

Programme Specification (PG)

Awarding body / institution:	Queen Mary University of London
Teaching institution:	Queen Mary University of London
Name of final award and title:	MSc in Regulation and Compliance LLM in Regulation and Compliance
Name of interim award(s):	Postgraduate Diploma, Postgraduate Certificate
Duration of study / period of registration:	1 year full time, 2 years part time.
Queen Mary programme code(s):	
QAA Benchmark Group:	
FHEQ Level of Award:	Level 7
Programme accredited by:	
Date Programme Specification approved:	
Responsible School / Institute:	Centre for Commercial Law Studies

Schools / Institutes which will also be involved in teaching part of the programme:

Collaborative institution(s) / organisation(s) involved in delivering the programme:

Programme outline

The programme is designed to meet the growing demand for skilled professionals in regulation and compliance (e.g., financial compliance or GDPR compliance). The programme is designed for those who want to pursue a career in Regulation or Compliance with an option of specialising in one of the following sectors: (1) Financial and Insurance Regulation; (2) Data Protection and Information Security; (3) Business and Trade Regulation; and (4) Energy and Environmental Regulation.

Students in the programme will be exposed to the latest development in practical issues in compliance and regulation. The programme contains both general and specialist modules to allow students to tailor the programme to their needs.

Aims of the programme

This programme introduces students to Regulations within the UK, EU, and Global Markets. It prepares them for a career in Regulation and/or Compliance. The programme teaches students how to read and interpret regulations, how to turn them into an internal compliance framework understandable by non-practitioners, and how to redress non-compliance within their

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organisation and with the regulator. The programme provides students an opportunity to specialise in the Compliance area of their choice.

The programme engages students' critical thinking through case studies and problem based learning that reproduces real-life situations. The programme enables students to reflect on how the regulatory rules are applied and how the rules are shaped by the changing regulatory environment.

The programme provides students with opportunities to engage with the broad (i.e. the role and aims of regulation) and the narrow (i.e. the applicability of specific rules to specific situations) role of regulations. This two prong approach will shape students to become better regulators and compliance officers.

What will you be expected to achieve?

Students who successfully complete the programme will be able to pursue a career in compliance and/or they will be able to advance their career within a law firm, governmental regulator, and/or regulated entity body (e.g., financial institutions). Students will also be able to pursue a more research oriented career as it prepares them for a PhD in the topic area.

Academic Content:

A 1	Demonstrate knowledge of a substantial range of major concepts, values, principles and rules of domestic and international legal environment within which the economy operates
A 2	Explain the legal framework (laws and procedures) that govern economic systems.
A 3	Demonstrate the study in depth in context of compliance systems.

Disciplinary Skills - able to:

B 1	Present, both orally and in writing, legal arguments in substantive legal areas
B 2	Read and discuss legal and regulatory materials which are written in technical and complex language
B 3	Apply knowledge to a new fact pattern
B 4	Bring together information and materials from a variety of different sources
B 5	Interpret complex legal and regulatory framework in a manner comprehensible to non-practitioners.
B 6	Critically evaluate public policy and legal arguments
B 7	Use abstractions to solve complex actual or hypothetical legal problems
B 8	Write a clear and concise compliance framework

B 9	Make effective use of tutor and peer feedback to enhance your work and develop successful collaborative working relationships with peers
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Attributes:	
C 1	Work to tight deadlines in the process of carrying out projects involving complex regulatory analysis
C 2	Work as part of a team to undertake the completion of projects involving complex regulatory analysis.
C 3	Understand the value of the ethical behaviour when working in such a delicate and important area
C 4	Critically engage with knowledge to write a professional memorandum using the acquired knowledge and apply that knowledge and analytical skills to new fact patterns or problems
C 5	Explain and argue clearly and concisely in writing and orally through case studies and hypothetical regulatory and compliance problems
C 6	Gain the ability to conduct self-directed research, including accurate identification of issues

How will you learn?

A range of Teaching and Learning techniques will be used, tailored to the learning outcomes of the different modules. These could include lectures, directed readings, practical and library-based research, presentations, group work and knowledge transfer activities. In particular, activities such as case study presentation that provide students with the necessary experience of presenting their work in front of an audience.

Individual module forms list further details the teaching and learning procedures.

How will you be assessed?

A wide range of assessment techniques will also be used. These would include technical exercises, evaluation of existing regulatory and compliance framework, and extended written analyses of primary and secondary sources including case-law and data.

Each module is assessed differently. Most use one or combine multiple of these assessment methods:(1) an essay; (2) a final assessment; (3) a three hour unseen (closed book) exam; and/or (4) coursework.

How is the programme structured?

Please specify the structure of the programme diets for all variants of the programme (e.g. full-time, part-time - if applicable). The description should be sufficiently detailed to fully define the structure of the diet.

The programme involves a curriculum consisting of an in-session introductory law course (non-credit bearing) that will be

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offered to students who have no law degree or legal experience while registered on the programme. It will enable students to access and understand legal resources and to apply all of this knowledge to the compliance and regulatory fields.

To be awarded the LLM in Regulation and Compliance students must complete:

5 compulsory modules: one 30 credit modules and four 15-credits modules;
1 compulsory dissertation: a 5000 word case study & 5000 word essay, codified as a one 30 credit; and
2-4 electives adding up to 60 credit from a range of elective modules, which are either 15 or 30 credits.
Students who do not specialise (Award Routes) can take up to 30 credits outside the specialism.
Students who specialises (Award Routes) must take 60 credits in their Award Route specialism.

To be awarded the MSc in Regulation and Compliance, students must complete:

In-sessional Law Course

5 compulsory modules: one 30 credit modules and four 15-credits modules;
1 compulsory dissertation: a 5000 word case study & 5000 word essay, codified as a one 30 credit; and
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Award Route (Specialism)

LLM in Regulation and Compliance (Financial & Insurance Regulation)
LLM in Regulation and Compliance (Data Protection & Information Security)
LLM in Regulation and Compliance (Business & Trade Regulation)
LLM in Regulation and Compliance (Energy & Environmental Regulation)
MSc in Regulation and Compliance (Financial & Insurance Regulation)
MSc in Regulation and Compliance (Data Protection & Information Security)
MSc in Regulation and Compliance (Business & Trade Regulation)
MSc in Regulation and Compliance (Energy & Environmental Regulation)

Compulsory Modules:

SEMESTER 1:

Law and Economics of Regulation & Compliance
Principles of Regulation
Law and Ethics in Business and Finance
Compliance Systems in Practice

SEMESTER 2:

Dissertation (case study & 5000 word essay)
Regulation and Compliance Clinic

SEMESTER 3:

Dissertation (case study & 5000 word essay - continued)

In addition to the compulsory modules, students can select an Award Routes (specialism). To be awarded the specialism, students must select 60 credits from the electives attached below:

LLM in Regulation and Compliance (Financial & Insurance Regulation)

MSc in Regulation and Compliance (Financial & Insurance Regulation)

Securities Regulation
Compliance in Global Markets
Regulation of Financial Markets
Banking Law International
Corporate Governance and Responsibility in Finance
Insurance Regulation
General Principles of Insurance Law
Insurance Contracts
International Regulation of Shipping
Legal Tech

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Public Affairs Advocacy
Advocacy in Commercial Disputes

LLM in Regulation and Compliance (Data Protection & Information Security)

MSc in Regulation and Compliance (Data Protection & Information Security)

EU Data Protection Law
Information Security and the Law
Cyberspace: Jurisdiction and Dispute Resolution
Cybercrime: Substantive Offences
Cybercrime: Forensic Investigations
International and Comparative Data Protection Law
Legal Tech
Public Affairs Advocacy
Advocacy in Commercial Disputes

Students wanting to do the Data Protection & Information Security specialism can select 2 from the Distance Learning Module. A selection of 3-4 modules are offered from the list below on a two year cycle.

Online Banking and Financial Services
Privacy and Data Protection Law
Internet Content Regulation
Information Security and the Law
European Telecommunications Law
Online Media Regulation
Information and Communications Technology and Competition Law
Internet Governance
Cloud Computing

LLM in Regulation and Compliance (Business & Trade Regulation)

MSc in Regulation and Compliance (Business & Trade Regulation)

Mergers and Acquisitions. Double stream. (cannot also take 005/006)
Chinese Business Law
Cartels, Collusion and Competition Law
Competition Enforcement: From Investigation to Sanctions
International and Comparative Law of Unfair Competition
EU Trade Law
International Merger Control: Special Topics
International Competition Law
Comparative Competition Law
EU Competition Law and Practice
Legal Tech
Public Affairs Advocacy
Advocacy in Commercial Disputes

LLM in Regulation and Compliance (Energy & Environmental Regulation)

MSc in Regulation and Compliance (Energy & Environmental Regulation)

Transnational Law and Governance Applied
Energy Law Principles
International Energy Law and Ethics
EU Energy Law
United States Energy Law, Regulation and Policy
Energy and Climate Change
International Environmental Law
Climate Change Law
Water Law
Nuclear Energy Law
Renewable Energy Law
International Energy Transactions

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Legal Tech
Public Affairs Advocacy
Advocacy in Commercial Disputes

Distance Learning

For part time variable mode students (2 to 4 year), students have a distance learning option: students wishing to incorporate DL modules can choose up to 4 distance learning elective modules (15 credits each). A selection of 3-4 modules are offered from the list below on a two year cycle. Students can select among these courses for their electives.

Online Banking and Financial Services
Privacy and Data Protection Law
Internet Content Regulation
Information Security and the Law
European Telecommunications Law
Online Media Regulation
Information and Communications Technology and Competition Law
Internet Governance
Cloud Computing

Global perspective of the programme:

Subject to immigration constraints, students will spend Semester 1 and Semester 2 in London.

There will be an option to provide dissertation supervision online, in other words the 'meetings' between a supervisor and a student can be conducted online using platforms such as Blackboard, Zoom, Skype or Facetime.

Academic Year of Study

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Securities Regulation	SOLM001	30	7	Elective	1	Semester 2
Regulation of Financial Markets	SOLM003	30	7	Elective	1	Semester 1
Banking Law International	SOLM007	30	7	Elective	1	Semester 1
Banking and FinTech Law	SOLM008	30	7	Elective	1	Semester 2
Mergers and Acquisitions	SOLM010	30	7	Elective	1	Semester 2
Law and Ethics in Business and Finance	SOLM011	15	7	Compulsory	1	Semester 1
Corporate Governance and Responsibility in Finance	SOLM012	30	7	Elective	1	Semester 2

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Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
International Commercial Law	SOLM019	30	7	Elective	1	Semester 2
Compliance in Global Markets	SOLM223	15	7	Elective	1	Semester 1
Compliance Systems in Practice	SOLM224	15	7	Compulsory	1	Semester 2
EU Financial and Monetary Law	SOLM245	15	7	Elective	1	Semester 2
Regulation and Compliance Clinic	SOLM258	15	7	Compulsory	1	Semester 2
Law and Economics of Regulation and Compliance	SOLM259	15	7	Compulsory	1	Semester 1
Data Protection Law and Compliance	SOLM285	15	7	Elective	1	Semester 3
Dissertation in Regulation and Compliance	SOLM926	30	7	Compulsory	1	Semesters 1-3
On-Line Banking and Financial Services	CCDM008	15	7	Elective	1	Semester 1
Privacy and Data Protection Law	CCDM014	15	7	Elective	1	Semester 2
Advanced IP Issues: Digital Rights Management	CCDM015	15	7	Elective	1	Semester 1
Internet Content Regulation	CCDM018	15	7	Elective	1	Semester 2
Information Security and the Law	CCDM019	15	7	Elective	1	Semester 1
European Telecommunications Law	CCDM021	15	7	Elective	1	Semester 2
Online Media Regulation	CCDM028	15	7	Elective	1	Semester 1
Information and Communications Technology and Competition Law	CCDM031	15	7	Elective	1	Semester 2
Cloud Computing	CCDM043	15	7	Elective	1	Semester 1

What are the entry requirements?

The usual entrance requirement for entry to a taught masters degree is a good second class honours degree from a UK university (i.e. upper 2.2 honours degree), a recognised equivalent from an accredited overseas institution or an equivalent professional

qualification. The applicants with a substantial professional experience may also qualify.

IELTS 7 (minimum Writing: 7.0 and R, L, S: 5.5).

How will the quality of the programme be managed and enhanced? How do we listen to and act on your feedback?

The Staff-Student Liaison Committee provides a formal means of communication and discussion between CCLS and its students. The committee consists of student representatives from each specialism who together present to the CCLS staff and programme directors their remarks, concerns, and ideas about individual modules and the programme. It is designed to respond to the needs of students and as a forum for discussing programme and module developments. Staff-Student Liaison Committees meet regularly throughout the year.

CCLS also operates a Learning and Teaching Committee, which advises the Directors of Taught Programmes on all matters relating to the delivery of taught programmes at school level including monitoring the application of relevant QM policies and reviewing all proposals for module and programme approval and amendment before submission to Taught Programmes Board. Student views are incorporated in the committee's work in a number of ways, such as through student membership, or consideration of student surveys.

CCLS operates an Annual Programme Review (APR) of their taught undergraduate and postgraduate provision. APR is a continuous process of reflection and action planning which is owned by those responsible for programme delivery; the main document of reference for this process is the Taught Programmes Action Plan (TPAP) which is the summary of the Centre's work throughout the year to monitor academic standards and to improve the student experience. Students' views are considered in this process through analysis of the NSS and module evaluations.

What academic support is available?

Initial assessment of education and training needs for taught postgraduate students is carried out by the Programme Director, the relevant administrative staff in charge of processing applications for the programme, and Academic Practice Taught Programmes at QM Academy.

Induction of new students is coordinated by the Programme Administrator and Director at CCLS. An additional in-session introductory law course (non- credit bearing) session will be held for taught postgraduate students in the first two week of the academic session.

All taught postgraduate students in the programme are assigned a personal advisor, who is the student's primary point of contact for both academic and welfare issues relating to the programme as a whole and the student's experience at Queen Mary. Advisors oversee the regular progress of advisees through the programme, and help coordinate any intervention that may be necessary between the advisee and other members of the CCLS (including the School Chair of Examiners).

In addition to personal advisors, taught postgraduate students will be assigned supervisors for their dissertations during the second semester of the degree. Supervisors and supervisees will meet, either physically or virtually, at least 3 times (the specifics of which are to be determined by the supervisor and the supervisee) to ensure sufficient progress is being made on the dissertation and that the submitted dissertation will be of a standard required for work at the Masters level.

In addition to pastoral and welfare services offered by the College, CCLS maintain an extensive support network for all students in taught programmes and students on the new programme will have full access to these. Details of the School's provision in this area can be found in the Handbooks for masters Students produced by CCLS.

Programme-specific rules and facts

Students who do not specialise (Award Routes) can take up to 30 credits outside the specialism.
Students who specialises (Award Routes) must take 60 credits in their Award Route specialism.

How inclusive is the programme for all students, including those with disabilities?

Queen Mary has a central Disability and Dyslexia Service (DDS) that offers support for all students with disabilities, specific learning difficulties and mental health issues. The DDS supports all Queen Mary students: full-time, part-time, undergraduate, postgraduate, UK and international at all campuses and all sites.

Students can access advice, guidance and support in the following areas:

- Finding out if you have a specific learning difficulty like dyslexia
- Applying for funding through the Disabled Students' Allowance (DSA)
- Arranging DSA assessments of need
- Special arrangements in examinations
- Accessing loaned equipment (e.g. digital recorders)
- Specialist one-to-one "study skills" tuition
- Ensuring access to course materials in alternative formats (e.g. Braille)
- Providing educational support workers (e.g. note-takers, readers, library assistants)

Links with employers, placement opportunities and transferable skills

The course is intended to give postgraduate training to students wishing to pursue careers in the Regulation Advisory Sector, Corporate Finance, Government, Law firms, International Financial Institutions, the banking and finance industry. Demand for such professionals is high both in the UK, and in fast developing transitional economies such as China, India and others. This Programme aims at Integrating Careers programme offered by the Careers service with academic study.

Programme Specification Approval

Person completing Programme Specification:

Jack Osborne

Person responsible for management of programme:

Garry Gabison

Date Programme Specification produced / amended by School / Institute Education Committee:

Date Programme Specification approved by Taught Programmes Board: