

LAWS 2012 REGULATORY RISK AND COMPLIANCE

Credit Points 10

Legacy Code 200928

Coordinator Tony Nehme ([https://directory.westernsydney.edu.au/search/name/Tony Nehme/](https://directory.westernsydney.edu.au/search/name/Tony%20Nehme/))

Description This subject provides a general overview of key regulatory bodies as well as their associated remit, governing legislation, roles and responsibilities. Key regulatory fields relate to financial services, consumer credit, telecommunications, water, energy and employment regulation. The subject identifies and discusses key concepts including consumer protection laws, anti-money laundering and counter terrorism financing, privacy, whistle-blower regime, complaints handling and modern slavery obligations.

School Law

Discipline Law

Student Contribution Band HECS Band 4 10cp

Check your fees via the Fees (https://www.westernsydney.edu.au/currentstudents/current_students/fees/) page.

Level Undergraduate Level 2 subject

Pre-requisite(s) LAWS 1001 AND LAWS 2010

OR

LAWS 1003 AND LAWS 1009

Learning Outcomes

On successful completion of this subject, students should be able to:

1. Identify key regulatory frameworks (including risk management standards) and associated governing regulatory bodies.
2. Assess the relationship between legal risk, risk management, effective compliance frameworks and good governance.
3. Describe the roles, responsibilities and governing legislation of key regulatory bodies.
4. Explain the nature and tools of regulatory enforcement available to regulatory agencies.
5. Evaluate the effectiveness of key regulatory regimes, including dispute resolution mechanisms, self-regulation and breach reporting.

Subject Content

1. Regulation of employment, telecommunications, financial services, consumer credit, consumer services and insurance
2. Anti-money laundering and counter-terrorism financial regulation in Australia
3. Data and privacy
4. Corporate governance

Assessment

The following table summarises the standard assessment tasks for this subject. Please note this is a guide only. Assessment tasks are regularly updated, where there is a difference your Learning Guide takes precedence.

Type	Length	Percent	Threshold	Individual/ Group Task
Reflection	1,000 words or equivalent	20	N	Group/ Individual
Professional Task	1,500 words	40	N	Individual
Final Exam	24 hours	40	N	Individual

Prescribed Texts

- N/A

Teaching Periods

Autumn (2024)

Online

Online

Subject Contact Tony Nehme ([https://directory.westernsydney.edu.au/search/name/Tony Nehme/](https://directory.westernsydney.edu.au/search/name/Tony%20Nehme/))

View timetable (https://classregistration.westernsydney.edu.au/even/timetable/?subject_code=LAWS2012_24-AUT_ON_2#subjects)