Centre (Devpol) by providing subcontracting and payment mechanisms for personnel involved in their key partnership with the University of Papua New Guinea, as well as providing two media professionals to support with components of their engagement and research dissemination strategy.

We talked to Ashlee Betteridge, the Centre's Manager, about how ANU Enterprise supports the work that Devpol does, the value that it brings to her role, and what professional staff can do when taking on complex, unprecedented projects.

Can you tell us about the projects you have worked on with ANU Enterprise and how they sit in the context of your portfolio of usual work?

This year, ANU Enterprise has provided support to us on engaging lecturers to work in Port Moresby on our partnership with the School of Business and Public Policy at the University of Papua New Guinea, as well as managing an independent evaluation of the aid project this partnership is supported by.

We have also received support from ANU Enterprise in engaging a regional media adviser in the Pacific to promote our centre's research and blog outputs to regional media.

These are key activities for our centre, in both generating and disseminating research and analysis on the Pacific Islands region, and for contributing to the development of the next generation of researchers and analysts in PNG.

“[We] really appreciate ANU Enterprise's help in turning our ideas into reality, and your willingness to work with us on projects large(ish) and small.”

Prof Stephen Howes

Director, Development Policy Centre
Crawford School of Public Policy
ANU College of Asia & the Pacific

How does ANU Enterprise support Devpol to reach its objectives?

ANU Enterprise's support has been particularly invaluable for us in engaging staff that are based overseas, a process that would be difficult through normal university hiring processes.

It has been important for the success of our projects, particularly this year, as our Australia-based researchers have been unable to travel regionally themselves.

What value did ANU Enterprise bring to your role?

The flexibility and responsiveness of ANU Enterprise were really valuable for us. We appreciated the ANU Enterprise team's interest in both larger and smaller projects and their suggestions about how to get contractual arrangements in place so that work could begin in a timely way.

What advice would you give to other professional staff at ANU who are working on a range of complex projects?

It can be challenging to know where to start on something complex if there is no precedent within your school or college for the type of project you are seeking to implement. We faced this challenge when first deploying staff to teach in PNG.

Seeking advice from other parts of the university, including ANU Enterprise, can help you find ways to proceed when there is not a clear policy or past project to model from.

Ms Ashlee Betteridge

Program Manager, Development Policy Centre
Crawford School of Public Policy
ANU College of Asia & the Pacific



Regent Honeyeater

17 million hectares burnt, fires burned for 4 months, 3094 houses lost, 33 deaths, the total area burnt appears to be the largest in a single recorded fire season for eastern Australia, animal loss in the hundreds of billions, 5.3 million hectares of national parks lost in NSW, including 80% of World Heritage-listed Greater Blue Mountains

Source: Parliament of Australia FAQ 2019 – 2020 Australian Bushfires.

ANU ENTERPRISE CAPABILITY

BUSHFIRE AND NATURAL RESOURCE MANAGEMENT

Despite the impact of the bushfires and the risks and restrictions of COVID-19, ANU Enterprise has supported academics to deliver 12 projects which were either affected by or were designed in response to the Black Summer bushfires of 2019-2020.

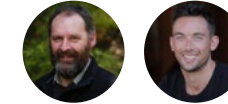
ANU Enterprise had originally supported academics in identifying and responding to consultancy opportunities and subsequent contract negotiations over the life of the projects. Following the bushfires, these same projects saw their scopes and timelines shift, as access to sites was blocked, inter-agency meetings and seminars cancelled, and funders asked for bushfire-specific data collection.

For ANU Enterprise, this meant supporting the researchers to negotiate changes in scope for their projects and ensuring that contracts and timelines reflected a new need for flexibility to manage the risks of fieldwork, especially amongst the added restrictions of limited travel imposed by COVID-19 lockdowns.

We asked A/Professor Cris Brack, an expert in forestry sciences, and Dr Ross Crates, a member of the ANU Difficult Birds group and an expert on Regent Honeyeaters, how these critically endangered species have overcome the challenges of this difficult period, and whether it has opened up new research opportunities.

Your work with ANUE focuses on providing advice on forestry management to local and state governments/ surveying for critically endangered species of birds.

ACADEMIC SPOTLIGHT



**A/Professor Cris Brack
Dr Ross Crates**

Fenner School of Environment and Society
ANU College of Science

1. What effects did the bushfires and/or COVID-19 have on your work?

Ross: The bushfires restricted access to some of our regent honeyeater study sites last November/December. Sites affected were the Capertee, Wolgan, and Goulburn River Valleys. However, the Burragorang Valley has been badly impacted by bushfires. We still have not been able to get in there over nine months after the fires.

Chris: The effects of both the Black Summer Bushfires and COVID-19 have unprecedented impacts on every aspect of my work.

The recent climate and Black Summer Bushfires were at a scale and intensity that was well beyond historical norms, and it pushed our understanding of how these forest communities respond beyond our limits. Further, these unprecedented fires also disrupted all the management scenarios and guidelines I had been developing and auditing for the public and private forest land managers.

I was unable to directly assess the damage caused by the fires; determine the important initial recovery periods and demonstrations of the ecosystem resistance and resilience; nor make the in-field assessments of how forest managers could continue to work with their estates to continue the provision of the goods and services Australians rely on.

2. How did the ANU Enterprise Project Management team support your work through this period?

Ross: ANU Enterprise has helped me facilitate a fire impact analysis for the regent honeyeater funded by the New South Wales government. The delivery of the project has been delayed due to prolonged closure of the Burragorang Valley, but the ANU Enterprise project management team have been

great at liaising with the government to explain the situation and modify the deadline for the deliverables accordingly.

Chris: ANU Enterprise responded to the urgency of the situation and helped to quickly deliver a contract that supported my work on the replanning of forest management on the public, commercial forests. Given the uncertainty, the work needed to be very flexible and adaptable to unexpected developments.

3. What is something you are proud of from your work in 2020?

Ross: This is the sixth year of our work on regent honeyeaters through ANU. I'm proud of what we have been able to find out about the species, despite their extreme rarity and vast range. We are starting to deliver on-ground action in terms of nest protection, management of pest species and habitat restoration. Without the data we have obtained over the past five years, we would not be able to accurately assess the impact of the fires on the species. It is good to see how this crucial data, which many people have worked very hard to collect, can be used in ways that we wouldn't have envisaged at the time.

Chris: A lot of my work on the public forests went to support Cabinet deliberation and so ends up as Cabinet-in-Confidence. I was asked to comment on the Black Summer Fires, and in particular, and potential positives, by Australian and international media. Stories about "saving" the Wollemi Pine from the disastrous fires in the Wollemi National Park and the ability of well managed forests to recover were commissioned published in outlets ranging from The Conversation to the Washington Post and Radio 5 Live UK.

EXECUTIVE EDUCATION

ANU Enterprise has a history of enabling Executive Education programs on behalf of ANU, including a long history of engagement with Australia Awards and bilateral short courses with many government agencies and NGOs.

In 2020, the global pandemic's impacts on travel and its subsequent halt of all international student and Executive Education in-bound courses changed the Executive Education landscape dramatically.

Despite these challenges, ANU Enterprise continued to support ANU, in managing international and remote projects, enabling online and blended courses, and responding effectively in high-risk environments.

During 2020, our Business Development team assisted ANU to respond to a range of Executive Education opportunities. We saw an increasing number of tenders (from both AusTender, as well as direct Requests for Quotes) to develop and deliver professional and short courses aimed at upskilling Industry and Government, in particular in the Defence sector. These opportunities required research and project professionals in a range of disciplines, including leadership, policy, science, decision making, technology, and innovation.

ANU Enterprise supported several ANU Colleges to develop proposals for bespoke Executive Education courses, and often, these proposals formed part of broader University engagement activities with Industry and Government. Executive Education courses also form a part of an overarching College postgraduate recruitment strategy, incorporating micro-credentialling and Recognition of Prior Learning components.

In 2019, Executive Education projects made up the largest portion of our project delivery time. We enabled Australia Awards Africa Climate Change Adaptation in partnership with ANU Fenner School of Environment and Society and numerous other ANU schools and delivered a comprehensive China Scholarship Council program with professional and academic staff across the University. In addition, we supported the National Security College to deliver a course for Filipino diplomats and ANU College of Engineering and Computer Science to deliver Cyber Bootcamp Global (Indonesia).

In 2020, ANU Enterprise completed delivery of phase two of the Australia Awards Africa Climate Change Adaptation short course. We established and managed elearning access through WATTLE (the ANU online Teaching and Learning environment) to facilitate a seamless student experience for course participants. ANU Enterprise also supported Lead Academic Steven Crimp from the ANU Fenner School of Environment and Society, and the rest of the academic team to deliver DFAT Australia Awards Reintegration Action Plan (RAP) requirements. The six months post-course follow-up and support through the RAP portal and other communications mechanisms were crucial as the impacts of the global pandemic set in, facilitating discussion of hurdles and targeted help by academics. This resulted in a high success rate for the RAP implementation success despite the unprecedented circumstances of a global pandemic.

Over many years ANU Enterprise has enabled and delivered training programs with government agencies throughout the Asia-Pacific and Indian Ocean rim. Through careful risk management, we have been able to quickly adapt responses to changing economic, security, or political circumstances. In managing a portfolio of major international and local projects, ANU Enterprise has already demonstrated the ability to consistently deliver high quality blended or online learning experiences in cross-cultural environments, the very skills required to operate successfully in this changing environment.

“ ANU Enterprise continued to support ANU, in managing international and remote projects, enabling online and blended courses, and responding effectively in high-risk environments.”



PERSONNEL DEPLOYMENT

Throughout 2020, ANU Enterprise continued to deliver value to the ANU through the engagement and deployment of personnel. In addition to the management of subcontractors across complex projects including editors, auditors, international partners, and interpreters, ANU Enterprise also deployed key Project Management personnel and delivered strategic Project Management advice at the request of Colleges and Schools across ANU.

Project Management Personnel Deployments: Long and Short term

During 2020 ANU Enterprise delivered project management personnel to meet the needs of ANU schools' colleges and institutes through our responsive recruitment and deployment mechanisms.

For example, as a significant long-term deployment, ANU Enterprise recruited and placed a highly experienced Project Manager with the Research School of Astronomy and Astrophysics (RSAA) and Innovation ANU Institute WearOptimo.

Lead academic, Prof Francois Rigaut of RSAA, described it as an "Overall convenient and fast solution." He commended the recruited project manager on their high-level Project Management capabilities, the effective establishment of systems and processes, and their ability to source additional funding.

For WearOptimo, ANU Enterprise deployed and managed a Project Officer to provide on-the-ground financial management and other project management services tailored to the needs of the institute.

Short term, Flexible format, duration, and services.

At the request of the university, ANU Enterprise tailors the length and style of personnel deployment to meet the specific needs of the College or School. Staff are dispatched for a long or short term, full or part-time input, and can be located where desired, even remotely or onsite.

For example, 3AI requested ANU Enterprise Business Development personnel for three months to work onsite to conduct a stakeholder assessment, and map for the institute and ANU Fenner School of Environment and Society requested a Project Manager working one day a week over several months.

Recruitment Panels

Colleges also requested ANU Enterprise team members to participate in recruitment processes and panels for their unique ability to act as a bridge between the ANU world and the context of government and industry. For example, ANU Enterprise supported a project at the request of CECS for the Australian Renewable Energy Agency (ARENA) project and participated on a panel to recruit a Project Officer with experience in renewable energy technologies.



Prof. Mark Kendall, CEO & Founder of WearOptimo
Photo credit: ANU

Strategic Project Management Advice

ANU Enterprise also provides strategic Project Management advice to ANU teams looking for everything from deep technical Project Management advice as part of a tender bid team to a sounding board to bounce ideas or seek responsive advice.

ANU Enterprise worked in partnership with the executive of the Coral Bell School of Asia Pacific on a significant collaborative tender opportunity with the National Security College and Crawford School of Public Policy, contributing expertise in Risk Management and Governance to this strategic initiative for 2020.

ANU Enterprise also facilitated a project for ANU Research School of Population Health with regional development organisation SPC (Pacific Community) regarding a climate change and health policy for the Republic of the Marshall Islands. ANU Enterprise provided contract management advice to the School, supporting them to renegotiate the contract due to impacts of COVID-19 to secure additional funding and adjusted timelines with a change in the online delivery model.

Subcontractor Management

In addition, ANU Enterprise continues to deliver value to ANU through a range of subcontractor management services across large and small-scale projects, nationally and internationally.

ANU Enterprise has managed the ANU partnership with the DFAT Funded Knowledge Sector Initiative (KSI) since 2016, including the financial and relationship management across this complex Indonesia based project. Central to the success of this project was quality management of a diverse group of subcontractors including a local Indonesian partner Centre for Innovation Policy and Governance (CIPG), editors, translators and interpreters, procurement of audit services, mentors, and mentees to name a few.

For the English Language Literacy in Indigenous Children project from the School of Literature, Languages and Linguistics, ANU Enterprise supported the ANU academic team by enabling partnerships with other universities to contribute to a research team working on this significant project.

FLEXIBLE PAYMENT OPTIONS

Whether your project is national or international, the systems and process for payments and reporting required by different organisations are diverse and can be tricky to navigate when it comes to project management. By supporting safe, effective payment mechanisms, the ANU Enterprise Project Management Team supports ANU to spread its reach and deliver global impact.

Managing exchange rate risk forms a central part of ANU Enterprise experience in international projects. We can advise researchers on how to manage exchange rate variability at each stage in the project, from setting buffers during budgeting to keeping track of fluctuations throughout the delivery.

ANU Enterprise can support research teams to deliver projects that require payments to international contractors. We use our corporate expertise to make the most efficient and effective payments to clients and subcontractors around the world, in AUD or local currencies.

In 2020, we supported three projects delivered in Papua New Guinea, where we engaged local staff and paid them directly in PNG Kina.

As of 2020, ANU Enterprise is operational in ten foreign currencies, including USD, Pounds Sterling, IDR, PGK, and ZAR. This year alone, we have facilitated over \$270,000 AUD worth of payment across international accounts for our projects.

This year, ANU Enterprise worked with academics and professional staff to meet diverse project payment requirements by tailoring mechanisms to their needs.

Our experience encompasses cash disbursements as well as facilitating individualised bank cards in Australia and abroad for diverse clients. In each case, ANU Enterprise advised the different associated risk profiles of each payment mechanism option, based on the project objectives and limitations.

For many projects, the location and nature of the work mean that cash disbursement remains the most practical form of payment.

In 2020, we enabled cash disbursement for crucial personnel for two projects in Papua New Guinea. This process comes with its challenges, from safety to client-dependent cash acquittal.

Our role is to provide the framework to enable ANU project leads to overcome those challenges safely, securely, and responsibly.

For other projects where cash is too high risk, we can provide alternatives. For instance, during executive education courses, ANU Enterprise can provide individualised bank cards for the safe and practical distribution of per diem allowances to participant cohorts.

For our latest iteration, the DFAT Australia Awards – Africa: Climate Change Adaptation short course, we established a bank card system which allowed participants to have financial independence, whilst also providing the necessary oversight to manage monies in line with the policies required by DFAT and the managing contractor.

No matter what researchers need, The ANU Enterprise team can identify a solution that is the best option for your project.

With our international capabilities, we connect ANU financially to the world in a sophisticated, safe, and risk-free way.

Alongside our international capabilities, we also offer a range of support for academics opting to work as individual consultants under the ANU paid outside work policy. ANU Enterprise supports payment negotiations and transactions, whilst keeping the academics protected by the ANU insurance umbrella.

We also add value to projects housed within ANU, where we work with ANU professional staff at all levels of the University to remove the complexity of inter-university payments. For example, in the Australia Awards – Africa short course, we coordinated payments for 23 academics across

6 Colleges and Schools of the University, as well as managing the finances of the project.

According to ANU Enterprise Head of Project Management, Ellen Bussell “As part of the ANU family, we are connected to contacts across College, School, central finance and management teams, so we are able to navigate these systems successfully and make sure everyone’s needs are met, while ensuring the project is a success.”

Throughout these processes, our objective is to ensure a streamlined, hiccup-free experience which enables researchers to focus on delivering their expertise.

“ As part of the ANU family, we are connected to contacts across College, School, central finance and management teams, so we are able to navigate these systems successfully and make sure everyone’s needs are met, while ensuring the project is a success.”

Ellen Bussell
ANU Enterprise Head of Project Management



ANU Enterprise General Enquiries

consulting@anenterprise.com.au
+61 2 6125 6101

Executive



Anthony Pagès
General Manager &
Deputy CEO

anthony.pages@anenterprise.com.au
+61 2 6125 0984



Frank Papa
Chief Operating Officer &
Company Secretary

frank.papa@anenterprise.com.au
+61 2 6125 0612

Project Management Enquiries



Ellen Bussell
Head of Project Management

ellen.bussell@anenterprise.com.au
+61 2 6125 0989

Business Development Enquiries



Elouise O'Toole
Head of Business Development

elouise.otoole@anenterprise.com.au
+61 2 6125 094



Alana Morley
Business Development Manager

alana.morley@anenterprise.com.au
+61 2 6125 0990



Dr John Shellard
Business Development Manager

john.shellard@anenterprise.com.au
+61 2 6125 1808

Engagement & Marketing Enquiries



Susan Blain
Head of Engagement & Marketing

susan.blain@anenterprise.com.au
+61 2 6125 0942

ANU Enterprise Board Members

Bruce McKay – Independent Chair and Director

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ANU Deputy Vice Chancellor
(Research and Innovation)

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Professor of Law and Regulation at ANU School of
Regulation and Global Governance (RegNet)



Australian
National
University

ANU Research and Innovation

Professor Keith Nugent

Deputy Vice-Chancellor (Research and Innovation)

dvc.research@anu.edu.au
+61 2 6125 8487

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