



# **BFA347**

## **Regulatory Compliance**

**Semester One 2009**

**School of Accounting and Corporate Governance**

**Faculty of Business**

## **Unit Outline**

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CRICOS Provider Code: 00586B

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## **Unit description**

This unit examines government and non-government business regulation, and compliance with that regulation, by businesses of different types that operate in various industries and sectors of the Australian economy. It considers the variety of regulatory mechanisms that are in use and the consequences of non-compliance. The unit also examines issues in relation to securing compliance with business regulation including: the role of legislators, regulators, courts; industry groups and advisers; the roles played by governance and management systems; and, the mechanisms used for managing regulatory compliance. Occupational Health and Safety Regulation and Compliance is chosen as a case study for examination in detail.

The prerequisite for the Unit is BFA141 Commercial Transactions. The unit is delivered flexibly via a unit CD, course materials and MyLO.

## **Learning outcomes**

On completion of this unit, you should be able to:

1. Describe the nature and character of government and non-government business regulation and its theoretical framework, with particular emphasis on occupational health and safety regulation (OHS).
2. Describe the changes that have occurred since the 1960s in relation to the development and use of business regulation, with particular emphasis on OHS.
3. Comment on the nature and extent of the problems faced by government and, business in securing and maintaining compliance with business regulation, with particular emphasis on OHS.
4. Explain the costs and benefits for business, government and the community generally in relation to achieving and maintaining regulatory compliance with particular emphasis on OHS.
5. Identify and describe some of the methods and systems available to regulated businesses for securing compliance with business regulation including formal compliance programs and self-regulatory mechanisms such as voluntary codes of conduct, with particular emphasis on OHS.
6. Provide advice on regulatory compliance and compliance management to businesses and know when to recommend the engagement of compliance professionals with particular emphasis on OHS.

## **Generic graduate attributes**

The University has defined a set of generic graduate attributes (GGAs) that can be expected of all graduates ([http://www.learningsupport.utas.edu.au/generic\\_attributes.html](http://www.learningsupport.utas.edu.au/generic_attributes.html)). By undertaking this unit you should make progress in attaining the following attributes:

**Knowledge:** You will gain knowledge of the requirements of business regulation and the mechanisms for securing compliance with such regulation through research and the application of regulatory compliance information.

**Communication skills:** You will develop your written communication skills by writing coherently on business regulation and compliance.

**Problem-solving skills:** You will develop your skills in solving problems through interpreting scenarios, identifying relevant regulation and compliance issues and using knowledge of regulatory compliance to justify an answer.

**Global Perspective:** You will gain a global perspective by comparing and contrasting developments in relation to regulatory compliance in Australia and the USA and the growth of a compliance profession in the two countries.

**Social responsibility:** You will develop your social and ethical awareness by recognising and acknowledging the social and ethical implications of non compliance with business regulation.

### Prior knowledge &/or skills

There are no prerequisites for this unit.

### Learning Outcomes/Generic Graduate Attributes Matrix

Assessment task 1	Participation in MyLO Assessable Discussions				
Assessment task 2	Assignment 1				
Assessment task 3	Assignment 2				
Assessment task 4	Capstone Assignment				
<b>Learning Outcomes:</b>					
	Learning outcome 1	√	√	√	√
	Learning outcome 2			√	√
	Learning outcome 3	√	√	√	√
	Learning outcome 4	√	√	√	√
	Learning outcome 5	√	√	√	√
	Learning outcome 6	√	√	√	√
<b>UTas Generic Graduate Attribute</b>					
	Knowledge	√	√	√	√
	Communication skills	√	√	√	√
	Problem-solving skills	√	√	√	√
	Global Perspective				√
	Social responsibility	√	√	√	√

Matrix adapted from Unit Outline, Faculty of Business, University of the Sunshine Coast 2003

## Learning resources required

### *Requisite texts*

*Planning Occupational Health & Safety: A Guide to OHS Risk Management, 7th edn, CCH Australia Ltd, 2006.*

For students in Tasmania, the text may be purchased from branches of the Co-op Bookshop on the Hobart and Launceston campuses and by arrangement from the North West Centre. If you live in Tasmania but do not wish to visit branches of the bookshop, or, you do not live in Tasmania, it is possible for you to order the textbook via the Internet ([www.coop-bookshop.com.au](http://www.coop-bookshop.com.au)).

### *Course Materials*

Extensive “Course Materials” will be provided to you through an interactive Unit CD and printed readings. They are in modular format ie: Modules 1-5. The Course Materials include PowerPoint presentations with audio narrations; copies of presentation slides (in PDF format); Lecture Materials (in PDF format); and ‘Readings’ taken from books, journals, magazines, reports and other sources (in PDF and hard copy format) and from websites (web links provided on the unit CD). The ‘Readings’ are intended to be used in conjunction with the prescribed textbook.

## MyLO

### General

MyLO is an internet service that has been adopted by the University and will be used in this unit. MyLO may be accessed on computers in computing laboratories at the University or on your computer at home or at work. Information about accessing and using this service, about required computer specifications and frequently asked questions, and about how to get help if you experience difficulties, is available at the following University website: <http://www.utas.edu.au/coursesonline>

You are strongly advised to visit this site and become familiar with the features of MyLO, especially if you have not used it before. You will probably be using it in other units that you are studying as well. Here are some important points about accessing our web site:

### *Access to MyLO*

You can access your MyLO course from the Student Page on the University’s web site: **Current Students** ↪ **LOGIN MyLO@UTAS** or go directly to the web address noted above:

- Enter your email POP account “Username” (for example, dsmith) and your “Password”. These are identical to the pop account/email username and password that you are given with your enrolment confirmation form. If you forget your pop account username, contact the Help Desk (see below under ‘getting assistance with MyLO). Both MyLO and e-mail passwords must

remain the same. If you are going to change your password, change your e-mail password first.

- When you enter your user name and password, click on OK and choose “BFA347” from the list of units (subjects) in which you are enrolled. [NOTE: Another box may periodically appear when using the University network which asks you to verify your user name & password, this is simply a security device – enter your password when asked & click OK].
  - MyLO will automatically check that your browser is properly configured. If the MyLO ‘browser checker’ window appears – scroll down to make sure you have a tick in each area shown – then close the window.
- From the Unit’s homepage click on the area you wish to access e.g. “Unit Information”. A table of contents will appear on the left hand side of your screen. Scroll through the list until you find what you want & click the underlined topic.

## **MyLO facilities used for this unit**

1. “Announcements” – MyLO offers an “Announcements” facility, which the Unit Coordinator will use in connection with this unit to make announcements to you from time to time. Only the Unit Coordinator can use the ‘Announcements facility’. However, you will see below under ‘Communication Tools’ that there is a ‘Discussions’ area with allocated ‘Topics’ that you can use for personal communication, either with the Unit Coordinator or, with other students, and you should make use of these.

2. “Communication Tools” - MyLO offers a “Communication Tools” area within which are located ‘Discussions’ and ‘E-Mail’, both of which the Unit Coordinator will use in connection with this unit.

“Discussions” – this area is provided for on-line Discussion between the Unit Coordinator and you and between you and other students. Discussion is arranged under a list of ‘Topics’, which are as follows.

“Assessable Discussion” (Modules 1-5) – Assessable Discussions are a part of this unit (see later in this Outline). The Unit Coordinator has opened six (6) Discussion Topics that create discussion areas for each Assessable Discussion. The number of Assessable Discussion Topics is equal to the number of Assessable Discussions that students MUST participate in (see later in this Outline). There is one (1) Assessable Discussion each for Modules 1 to 4 and two (2) Assessable Discussions for Module 5, (‘Assessable Discussion A’ and ‘Assessable Discussion B’).

“General Discussion” (Modules 1-5) – The Unit Coordinator has opened Topics for each of the five (5) Modules in which you can make postings in relation to the particular Modules (these are for Non-Assessable Discussion ONLY). For example, you may have questions to ask of the Unit Coordinator about a Module or comments to make to your fellow students or questions to ask of them in terms of generating discussion that will help you or may be of interest to them. The Questions for Consideration that are posed in each Topic may raise issues that you would like to

discuss with other students and they are provided in part for this reason. By arranging General Discussion Topics in this way, it will make it easier for you later to find postings that relate to one of the five (5) Modules if you wish to read them. It will also be easier for you to find the best place to put your postings so that other students will be able to find them easily and read them. **DO NOT USE THESE GENERAL DISCUSSION TOPICS FOR ASSESSABLE DISCUSSION.**

“Assignments” (1 and 2) - The Unit Coordinator has opened two (2) Topics in which you can make postings in relation to the Assignments. You may have queries that you wish to raise with the Unit Coordinator for example and can use these topics for that purpose.

“Capstone Assignment”. This topic has been opened to allow you to ask questions of the Unit Coordinator in relation to the Capstone Assignment.

“Café” - The Unit Coordinator has opened this Topic so that you can communicate with other students with a view to getting to know everyone in the unit. The UNIT COORDINATOR would like you to make postings to this Topic at the start. You should provide some information about yourself and what you are doing, what your interests are and what you think about the unit. You can also use the ‘Café’ to make postings about current issues that are relevant to the unit that you may have seen on TV or read about in the press recently, etc (if you do not choose to place them in one of the “General Discussion Topics” mentioned above). You should do your best to make it into a real café atmosphere. You should try to create an on-line community with other students. You will enjoy it!

“Feedback” - The Unit Coordinator has opened this Topic so that you can make comments, suggestions and criticisms, which are anonymous. This is a VERY important facility so far as the Unit Coordinator is concerned for the following reasons. There may be issues that need to be addressed and a ‘Feedback’ Topic allows these matters to be identified so that the Unit Coordinator can respond appropriately and take action where necessary. Secondly, it allows you to make valuable contributions and to feel that your voice is being heard. Don’t hesitate to use the facility.

### 3. “Mail”

If you wish to communicate with the Unit Coordinator privately, you can use the MyLO (email) facility to do this OR you can send emails to the Unit Coordinator at: Barry.Hicks@utas.edu.au

## **Other**

### *Computer hardware & software*

#### **For MyLO**

To access MyLO from your own computer you will need the appropriate software, and hardware to run that software. See *Learning Online* at <http://uconnect.utas.edu.au> for computer software you will need.

**Note:** Older computers may not have the hardware to run some of the required software applications. Contact your local IT support person or the Service Desk on 6226 1818 if you experience difficulties.

For further information on using MyLO self help sheets can be accessed at:  
<http://www.utas.edu.au/coursesonline/MyLO-Support.htm>

## Details of teaching arrangements

This unit is offered by flexible delivery. NO formal face-to-face classes or meetings are scheduled.

### *Occupational health and safety (OH&S)*

The University is committed to providing a safe and secure teaching and learning environment. In addition to specific requirements of this unit you should refer to the University's policy at: [http://www.admin.utas.edu.au/hr/ohs/pol\\_proc/ohs.pdf](http://www.admin.utas.edu.au/hr/ohs/pol_proc/ohs.pdf)

## Unit Schedule

The following Schedule sets out the Modules and Topics that make up this unit. A suggested target time schedule is set out in the third column for those who wish to complete the course progressively throughout the semester. The Readings for each Topic are indicated in the Course Materials on the Unit CD.

Module	Topics	Suggested Completion Dates
1	<p>INTRODUCING REGULATORY COMPLIANCE</p> <p>Introduction to the Unit</p> <p>1a Background and Unit Overview</p> <p>1b Business and Regulation</p> <p>1c Complying with Business Regulation</p> <p>1d Case Study in Regulatory Compliance – OHS</p>	Monday 9 March, Semester Week 3
2	<p>GOVERNMENT BUSINESS REGULATION</p> <p>2a Business Regulation and the Federal System</p> <p>2b Regulation by Legislation</p> <p>2c Quasi Regulation and Co-Regulation</p> <p>2d Informal Policies and Guidelines</p> <p>2e Education and Information Strategies</p> <p>2f Economic Instruments</p> <p>2g Penalties and Sanctions</p> <p>2h Regulators and Regulation</p> <p>2i Corporations</p> <p>2j Lawyers and Legal Issues</p>	Thursday 26 March, Semester Week 5.

3	<p>NON-GOVERNMENT BUSINESS REGULATION</p> <p>3a Industry Self-Regulation and Codes of Conduct 3b Voluntarism</p> <p><i>Assignment 1 due date: Midnight Thursday 16 April (EST)</i></p> <p>MID-SEMESTER BREAK: 9-15 April</p>	Monday 6 April, Semester Week 7.
4	<p>COMPLIANCE WITH BUSINESS REGULATION</p> <p>4a Compliance, Governance and Management 4b Historical Development of Regulatory Compliance 4c Legislators and Compliance 4d Commonwealth Criminal Code 4e Regulators and Compliance 4f Compliance and the Courts 4g The Compliance Industry</p>	Monday 4 May, Semester Week 10
5	<p>MANAGEMENT OF REGULATORY COMPLIANCE</p> <p>5a Compliance Programs and AS3806: 1986 5b AS3806 - Structural Elements 5c AS3806 - Operational Elements 5d AS3806 - Maintenance Elements 5e Case Study - OHS Compliance 5f OHS - Risk Management 5g OHS – Compliance Policy and Planning 5h OHS - Compliance Implementation 5i OHS – Compliance Measurement, Evaluation and Review 5j Workers Compensation and Injury Management 5k Trade Practices Law Compliance 5l Environmental Law Compliance</p> <p><i>Assignment 2 due date: Midnight Monday 25 May (EST)</i></p>	Wednesday 27 May, Semester Week 13
	<p><b>FINAL DATE FOR ASSESSABLE DISCUSSION POSTINGS ON MyLO</b></p> <p>All Assessable Discussions are to be posted on MyLO no later than Midnight on Wednesday 27 May (Eastern Standard time). Subject to the above, the Capstone Assignment will be emailed to students on Thursday 28 May prior to 5.00pm (if it has not been emailed earlier in the Semester in response to a request from a student who has completed all Assessable Discussions and Assignments prior to 27 May).</p>	<b>Midnight on Wednesday 27 May (EST)</b>

	Study Period	Monday 1-5 June
	<p><b>FINAL SUBMISSION DATE FOR CAPSTONE ASSIGNMENT</b></p> <p>To be submitted via email no later than Midnight on Monday 15 June (Eastern Standard Time), if it has not been submitted earlier in the Semester.</p>	<p><b>Midnight on Monday 15 June.</b> (Week 2 of the Formal Examination Period).</p>

### **Unit Schedule: Dates for Semester 1**

<i>Week</i>	<i>Commencing</i>
Week 1	23 February
Week 2	2 March
Week 3	9 March
Week 4	16 March
Week 5	23 March
Week 6	30 March
Week 7	6 April
Mid Semester Break 9 April to 15 April	
Week 8	20 April
Week 9	27 April
Week 10	4 May
Week 11	11 May
Week 12	18 May
Week 13	25 May
Week 14	1-5 June (Study Period)
Examination Period 6 June – 23 June.	

### **Learning expectations and strategies**

#### ***Expectations***

The University is committed to high standards of professional conduct in all activities, and holds its commitment and responsibilities to its students as being of paramount importance. Likewise, it holds expectations about the responsibilities students have as they pursue their studies within the special environment the University offers.

The University's Code of Conduct for Teaching and Learning states:

*Students are expected to participate actively and positively in the teaching/learning environment. They must attend classes when and as required, strive to maintain steady progress within the subject or unit framework, comply with workload expectations, and submit required work on time.*

### ***Learning Strategies***

As mentioned above, there are five (5) Modules for you to study independently in this unit, each of which has a number of Topics within it. For each Topic there are narrated PowerPoint slides that introduce the key concepts for that Topic. There are also Readings for each of the Topics and some questions for you to ‘Consider’ in relation to the readings. There are also questions for Assessable Discussion located at the end of each Module (see later in this Outline) and there are two “Assignments” that you need to complete (see later in this Outline). At the end, there is a Capstone Assignment to undertake and return to the Unit Coordinator (see later in this Outline).

From the start of Semester it is important to work consistently through the Course Materials. If there is any area of work that you do not understand, you should contact the Unit Coordinator immediately to seek assistance, and make sure you do not progress to the next Topic/Module without a thorough understanding of the previous one. Each part of the unit develops themes from, and assumes an understanding of, the previous Modules/Topics, so it is important that areas are not skipped. The Unit Coordinator will reply to email requests for assistance within 48 hours during business hours (Mon – Fri 9.00am -5.00pm). You are requested to direct emails to the Unit Coordinator at: [Barry.Hicks@utas.edu.au](mailto:Barry.Hicks@utas.edu.au) rather than using the MyLO email facility. This will ensure that your emails come to the attention of the Unit Coordinator more quickly and as a result they can be answered more quickly by him.

Encouraging you to study and learn independently is an important goal of university study. It is a feature of a *reflective approach* to learning in which you reflect on what it is you are learning and how you plan your learning strategy. It is not the aim of flexible delivery that you feel you must work through problems alone. Throughout the unit as mentioned above, there are “Questions” for you to consider and you may choose to discuss these by making postings to the Non-Assessable Discussion Topics for each of the Modules via the Discussion facility of MyLO. There are also the questions for Assessable Discussion with other students. The exchange of information and ideas is a very important part of the learning development. You will gain most benefit by staying in close contact with other students and with the Unit Coordinator.

All aspects of your work are expected to be of a high standard, both in academic content and quality of presentation. It is important to contact the Unit Coordinator immediately should you experience any difficulties. Do not be reluctant to ask questions or contribute ideas, even if only partly formed, as these can often form a basis for very constructive interaction. Remember that the MyLO Discussions (Assessable and Non-Assessable) will be as interesting and useful as you make them.

### ***The “Double L, Double R, Double D” approach***

To get the most from this unit, you should adopt the following approach:

- ***Locate*** the Topic on the CD that must be done next.
- ***Listen*** to the PowerPoint presentation.

- **Read** the readings.
- **Reflect** on the concepts and issues that have been encountered using the questions posed for your consideration.
- **Discuss** the issues raised in Assessable Discussion Questions and feel free to participate in Non-Assessable Discussion for any or all of the Modules.
- **Do** any other activities that are scheduled/provided for the Topic or Module.

### ***Formal Written Feedback from the Unit Coordinator - Assessable Discussion 1***

As mentioned above, if there is any area of work that you do not understand or need help with, you MUST contact the Unit Coordinator to seek assistance immediately, and he will assist you in every possible way (with a 48 hour turn around – see above p.10). The assistance given may include ‘*Informal*’ feedback eg: you may ask for assistance in relation to a plan that you have prepared for Assignment 1 and the Unit Coordinator will provide feedback on your plan.

However, the Unit Coordinator will ALSO provide ‘Formal Written Feedback’ in relation to the Assessable Discussion for Module 1.

It is intended that by providing Formal Written Feedback on this Assessable Discussion you will be afforded the opportunity to know how you are performing against the ‘Criteria’ for Assessable Discussions (see later in this Outline) and you will be encouraged to work consistently through the Course Materials from the start of the Semester. If you find as a result of Formal Written Feedback that you are not performing well, you have the opportunity to know HOW you can improve your performance with a view to receiving the highest possible mark out of 20% for your Assessable Discussion.

The condition on which Formal Written Feedback for Module 1 will be provided is that you complete your discussion postings for Module 1 on or before the ‘Suggested Date’ in the Unit Schedule for completion of that Module (Monday 9 March, Semester Week 3). The Feedback will be provided in an email sent via MyLO in Semester Week 3/4.

If the Unit Coordinator does not see your postings for Module 1 on or before the suggested date for completion, he will email you in Week 3/4 to enquire as to your progress with the Module and with the Unit as a whole and to offer any assistance that may be required. It is hoped that such contact with you may overcome any delay that has occurred with your satisfactory progress in the unit.

### ***Textbook and other Web Documents***

Obviously you need to obtain the prescribed Textbook early. You should also obtain (as and when required) copies of “Documents” that are located on the Internet (you will be told when to do this in particular Modules). The Documents are referred to and used in many Topics and Modules throughout the Unit in conjunction with the Textbook and the Course Materials. On the Unit CD you are provided with the Internet address and a button that you can click on to access the site where the Document is located and it may be viewed. Then you can take a copy of the Document for your personal use in connection with your study of this unit. Typically the documents are in PDF format.

### ***The Media***

Regulation and compliance developments of one type or another are frequently in the media. To make this unit more interesting and useful you should try to keep abreast of these developments by reading newspapers and magazines. You should also watch current affairs and business programs on TV and listen to such programs on the radio.

### ***Student Interaction and Discussion***

Throughout the semester, your object should be to gain a broad knowledge and understanding of the Topics that are covered in the various Modules contained in the unit. Wherever possible, discuss issues with other students. Make extensive use of MyLO Discussion, both Assessable and Non-Assessable that the Unit Coordinator has provided for you to use. You should make sure that you use the 'Café' for example, so that we can all get to know each other. Use any or all of the Topics in the Discussion area – it can be very helpful.

### ***Contact with the Unit Coordinator***

If you have a problem that cannot be resolved by communication and interaction with other students, you should not hesitate to contact the Unit Coordinator at the earliest opportunity. You should use MyLO Mail or your personal email or, if necessary telephone the Unit Coordinator or ask him to telephone you back (you can do this in your email by providing a return telephone number).

As NO formal face-to-face classes or meetings are scheduled for this unit, you MUST maintain regular contact with the Unit Coordinator in this way so that you can get the necessary assistance to undertake the unit. If you are geographically close to the Hobart Campus of the University, you can make an appointment to see the Unit Coordinator and get the help you need face-to-face.

### ***Unit Schedule***

In the Unit Schedule above you will find the five (5) Modules covered in this unit together with the separate Topics covered in each Module. It also contains SUGGESTED target times for the completion of the five (5) Modules in the unit. This will be helpful for you to complete the Unit progressively throughout the Semester. The 'Prescribed Readings' for each of the Modules/Topics are indicated in the Unit Resources on the Unit CD. You MUST allow yourself SUFFICIENT TIME to work your way through all of the Modules and the Topics within them, participate in the Assessable Discussion and, complete the two (2) Assignments. It would be VERY unwise to leave insufficient time so that you have to complete a large amount of work in a short period. In particular, you will see under 'Assessment' that you are not permitted to undertake the Capstone Assignment in the unit UNLESS and UNTIL you complete ALL of the requirements for the unit by the prescribed DEADLINE ie: six (6) 'Assessable Discussions' and two (2) Assignments.

### ***General***

If you are studying this unit you must already have developed skills and strategies that have helped you to achieve success in previous undergraduate units. However, the subject matter of this unit will be new to you. In addition to practical problem solving and application of regulatory compliance practices, the unit requires an ability for critical and abstract thinking and good communication skills. The emphasis is on you

USING your knowledge of best practice to address real life corporate governance issues that you hear about on TV and radio or read about in the media.

You should do well in this unit if you:

- have a strong interest in regulation and compliance issues;
- keep up-to-date with your coursework, and with daily newspapers, relevant magazines, journals radio and TV programs;
- consolidate your understanding by making appropriate short notes and summaries;
- give yourself plenty of time to complete your “Assignments”;
- prepare for and actively participate in Assessable and Non-Assessable Discussion (this is especially important as a medium for students from many disciplines to share their particular expertise); and
- take responsibility for your own learning.

### **Specific attendance/performance requirements**

This unit is offered by flexible delivery. NO formal face-to-face classes or meetings are scheduled and therefore there are no specific attendance requirements.

In order to pass this unit you must complete and submit each item of assessment listed below AND achieve a final result of at least 50%.

### **Assessment**

#### *Assessment schedule*

<b>Assessment task</b>	<b>Date due</b>	<b>Percent weighting</b>
Assessable Discussions (6)	Midnight Wed 27 May	20%  (6 x 3.33%)
Assignment 1:	Midnight Thur 16 April	20%
Assignment 2:	Midnight Mon 25 May	20%
Capstone Assignment	Midnight Mon 15 June	40%

NOTE: midnight is based on Australian Eastern Standard Time (EST)

## *Assessment details*

### **Assessment task 1**

<b><i>Task description</i></b>	There are six (6) Assessable Discussions and you <b>MUST</b> participate in each one of them. There is one (1) Assessable Discussion for each of Modules 1 to 4 and two (2) Assessable Discussions for Module 5 ('Assessable Discussion A' and 'Assessable Discussion B').
<b><i>Task length</i></b>	There is no set length for this task.
<b><i>Links to unit's learning outcomes</i></b>	1-6
<b><i>Assessment criteria / guidelines</i></b>	See below
<b><i>Date due</i></b>	All Assessable Discussions must be completed by <b>Midnight on 27 May (EST)</b>

You are required to engage in the Assessable Discussion/s for each Module as indicated on the Unit CD. You may move the discussion in any broad direction that is related to the Question(s) and issues raised by the Question/s. The Unit Coordinator will monitor the Assessable Discussion/s regularly (in most cases on a daily basis in the mornings), but will not interfere, except to correct misconceptions and errors and to make postings that are designed to elicit further discussion and interaction where this is seen to be necessary or useful. It is the Assessable Discussion for you to explore in whatever directions and dimensions that you wish provided they are at least tangentially related to the Question(s) and the Module/Topic content. If the Unit Coordinator can help you to achieve this goal he will make postings designed to assist you and other students.

You are required to engage in Assessable Discussion in your Group at a **minimum of three (3) levels** for each of the six (6) Assessable Discussion topics and preferably at more levels. If you fail to comply with this requirement for one or more Assessable Discussion Topics a mark will NOT be awarded for the discussion.

The levels are as follows.

- Level 1 Discussion - involves posting answers/comments in response to the Question(s) that are posed for Discussion in the relevant Topic/Module as indicated on the Unit CD
- Level 2 Discussion - involves responding to the first posting of at least one other student in response to the Question(s) that are posed for Discussion. You can agree or disagree with the first posting of that student and you must give your reasons. You can also make other comments that are relevant to what they have stated in their first posting or, which are relevant to the Topic/Module. For some Assessable Discussions there may be specific guidelines that you **MUST** follow for discussion.

- Level 3 and Later Levels of Discussion - involve responding to the posting that comments on your original posting in answer to the Question(s) posed for discussion OR, responding to any one else's postings at any level.

The more levels of discussion that you engage in within your Group, the greater the opportunity you will have to be awarded a high mark for Assessable Discussion. However, the mark will not only depend on the number of levels of discussion that you engage in, it will also depend on the manner and extent to which you comply with the 'Assessment Criteria' provided below

Your participation in Assessable Discussion will be assessed in accordance with the following 'Assessment Criteria':

**HD Outstanding Contributor:** This person's contributions reflect exceptional preparation and reflection. The ideas offered are always substantive and provide major insights and direction for the discussion. If this person were not a member of the group, the quality of the discussions would diminish significantly.

**CR – DN Good Contributor:** Contributions in discussion reflect thorough preparation. Ideas offered are usually substantive, provide good insights and sometimes lead the direction of the discussion. Points and arguments are generally well thought out and are often persuasive. If this person were not a member of the group, the quality of discussions would diminish considerably.

**PP – CR Adequate Contributor:** Contributions reflect satisfactory preparation. Ideas offered are sometimes substantive and provide useful insights, but seldom offer a major new direction for the discussion. Contributions tend to be more piecemeal than integrative. Arguments are sometimes presented and are fairly well substantiated and sometimes persuasive. If the person were not a member of the group, the quality of the discussions would diminish somewhat.

**NN Non-participant:** This person has offered very little or nothing to the discussion to date. Hence, there is an inadequate basis for evaluation. If this person were not a member of the group, the quality of the discussion would not be changed.

**NN Unsatisfactory Contributor:** Contributions reflect inadequate preparation. Ideas offered are seldom substantive; they provide few, if any, insights and rarely or never a constructive direction for the group. Integrative comments and effective arguments are absent. Class comments are either obvious, restatement of the contributions of others, isolated from the main discussion, or confusing to the group. If this person were not a member of the group, valuable airtime would be saved.

A mark out of **3.33%** will be awarded for each of the six (6) discussions in accordance with the above criteria. The marks will be added together to give a mark out of 20% for Assessable Discussions. Marks for each discussion topic, and the final mark will be advised via MyLO.

Student discussion is likely to be more constructive and effective if you participate when others in the Group are also discussing the Question(s) for Assessable Discussion. You cannot expect to stimulate or direct the discussion of your group if you leave your contributions until late in the semester. Therefore, you should monitor the discussion board of your group regularly to see what discussion is taking place.

NOTE: For ALL Topics there are Questions posed for student 'Consideration'. These are NOT the Questions for Assessable Discussion, which are clearly marked as such

on the Unit CD and are located at the end of each Module. The questions for 'Consideration' are made available so that you will have the opportunity to explore and apply the knowledge and information that you have gained from doing the relevant Topic and the questions may facilitate your participation in 'Non-Assessable Discussion' for that Module/Topic (use the 'General Discussion' Topics for Modules 1-5 in the 'Discussions' area mentioned earlier).

**NOTE:** If you wish to receive 'Formal Written Feedback' (see earlier) on your Assessable Discussion for Module 1, you Must complete the requirements for the Discussion by the suggested date for completion set out in the Unit Schedule.

## **Assessment task 2**

### ***Task description***

**NOTE: Summary (only). See Unit CD under 'Assignment 1' for full description.**

Written in depth analysis of Tasmanian OHS regulation and its application to activities in the Tasmanian rural sector. Interpretation of the scenario involving regulatory enforcement policies and activities of Workplace Standards Tasmania. Logically argued and clearly presented. For further information refer to 'Assignment 1' on the Unit CD

### ***Task length***

2,000 words

### ***Links to unit's learning outcomes***

1-6

### ***Assessment criteria / guidelines***

Provided on the Unit CD under 'Assignment 1'

### ***Date due***

**Midnight on Thursday 16 April (EST)**

### Assessment task 3

*Task description*

**NOTE: Summary (only). See Unit CD under ‘Assignment 2’ for full description.**

Interpretation of a given scenario including identification of OHS regulatory requirements and development and application of safety management systems designed to ensure compliance with the regulatory requirements. Logically argued and clearly presented. For further information refer to ‘Assignment 2’ on the Unit CD.

*Task length*

2,000 words

*Links to unit’s learning outcomes*

1, 3-6

*Assessment criteria / guidelines*

Provided on the Unit CD under ‘Assignment 2’.

*Date due*

**Midnight on Monday 25 May (EST)**

## Assessment task 4

### *Task description*

The Capstone Assignment may require examination of material covered in any or all Modules. It is a substitute for a final examination in the unit.

The objectives of the Capstone Assignment are to test you and afford you an opportunity to demonstrate your:

- breadth of knowledge and understanding of regulation and compliance issues;
- skills in being able to identify regulation and compliance issues in given factual situations;
- skills in applying regulatory compliance practices to factual situations;
- understanding of the appropriate measures for developing and maintaining compliance systems and programs
- competence in presenting answers and arguments coherently and concisely; and
- capability in other aspects related to the Learning Outcomes

### *Task length*

3,000 words

### *Links to unit's learning outcomes*

1, 3-6

### *Assessment criteria / guidelines*

Demonstration of the knowledge, skills, competencies and capabilities listed above.

### *Date due*

**Midnight on Monday 15 June (EST)**

When you have worked completely through the Unit Resources, participated in the six (6) Assessable Discussions and submitted the two (2) Assignments by the due dates, you may send an email request to the Unit Coordinator to email the Capstone Assignment to you. The Assignment will be emailed to you by 5.00pm on the next business day following receipt of your email request. Recall that the FINAL date and time for submission of all Assessable Discussions is Midnight on Wednesday 27 May (ie: Wednesday of Week 13 of Semester 1). If you comply with this deadline having submitted your two assignments and you forward an email request to the Unit Coordinator on that day, the Capstone Assignment will be emailed to you by 5.00pm on Thursday 28 May.

## **How your final result is determined**

To be able to pass this unit, you MUST satisfactorily participate in EACH one of the six (6) Assessable Discussions by the due date AND submit EACH of the two (2) Assignments by the due dates AND submit the Capstone Assignment by the due date.

If you do not satisfy these Assessment requirements for the Unit you will be awarded a grade of NN (fail).

The marks for each of the four (4) Assessment Tasks are added together to determine your final result. You must achieve an overall mark of at least 50% to pass the unit.

You will be advised by the University of your total mark and grade when results for Semester 1 Units are formally released by the University to all students. You will not be entitled to receive information in relation to your mark and grade or work undertaken in connection with the Capstone Assignment until that date.

## **Submission of assignments**

### **How to submit your Assignments and the Capstone Assignment**

Word files containing the two (2) Assignments and the Capstone Assignment **MUST** be emailed to the Unit Coordinator: [Barry.Hicks@utas.edu.au](mailto:Barry.Hicks@utas.edu.au) Do NOT submit them via the Mail facility in MyLO.

The file names for the Assignments/Capstone Assignment should be as follows:

Student Surname; Initials; Assignment detail eg: HicksBJAssignment1;  
HicksBJCapAssignment

Receipt of files containing the two (2) Assignments and the Capstone Assignment in a readable form will be acknowledged by email.

### **Requirements for Assignments and the Capstone Assignment**

The submitted Assignments and Capstone Assignment are to be presented in accordance with the *Guide for Students* issued by the Faculty of Business. You should look under: '*Presentation and Submission of Assignments*'. You can find a copy of the Guide at the Faculty website:

<http://www.utas.edu.au/business/faculty/documents/BusinessFacultyGuide2006.pdf>

Your attention is particularly drawn to the University's rules on **Plagiarism** (see later in this Unit Outline). Whilst you are encouraged to work together with other students and exchange information in this unit, submitted Assignments and the Capstone Assignment must be the your own work. Assignments and Capstone Assignment scripts containing any plagiarised information will be referred to the Head of School and will be subject to the disciplinary processes of the University.

The two Assignments will be marked as quickly as possible after submission and grades will be emailed to you via MyLO. Feedback will be provided if the requirements for Formal Written Feedback have been satisfied.

Assignments and the Capstone Assignment may be submitted to plagiarism detection software.

## **Requests for extensions**

Consistent with the Faculty's policy on late submission, extensions of time will only be granted on medical or compassionate grounds. They will not be granted because of work or other commitments. Requests for extension must be made to the unit coordinator in writing on the School's Application for Late Submission Form available at <http://www.utas.edu.au/accg/studentres.htm> or on MyLO before the due date of the assignment. Medical certificates or other evidence, which supports the application, must be attached and must contain information which justifies the extension sought.

## **Penalties**

### **Over-length Work**

If you submit over-length work you will be asked to resubmit the work within 48 hours. There will be an automatic 10% penalty of available marks and 10% for each day that you are late in resubmitting.

### **Late Submission of Continuous Coursework**

Coursework that is not handed in by the agreed completion date will incur a penalty of 10% of the available marks for each day, or part day, the assignment is late.

### **Review of results and appeals**

You may request a formal remark of your original submission (in accordance with Rule of Academic Assessment 2, Clause 22.1). Under the Rule of Academic Assessment 2, clause 23, you may also request a review of your final result in a unit. For further information see:

[http://acserv.admin.utas.edu.au/complaints\\_checklist.html](http://acserv.admin.utas.edu.au/complaints_checklist.html)

## **Academic referencing**

In your written work you will need to support your ideas by referring to scholarly literature, and other sources of information such as the accounting regulatory bodies. It is important that you understand how to correctly refer to the work of others and maintain academic integrity. Failure to appropriately acknowledge the ideas of others constitutes academic dishonesty (plagiarism), a matter considered by the University of Tasmania as a serious offence.

The appropriate referencing style for this unit is the Harvard referencing method. In addition to the *Faculty Guide for Students*, you are encouraged to read Fleet, W, Summers & Smith, B. (2006), *Communication Skills Handbook for Accounting*, which provides detailed information about using the Harvard referencing system. Further information on presentation of assignments, including referencing styles is available at: <http://www.utas.edu.au/library/assist/gpoa/gpoa.html>

You can also access information about the referencing style used in this unit in the *Faculty of Business Guide for Students* available via MyLO or from the School's website - <http://www.utas.edu.au/accg/studentres.htm>.

Please read the following statement on plagiarism. Should you require clarification please see your unit coordinator or lecturer.

## Plagiarism

Plagiarism is a form of cheating. It is taking and using someone else's thoughts, writings or inventions and representing them as your own; for example, using an author's words without putting them in quotation marks and citing the source, using an author's ideas without proper acknowledgment and citation, copying another student's work.

If you have any doubts about how to refer to the work of others in your assignments, please consult your lecturer or tutor for relevant referencing guidelines, and the academic integrity resources on the web at. <http://www.academicintegrity.utas.edu.au/>

The intentional copying of someone else's work as one's own is a serious offence punishable by penalties that may range from a fine or deduction/cancellation of marks and, in the most serious of cases, to exclusion from a unit, a course or the University. Details of penalties that can be imposed are available in the Ordinance of Student Discipline – Part 3 Academic Misconduct, see <http://www.utas.edu.au/universitycouncil/legislation/>

**The University and any persons authorised by the University may submit your assessable works to a plagiarism checking service, to obtain a report on possible instances of plagiarism. Assessable works may also be included in a reference database. It is a condition of this arrangement that the original author's permission is required before a work within the database can be viewed.**

For further information on this statement and general referencing guidelines, see <http://www.utas.edu.au/plagiarism/> or follow the link under 'Policy, Procedures and Feedback' on the **Current Students** homepage.

### Further information and assistance

If you are experiencing difficulties with your studies or assignments, have personal or life planning issues, disability or illness which may affect your course of study, you are advised to raise these with your lecturer in the first instance.

There is a range of University-wide support services available to you including Teaching & Learning, Student Services, International Services. Please refer to the **Current Students** homepage at: <http://www.utas.edu.au/students/>

Should you require assistance in accessing the Library visit their website for more information at <http://www.utas.edu.au/library/>

### **If you have a problem...**

- of an administrative nature (eg tutorial allocation), see the lecturer
- of an academic nature, please ask questions during workshop sessions. For individual assistance, you are encouraged to see your unit coordinator during "consultation hours"
- if you have problems using MyLO, contact the service desk

Website: <http://www.utas.edu.au/servicedesk/student/index.html>

Telephone: 6226 1818

Email: [servicedesk@utas.edu.au](mailto:servicedesk@utas.edu.au)

- if you have any concerns in relation to this unit, then in the first instance you should discuss the matter with your lecturer. However, if you do not feel comfortable approaching your lecturer, or if you have a discussion with your lecturer and are not satisfied with the outcome, then you are encouraged to contact one of the Ombudspersons listed below, who also teach in the School of Accounting & Corporate Governance.

Mr Peter Collett  
Room: 502, Faculty of Business  
Building, Hobart  
Ph: (+61 3) 6226 2192  
email:[Peter.Collett@utas.edu.au](mailto:Peter.Collett@utas.edu.au)

Ms Sue Conway  
Room D111  
Launceston  
Ph: (+61 3) 6324 3068  
email:[Susan.Conway@utas.edu.au](mailto:Susan.Conway@utas.edu.au)

Discussions with the ombudsperson will be kept in the strictest confidence. If you wish to pursue the matter further, they will provide advice as to how this can be done. The University also has formal policies, which can be accessed at:  
[http://www.admin.utas.edu.au/ac\\_serv/complaints\\_info.html](http://www.admin.utas.edu.au/ac_serv/complaints_info.html)

### **Students with Disabilities –University & Faculty Equity Plans**

Goal 1 of the University of Tasmania Equity Plan provides for: “An inclusive teaching and learning environment that values diversity, supports the pursuit of academic excellence and produces high quality education and employment results for all students and staff”. The Faculty of Business Equity Plan facilitates the University Plan at an operational level and has developed an ‘Action Plan’. The Action Plan for Goal 1 lays down procedures to ensure that all students, including those with disabilities, have equal access to lecture and course materials. The School of Accounting & Corporate Governance complies with these procedures.