

Compliance to conformity

How to stop red tape strangling innovation

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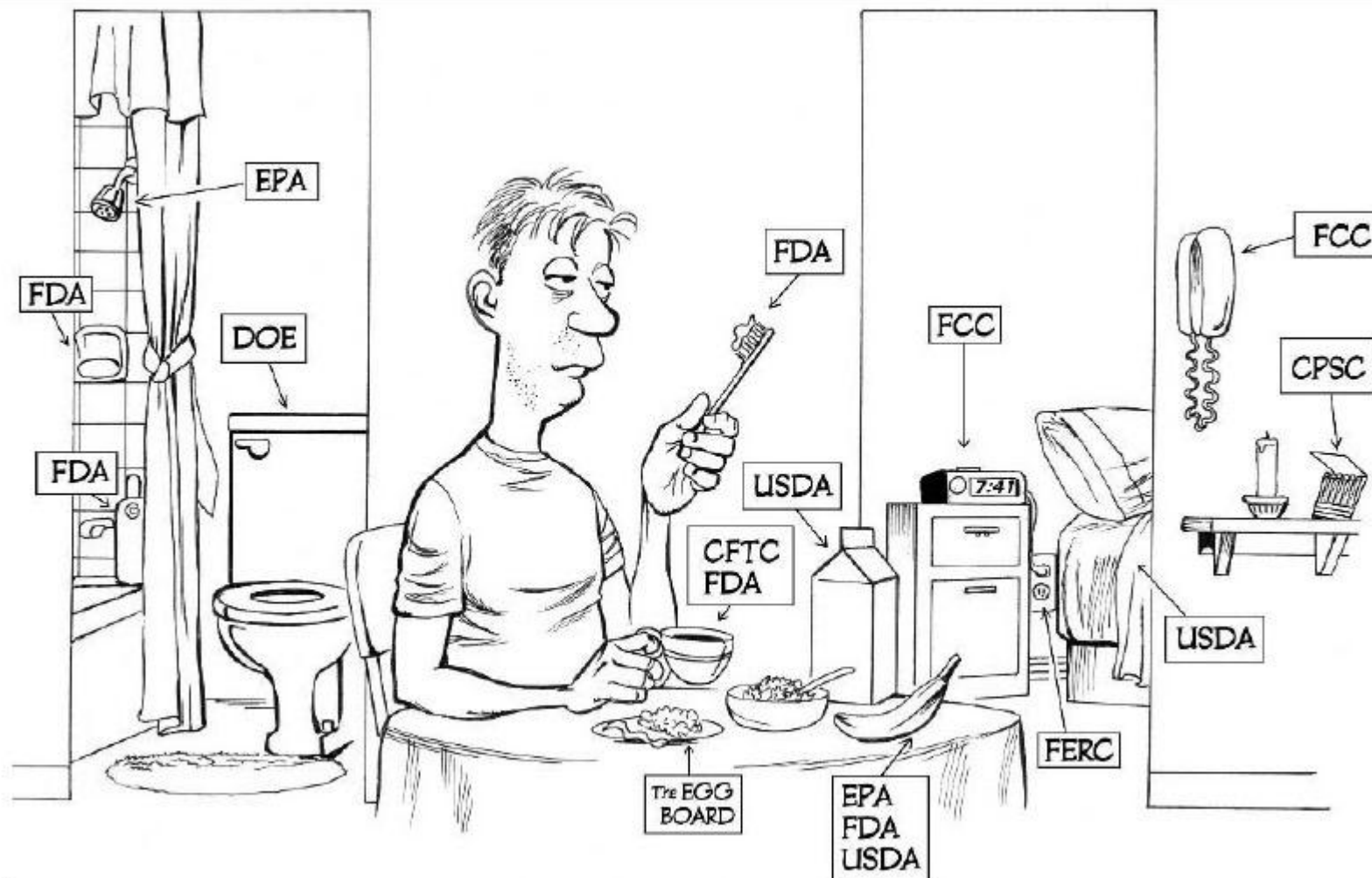
Introduction

- Compliance
- Innovation
- Conforming behaviour
- Regulatory/Compliance Framework
- Higher Education Review
- TEQSA
- MYEFO
- A way forward?

Regulatory Oversight



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Compliance - External Scrutiny



- Increasing transparency and accountability demanded of and by Government
- Growth of regulation – TEQSA
- Need to demonstrate quality assurance and risk management to regulatory agencies
'Regulatory Risk Frameworks' to measure compliance
- Rankings and transparency – MyUniversity, THE/QS World University Ranking, ARWU

Innovation



An **innovation** is any new or substantially improved good or service which has been commercialised, or any new or substantially improved process used for the commercial production of goods and services. 'New' means new to your business.

(ABS Innovation Survey Questionnaire, Section B)

Diversity versus Differentiation

Innovation Drivers



- Technological advances
- Heightened student expectations
- Shifting student demographics
- Stakeholder demands for accountability
- New vehicles for educational delivery



Conforming Behaviours

Conformity is a type of social influence involving a change in belief or behaviour in order to fit in with a group.

This change is in response to real or imagined group pressure.

Three broad forms:

- Normative (Compliance)
- Internalisation
- Identification



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Regulatory Oversight

- Tertiary Education Quality and Standards Agency (TEQSA)
- Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS)
- Education Services for Overseas Students (ESOS)
- Excellence in Research for Australia (ERA)
- Institutional Performance Portfolios and Mission-Based Compacts
- Legislative Requirements
Occupational Safety and Health, Human, Animal Welfare

Regulatory Oversight



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Occupational Safety and Health

Overview

Policies and forms

Incident reporting

OSH representatives

Workers compensation

First Aid

Safety in Research and Teaching

Hazardous substances

Fieldwork safety

Biological safety

Radiation safety

Forms Links and Resources

Safety in Research and Teaching

The purpose of Safety in Research and Teaching (SRT), and its associated governing committees, is to ensure the University meets its statutory requirements in relation to workplace health and safety of staff, students and visitors in relation to research and/or teaching and/or supporting activities. One of the main aims of the SRT is make sure that we have adequate and appropriate records and licences for the many regulated activities that we undertake across the University. Recent legislation has seen many of the responsibilities and obligations regarding licensing and safety pass from the institution to the individual. However, the institution is still very much responsible for recording the required information and being able to demonstrate that we are taking all steps to ensure that we, as the institution, are acting responsibly and appropriately. In line with the new regulatory environment has also come a dramatically increased inspection regime, to which we as both an institution and individuals, must respond. To this end, the University has a Safety in Research and Teaching Coordinator, and a Safety in Research and Teaching Administrative Officer, with their responsibilities governed by the [Safety in Research and Teaching Policy](#).

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Notices

[Adopting new work safety systems, a must - published in The Exchange 5 June 2013](#)

Safety in Research and Teaching Committee (SRTC)

In 2012 Academic Council established the Safety in Research and Teaching Committee (SRTC)

The work of the SRTC is supported by four sub-committees:

- [Chemical and Hazardous Substances Committee \(CHSC\)](#)
- [Fieldwork Committee \(FWC\)](#)
- [Institutional Biosecurity Committee \(IBC\)](#)
- [Radiation Safety Committee \(RSC\)](#)

Compliance - Higher Education Standards Framework



- **Provider Standards**
 - Provider Registration Standards
 - Provider Category Standards
 - Provider Course Accreditation Standards
- **Qualification Standards**
- Teaching and Learning Standards
- Information Standards
- Research Standards



Compliance - Risk Profile

Provider standing

- A1 Has conditions on or shortened registration
- A2 Has history of significant breach of standards
- A3 Has history of breach of conditions
- A4 Fewer than five complete cohorts graduated
- A5 Directors / officers with convictions / proceedings pending
- A6 Overseas body corporate

Financial viability and safeguards

- B1 Significant decline in student load overall
- B2 Major year-on-year drop in commencing students or applications in first six months*
- B3 Low / negative revenue growth
- B4 Low operating profit margin
- B5 Low / declining revenue per student
- B6 Capital program is risky because very low or very high
- B7 Low Net Tangible Asset value in Australia
- B8 Reduced credit rating / breach bank covenants
- B9 High proportion of ageing or deteriorating building stock

Corporate and academic governance

- C1 Weak academic governance structure
- C2 Weak corporate governance structure / processes
- C3 Weak risk management plan / processes

Primacy of academic quality and integrity

- D1 Rejection / compliance issues with professional accreditation in last two years
- D2 Significant reliance on third parties to deliver courses domestically
- D3 Delivery of courses off-shore*
- D4 Declining publications (if applicable to provider category)
- D5 Declining research income (if applicable to provider category)
- D6 Low completion rate Higher Degree Research (HDR) (full-time 5-year) (if applicable)
- D7 Serious breaches of research ethics
- D8 Lack of transparency in reporting systems for teaching occurring on a significant scale in non-mainstream campuses *
- D9 Weak academic quality assurance program / culture*
- D10 History of activation of tuition assurance*

Management and human resources

- E1 Significant reliance on academic staff employed under casual work contracts
- E2 Low number of senior academic leaders per broad field of education
- E3 High / increasing student to teaching staff ratio
- E4 Low ratio of qualified staff, especially in Post Graduate (PG) environments

Responsibilities to students

- F1 High / volatile international student population
- F2 Academic/market risk: Declining academic admission standard/lack of academic requirements in admissions policy*
- F3 Significantly high student growth overall
- F4 Academic risk: Very high or rapidly increasing student attrition rates
- F5 Academic risk: Very low / very high or rapidly changing student progress rates
- F6 Academic risk: Very low or rapidly declining unit satisfaction levels
- F7 Academic risk: Very low or rapidly declining graduate course satisfaction
- F8 Outcome risk: Very low or rapidly declining graduate employment or further study
- F9 Significant number of serious, substantiated student complaints

Physical and electronic resources and infrastructure

- G1 Inadequate floor space per student, appropriate to discipline(s)
- G2 Low/declining total information resources (e.g. library) and expenditure per student
- G3 Low / declining lab places per student in Science, Technology, Engineering and Mathematics (STEM) disciplines
- G4 Poor Occupation Health and Safety (OH&S) record
- G5 High backlog maintenance

Other

- H1 Other identified risk (allows situation specific)
- H2 Other identified risk (allows situation specific)

Key:

International-related indicator



'Major' risk indicator



Compliance - Transparency

Australian Government
Australian Institute of
Health and Welfare

MyHospitals

In a medical emergency
call 000
immediately

Home About this site About the data Contact us Glossary

Home > Wollongong Hospital > Staphylococcus aureus bacteraemia (SAB) [print](#) | [share](#)

Enter a hospital, place or postcode

Search hospitals Search services



Wollongong Hospital

This is a public hospital
348 Crown Street
Wollongong, NSW 2500
Phone: [02 4222 5000](tel:0242225000)
[Go to this hospital's website](#)

Services Cancer Safety and quality Admissions Profile

Staphylococcus aureus bacteraemia (SAB)

Staphylococcus aureus bacteraemia is a serious bloodstream infection (sometimes called SAB or 'golden staph') that may be associated with hospital care.

The aim is to have as few cases of SAB as possible. One of the most effective ways to minimise the risk of SAB and other healthcare associated infections is good hand hygiene.

The national benchmark for states and territories (public hospitals) is no more than 2 cases per 10,000 days of patient care. For hospitals where there are fewer than 5,000 days of patient care, a comparison cannot be made with the national benchmark. For some private hospitals, rates but not counts of cases are shown. For more information about state and territory SAB rates see: [Hospital performance: Staphylococcus aureus bacteraemia \(SAB\) in Australian public hospitals](#).

The cases shown are for SAB associated with care provided by this hospital for the period 1 July 2010 to 30 June 2011.

To learn more about SAB, read [About the data](#).

[Safety and quality](#) information on MyHospitals also includes information on hand hygiene.

20 cases of SAB occurred during 180,514 days of patient care.
There were 1.11 cases per 10,000 days of patient care.

National benchmark  No cases

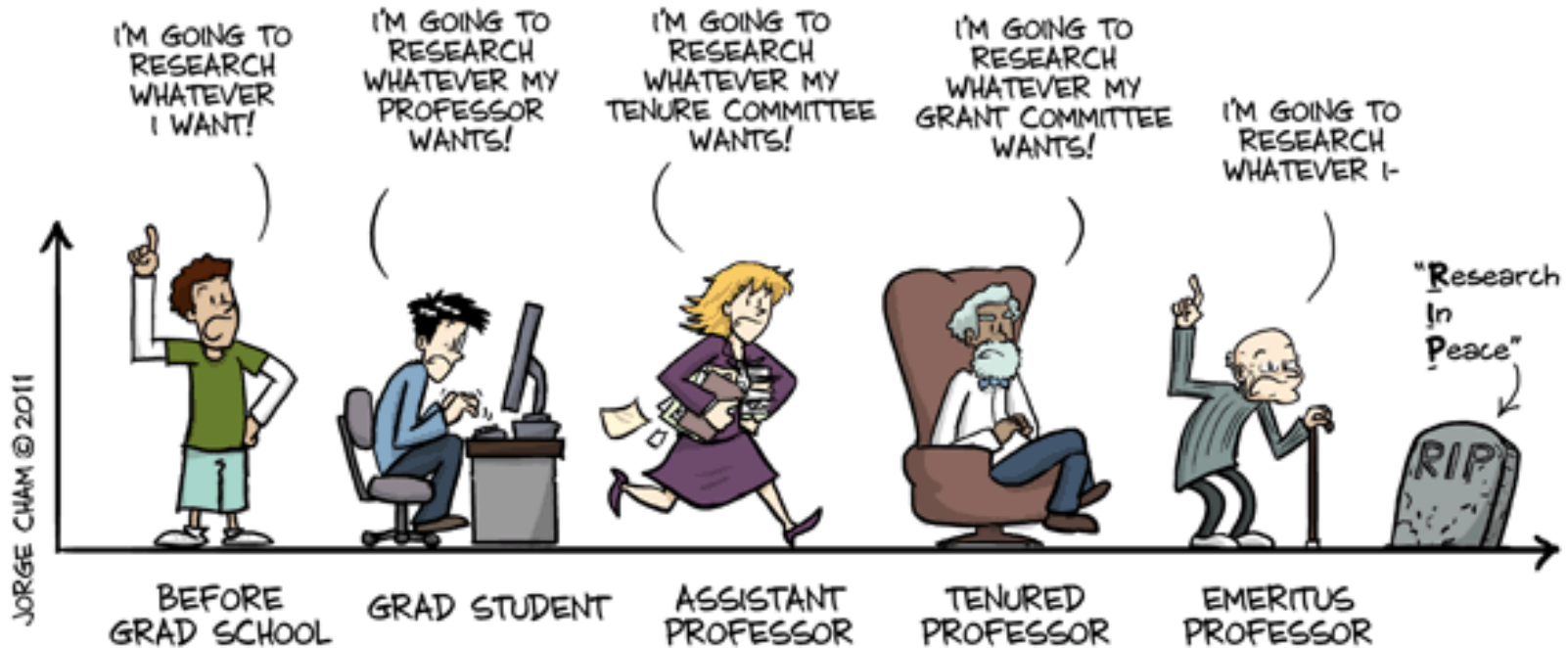
[See more current hospital information published by New South Wales](#)

Innovation vs Conformity in the Academy



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THE EVOLUTION OF INTELLECTUAL FREEDOM





Higher Education Review

- Demand-driven system in which funding follows students.
- A target of at least 40% of 25 to 34-year-olds having attained a degree by 2020.
- By 2020, 20% of undergraduate enrolments at level should be people from Low SES backgrounds.
- Reform student income support.
- Extra funding from 2012 for university provision in regional areas.
- Extra funding to institutions which enrol more Low SES students.

TEQSA



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"Oh, great..."

Higher Education Standards Panel



- Emeritus Professor Alan Robson AO CitWA (Chair), former Vice-Chancellor of [The University of Western Australia](#)
- Professor Richard James, Pro Vice-Chancellor (Equity and Student Engagement), [The University of Melbourne](#)
- Ms Adrienne Nieuwenhuis, Principal Policy Advisor, Chancellery, [University of South Australia](#), Member, National Skills Standards Council and former Director, Quality, Tertiary Education, Science and Research, South Australian Department of Further Education, Employment, Science and Technology
- Emeritus Professor David Siddle, former Deputy Vice-Chancellor (Research), [The University of Queensland](#)
- Professor Joanne Wright, Deputy Vice-Chancellor Academic, [The University of Queensland](#)



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MYEFO, October 2012

- Sustainable Research Excellence - reduced rate of expansion producing budget cut of \$500 million over four years
- Extension of income support to all professional coursework masters deferred -saving \$167 million
- Student start-up scholarship rate frozen - saving \$81 million
- Students with HECS repayment plans but who are not repaying will be charged interest



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A way forward?

TEQSA as a central **regulatory** and **reporting** agency

Principles:

- Reflecting risk,
- Regulatory necessity, and
- Proportionate regulation

Thank you



OzJMP



<http://au.linkedin.com/pub/john-pike/36/36/119>



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