

ASX Limited

Review of Special Report on Portfolio, Program and Project Management (PPPM)

31 October 2023

REPORT DISCLAIMER

Our report has been constructed based on information current as of 31 October 2023 and provided to us by ASX. Material events may have occurred since this date which are not reflected in our report. This report has been provided to ASX pursuant to the terms of our engagement letter (Statement of Work, or "SOW") dated 24 July 2023. Our work was not performed in accordance with generally accepted auditing, review, or other assurance standards in Australia and accordingly does not express any form of assurance. None of the services or any reports will constitute any legal opinion or advice. We did not conduct a review to detect fraud or illegal acts. We provided specific services only for this engagement and for no other purpose and we disclaim any responsibility for the use of our services for a different purpose or in a different context.

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1. Executive Summary

1.1 Background

On 21 February 2023, the Australian Securities and Investments Commission (ASIC) made a public announcement and issued statutory notices (“the ASIC Notices”) to ASX Limited, ASX Clear and ASX Settlement (“Licensees”) requiring:

- a. The Licensees to provide a Special Report into specified matters pursuant to section 794B and 823B of the Corporations Act 2001; and
- b. EY be nominated to undertake an audit of the Special Report pursuant to section 794B and 823B of the Corporations Act 2001 (Audit Report).

The Special Report on Portfolio, Program and Project Management was further defined in the written notices to ASX:

1. “The Licensee must, by 29 September 2023 give a report (“Special Report”) to ASIC detailing:
 - a. current PPPM Frameworks;
 - b. an assessment of current PPPM Frameworks against internationally recognised frameworks, either:
 - i. validating that they (or components of them) are fit-for-purpose for critical financial market infrastructure; and/or
 - ii. identifying any deficiencies or gaps in PPPM Frameworks and measures to be taken to rectify any such deficiencies

Without limiting the scope of the Special Report (as stated above), the ASIC Notices included mandatory items to be addressed as part of the Special Report (see Section 2.1 Background).

For the purposes of this report, “ASX” and the “Licensees”, refers to “ASX Limited”, “ASX Clear”, and “ASX Settlement”.

1.2 Scope

In accordance with the ASIC Notices, ASX has engaged EY to undertake an independent review of ASX’s Special Report on Portfolio, Program and Project Management. This includes an assessment of whether the Special Report appropriately addresses all Specified Matters within the ASIC Notices (see Appendix A), other PPPM Additional Matters determined relevant by EY, agreed with ASX in a Statement of Work (see Appendix B), as well as the plan, approach, activities, and governance arrangements involved in preparing the Special Report.

Refer to Section 2.2 for scope details.

1.3 Approach

EY adopted a ‘tell me’, ‘show me’ approach which included meeting with key stakeholders and performing an assessment of relevant artefacts.

As part of our assessment, we focused on:

1. **ASIC Specified Matters:** An assessment of outcomes from the Special Report, including validity of claims, conclusions, and recommended actions to rectify deficiencies, to evaluate whether the Special Report provides adequate coverage to address all Specified Matters as outlined in the ASIC Notices;
2. **Special Report Plan, Approach and Activities:** An assessment of the approach proposed by ASX when completing the Special Report, to evaluate whether it is adequately designed to address the Specified Matters requested by ASIC and any Additional Matters; and
3. **Additional Matters:** An assessment of outcomes from the Special Report, including validity of claims, conclusions, and recommended actions to rectify deficiencies, to evaluate whether the Special Report provides adequate coverage to address the 10 Additional Matters.

Refer to Section 2.3 for approach details.

1.4 Conclusion

Based on our work performed, we concluded that:

1. ASX's Special Report has addressed or partially addressed all 18 Specified Matters from the ASIC Notices. 15 were fully addressed and 3 partially addressed;
2. The work undertaken and governance arrangements used by ASX support the outcomes documented in the Special Report; and
3. ASX's Special Report has addressed 8 of the 10 Additional Matters as outlined in the EY Statement of Work (SOW).

1.5 Findings

EY developed an evaluation framework to assess the Special Report and associated activities undertaken by ASX. As part of this assessment, several positive findings were identified, which include:

- Methodical approach to the planning, preparation and completion of the Special Report;
- Responsive and inclusive engagement from ASX and generally timely provision of documentation / information requests; and
- ASX conducting sufficient governance arrangements in the production of the Special Report.

We also highlight three key findings as part of our assessment, including:

1. ASX has identified areas of improvement for its PPPM Framework and has developed a Delivery Uplift Roadmap to remediate these areas. However, we have observed deficiencies in the Delivery Uplift Roadmap planning and delivery approach, including effort estimations that are not at the appropriate level of detail, and no integrated resourcing view (refer to Section 3.1 'Summary of Findings and Recommendations' for further detail). This poses the risk, among other things, that the current Delivery Uplift Roadmap timeline may be materially inaccurate (too long or too short), and may not be managed or staffed appropriately resulting in poor outcomes and/or rework;

2. ASX did not review the quality of deliverables produced and outcomes on actual projects as part of the adherence tracking or the third-party Maturity Assessment to validate the current status of adoption and use (which we interpret to include quality) of PPPM Frameworks as requested in the ASIC Notices (2.d: current status of ASX Group-wide adoption and use of portfolio, program and project management frameworks and processes for managing requests for exemptions for any deviations or modifications in the application of the frameworks). This poses the risk that the current status of adoption and use of the PPPM Framework only captures the quantitative measures and not qualitative measures, while making it more difficult to measure improvement over time. We acknowledge that sign off is required for certain deliverables as part of the current adherence tracking process which implies that some review of content is conducted, however, a quality check is not an explicit requirement for sign off. It is noted that ASX plan to develop a formal Quality Management Framework as part of its Delivery Uplift Roadmap, which will supplement the current adherence tracking process; and
3. Our review identified two additional shortcomings (specified in the related recommendation below) where the Special Report did not completely address three ASIC Specified Matters and/or Additional Matters. This includes two deficiencies relating to ASX's PPPM Frameworks and associated artefacts, being Accountability Maps, Change Control & Baseline Management, and Progress Management (refer to Section 3.1 'Summary of Findings and Recommendations' for further detail). This poses the risk that ASX is not addressing all relevant PPPM Framework deficiencies required.

ASX's Special Report has addressed the majority of the Specified Matters detailed in the ASIC Notices. In doing so they have acknowledged a material gap in their Program Management Framework which does not exist and have outlined the existing initiative inflight to introduce a Program Management Framework to address this gap as part of the Delivery Uplift Roadmap. While ASX has presented a reasonable approach to address this material gap in their Special Report, without a Program Management Framework, ASX may not have adequate capabilities to make changes of a scale warranting a program approach without either a) the support of an external third-party or b) breaking the change into a series of projects leading to extra cost, time, and potential delivery risks.

For the avoidance of doubt, EY did not review the ClearStar Program or form an opinion about its program management delivery capabilities.

We note that EY has not reperformed activities conducted by ASX and/or third-party providers as part of this assessment. We have taken an agreed 'tell me', 'show me' approach to independently assess ASX's Special Report on Portfolio, Program, and Project Management and the claims made within it. We have not performed an exhaustive review of all aspects of the PPPM Framework, supporting documentation or conducted a Maturity Assessment ourselves.

Refer to Section 3.1 for findings details.

1.6 Recommendations

We have made three recommendations that map to the above findings, which include:

1. ASX should further develop its Delivery Uplift Roadmap to consider the work effort estimating process and resourcing requirements over time;
2. ASX should perform appropriate outcomes testing to assess the current status of ASX Group-wide adoption (including quality measures); and
3. ASX should implement relevant detailed recommendations to address all shortcomings identified during our review and expand the Delivery Uplift Roadmap to remediate such items (refer to Section 3.1 'Summary of Findings and Recommendations' for further detail). The two identified shortcomings impact:
 - a. Accountability Maps;
 - b. Change Control & Baseline Management; and
 - c. Progress Management.

Refer to Section 3.1 for recommendations details.

1.7 Scope Limitations

The work undertaken by EY is in the context of a reduced scope when in comparison to an audit conducted in accordance with Australian Auditing Standards and consequently does not enable us to obtain assurance that we would become aware of all significant matters that might be identified in an audit. Accordingly, we do not express an audit opinion in this report.

We acknowledge ASX for its cooperation in the undertaking of our assessment of the Special Report.

2. Introduction

2.1 Background

On 21 February 2023, the Australian Securities and Investments Commission (ASIC) made a public announcement and issued statutory notices to ASX Limited, ASX Clear and ASX Settlement (Licensees) requiring:

- a. "The Licensees to provide a Special Report into specified matters pursuant to section 794B and 823B of the Corporations Act 2001; and
- b. EY be nominated to undertake an audit of the Special Report pursuant to section 794B and 823B of the Corporations Act 2001 (Audit Report)"

The Special Report on Portfolio, Program and Project Management was further defined in the written notices to ASX:

2. "Special Report on PPPM Frameworks and capability

(1) The Licensee must, by 29 September 2023 give a report to ASIC detailing:

- a. current PPPM Frameworks;
- b. an assessment of current PPPM Frameworks against internationally recognised frameworks, either:
 - i. validating that they (or components of them) are fit-for-purpose for critical financial market infrastructure; and/or
 - ii. identifying any deficiencies or gaps in PPPM Frameworks and measures to be taken to rectify any such deficiencies,

(the **Special report**).

(2) Without limiting the scope of the Special Report required by 2(1), the Special Report must address the following specified matters:

- a. how PPPM Frameworks are aligned with, and integrated into, ASX Group's corporate governance framework, enterprise risk management framework and its accountability maps;
- b. how PPPM Frameworks will address and manage:
 - i. stakeholder engagement and communications;
 - ii. resource and capability management;
 - iii. vendor management;
 - iv. risks and issues management;
 - v. quality and assurance;
 - vi. organisational change management;
 - vii. Benefits Management;
 - viii. effective monitoring, reporting and performance assessment against approved plans, including Gated Reviews; and
 - ix. regulator engagement;
- c. how PPPM Frameworks will be subject to periodic review to measure their effectiveness and ensure they continue to be fit-for-purpose and contribute to improving the Licensee's overall delivery maturity;
- d. [Applies to ASX Limited only]: current status of ASX Group-wide adoption and use of portfolio, program and project management frameworks and processes for managing requests for exemptions for any deviations or modifications in the application of the frameworks;
- e. [Applies to ASX Limited only]: plans for ASX Group-wide adoption and use of portfolio, program and project

management frameworks (where gaps or deficiencies have been identified);

- f. the governance arrangements incorporated into PPPM Frameworks including (but not limited to):
 - i. organisation structures with clearly defined roles and responsibilities (including mandatory and optional roles);
 - ii. skills and experience requirements for members of governance and steering boards or committees;
 - iii. documented decision-making processes (including who is responsible for decisions) in respect of critical decisions such as business case approvals or variations, prioritisation, capability reviews, risk reviews and resourcing allocation; and
 - iv. requirements for reporting to boards and board subcommittees

(3) For the avoidance of doubt and where appropriate, the Special Report must detail implementation plans and specify the date by which the measures detailed in accordance with 2(1)(b)(ii) and 2(2)(e) will be taken.

3. Requirement to have the Special Report audited

- (1) The Licensee must have the Special Report audited by Ernst & Young (**Audit Report**).
- (2) The Licensee must provide the Audit Report to ASIC by 31 October 2023."

2.2 Scope

In line with the requirements of ASIC's Notices, EY has been engaged to review and assess that ASX has addressed all Specified Matters outlined in the written notices issued on 21 February 2023 to ASX Limited, ASX Clear Pty Limited and

ASX Settlement Pty Limited under sections 794B and 823B of the Corporations Act 2001 and to prepare an Audit Report. The scope of the Audit Report is an independent review of ASX's Special Report on Portfolio, Program and Project Management.

Our scope of work included the following:

- a) assess the approach proposed by ASX when completing the Special Report to evaluate whether it is adequately designed to address the Specified Matters requested by ASIC and other PPPM Additional Matters determined relevant by EY and agreed with ASX in a Statement of Work effective on 24 July 2023, and executed on 21 September 2023 (see Appendix B), noting that Additional Matters were discussed and agreed with ASX on 21 August 2023;
- b) assess outcomes from the Special Report, including validity of claims, conclusions, and recommended actions to rectify deficiencies to evaluate whether it provides coverage of the breadth and depth to address all related matters specified by ASIC's statutory notices and any Additional Matters; and
- c) conduct stakeholder meetings and review documented artefacts in relation to ASX's plan, approach, and process to prepare the Special Report.

Our assessment included:

- ▶ An assessment of the approach and governance used by ASX in the production of the Special Report to evaluate whether it was adequately designed to address all Specified Matters and Additional Matters;
- ▶ An assessment of the outcomes from the Special Report to evaluate whether ASX has reached appropriate conclusions / claims in relation to the Specified Matters and Additional Matters. This included considering internationally recognised PPPM standards (PRINCE2, MoP, MSP, P30 and P3M3);

- ▶ An assessment of existing documentation and demonstrable evidence that ASX has supplied to support the statements made in the Special Report;
- ▶ An assessment of the artefacts that ASX produced as an outcome of the Special Report to support the statements made. These includes factual accuracy attestations, the Maturity Assessment report, the Delivery Uplift Roadmap, and the Delivery Uplift Detailed Roadmap; and
- ▶ The governance and due diligence processes in place to appraise the third-party engaged to support the preparation of the Special Report.

Refer to Section 3 for further details of the work performed and the outcome of our assessment.

2.3 Approach

In undertaking our assessment for the delivery of this Audit Report the following activities were performed:

- ▶ **Documentation review.** Detailed assessment of supporting evidence related to the Specified Matters and Additional Matters, including various ASX Delivery Framework artefacts, a third-party PPPM Framework Maturity Assessment, ASX Special Report Plan & Approach, Drafts of the Special Report on Portfolio, Program and Project Management, and outputs and/or minutes of Special Report Working Groups and Board meetings.

Refer to Appendix C for the complete list of documents reviewed.

- ▶ **Special Report and Framework walkthroughs.** Several walkthroughs have been conducted to gain an understanding of the plan, approach and activities undertaken to prepare the Special Report. This included:
 - A walkthrough of the ASX Delivery Framework (in confluence);
 - A walkthrough of the attestation process to demonstrate the functionality of the attestation tool and the formal verification

and attestation process that was conducted by ASX prior to finalising the Special Report; and

- A walkthrough of the draft Special Report on Portfolio, Program and Project Management to assess the processes, governance and controls in place, the assessments performed, and the outcomes / conclusions obtained.

Refer to Appendix D for the complete list of stakeholder meetings conducted.

- ▶ **Stakeholder meetings.** Stakeholder meetings were conducted to observe and assess the development of the Special Report, including deep dive sessions for detailed analysis on specific items (leveraging a 'tell me', 'show me' approach). This included meetings with the ASX Executive Board, the Chief Operating Officer, The Special Report Working Group, the Head of EPMO, the Interim Head of PMO, the General Manager of Enterprise Delivery, as well as a third-party provider engaged by ASX to conduct the PPPM Framework Maturity Assessment.

Refer to Appendix D for the complete list of stakeholder meetings conducted.

- ▶ **Assessment of the coverage of the Specified Matters and Additional Matters.** Evaluation of the approach and scope proposed by ASX, and comparison of scope breadth and depth documented in the Special Report versus the topics included in the ASIC Specified Matters and Additional Matters. Our evaluation of the breadth and depth of the work completed by ASX included the following:
 - An assessment of the scope, process and outputs of the Maturity Assessment undertaken by ASX and its third-parties to determine if the activities undertaken to complete the assessment were sound and provided adequate coverage of the ASIC Specified Matters and Additional Matters;
 - An assessment of the initiatives included in the Maturity Assessment Report against the issues raised as an outcome of the Maturity Assessment performed;

- An assessment of the planning activities undertaken to plan uplift initiatives identified in the PPPM Maturity Assessment, including the scope of work undertaken to determine the activities and effort required to effectively deliver and implement the initiatives; and
- An assessment of the ASX Delivery Uplift Roadmap, to review the alignment with and integration of existing in-flight and newly proposed initiatives (by a third-party provider).

EY has not reperformed activities conducted by ASX and/or third-party providers as part of this assessment. We have taken an agreed 'tell me', 'show me' approach to independently assess ASX's Special Report on Portfolio, Program, and Project Management and the claims made within it. We have not performed an exhaustive review of all aspects of the PPPM Framework, supporting documentation or conducted a Maturity Assessment ourselves.

Refer to Appendix A and B for the details of the assessment.

2.4 Limitations

We draw your attention to the limitations inherent in this report:

- ▶ EY's work has not been performed in accordance with generally accepted auditing, review, or other assurance standards in Australia and accordingly does not express any form of assurance. None of the Services or any Reports will constitute any legal opinion or advice. EY will not conduct a review to detect fraud or illegal acts;
- ▶ EY do not assume any responsibility for any third-party products, programs or services, their performance or compliance with ASX's specifications or otherwise;
- ▶ EY did not set out to identify, address, or correct any errors or defects in ASX's computer systems, other devices, or components thereof ("Systems"), whether due to imprecise or ambiguous entry, storage, interpretation, or processing or reporting of data. EY will not be

responsible for any defect or problem arising out of or related to data processing in any Systems; and

- ▶ ASX are accountable and responsible for the Special Report on Portfolio, Program and Project Management and EY did not act as management or direct the preparation of the Special Report.

2.5 Use and disclosure of our reports

We are providing specific advice only for this engagement and for no other purpose and we disclaim any responsibility for the use of our advice for a different purpose or in a different context. If you plan to use this advice on another transaction or in another context, please let us know and provide us with all material information so that we can provide advice tailored to the appropriate circumstances.

Our Reports may be relied upon by ASX and ASX's regulators (ASIC and the RBA) for the purpose outlined in the SOW dated 24 July 2023 only.

We understand that ASIC and the RBA, and ASX may issue a media release and/or a public report referring to or publishing the content of our Reports and may make public or issue our Reports or a summary of the content of our Reports. We consent to ASIC, the RBA, and ASX publishing our Reports.

For the avoidance of doubt, no other party other than ASX and the Regulators may rely on the Report. We disclaim all responsibility to any such other party for any loss or liability that the other party may suffer or incur arising from or relating to or in any way connected with the contents of our Report, the provision of our Report to the other party or the reliance upon our Report by the other party.

3. Findings and Recommendations

3.1 Summary of Findings and Recommendations

During the course of our review observations were shared with ASX. These observations were discussed with ASX and, in most cases, addressed by ASX either by making changes to the Special Report or providing evidence to EY to address the observation. In a limited number of cases, EY closed observations as immaterial. The table below details the remaining findings and their associated recommendations including practical actions / steps that can be implemented by ASX.

Finding Area	Finding ID	Detailed Findings	Recommendations	Review Point
Delivery Uplift Roadmap	RM.01	<ul style="list-style-type: none"> ▶ ASX has evidenced that a consistent approach to high level estimates has been applied, however, ASX could not evidence the usage / application of a detailed estimations framework / process to support the development of the Delivery Uplift Roadmap. ▶ This poses the risk that current estimations for the duration of recommendations, as outlined in the Delivery Uplift Roadmap, may be materially inaccurate (too long or too short), resulting in poor outcomes and/or rework. 	<ul style="list-style-type: none"> ▶ ASX should complete detailed effort estimations to further evidence and validate that timelines represented in the Delivery Uplift Roadmap are accurately and consistently estimated. 	<ul style="list-style-type: none"> ▶ RP18: Detailed implementation plans.
	RM.02	<ul style="list-style-type: none"> ▶ ASX did not adequately consider resourcing as part of the Delivery Uplift Roadmap development nor has this been scheduled using an appropriate schedule presentation technique. ▶ This poses a risk that resourcing effort may not be appropriately balanced across the duration of the Delivery Uplift Roadmap, meaning a large number of deliverables may be due concurrently, impacting the feasibility of delivering the Delivery Uplift Roadmap within the proposed timeframes. 	<ul style="list-style-type: none"> ▶ ASX should conduct a standardised approach to resource estimation and scheduling to support Delivery Uplift Roadmap development. 	<ul style="list-style-type: none"> ▶ RP18: Detailed implementation plans.

Finding Area	Finding ID	Detailed Findings	Recommendations	Review Point
Outcomes Testing	OT.01	<ul style="list-style-type: none"> ▶ ASX did not review the quality of deliverables produced and outcomes on actual projects as part of the adherence tracking or the third-party Maturity Assessment to validate the current status of adoption and use (which we interpret to include quality) of PPPM Frameworks as requested in the ASIC Notices (2.d: current status of ASX Group-wide adoption and use of portfolio, program and project management frameworks and processes for managing requests for exemptions for any deviations or modifications in the application of the frameworks). ▶ This poses the risk that the current status of adoption and use of the PPPM Framework only captures the quantitative measures and not qualitative measures, while making it more difficult to measure improvement over time. We acknowledge that sign off is required for certain deliverables as part of the current adherence tracking process which implies that some review of content is conducted. It is noted that ASX plan to develop a formal Quality Management Framework as part of its Delivery Uplift Roadmap, which will supplement the current adherence tracking process. 	<ul style="list-style-type: none"> ▶ ASX should include requirements for outcomes testing as part of quality improvement actions on the Delivery Uplift Roadmap. Outcomes testing should consider evaluating project success rates, on time and budget delivery, customer satisfaction, stakeholder feedback, and other key performance indicators associated with project management. The results of this testing, when overlaid with the adherence tracking results and future quality testing results, could provide ASX further insights into the link between the use of the framework and the actual outcomes achieved (i.e., how often the framework deliverables are completed, how well they are completed, and whether they help ASX achieve the desired outcome). This may enable the identification of further improvement areas and help ASX make informed decisions to enhance project management practices. This will also help provide a benchmark for measuring improvement over time. 	<ul style="list-style-type: none"> ▶ RP12: Current status of Group wide PPPM Framework adoption and usage.

Finding Area	Finding ID	Detailed Findings	Recommendations	Review Point
Unsubstantiated Assertions	UA.01	<ul style="list-style-type: none"> ▶ ASX provided insufficient supporting artefacts as part of the Special Report, including both incomplete and missing change canvas documents (Atticus Document #133). ASX has provided 15 (out of 32) change canvases, which have not been completed in a consistent manner. EY did not sight the remaining 17 change canvases as part of the Special Report supporting evidence. ▶ This poses the risk that ASX has not considered how planned changes will impact stakeholders and pre-existing processes across all 32 recommendations. 	<ul style="list-style-type: none"> ▶ ASX should assess further evidence to validate claims made in the Special Report, regarding the following: <ul style="list-style-type: none"> ○ Further develop the 15 change canvas documents that have been provided to ensure these have been completed consistently. ○ Further satisfy itself that appropriate change impact assessments have been considered for the missing 17 change canvases. 	<ul style="list-style-type: none"> ▶ RP20: PPPM Special Report governance and due diligence.
Special Report Shortcomings	SS.01	<ul style="list-style-type: none"> ▶ ASX provided evidence to demonstrate how it undertakes scope management through the reporting of the Objectives/Benefits Red Amber Green (RAG) Status Indicator. ASX has not clearly documented this within the ASX Delivery Framework to enable consistent application across all projects. ▶ Therefore, there is a deficiency in the Baseline Management & Progress Management component of the ASX Delivery Framework noting that there is no clearly defined RAG status definition for 'Scope' to support Change Control, Baseline and Progress Management. ▶ This poses the risk that ASX may not be applying a consistent and robust approach to scope management, which may lead to project delays, overspend and uncontrolled change ('scope creep'). 	<ul style="list-style-type: none"> ▶ ASX should refine its current approach to Change Control, Baseline and Progress Management to either: <ul style="list-style-type: none"> ○ Include 'Scope' as a separate category within the RAG status definitions, inclusive of reporting thresholds and requirements; or ○ Update the 'Benefits/Objectives' RAG status definitions and measures to include specific guidance on Scope parameters inclusive of reporting thresholds and requirements. 	<ul style="list-style-type: none"> ▶ RP23: Change Control and Baseline Management. ▶ RP26: Progress Management.

Finding Area	Finding ID	Detailed Findings	Recommendations	Review Point
Special Report Shortcomings	SS.02	<ul style="list-style-type: none"> ▶ ASX provided evidence to substantiate that the Delivery Framework is integrated into ASX's Accountability Maps, however, certain information within the supporting documentation is out of date and not a true reflection of the current landscape. ▶ This poses the risk that accountability for project delivery is not clearly documented and that parties accountable for project delivery remain ambiguous. 	<ul style="list-style-type: none"> ▶ ASX should update the accountability frameworks / maps to reflect the current landscape, thus ensuring correct stakeholders are mapped to the relevant accountabilities. 	<ul style="list-style-type: none"> ▶ RP1: PPPM Framework alignment and integration.

3.2 Governance arrangements to produce the Special Report

In response to ASIC's Notices provided to ASX on 21 February 2023, requiring the preparation of the Special Report on Portfolio, Program, and Project Management, ASX established a team with dedicated resources including the support of an external third-party provider to provide specialised expertise to develop the Special Report.

The preparation and review of the Special Report has been supported by ASX stakeholders, including various members of the Enterprise Delivery Enablement Team, General Managers of relevant business divisions of ASX, and the Chief Operating Officer. The Special Report has been presented and discussed through relevant Committee Forums up to Board level.

To formalise the review, and support the attestation process, ASX has used a specialised software called 'Atticus'. The Special Report was segmented into sections that were subsequently assigned to relevant stakeholders for verification and attestation of facts presented and the supporting evidence.

The attestation process considered two levels of review, comprised of

- i. General Manager / Heads of Department and Senior Managers;
- ii. Executive Group Level e.g., Chief Risk Officer, Chief Financial Officer, and Chief Operating Officer.

Further attestations were made on behalf of the ASX Limited, ASX Clear Pty Limited and ASX Settlement Pty Limited Boards, that the Board members reasonably believe that the information contained in the Special Report is accurate.

We performed an assessment of the governance arrangements to produce the Special Report, including a walkthrough of the attestation tool used. ASX demonstrated that content and assertion statements presented in the Special Report have been verified following the established process ahead of report issuance.

EY identified one minor instance where assertions made in the Special Report were unsubstantiated by supporting evidence (refer to Section 3.1 'Summary of findings and recommendations - UA.01' for further detail).

We did not identify any significant gaps with regards to the Governance arrangements to produce the Special Report.

Appendix A Coverage of ASIC Specified Matters

The table below outlines the Review Points that EY have developed and assessed the Special Report against, in alignment with the ASIC Specified Matters.

Review Point ID	ASIC Notice Reference	ASIC Specified Matter	Location of coverage within Special Report	Coverage of ASIC Specified Matter - EY Assessment Conclusion (Yes / No / Partial)
RP1	2.2a	How PPPM Frameworks are aligned with, and integrated into, ASX Group's corporate governance framework, enterprise risk management framework and its accountability maps.	2.20. Alignment and Integration with Corporate Governance Frameworks, Enterprise Risk Management Framework and Executive Accountability	Portfolio - Partial Program - No Project - Partial
RP2	2.2.b.i	How PPPM Frameworks will address and manage: i. stakeholder engagement and communications.	2.3. Stakeholder Engagement and Communication	Portfolio - Yes Program - No Project - Yes
RP3	2.2.b.ii	How PPPM Frameworks will address and manage: ii. resource and capability management.	2.4. Project Resource Management 2.5. Capability Management / Capability Development 2.17. Portfolio Management	Portfolio - Yes Program - No Project - Yes
RP4	2.2.b.iii	How PPPM Frameworks will address and manage: iii. vendor management.	2.6. Vendor Management 2.20.5. Project Delivery Governance (Joint Steering Group)	Portfolio - Yes Program - No Project - Yes
RP5	2.2.b.iv	How PPPM Frameworks will address and manage: iv. risks and issues management.	2.7. Project Risks and Issues Management	Portfolio - Yes Program - No Project - Yes
RP6	2.2.b.v	How PPPM Frameworks will address and manage: v. quality and assurance.	2.8. Quality Management 2.9. Delivery Assurance	Portfolio - Yes Program - No Project - Yes
RP7	2.2.b.vi	How PPPM Frameworks will address and manage: vi. organisational change management.	2.10. Organisational Change Management	Portfolio - Yes Program - No Project - Yes
RP8	2.2.b.vii	How PPPM Frameworks will address and manage: vii. Benefits Management.	2.11. Benefits Management 2.20.5. Project Delivery Governance (Portfolio Governance Group and Portfolio Working Group)	Portfolio - Yes Program - No Project - Yes
RP9	2.2.b.viii	How PPPM Frameworks will address and manage:	2.9. Delivery Assurance	Portfolio - Yes

Review Point ID	ASIC Notice Reference	ASIC Specified Matter	Location of coverage within Special Report	Coverage of ASIC Specified Matter - EY Assessment Conclusion (Yes / No / Partial)
		viii. effective monitoring, reporting and performance assessment against approved plans, including Gated Review.	2.12. Performance Monitoring and Reporting 2.16. Enterprise Project Management Office	Program - No Project - Yes
RP10	2.2.b.ix	How PPPM Frameworks will address and manage: ix. regulatory engagement.	2.3.2. Regulator Engagement	Portfolio - Yes Program - No Project - Yes
RP11	2.2.c	How PPPM Frameworks will be subject to periodic review to measure their effectiveness and ensure they continue to be fit-for-purpose and contribute to improving the Licensee's overall delivery maturity.	2.17. Portfolio Management 4.1. Approach to continuous improvement 6.2. Ongoing Reporting of the Delivery Uplift Roadmap	Portfolio - Yes Program - No Project - Yes
RP12	2.2.d	Current status of ASX Group-wide adoption and use of portfolio, program and project management frameworks and processes for managing requests for exemptions for any deviations or modifications in the application of the frameworks.	2.19. Adoption of Project Delivery Framework across in-flight portfolio	Portfolio - Partial Program - Partial Project - Partial
RP13	2.2.e	Plans for ASX Group-wide adoption and use of portfolio, program and project management frameworks (where gaps or deficiencies have been identified).	4.2. ASX Delivery Uplift Roadmap 5. Delivery Uplift Roadmap - incorporating the Maturity Assessment Report recommendations 6.2. Ongoing Reporting of the Delivery Uplift Roadmap Appendix E - Delivery Uplift Roadmap Appendix F - Delivery Uplift Detailed Roadmap	Portfolio - Yes Program - Yes Project - Yes
RP14	2.2.f.i	The governance arrangements incorporated into PPPM Frameworks including (but not limited to): i. organisation structures with clearly defined roles and responsibilities (including mandatory and optional roles).	Refer to table section 'responsibilities': 2.3. Stakeholder Engagement and Communication 2.4. Project Resource Management 2.5. Capability Management/Capability Development 2.6. Vendor Management 2.7. Project Risks and Issues Management 2.8. Quality Management 2.9. Delivery Assurance 2.10. Organisational Change Management 2.11. Benefits Management 2.12. Performance Monitoring and Reporting 2.13. Business Analysis	Portfolio - Yes Program - No Project - Yes

Review Point ID	ASIC Notice Reference	ASIC Specified Matter	Location of coverage within Special Report	Coverage of ASIC Specified Matter - EY Assessment Conclusion (Yes / No / Partial)
			2.14. Project Financial Management 2.15. Project Change Control 2.16. Enterprise Project Management Office 2.17. Portfolio Management 2.18. Information Systems and Tools 2.20. Alignment and Integration with Corporate Governance Frameworks, Enterprise Risk Management Framework and Executive Accountability	
RP15	2.2.f.ii	The governance arrangements incorporated into PPPM Frameworks including (but not limited to): ii. skills and experience requirements for members of governance and steering boards or committees.	2.20. Alignment and Integration with Corporate Governance Frameworks, Enterprise Risk Management Framework and Executive Accountability	Portfolio - Yes Program - No Project - Yes
RP16	2.2.f.iii	The governance arrangements incorporated into PPPM Frameworks including (but not limited to): iii. documented decision-making processes (including who is responsible for decisions) in respect of critical decisions such as business case approvals or variations, prioritisation, capability reviews, risk reviews and resourcing allocation.	2.20. Alignment and Integration with Corporate Governance Frameworks, Enterprise Risk Management Framework and Executive Accountability	Portfolio - Yes Program - No Project - Yes
RP17	2.2.f.iv	The governance arrangements incorporated into PPPM Frameworks including (but not limited to): iv. requirements for reporting to boards and board subcommittees.	2.12. Performance Monitoring and Reporting 2.20. Alignment and Integration with Corporate Governance Frameworks, Enterprise Risk Management Framework and Executive Accountability	Portfolio - Yes Program - No Project - Yes
RP18	3	For the avoidance of doubt and where appropriate, the Special Report must detail implementation plans and specify the date by which the measures detailed in accordance with 2(1)(b)(ii) and 2(2)(e) will be taken.	4.2. ASX Delivery Uplift Roadmap 5. Delivery Uplift Roadmap - incorporating the Maturity Assessment Report recommendations 6.2. Ongoing Reporting of the Delivery Uplift Roadmap Appendix E - Delivery Uplift Roadmap Appendix F - Delivery Uplift Detailed Roadmap	Portfolio - Partial Program - Partial Project - Partial

Appendix B Coverage of Additional Matters

The table below outlines the Additional Matters that were agreed upon in the SOW, and subsequently were used as Review Points to assess the Special Report.

Review Point ID	Additional Matter Reference	Additional Matter Requirement	Location of coverage within Special Report	Coverage of Additional Matter - EY Assessment Conclusion (Yes / No / Partial)
RP19	PAA1	Assess whether ASX have defined an appropriate scope and approach for the completion of the PPPM Special Report, based upon the requirements of the ASIC notices.	N/A, Assessed against the following: <ul style="list-style-type: none"> i. PM Partners Maturity Assessment Engagement Proposal ii. PM Partner Statement of Work (SOW) iii. ASX Special Report Preparation Approach & Timelines 	Yes
RP20	PAA2	Assess whether ASX have subjected the Special Report to the appropriate levels of governance and due diligence, as expected for an exercise of its operational significance.	N/A, Assessed against the following: <ul style="list-style-type: none"> i. ASX Due Diligence on PM Partners ii. Atticus Attestation Extract (as part of the final Special Report) iii. Atticus Attestation Walkthrough 	Partial
RP21	PAA3	Assess whether ASX engaged with appropriate stakeholders throughout the process, based upon the objectives of the PPPM Framework assessment.	N/A, Assessed against the following: <ul style="list-style-type: none"> i. ASX Special Report Preparation Approach & Timelines ii. PM Partners Maturity Review Details 	Yes
RP22	AM1	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM1: Financial Management'.	2.14. Project Financial Management 2.17. Portfolio Management	Portfolio - Yes Program - No Project - Yes
RP23	AM2	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM2: Change Control & Baseline Management'.	2.15. Project Change Control	Portfolio - Partial Program - No Project - Partial
RP24	AM3	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM3: Procurement Management'.	2.6. Vendor Management	Portfolio - Yes Program - No Project - Yes

Review Point ID	Additional Matter Reference	Additional Matter Requirement	Location of coverage within Special Report	Coverage of Additional Matter - EY Assessment Conclusion (Yes / No / Partial)
RP25	AM4	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM4: Tooling'.	2.18. Information Systems and Tools	Portfolio - Yes Program - No Project - Yes
RP26	AM5	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM5: Progress Management'.	2.12. Performance Monitoring and Reporting 2.15. Project Change Control	Portfolio - Partial Program - No Project - Partial
RP27	AM6	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM6: Compliance and Regulatory Management'.	2.3.2. Regulator Engagement	Portfolio - Yes Program - No Project - Yes
RP28	AM7	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM7: Complexity Management'.	2.1. ASX Project Delivery Framework Overview 2.20.5. Project Delivery Governance	Portfolio - Yes Program - No Project - Yes
RP29	AM8	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM8: Gate Criteria and Management'.	2.9. Delivery Assurance	Portfolio - Yes Program - No Project - Yes
RP30	AM9	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM9: PMO Capability'.	2.2. How ASX Manages its Project Delivery Framework 2.16. Enterprise Project Management Office	Portfolio - Yes Program - No Project - Yes
RP31	AM10	Assess whether ASX, should consider other PPPM components / capabilities as part of the development of the PPPM Special Report, specifically captured under the additional matter of 'AM10: PMO Operating Model'.	2.2. How ASX Manages its Project Delivery Framework 2.16. Enterprise Project Management Office	Portfolio - Yes Program - No Project - Yes

Appendix C Documents Reviewed

The table below sets out the documents and artefacts reviewed by EY as part of its assessment activities.

Document List			
#	Document Name	#	Document Name
1	ASX - Program Management Special Report - Special Report on Project, Program and Portfolio Management (September 2023)	21	ASX Estimation Guide V0.2
2	Corporate Governance webpage	22	Vendor Management Framework
3	IPD-ASXDeliveryGovernance	23	RAID Templates
4	PGG Terms of Reference	24	ASX Delivery Governance
5	PWG ToR	25	Project Delivery Assurance Framework
6	Enterprise Risk Management Framework	26	OCM Assessment
7	Project Risk Management Framework	27	OCM Full Framework
8	NPQ Stakeholder Engagement Email	28	OCM Lite Framework
9	BTOPPC Questionnaire	29	Benefits Realisation Framework
10	SGG Terms of Reference	30	73106-ASX-PPP Maturity Review_details v1.0
11	Example - ITSM Status Report 26_05_21 - 18-61 ITSM - Confluence	31	Exec decision - 2 reporting standards and overview - including templates (Project / Portfolio Health Monitoring & Reporting)
12	Example - Project Status Report converted for SGG	32	How to Use the Project Report in FarSight
13	Project Status Report Template - Extract for reference	33	Project Status Report SGG - Template
14	IPD-SeedFunding-290823-1000-348	34	PWG Scorecard template
15	Seed Funding Release Form - Template	35	PGGFW-PortfolioDatabase-280823-1532-212
16	Portfolio Database (1)	36	PM Partners Maturity Report
17	ASX Delivery Framework	37	Appendix F - Delivery Uplift - Detailed Roadmap
18	Appendix E - Delivery Uplift Roadmap	38	PM Partners Framework & Capability Maturity Assessment
19	proj deliv - 2 Key Roles & Responsibilities	39	PWG Terms of Reference - Template
20	Standard tooling setup for projects @ ASX	40	SGG Terms of Reference - Template

Document List			
#	Document Name	#	Document Name
41	Estimation Template v0.2	64	PDP Governance - Sign-off Procedure
42	Change Requests	65	portf mgmt - 1 Investment Governance Framework
43	Integrated Planning Session for Sep'23 PGG	66	PM Partners Maturity Assessment Engagement Proposal
44	PM Partner Statement of Work (SOW)	67	ASX Special Report Preparation Approach & Timelines
45	040 - ASX Project Costs Questionnaire (1)	68	IPD-FinancialManagement-290823-1004-388
46	041 - ASX Project Costs Questionnaire	69	041 - IPD-ProjectCostsQuestionnaire-280823-1533-218
47	fin mgmt - 2 Establish Budget	70	042 - IPD-CapitalisationPolicy-280823-1533-220
48	IPD-EstablishBudget-290823-1004-382	71	IPD-BudgetForecastTemplate-290823-0958-336
49	IPD-CashFlowModel-290823-1004-386	72	043 - IPD-ProjectContingency-280823-1533-222
50	IPD-FinancialCashflowModel-290823-1004-384	73	Tool - Project CashFlow
51	PM-Partners Independence - V1	74	PGGFW-HowtoPerformFinancialReviewsonProjects-210923-1850-36
52	Change Request Template	75	Change Requests - QA Process
53	056 - EPMO-EPMOTeamSpace-280823-1538-244	76	Budget Forecast Template 4yrs v1.3
54	074 - PDP - DeliveryCoE-Toolsand Systems-280823-1540-278	77	Exec decision - 2 reporting standards and overview - including templates (Project / Portfolio Health Monitoring & Reporting)
55	Example - ITSM Status Report 26_05_21 - 18-61 ITSM - Confluence	78	Example - Project Status Report converted for SGG
56	How to Use the Project Report in FarSight	79	Project Status Report Template - Extract for reference
57	PWG Scorecard template	80	Project Status Report SGG - Template
58	Lessons Learned and Lessons Actions (PGGFW-PortfolioControls-280823-1532-214)	81	73106-ASX-PPPM Maturity Review 20230804 v1.1
59	ASX Corporate Governance Statement 2023	82	vendor contr mgmt - 1 Vendor Management
60	Project Risk and Complexity Assessment - Template	83	Project Capability and Risk Assessments
61	IPD-TierAllocationProcess-280823-1538-240	84	Team Space - Our Services
62	Portfolio Database File	85	Portfolio Database Confluence Page
63	EPMO Front Door	86	EPMO Internal Process Documentation - Articles

Document List			
#	Document Name	#	Document Name
87	Re_EY Question - Audit Activity	110	Regulatory Reporting Policy
88	Committee Paper to consider Program Management Special Report	111	Project Delivery Assurance Framework (PDAF)
89	PM-Partners_Redacted	112	ASX Accountability Map
90	PWG Pack Corp Tech September 2023	113	New Project Questionnaire (NPQ)
91	Open Risks, Issues, & Assumptions - ASX JIRA - PPM Project	114	Communications / Engagement Plan
92	PWG KeyNotes Actions - Corporate Technology and Listings Compliance - Sep 2023	115	Onboarding for New Starters
93	Adherence Process - Introduction Pack v1.2	116	Project Delivery Training Modules
94	Delivered Risk Dashboard - ASX JIRA - PPM Project	117	Skills Library
95	DUA EPIC Snapshot	118	Capability Mapped into LMS
96	Maturity Assessment Planning _Draft 01.08.2023	119	Procurement Policy
97	Regulatory Engagement Policy	120	Financial Delegations Policy
98	Guidelines for Planning - Estimation	121	Critical Service Provider Process v1.5 Feb 2023_final
99	ASX-RBA-ASIC Operational Risk engagement meeting 06.09.2023 - sent	122	Project Management Framework
100	Decisions and Actions Register - resourcing highlights	123	Benefits Map
101	A22.1 - 0 - Quality Management Plan Template - DRAFT	124	Benefits Profile
102	A22.1 - 3 - QMP Template - Refine - DRAFT	125	Project Deliverable RACI - Interactive Project Delivery - Confluence
103	A22.1 - Quality Management Process - DRAFT	126	Project RAG Definitions
104	A22.1 - Quality Management Strategy - DRAFT	127	High Level OCM Plan
105	ASIC Special Reports Update Attachment A - Special Report Working Group Session	128	Delivery Approach
106	2023_MAY_11 TC - ASIC Special Report	129	Full Business Case Template
107	A22.1 - 2 - QMP Template - Define & Plan - DRAFT	130	Regulatory Actions Register Log
108	2023_Aug_16 - Project Delivery Uplift Update	131	Adherence Register
109	1.0 - 2023.04.26 - TMC Decisions_Register - DC Approved	132	PPM OCM planning v0.3

Document List			
#	Document Name	#	Document Name
133	Maturity Review Recommendations - Change Canvas (consolidated)	147	03.2 Data Scorecard Oct23 - PGG version
134	OCM Essentials Pack_Approach Strategy Communication and Release Schedule Action Change Canvas 31052023 V1.4	148	08.1 Netezza Data Warehouses Migration Project Background and CR #3
135	Jira Standardisation for Projects - Scrum & Kanban	149	20231003 Netezza Data Warehouses Migration - Weekly Report 03_10_23 - Netezza Data Warehouses Migration 21-12 - Confluence
136	Licence Condition_Go-Live (14 Day) Board Attestation - Interactive Project Delivery - confluence	150	PM-Partners Email Confirmation - Adherence Tracker
137	New Project Questionnaire (NPQ) - Interactive Project Delivery	151	Governance - Sign-off Procedure - Project Delivery (NEW) - Confluence
138	NPQ Stakeholder Engagement - [project name]	152	SGG ToR Approval Page - Data Foundations - Confluence
139	Program Management Special Report Draft v0.5	153	APPROVAL PAGE - Implementation Readiness Assessment - Oct 2023 (EDW Phase1 & Secfeed Patch3) - 17-67 Hubble - Confluence
140	Program Management Special Report Draft v0.6	154	[Oct - 2023] PRA - Approval Page - CHES Access Uplift - Confluence
141	Program Management Special Report Draft v0.7.4	155	Scope & Requirements CHES Replacement Approval Page - CHES Replacement - Confluence
142	Program Management Special Report Draft v0.8	156	Terms of Reference - SGG Approval Page - Clearing Risk Program - Confluence
143	Program Management Special Report Draft v1.2	157	ASX Critical Service Providers
144	[SSP-93] A12.2 - Uplift control to report and monitor adherence to BA framework - ASX JIRA	158	CHES PMO Structure v0.5 VM
145	ASX-EBCM V2 - Business Capabilities - Catalogue	159	PM Partners Selection Process Email
146	[SSP-62] A13.2 - Uplift Jira standards - ASX JIRA	160	ASX - PPPM Review - Review Documents v0.1

Appendix D Stakeholder Meetings

The table below outlines the meetings conducted with ASX stakeholders.

Stakeholder Meeting List			
#	Meeting Topic	Attendees	Date of Meeting
1	ASX EY - PPPM Special Report Audit Kick Off	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	31/07/2023
2	ASX EY - PPPM Special Report Audit Weekly Meeting	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	10/08/2023 24/08/2023 31/08/2023 07/09/2023 14/09/2023 21/09/2023 28/09/2023 05/10/2023 12/10/2023 19/10/2023 (10:00-10:30) 19/10/2023 (12:00-13:00) 26/10/2023
3	Program Management Special Report Draft v1 Walkthrough	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	17/08/2023
4	PM Partners Maturity Report Discussion ASX, PM Partners & EY Meeting	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement Principle & Engagement Lead, PM Partners	23/08/2023
5	ASX PPPM Special Report Planning Session (CD.01 Governance /Sponsor Capability Definition & Development)	General Manager, Enterprise Delivery Interim Head of PMO, Enterprise Delivery Enablement Senior Training and Change Manager Enterprise PMO Senior Manager, Enterprise Delivery Enablement	23/08/2023

Stakeholder Meeting List			
#	Meeting Topic	Attendees	Date of Meeting
		Project Manager, Enterprise Delivery Enablement Senior Business Analyst, Enterprise Delivery Enablement	
6	Special Report - Review Feedback from CEO / Planning Session	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery Interim Head of PMO, Enterprise Delivery Enablement Head of Enterprise PMO	25/08/2023
7	Review items in PM Partners Recommendation Action (Part 2)	Interim Head of PMO, Enterprise Delivery Enablement Head of Enterprise PMO Senior Project Risk Manager Capacity & Utilisation Manager, Enterprise Delivery Enablement Enterprise PMO Process Analyst, Enterprise Delivery Enablement Enterprise PMO Process Analyst, Enterprise Delivery Enablement Enterprise PMO Analyst, Enterprise Delivery Enablement Enterprise PMO Process Analyst, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	28/08/2023
8	ASX Delivery Framework - Confluence Walkthrough	Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement Head of Enterprise PMO	05/09/2023
9	Board Committee Workshop	ASX Board Members Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement General Manager, Enterprise Delivery Head of Enterprise PMO Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	06/09/2023
10	Atticus Attestation Walkthrough	Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement	08/09/2023
11	Board Meeting	ASX Board Members Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement General Manager, Enterprise Delivery	25/09/2023

Stakeholder Meeting List			
#	Meeting Topic	Attendees	Date of Meeting
		Program Director, Risk General Manager, Regulatory Strategy & Executive Advisor, Gen Co & Co Sec	
12	Walkthrough Session: Overview of ASX Adherence Tracker	Project Manager, Enterprise Delivery Enablement General Manager, Enterprise Delivery Enterprise PMO Manager, Enterprise Delivery Enablement	11/10/2023
13	BA Framework Discussion PPPM Special Report Audit	Project Manager, Enterprise Delivery Enablement	11/10/2023
14	ASX EY - Draft EY Audit Report Discussion ASX PPPM Special Report Audit	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery	23/10/2023
15	ASX EY Regroup Session ASX PPPM Special Report Audit	Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery	24/10/2023
16	Draft EY Audit Report Discussion ASX PPPM Special Report Audit	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery	25/10/2023
17	Draft EY Audit Report Discussion ASX PPPM Special Report Audit	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery	27/10/2023
18	PPPM Special Report Check In	Chief Operating Officer; Project Sponsor, Enterprise Delivery Enablement Project Manager, Enterprise Delivery Enablement Senior Project Manager, Regulatory Response, Enterprise Delivery Enablement General Manager, Enterprise Delivery	30/10/2023

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