

ANNUAL REPORT 2012

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Member of the Australian eResearch Organisation (AeRO)

CAUDIT

Supported by the Council of Australian
University Directors of Information Technology



Australian Government

**Department of Industry
Innovation, Science, Research
and Tertiary Education**

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David Toll, President, Australian Access Federation Inc.

President's Report

This President's report is my first since taking over the reins of AAF President from Paul Sherlock in April 2012.

Paul's contributions and strong leadership over the last 2½ years has ensured that we now have a Federation that is sustainable and a valued part of the Australian research and education landscape. With the underlying foundations firmly established, my priority is to further develop initiatives to take us forward to the next level.

As reported in 2011, an objective for the Executive Committee was to actively pursue additional funding to support a number of development activities which were deemed crucial to the ongoing business of the AAF.

I am pleased to report that project funding to progress the utility of the AAF in the sector has been provided by the Department of Industry Innovation, Science, Research and Tertiary Education (DIISRTE) via Council of Australian University Directors of Information Technology (CAUDIT) to carry out a number of key strategic initiatives into 2014. Completion of these activities will help drive broader research sector participation in the Federation - one of the AAF's objectives for 2013.

A further objective has been to strengthen the value proposition of the AAF to our subscribers as this is seen as a key factor in the path to future growth. To this end we have expanded our efforts to broaden the scope of services available to subscribers.

Much of the initial work up to now has focussed on establishing core activities to ensure the AAF is sustainable into the future. The next phase places emphasis on the growth of services and extending coverage of the AAF beyond the current subscriber base, improving the end-user experience, and continued collaboration with overseas federations on future developments.

I would like to express my appreciation to DIISRTE for their ongoing support and confidence in the AAF and, on a personal note, to Kate Hurford for her valuable advice and assistance to the Executive Committee.

The AAF has been well managed in the past and 2012 was no exception. This is largely due to the leadership and diligence of Heath Marks and his dedicated staff. The achievement of our outcomes is very much dependent on the significant contribution made by Heath and the team.

In closing, I would like to thank all the committee members for their active contribution, support and commitment. I have great confidence in the Executive Committee to provide the guidance and direction necessary to keep the AAF strong into the future.

I look forward with optimism to 2013.

David Toll

President, Australian Access Federation Inc.

Executive Committee

The Australian Access Federation Inc. is governed by an Executive Committee. There is currently one vacancy on the committee which is in the process of being filled. The Members of the Executive Committee are:



Mr David Toll
President

David has worked with CSIRO for ten years where he is Chief Information Officer with responsibility for IT, eResearch and library functions. Previously David held the positions of Chief Financial Officer and General Manager, Finance. David is a member of the VERNET Board, the Australian National Data Service (ANDS) Steering Committee, the National Computational Infrastructure (NCI) Board, the Pawsey Centre Steering Committee and is a fellow of CPA Australia. David was elected to the position of AAF President in April 2012.



Mr Paul Sherlock
Past President

Paul has been Director of Information Strategy and Technology Services at the University of South Australia (UniSA) for the past 11 years. Prior to joining the University, Paul held senior ICT management roles at the Defence Science & Technology Organisation (Adelaide) and BHP Billiton (Whyalla). Paul has been Past President of CAUDIT since April 2012 and is the author of the complexity index which is used to help make meaningful comparisons of benchmarking data across the Australia and New Zealand Higher Education sector. Paul has been Director and Chair of SABRENet Ltd since its formation in September 2006. He is a Member of the Australian National Data Service (ANDS) Steering Committee, the AARNet Advisory Committee, the NeCTAR Project Board and the Australian eResearch Infrastructure Committee (AeRIC). Paul is also the Project Director for the \$37M Super Science funded National Research Network Project. Paul has formal qualifications in Engineering (Electrical), Computing, Business (MBA), and Finance and is a graduate member of the Australian Institute of Company Directors.



Mr Marc Bailey
Treasurer

Marc joined the board of AAF in 2010, serving as Treasurer since 2011, and is the 2013 Chair of NSW and ACT Council of University Directors of IT (NAUDIT). He is an experienced information technology professional with a strong background in theoretical and applied software engineering. Marc's career has included international roles in the healthcare, defence, financial, mining and telecommunications sectors. Now patriated to the Higher Education sector as Chief Information Officer at Macquarie University, Marc brings a range of vendor and private enterprise experience to this position. Marc has won recognition for innovation including: the 2008 Sir Rupert Hamer Award for Advancements in Recordkeeping across Victoria for design and delivery of the first VERS2 compliant electronic content management software technology; 2009 election to the Executive Committee of the EU Forum developing the European Model Requirements for the Management of Electronic Records; and the 2011 Ventana Research Location Intelligence award.



Mr Bruce Callow
Secretary

Bruce is the Director of Information and Communication Technology Services for Griffith University, a position he has occupied since January 2009. Previous to this, Bruce was the Associate Director of Enterprise Information Systems for Griffith. During this period he was on the Board of Directors for the global Higher Education Users Group and Chair of the ANZ Higher Education Users Group. Bruce has been an IT professional for over 30 years and his varied background includes 14 years as an Army Officer in various IT related roles, a number of years as an IT Manager in large Local Government Authorities and as a business manager with AWA Computers.



Mr Richard Northam
Public Officer AAF Inc.

Richard is the Chief Executive Officer of CAUDIT. Richard has more than 20 years' experience in the ICT industry and has worked in the Private, Commonwealth Government and Higher Education Sectors in Australia. Throughout his career, Richard has taken a strategic leadership role in shaping and enhancing the role of Information Technology within various organisations. More recently he has played a key national and international leadership role in enhancing research through the use of new methodologies and development of eResearch infrastructure that are enabled by Information Technology. Richard recently co-authored an article in EDUCAUSE Review on "Cloud Computing and the Power to Choose" and sits on the board of EDUCAUSE which is a US based association which represents the best thinking in higher education IT. Richard holds a Bachelor of Engineering (Electronics) and is a Member of the Australian Institute of Company Directors.

Member at Large

Mr John Parry

University of Tasmania

Co-Opted Non-Voting Member

Ms Kate Hurford

Department of Industry, Innovation, Science, Research and Tertiary Education

AAF Team

Mr Heath Marks
AAF Manager

Heath was appointed by the Council of Australian University Directors of Information Technology (CAUDIT) in July 2009 to head a Team to support the AAF's operations, engage with the higher education and research sectors and more specifically grow the Federation into the future. Heath is an IT professional with a wealth of management experience in the successful delivery of Information Technology within the tertiary education sector. Heath has formal qualifications in Business (MBA, MTechMgt) and Computing (BIT).

Mr Terry Smith
Technical Manager

Terry is responsible for the ongoing operation of the federation and for providing support and training activities to the AAF subscriber community. Terry is an experienced IT professional who has been working in Identity and Access Management in the tertiary sector for more than 25 years. In early 2009 Terry managed the AAF Pilot project that boot-strapped today's AAF operation.

Ms Glenys Kranz
Service Delivery Manager

Glenys started with the AAF Team in September 2009. Glenys has a background in Human Resource Management and has, for the most part, worked in higher education across the Brisbane universities. Glenys worked as a Change Manager on a number of IT projects before moving to the AAF.

Mr Bradley Beddoes
Technical Architect

Bradley is responsible for the design and implementation of AAF software and system architectures. Bradley has worked on delivering secure, standards focused web applications and redundant, scalable IT architectures for the past 11 years within Australia and abroad.

Mr Paul Stepowski
Senior Systems Engineer

Paul is responsible for the day-to-day maintenance of the AAF's IT infrastructure, as well as providing technical support and training activities to the AAF subscriber community. Paul has worked in the tertiary education sector for over 10 years. His technical expertise is in systems administration and systems integration with an emphasis on security.

Mr Dean Nottingham
Business Analyst

Dean was appointed in September 2012 to work with CAUDIT and the AAF on a number of the strategic initiatives funded by DIISRTE. For the past 5 years, Dean worked for the State Government as a Project Manager and Business Analyst on several IT projects to meet legislative requirements.



*Our **vision** is to be increasingly valued as the provider of access management services for Australian Higher Education and Research.*

*Our **mission** is to support the collaboration and resource sharing objectives of our subscribers through provision of effective access management technologies and services.*



The Year In Review

Our success to date has been driven by a number of carefully executed strategies which ensure our commitment to provide a valued service to our subscribers, enabling access to over one million identities in the research and higher education sector. A snapshot of highlights of the AAF's 2012 operations is set out below.

January

- The AAF operates entirely from its subscription income from 1 January. This is an important milestone, cementing the AAF's position within the research and higher education sector.

February

- Final Progress Report submitted to DIISRTE for initial funding grant to start-up the AAF (2009-2011).
- WAYF established in Perth

April

- AAF Inc Annual General Meeting held in Brisbane
- David Toll elected as new AAF President

May

- AAF joined the Australian eResearch Organisation (AeRO)

June

- Project funding provided by DIISRTE to enhance the utility of the AAF
- Annual Compliance Statements due on 30 June

July

- Federation Registry (FR) Version 2 upgrade released
- New fee per seat subscription option released
- Annual Subscriber Survey was conducted

August

- AAF Inc Executive strategy planning day in Canberra
- Appointment of Senior Systems Engineer

September

- Appointment of CAUDIT – AAF Business Analyst to work on the Enhancing the Utility of the AAF Projects



October

- AAF Inc General Meeting held in Sydney
- 2013-2015 Strategic Plan approved by the AAF Inc Members
- 2013 Business Plan approved by the AAF Inc Members
- AAF's Federation Status Dashboard goes live

November

- 2013 AAF Subscription invoices sent

December

- AAF Subscription categories revised

AAF Inc Meetings

In 2012 meetings of the AAF Inc Executive Committee occurred on 3 February, 16 March, 5 July, 29 August and 5 December. The AAF Inc meeting of the Members occurred on 19 April (Annual General Meeting) and 11 October (General Meeting).

Subscription Growth

As of 31 December 2012 the AAF had 68 subscribers which comprised all Australian universities, CSIRO, a number of research support organisations and organisations providing products and services to the sector. This represents over one million identities in the research and tertiary education sector. 30 of the subscribers have also chosen to be Members of AAF Inc.

As expected, New Zealand universities did not renew their subscription to the AAF in 2012 but instead subscribed to Tuakiri (the New Zealand Federation).

New service provider only subscriptions have increased by 77.7% (9 to 16) that, in the main, are publishers already operating in this space with international federations.

The AAF has introduced new subscription products (see Page 10 Expanding upon AAF's products) to assist smaller organisations to subscribe to the AAF in a cost effective manner.

Service Growth

As at 31 December 2012, there were 92 services registered in the Federation with 46 new services added during the year. We also saw a small number of services decommissioned from the federation in 2012, which we would expect due to the sometimes short life of IT services. To date the services registered in the Federation support both teaching and learning and research.



Expanding upon AAF's products

In December 2012 the AAF Executive reviewed the structure of our subscription categories in order to simplify product lines and improve the clarity of the services provided by the AAF, and to meet the evolving nature of the federation. Four product lines were identified:

- **AAF Enterprise**, for whole-of-organisation / institutions or large enterprises that undertake or support education, research or research and development
- **AAF Team**, for part-of-organisation / large enterprises that undertake or support education, research or research and development
- **AAF Hosted**, for small institutions that undertake or support education, research or research and development that are too small to run an Identity Provider (<100 users)
- **AAF Publisher**, for vendors that provide products or services which support education, research or research and development

As part of the review, the base number of services that organisations are able to register into the AAF was doubled (from 10 to 20). This provides a significant cost saving to our subscribers that will assist with planning and adding new services now and into the future.

In meeting the needs of our smaller collaboration partners and their requirement to easily commence accessing AAF connected services, **AAF Hosted** was introduced. AAF Hosted is specifically designed for small research organisations that are unable to manage their own Identity Provider.

Annual Compliance Program

AAF subscribers submitted their annual compliance statement confirming that their systems and processes were fully compliant to the Federation Rules on or before 30 June 2012.

AeRO Membership

The AAF became a member of Australian eResearch Organisation (AeRO) in May. AeRO is made up of State-based eResearch service providers to advance the provision of eResearch services nationally to stimulate and enhance collaboration between and amongst researchers, research institutions and eResearch service providers nationally and internationally.

In June 2012, the AAF Public Officer and AAF Manager presented as part of the User Support workshop.



International Engagement

The AAF continued to engage in a number of initiatives, meetings and other activities in order to further international collaboration with overseas federations. AAF staff took part in formal and informal meetings to discuss issues of common interest, including both technical and policy issues.

The AAF also continued to assist the New Zealand Federation, Tuakiri, where appropriate.



"The AAF Federating Services workshop was a wonderful learning experience, presented by knowledgeable and helpful staff at a good pace; at the end of the day I was able to take this knowledge back to my team and teach them how to federate a service."

Griffith University

"The preparation [of the workshop] was outstanding. It was noticed and appreciated."

University of Melbourne

"I highly recommend this workshop for those wanting to get on top of the fundamentals of integrating services with Shibboleth and the AAF. This task can seem daunting at first, but this workshop builds the understanding to show how simple it really all can be."

Deakin University



Service Development

Service Usage

Figure 1 (page 13) outlines the AAF top ten services, including top 5 users, from 1 January 2012 to 31 December 2012 that were accessed by the AAF's Where Are You From (WAYF). A number of new service providers are providing access via their own mechanisms, meaning that session data is not available to the AAF. The top service in 2011 was the eGrad School and QUT Wiki. This has been replaced in 2012 with Wiley On-line services, a new subscriber in 2011. The AAF has seen steady growth in new publishers subscribing to the AAF and connecting their services to the federation in 2012.

AAF Federating Services Workshops

The AAF conducted five one-day workshops (Brisbane, Sydney, Melbourne, Adelaide and Perth) throughout the year with 34 participants receiving training. The workshops were well received by all participants and generated a total income (ex gst) of \$19,175. The AAF's Workshop Program will continue throughout 2013.

The workshop delivered the following outcomes to participants:

- an understanding of the Federation Registry management tool;
- knowledge on how to register a new service with the federation;
- an understanding on how to install the shibboleth service provider software;
- knowledge on how to obtain information about users accessing their service; and
- an understanding of how to integrate new and existing applications to the federation using AAF supported integration libraries for popular platforms such as Java/Groovy, PHP, Ruby and .NET.

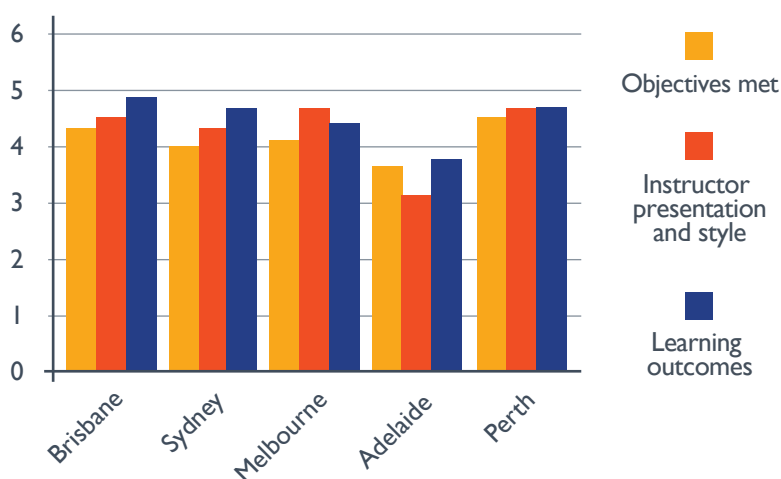


Figure 2: 2012 Feedback response by participants attending AAF Federating Services Workshops

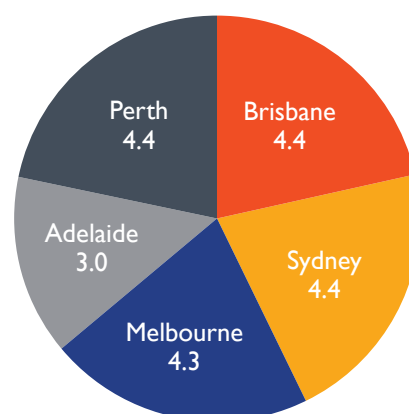


Figure 3: Overall satisfaction rating by participants attending the AAF Federating Services Workshops

Wiley On-line Services 23% (25534)

The University of Sydney 8% (1959)
 The University of Melbourne: 7% (1754)
 Macquarie University: 6% (1600)
 University of New South Wales: 5% (1373)
 The University of Queensland: 5% (1328)
 Other: 69% (17520)

eGrad School and QUT Wiki (Queensland University of Technology 17% (18742)

The University of Queensland: 16% (2955)
 The University of Technology, Sydney: 14% (2714)
 University of South Australia: 13% (2432)
 RMIT University: 12% (2339)
 Queensland University of Technology: 9% (1633)
 Other: 36% (6669)

Nectar Research Cloud 11% (12590)

The University of Melbourne: 32% (3988)
 Monash University: 8% (989)
 Adelaide University: 6% (698)
 The University of Queensland: 6% (695)
 AAF Virtual Home Organisation 5% (691)
 Other: 43% (5529)

ARCS Access Services (Intersect) 6% (6479)

University of Technology, Sydney: 11% (696)
 The University of Queensland: 10% (675)
 Curtin University: 7% (473)
 ARCS Identity Provider: 7% (423)
 The University of Western Australia: 6% (408)
 Other: 59% (3804)

iVEC DataFabric 5% (6089)

The University of Technology, Sydney: 14% (1857)
 Curtin University: 14% (829)
 The University of Queensland: 12% (723)
 CSIRO: 7% (424)
 ARCS IdP: 5% (282)
 Other: 48% (2971)

All other services 23% (25383)

Emerald Insight On-line 3% (3086)
 Australian Urban Research Network Portal 3% (3016)
 CAUDIT Connect 2.5% (2810)
 Western Australia Reciprocal Borrower 2.07% (2328)
 Australian Phenomics Facility 1.64% (842)
 CAUDIT Profile and Benchmarking System 1.4% (1674)
 QuestNET Wiki 1.01% (1132)
 Australian National Corpus 0.88% (948)
 Genomics Virtual Lab Workflow Members Portal 0.49% (551)
 VPAC Compute Cloud 0.44% (498)
 Queensland Regional Network Operations Wiki 0.27% (301)
 Nimrod-MeRC Service 0.11% (129)
 CSIRO Data Portal 0.11% (129)
 VerSI Wiki 0.10% (113)
 Terrestrial Ecosystem Research Network DOI service 0.1% (113)
 etc...

Short Lived Certificate Service (Intersect) 3% (3765)

The University of Auckland: 57% (2153)
 The University of Canterbury: 11% (406)
 Adelaide University: 6% (225)
 Land Care Research New Zealand: 6% (221)
 Lincoln University NZ 3% (122)
 Other: 17% (638)

ANDS on-line services (Moash University) 3% (3349)

Monash University: 26% (880)
 AAF Virtual Home Organisation: 7% (231)
 Griffith University: 6% (203)
 CSIRO: 5% (158)
 Australian National University: 5% (156)
 Other: 51% (1721)

Genomics Virtual Lab (The University of Queensland 3% (3171)

The University of Queensland: 99% (3144)
 University of New South Wales: .28% (9)
 AAF Virtual Home Organisation: .16% (5)
 The University of Melbourne: .16% (5)
 University of Southern Queensland: .06% (2)
 Other: .19% (6)

Labshare (University of Technology, Sydney) 3% (3670)

University of Technology, Sydney: 81% (2956)
 Curtin University: 9% (339)
 Queensland University of Technology: 3% (97)
 University of Canterbury: 2% (72)
 University of Western Sydney: 2% (70)
 Other: 3% (136)

Translational Research Institute (TRI) Portal 3% (3669)

The University of Queensland: 77% (2842)
 Queensland University of Technology: 18% (658)
 AAF Virtual Home Organisation: 4% (137)
 University of Southern Queensland: .38% (14)
 Australian Catholic University: .16% (6)
 Other: .46% (12)

Figure 1: AAF Top Ten Services, Including Top 5 Users: 1 January 2012 to 31 December 2012 (Total 112,441 Sessions)

Technical Report

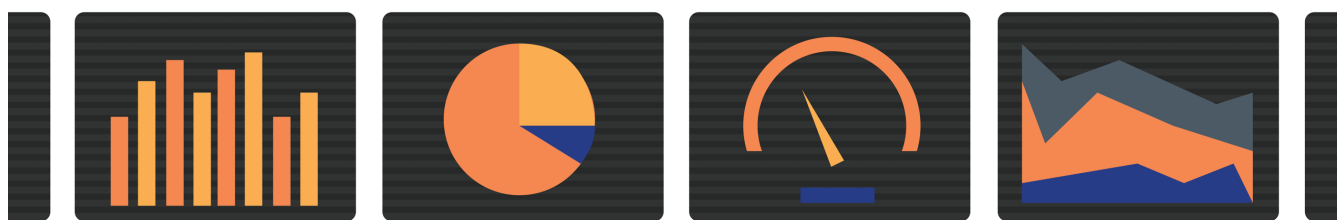
WAYF Hosting

In February 2012 a new **Where Are You From** server (WAYF) was established in Perth. Distribution of WAYF servers at key points across Australia assists in ensuring the high availability of the Federation. Using the AnyCAST network (provided by AARNet), users accessing Federated services are directed to their nearest WAYF based on their geographical location. The new WAYF joins others operating in Brisbane and Melbourne. Testing commenced in late 2012 to host a further two WAYFs in Sydney that are expected to go live in early 2013.

Federation Monitoring Providing Subscribers Information on the Health of the Federation

2012 saw the development and release of AAF's monitoring infrastructure. The key features of AAF's infrastructure monitoring include:

- Local monitoring of all AAF managed infrastructure;
- Monitoring of the core AAF managed infrastructure components from international locations (North America, Europe, Asia Pacific and Africa) via a cloud based monitoring service;
- Local monitoring of our subscribers Identity Providers and Service Providers; and
- An integrated **Federation Status Dashboard** to provide up to date information of the health of the federation as a whole (see: status.aaf.edu.au).



Service Desk Tickets

During 2012 the AAF experienced a 28.75% increase in support tickets over 2011. The type of queries and problems submitted by subscribers managing an Identity Provider has declined while there has been an increase in tickets from subscribers requiring support to connect services to the federation.

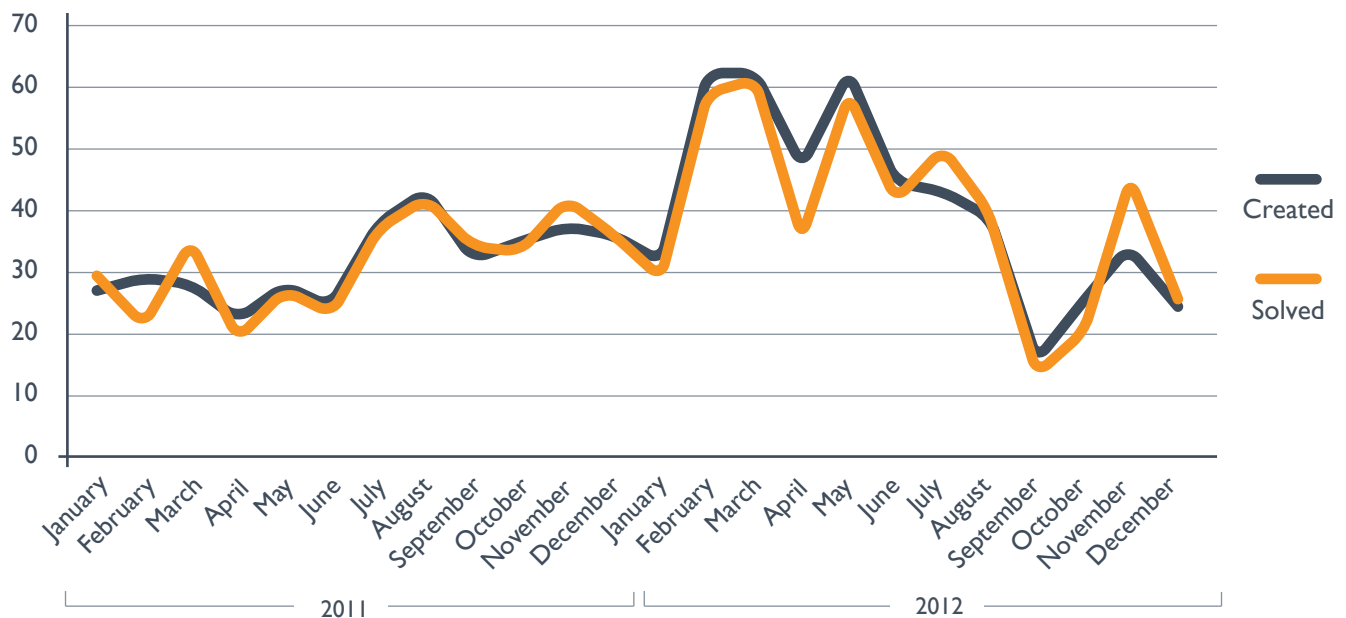


Figure 4: Number of Help Desk Support Tickets Created and Solved from 1 January 2011 – 31 December 2012

Federation Registry V2

The **Federation Registry (FR)** is the management integration hub for all AAF components, AAF Identity Providers and Service Providers. Most importantly it provides a self-service interface for AAF's subscribers to manage their technical registrations within the federation. The FR software was developed by the AAF in 2010. An upgrade to Version 2 of the FR mid-year delivered a number of important new features and benefits for our subscribers. These included:

- A refined user interface which supports iPad and iPhone;
- Enhanced reporting, including the ability to export reports to excel, and improved attribute compliance reporting;
- Enhanced management of Identity Provider and Service Provider contact details; and
- Improved workflow that is more intuitive for end users registering Organisations, Identity Providers and Service Providers.

2012 saw the trend continue with international federation operators evaluating and implementing AAF's FR software and it is rapidly becoming the leading federation management software in use today.

Professional Services

The AAF has gained considerable knowledge and expertise with respect to federated infrastructure development and identity management. In 2012 the AAF responded to a number of ad hoc approaches to provide professional consultancy services to meet specific business needs in a reliable, cost-effective and timely manner. Next year the AAF will increase its knowledge management role through a number of related activities, including continued consultancy services, training and webinars.

RDSI Feasibility Study

In January 2012, Research Data Infrastructure Project (RDSI) commissioned the AAF to undertake a feasibility study to identify the possibilities for enhancing fine-grained access control capabilities for federated web based services. The Feasibility Study was submitted in March 2012 after consultation with a range of AAF subscriber organisations and included a number of recommendations that would meet the needs of the RDSI project.

Marketing and Communication

Conferences

The AAF had a presence at the following conferences and key industry meetings during the year:

- 33rd APAN Meeting (Thailand)
2 presentations at Research and Education Federations (REFEDS) stream: 'The AAF From start-up to a steady state Federation in 2.5 years' and 'AAF Middleware Update' – AAF Manager and Technical Manager
- CAUDIT Autumn Member's Meeting
Presentation 'National Entitlement Service for fine grained access control' – AAF Manager
- REFEDS Meeting at TERENA Networking Conference 2012 (Iceland)
Presentation: 'AAF Update – Federation Registry' – AAF Manager and Technical Architect
- QUESTNet 2012 Conference
Workshop 'The Federation and Beyond – are you ready?' - Technical Manager
Presentation 'What's behind the AAF Front Door' – AAF Manager
- REFEDS Fall Meeting (The Netherlands)
Presentation at Virtual Organisation Architectural Middleware Planning (VAMP) Workshop – AAF Manager
- eResearch Australasia 2012 conference
Workshop 'The Federation and Beyond – are you ready?' – Technical Manager

2012 Subscriber Survey

In July 2012 the AAF began its inaugural annual subscriber survey. The survey's aim was to provide the AAF with baseline data on subscriber needs and to understand the importance of activities undertaken by the AAF for future planning. The survey also formed part of the data for the AAF Executive Strategic Planning Day in August.

The survey response rate was a credible 75% and elicited the following key results:

- Satisfaction level for the AAF as a service was high and all subscribers indicated that the AAF was important to their business;
- The majority of respondents indicated that the AAF met the needs of the Australian eResearch community, provided effective help desk and support services and was viewed as a service of value to the sector; and
- Some respondents said that more tools, documentation and workshops were required to assist users as well as promoting services within the sector.



www.aaf.edu.au

The AAF website at www.aaf.edu.au provides information to subscribers, potential subscribers and the research community. The website recorded 8,848 unique visitors in 2012 compared with 5,264 in the previous reporting period – an increase of 68% from 2011. 53.51% of all visits were new visitors and 46.49% of all visits were returning visitors.

The peak period of website hits occurred in May which coincided with communications regarding compliance statement requirements and promotion of the AAF workshop to be held in Melbourne.

AAF Newsletters

Three editions of the AAF Newsletter and four editions of the AAF Technical Newsletter were published during the year. In early 2012 the AAF adopted a new cloud mail campaign tool (MailChimp) to manage email lists, automatically add / delete subscribers and view reports on statistical data for each campaign. Table 1 highlights the frequency and open rate for the newsletters over 2012.

The Technical Newsletter is specifically produced for the AAF technical community, to provide practical information, updates on software development activities, upcoming workshops and new releases.

The AAF General Newsletter is designed to provide the latest news on AAF's activities, policy and strategy for the IT Directors, CIOs and key contacts within our subscribing organisations.

Campaign	No. of Mail List Subscribers	% Open Rate
2012 AAF General Newsletter		
Edition 4: March	265	43.1%
Edition 5: June	266	40.8%
Edition 6: October	251	40.8%
2012 AAF Technical Newsletter		
Edition 6: February	157	42.7%
Edition 7: April	161	42.1%
Edition 8: August	151	35.6%
Edition 9: December	175	35.1%

Table 1: 2012 Published Newsletters – Subscribers and Open Rates

Strategic Initiatives

Enhancing the Utility of the AAF Project - DIISRTE Funded Strategic Initiatives

In June 2012 the Department of Industry, Innovation, Science, Research and Tertiary Education (DIISRTE) provided project funding (\$330,000) to enhance the AAF's utility and hence drive broader research sector participation in the Federation. CAUDIT received the funding on behalf of the AAF to undertake a range of development activities, including:

Institutional Service Desk Engagement Program

In September 2012 Dean Nottingham was appointed by CAUDIT as the Business Analyst to lead the development of a reusable framework that will leverage existing service desks within universities to improve coordination, knowledge sharing and enhanced user experience across the sector using the AAF as the use case.

The key benefits expected to be delivered by the project are:

- improved experience for the end users of national eResearch services, through reduced end user confusion and improved support from AAF subscribers; and
- a proven reusable framework on which to build user support for national distributed services.

Expected to complete in mid-2013, the program will also provide foundation work for the AeRO User Support Working Group.

Virtual Home Registry (VHR)

Development of an AAF Hosted Virtual Home Registry (VHR) solution to provide a platform for on-boarding small organisations and collaborative research facilities that are unable to run their own Identity Provider. The VHR will also provide a service for existing subscribers to manage identities for international, government and industry-based researchers external to their organisation.

The AAF Technical Architect was seconded to undertake the development of the VHR software in late September. User acceptance testing with a select group of AAF subscribers will occur in January 2013 with an anticipated go live in April 2013.

AAF Level of Identity Assurance Registry (LoIAR)

As part of the AAF infrastructure, the LoIAR will provide a web user interface that will allow researchers to register and request a higher level of identity assurance. Workflows built into the LoIAR will allow registration authorities (RAs) to approve such requests based on personally identifiable information submitted by each researcher. Work will commence on this project in 2013.

Identify Provider (IdP) improvement program

An Identity Provider (IdP) improvement program will assist service providers to have a higher level of trust in the information that is asserted. A target sub group of AAF subscribers that require assistance with maturing their identity provider will be identified to develop a reusable package of content that will:

- provide advice on issuing higher levels of assurance 2 (LoA2) by using the LoIAR; and
- assist institutions to improve the quality and reliability of their IdP configurations.

Work will commence on this project in 2013.

Our Plan for Success

2013-2015 Strategic Plan

At the AAF General Meeting in October 2012, AAF Members endorsed the 2013-2015 Strategic Plan for taking the AAF into the future.

The following key strategic objectives have been identified by the AAF as areas of focus over the next three years:

1. **Further strengthen the AAF operating model**, by:
 - attracting new subscribers
 - lowering Service Provider fees to attract and retain a growing number of commercial services
 - collaborating with national eResearch services and provide architectural support and advice
 - adopting a highly customer-centric operating model.
2. **Extend AAF technical capability to meet stakeholder expectations**, by:
 - developing services to enable fine grained access control and group management for Service Providers
 - developing cloud-based approaches for participation in the AAF.
3. **Connect AAF services internationally**, by:
 - aligning with international Federation initiatives to enable international access to federated services.

A full copy of the Strategic Plan can be found at www.aaf.edu.au.

The Year Ahead

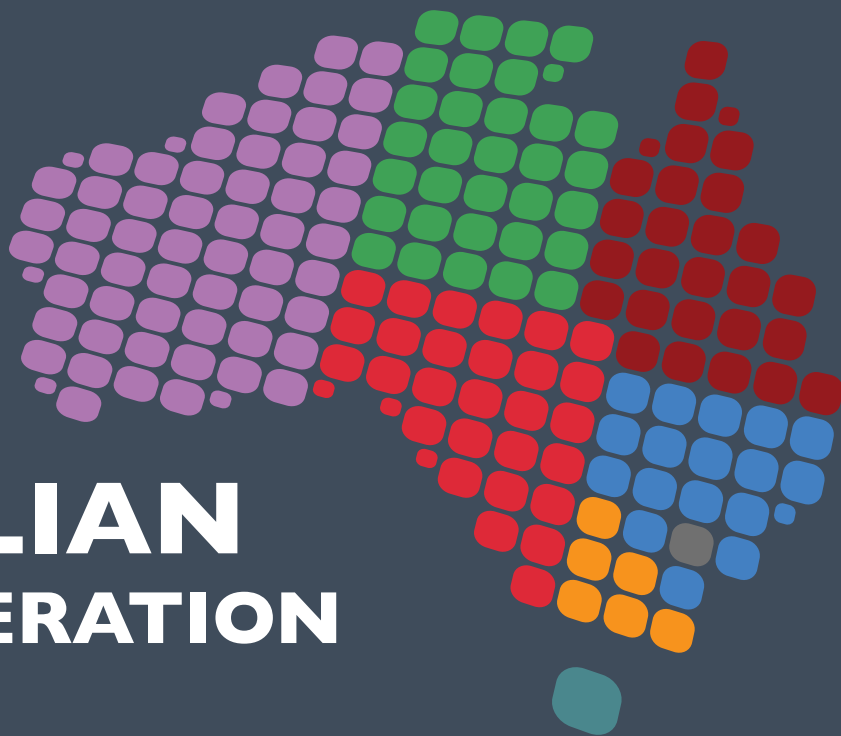
The year ahead will see the AAF focusing on implementing the following key activities that have been set out in the 2013 Business Plan.

1. Provide **operational support services** (Service Desk, Knowledge Base and technical documentation, assisting subscribers identify services of value to the Federation, best practice and technical architecture advice) to ensure existing subscribers gain best value from their subscription;
2. Provide **business development services** (policy advice, technical support and presentations on demand) to assist new organisations to subscribe to the AAF;
3. Provide **compliance support activities** associated with the Federation Rules and annual Compliance Statements;
4. Undertake **marketing and communication** activities that focus on promoting the AAF's value proposition;
5. Develop and deliver **training workshops** aimed at increasing the skill base across the higher education and research sector with respect to federating services for access via the AAF; and
6. Ensure the **technology** on which the AAF depends is appropriately maintained (application patching, security bug fixes and minor enhancements to the Federation Registry).

Undertaking these operational activities will be enabled by an operational support model provided by the AAF and in part organisational and administrative support provided by CAUDIT.

A number of the DIISRTE funded strategic initiatives will also be completed throughout 2013.

A full copy of the Business Plan can be found at www.aaf.edu.au.



AUSTRALIAN ACCESS FEDERATION SUBSCRIBERS

Curtin University
Edith Cowan University
Murdoch University
The University of Notre Dame
The University of Western Australia

eResearch SA
Flinders University
The University of Adelaide
University of South Australia

University of Canterbury (NZ)

Cambridge University Press
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Ingram Library Services
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NetSpot
RMIT Publishing
The Royal Society of Chemistry (RSC)
TALIS Information Limited
TERENA

Charles Darwin University

Deakin University
La Trobe University
Monash University
RMIT University
Swinburne University of Technology
The University of Melbourne
University of Ballarat
Victoria University
Victorian eResearch Strategic Initiative (VeRSI)

Australian National University
University of Canberra

Tasmanian Partnership for Advanced Computing (TPAC)
University of Tasmania

Bond University
Central Queensland University
Griffith University
James Cook University
Queensland University of Technology
The University of Queensland
University of Southern Queensland
University of the Sunshine Coast

Charles Sturt University
Macquarie University
Southern Cross University
The University of New South Wales
The University of Sydney
University of Newcastle
University of New England
University of Technology Sydney
University of Western Sydney
University of Wollongong

Australian Academic and Research Network (AARNet)
Australian Catholic University
Australian Institute of Marine Science (AIMS)
Commonwealth Scientific and Industrial Research Organisation (CSIRO)
Council of Australian University Directors of Information Technology (CAUDIT)
Intersect Australia Ltd
National ICT Australia Limited (NICTA)
Open Universities Australia (OUA)
Queensland Cyber Infrastructure Foundation (QCIF)
QUESTNet & QRNO



Income Statements

The operation of AAF Inc in 2011 was funded jointly by the Department of Innovation, Industry, Science and Research (DIISR) as part of a \$2,000,000 grant (managed by Queensland University of Technology (QUT)) from June 2009 to December 31 2011 and AAF Inc subscriptions. In 2012 the operations of AAF Inc was funded entirely from AAF subscriptions.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

INCOME STATEMENT (CONSOLIDATED)
FOR THE YEAR ENDED 31 DECEMBER 2012

	AAF Inc. 2012	AAF Inc. 2011	Consolidated (AAF Inc & QUT Grant Managed) 2011
INCOME	\$	\$	\$
AAF membership subscriptions	516,102	437,580	437,580
Bank Interest	25,778	16,400	42,180
Training Income	19,175	-	-
Project Income	58,498	-	-
Other Income	18,859	60	60
TOTAL INCOME	<u>638,412</u>	<u>454,040</u>	<u>479,820</u>
EXPENSES			
Staff Salaries & On-costs	528,336	37,546	302,754
General Operating Expenses	53,020	26,058	30,701
Project Expenses	51,498	-	-
Meetings & Events	35,647	23,067	23,067
Conferences & Workshops	-	-	8,014
Contractors	-	-	130,120
Contributions to External Projects	-	-	519,469
Contributions to Internal Projects	-	-	30,000
Corporate Membership	-	-	2,062
Non-Capitalised Equipment	-	-	6,044
Depreciation	5,800	1,743	1,743
Accounting Fees	12,488	3,614	3,614
Audit Fees	2,000	2,000	2,300
TOTAL EXPENSES	<u>688,789</u>	<u>94,028</u>	<u>1,059,888</u>
PROFIT/(LOSS)	<u>(50,377)</u>	<u>360,012</u>	<u>(580,068)</u>
RETAINED FUNDS			
Opening Retained Funds	360,012	-	943,535
Profit/(Loss)	(50,377)	360,012	(580,068)
CLOSING RETAINED FUNDS	<u>309,635</u>	<u>360,012</u>	<u>363,467</u>

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

INCOME STATEMENT
FOR THE YEAR ENDED 31 DECEMBER 2012

	2012	2011
	\$	\$
INCOME		
AAF Subscriptions	516,102	437,580
Bank Interest	25,778	16,400
Training Income	19,175	-
Project Income	58,498	-
Other Income	18,859	60
TOTAL INCOME	638,412	454,040
EXPENSES		
Staff Salaries & On-costs	528,336	37,546
General Operating Expenses	53,020	26,058
Project Expenses	51,498	-
Meetings & Events	35,647	23,067
Depreciation	5,800	1,743
Accounting Fees	12,488	3,614
Audit Fees	2,000	2,000
TOTAL EXPENSES	688,789	94,028
NET SURPLUS (DEFICIT)	(50,377)	360,012

Operating Result

The Deficit from ordinary activities amounted to (\$50,377)

The substantial change in year-on-year salary expenses is the result of a change in operating arrangements from the Department of Innovation, Industry Science and Research (DIISR) Grant managed by the Queensland University of Technology (QUT) to autonomous self-sufficiency and therefore fully expensing all operating costs.

The actual net loss for the year and reduction in retained funds was a target as a result of a planned draw down of 2011 retained surplus.

This Income Statement should be read in conjunction with the accompanying notes to the accounts.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

STATEMENT OF FINANCIAL POSITION
AS AT 31 DECEMBER 2012

	2012	2011
	\$	\$
ASSETS		
Current Assets		
Bank - Operating a/c	37,990	27,501
Bank – Online Saver a/c	671,775	532,590
Bank - Online Saver a/c (DIIS RTE)	138,600	-
Term Deposit	10,610	10,000
Membership Debtors	250,968	339,037
Sundry Debtors	10,451	2,312
Total Current Assets	<u>1,120,394</u>	<u>911,450</u>
Non-Current Assets		
Equipment at wdv	10,750	7,427
Total Non-Current Assets	<u>10,750</u>	<u>7,427</u>
TOTAL ASSETS	<u><u>1,131,144</u></u>	<u><u>918,877</u></u>
LIABILITIES & EQUITY		
Current Liabilities		
Payables & Accrued Expenses	60,968	7,072
GST Liability	64,592	46,695
Prepaid Income	662,716	505,098
Total Current Liabilities	<u>788,276</u>	<u>558,865</u>
Non-Current Liabilities		
Re-imburse CAUDIT (leave entitlements)	33,233	-
Total Non-Current Liabilities	<u>33,233</u>	<u>-</u>
TOTAL LIABILITIES	<u>821,509</u>	<u>558,865</u>
NET ASSETS	<u><u>309,635</u></u>	<u><u>360,012</u></u>
MEMBERS FUNDS		
Retained Surplus	309,635	360,012
TOTAL MEMBERS FUNDS	<u><u>309,635</u></u>	<u><u>360,012</u></u>

This statement of financial position should be read in conjunction with the accompanying notes to the accounts.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

STATEMENT OF CHANGES IN EQUITY
FOR THE YEAR ENDED 31 DECEMBER 2012

	Retained Earnings \$	Total \$
Balance at 31 December 2010	<u>-</u>	<u>-</u>
Net Surplus (deficit)	360,012	360,012
Transfers	-	-
Balance at 31 December 2011	<u>360,012</u>	<u>360,012</u>
Net Surplus (deficit)	(50,377)	(50,377)
Transfers	-	-
Balance at 31 December 2012	<u>309,635</u>	<u>309,635</u>

This statement of changes in equity should be read in conjunction with the accompanying notes to the accounts.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

NOTES TO AND FORMING PART OF THE ACCOUNTS
FOR THE YEAR ENDED 31 DECEMBER 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of Preparation

The Committee has determined that the Association is not a reporting entity because there are no users dependent on a general purpose financial report.

The financial statements are special purpose financial statements prepared for the purpose of complying with the NSW Associations Incorporation Act 2009 and to satisfy the financial reporting requirements of the constitution and to meet the needs of the members of the Association.

The financial statements have been prepared in accordance with the recognition, measurement and classification requirements of Australian Accounting Standards and comply with the requirements of the following Australian Accounting Standards:

AASB 1048 Interpretation of Standards
AASB 108 Accounting Policies, Changes in Accounting Estimates and Errors

The financial report is prepared on an accruals basis and is based on historical costs and does not take into account changing money values or, except where stated, current valuations of non-current assets. Cost is based on the fair values of the consideration given in exchange for assets.

The following is a summary of the significant accounting policies adopted by the Association in the preparation of the financial report. These policies are consistent with the previous year unless stated otherwise.

(a) Income Tax:

The income of the Association is exempt from income tax under Division 50-5 of Income Tax Assessment Act 1997

(b) Income In Advance

Income received for subscriptions from members and events which will occur in relation to the subsequent financial year are treated as income in advance

(c) Income

Interest revenue is recognised on a proportional basis taking into account the interest rates applicable to the financial assets.

(d) Goods & Services Tax

Revenues, expenses and assets are recognised net of the amount of GST, except where the amount of GST incurred is not recoverable from the Australian Taxation Office. In these circumstances the GST is recognised as part of the cost of acquisition of the asset or as part of an item of the expense. Receivables and payables in the Statement of Financial Position are shown inclusive of GST.

(e) Equipment

Equipment is measured on the cost basis less depreciation and impairment losses. Depreciation is calculated on a straight-line basis, over the useful lives of the assets to the Association commencing from the time the asset is held ready for use.

The carrying amount of equipment is reviewed annually by the Association to ensure it is not in excess of the recoverable amount from those assets. The recoverable amount is assessed on the basis of the depreciated replacement cost of the asset.

Equipment that has been contributed at no cost, or for nominal cost, is valued at the fair value of the asset at the date it is acquired.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

NOTES TO AND FORMING PART OF THE ACCOUNTS
FOR THE YEAR ENDED 31 DECEMBER 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES CONTINUED

(f) Impairment

At the end of each reporting date, the Association assesses whether there is any indication that an asset may be impaired. If such an indication exists, the recoverable amount of the assets, being the assets depreciated replacement costs, is compared to the assets carrying value. Any excess of the assets carrying value over its recoverable amount is expenses in the income statement.

(g) Staff Leave Entitlements

Liabilities for staff salaries and staff leave entitlements expected to be settled within 12 months of the reporting date are recognised in current liabilities in respect of staff services up to the reporting date and are measured at the amounts expected to be paid when the liabilities are settled.

(h) Comparative Figures

When required by Accounting Standards, comparative figures have been adjusted to conform to changes in presentation for the current financial year.

(i) Critical Accounting Estimates and Judgments

The committee members evaluate estimates and judgments incorporated into the financial report based on historical knowledge and best available current information. Estimates assume a reasonable expectation of future events and are based on current trends and economic data, obtained both externally and within the Association.

(j) New Accounting Standards for Application in Future Periods

The AASB has issued a number of new and amended Accounting Standards and Interpretations that have mandatory application dates for future reporting periods, some of which are relevant to the association. The association has decided not to early adopt any of the new and amended pronouncements. The association's assessment of the new and amended pronouncements that are relevant to the association but applicable in future reporting period is set out below:

- AASB 9: Financial Instruments (December 2010) and AASB 2010-7: Amendments to Australian Accounting Standards arising from AASB 9 (December 2010).

These Standards are applicable retrospectively and include revised requirements for the classification and measurement of financial instruments, as well as recognition and de-recognition requirements for financial instruments.

These Standards were mandatorily applicable for annual reporting periods commencing on or after 1 January 2013. However, AASB 2012-6: Amendments to Australian Accounting Standards - Mandatory Effective Date of AASB 9 and Transition Disclosures (issued September 2012) defers the mandatory application date of AASB 9 from 1 January 2013 to 1 January 2015. This amendment is a consequence of the deferral of IFRS 9 to allow the IASB to complete its revision of that Standard. In light of this change of mandatory effective date, the association is expected to adopt AASB 9 and AASB 2010-7 for the annual reporting period ending 31 December 2015.

These Standards are not expected to significantly impact the association's financial statements.

- AASB 1053: Application of Tiers of Australian Accounting Standards and AASB 2010-2: Amendments to Australian Accounting Standards arising from Reduced Disclosure Requirements (applicable for annual reporting period commencing on or after 1 July 2013).

AASB 1053 establishes a revised differential financial reporting framework consisting of two tiers of financial reporting requirements for those entities preparing general purpose financial statements.

Tier 1: Australian Accounting Standards; and

Tier 2: Australian Accounting Standards – Reduced Disclosure Requirements.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

NOTES TO AND FORMING PART OF THE ACCOUNTS
FOR THE YEAR ENDED 31 DECEMBER 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES CONTINUED

Tier 2 of the framework comprises the recognition, measurement and presentation requirements of Tier 1, but contains significantly fewer disclosure requirements.

Since the association is a not-for-profit private sector entity, it qualifies for the reduced disclosure requirements for Tier 2 entities. The association is yet to decide whether it will take advantage of Tier 2 reporting.

- AASB 10: Consolidated Financial Statements, AASB 11: Joint Arrangements, AASB 12: Disclosure of Interests in Other Entities, AASB 127: Separate Financial Statements (August 2011), AASB 128: Investments in Associates and Joint Ventures (August 2011) and AASB 2011-7: Amendments to Australian Accounting Standards arising from the Consolidation and Joint Arrangements Standards (Applicable for annual reporting periods commencing on or after 1 January 2013).

To facilitate the application of AASBs 10, 11 and 12, revised versions of AASB 127 and AASB 128 have also been issued.

These Standards are not expected to significantly impact the association's financial statements.

- AASB 13: Fair Value Measurement and AASB 2011-8: Amendments to Australian Accounting Standards arising from AASB 13 (applicable for annual reporting periods commencing on or after 1 January 2013).

AASB 13 defines fair value, sets out in a single Standard a framework for measuring fair value, and requires disclosures about fair value measurement.

AASB 13 requires:

- inputs to all fair value measurements to be categorised in accordance with a fair value hierarchy; and
- enhanced disclosures regarding all assets and liabilities (including, but not limited to, financial assets and financial liabilities) to be measured at fair value.

These Standards are not expected to significantly impact the association's financial statements.

- AASB 2011-9: Amendments to Australian Accounting Standards – Presentation of Items of Other Comprehensive Income (applicable for annual reporting periods commencing on or after 1 July 2012).

The main change arising from this Standard is the requirement for entities to group items presented in other comprehensive income (OCI) on the basis of whether they are potentially re-classifiable to profit or loss subsequently. This Standard affects presentation only and is therefore not expected to significantly impact the association's financial statements.

- AASB 119: Employee Benefits (September 2011) and AASB 2011-10: Amendments to Australian Accounting Standards arising from AASB 119 (September 2011) (applicable for annual reporting periods commencing on or after 1 January 2013).

These Standards introduce a number of changes to the presentation and disclosure of defined benefit plans. These Standards are not expected to significantly impact the association's financial statements.

- AASB 2012-2: Amendments to Australian Accounting Standards – Disclosures – Offsetting Financial Assets and Financial Liabilities (applicable for annual reporting periods commencing on or after 1 January 2013).

AASB 2012-2 principally amends AASB 7: Financial Instruments: Disclosures to require entities to include information that will enable users of their financial statements to evaluate the effect or potential effect of netting arrangements, including rights of set-off associated with the entity's recognised financial assets and recognised financial liabilities, on the entity's financial position.

This Standard is not expected to significantly impact the association's financial statements.

AUSTRALIAN ACCESS FEDERATION INCORPORATED
ABN 13 155 355 685

NOTES TO AND FORMING PART OF THE ACCOUNTS
FOR THE YEAR ENDED 31 DECEMBER 2012

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES CONTINUED

- AASB 2012-3: Amendments to Australian Accounting Standards – Offsetting Financial Assets and Financial Liabilities (applicable for annual reporting periods commencing on or after 1 January 2014).

This Standard adds application guidance to AASB 132: Financial Instruments: Presentation to address potential inconsistencies identified in applying some of the offsetting criteria of AASB 132, including clarifying the meaning of “currently has a legally enforceable right of set-off” and that some gross settlement systems may be considered equivalent to net settlement.

This Standard is not expected to significantly impact the association’s financial statements.

- AASB 2012-5: Amendments to Australian Accounting Standards arising from Annual Improvements 2009-2011 Cycle (applicable for annual reporting periods commencing on or after 1 January 2013). This Standard amends a number of Australian Accounting Standards as a consequence of the issuance of Annual Improvements to IFRSs 2009-2011 Cycle by the International Accounting Standards Board, including:
 - AASB 1: First-time Adoption of Australian Accounting Standards to clarify the requirements in respect of the application of AASB 1 when an entity discontinues and then resumes applying Australian Accounting Standards;
 - AASB 101: Presentation of Financial Statements and AASB 134: Interim Financial Reporting to clarify the requirements for presenting comparative information;
 - AASB 116: Property, Plant and Equipment to clarify the accounting treatment of spare parts, stand-by equipment and servicing equipment;
 - AASB 132 and Interpretation 2: Members’ Shares in Co-operative Entities and Similar Instruments to clarify the accounting treatment of any tax effect of a distribution to holders of equity instruments; and
 - AASB 134 to facilitate consistency between the measures of total assets and liabilities an entity reports for its segments in its interim and annual financial statements.

This Standard is not expected to significantly impact the association’s financial statements.

NOTE 2: ASSOCIATION DETAILS

The Australian Access Federation Incorporated is an incorporated association under the New South Wales legislation Associations Incorporation Act 2009.

The registered office of the Association is 10 Nyora Place, Jerrabomberra, NSW, 2619

The principal place of business of the association is Building 9, Banks Street, Yarralumla, ACT

NOTE 3: EVENTS AFTER THE REPORTING DATE

Since the end of the financial year there have been no material post balance date events that could affect the financial position and performance of the Association.

The financial report was authorised for issue on the date the Committee Report was signed and dated.

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