

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 (Master of Sciences) in Regulation and Compliance LLM (Legum Magister) in Regulation and Compliance
Name of interim award(s):	Certificate/Diploma
Duration of study / period of registration:	1 year, 2 years part time, 2-4 year variable mode
Queen Mary programme code(s):	
QAA Benchmark Group:	Law
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

Programme Title: Regulation and Compliance

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:

- Conduct legal research in most regulatory fields and interpret regulations based on precedents.
- Draft call for public information that requests information about compliance matters.
- Communicate clearly, both orally and in writing, to non-legal audience how to avail themselves of their compliance duties.
- Draft regulatory handbooks explaining the key actions necessary to comply with a regulation.
- Consult on public policy issues related to regulatory matters.
- Analyze regulations, evaluate their success, and anticipate their unintended consequences.
- Design regulations that reach their aim and avoid (most) unintended consequences.
- Conduct interviews to identified non-compliance.
- Conduct independent research whether as part of an academic project (e.g., a dissertation) or a work project (e.g., regulatory advise)

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	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 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

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 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 OR MSC in Regulation and Compliance students must complete:

4 (four) compulsory 15-credit modules;

1 (one) compulsory 30-credit dissertation involving a 5000 word case study & 5000 word essay, codified as a one 30 credit module; and

3-6 electives adding up to 90 credits from a range of elective modules, which are either 15 or 30 credits.

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 SOLM259

Law and Ethics in Business and Finance SOLM011

Compliance Systems in Practice SOLM224

SEMESTER 2:

Regulation and Compliance Clinic SOLM258

SEMESTER 3:

Dissertation in Regulation and Compliance SOLM926 (case study & 5000 word essay)

Modules to be ADDED to general LLM/MSc electives

- Principles of Regulation SOLM018

- Competition Law in the Digital Era SOLM297

- E-Commerce Regulation SOLM220

- European and International Telecommunications Law & Regulation SOLM305

- International Financial Regulation SOLM246

- Law of Economic Crime: Corruption SOLM200

- Law of Economic Crime: Proceeds of Crime SOLM199

- Public Affairs Advocacy SOLM274

- Seminar on AI Regulation, Rights and Responsibilities SOLM284

- Trade, Environment and IPRS SOLM267

- Media regulation SOLM265

- Law of International Financial Institutions SOLM306

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 current route electives AND NEW additions as below:

LLM in Regulation and Compliance (Financial & Insurance Regulation)

MSc in Regulation and Compliance (Financial & Insurance Regulation)

Added:

Programme Title: Regulation and Compliance

- Principles of Regulation SOLM018
- Law of Economic Crime: Proceeds of Crime SOLM199
- Law of Economic Crime: Corruption SOLM200
- Banking and FinTech Law SOLM008
- International Financial Regulation SOLM246
- E-Commerce Transactions SOLM219
- E-Commerce Regulation SOLM220
- Public Affairs Advocacy SOLM274
- Comparative Competition Law SOLM290
- Competition Law in the Digital Era SOLM297
- Law of International Financial Institutions SOLM306 NEW

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

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

Added:

- Principles of Regulation SOLM018
- Telecommunications Law & Regulation SOLM305 NEW
- E-Commerce Transactions SOLM219
- E-Commerce Regulation SOLM220
- Public Affairs Advocacy SOLM274
- Seminar on AI Regulation, Rights and Responsibilities SOLM284
- Data Protection Law and Compliance SOLM285
- Media Regulation SOLM265

*LLM in Regulation and Compliance (Business & Trade Regulation)***

MSc in Regulation and Compliance (Business & Trade Regulation)

Added:

- Principles of Regulation SOLM018
- Trade, Environment and IPRS SOLM267
- Public Affairs Advocacy SOLM274

LLM in Regulation and Compliance (Energy & Environmental Regulation)

MSc in Regulation and Compliance (Energy & Environmental Regulation)

Added:

- Principles of Regulation SOLM018
- Trade, Environment and IPRS SOLM267
- Public Affairs Advocacy SOLM274

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 FT - Year 1

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Law and Ethics in Business and Finance	SOLM011	15	7	Compulsory	1	Semester 1
Compliance Systems in Practice	SOLM224	15	7	Compulsory	1	Semester 1

Programme Title: Regulation and Compliance

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Dissertation in regulation and Compliance	SOLM926	30	7	Compulsory	1	Semesters 2 & 3
Regulation & Compliance Clinic	SOLM258	15	7	Compulsory	1	Semester 2
Law and Economics of Regulation & Compliance	SOLM259	15	7	Compulsory	1	Semester 1
Principles of Regulation	SOLM018	30	7	Elective	1	Semester 2
Compliance in Global Markets	SOLM223	15	7	Elective	1	Semester 2
EU Trade Law	SOLM035	15	7	Elective	1	Semester 1
International and Comparative Data Protection Law	SOLM222	15	7	Elective	1	Semester 2
International and Comparative Law of Unfair Competition	SOLM082	15	7	Elective	1	Semester 1
Regulation of Financial Markets	SOLM003	30	7	Elective	1	Semester 1
Securities Regulation	SOLM001	30	7	Elective	1	Semester 2
Banking Law International	SOLM007	30	7	Elective	1	Semester 1
Corporate Governance and Responsibility in Finance	SOLM012	30	7	Elective	1	Semester 2
Insurance Regulation	SOLM139	30	7	Elective	1	Semester 2
General Principles of Insurance Law	SOLM138	30	7	Elective	1	Semester 1
Insurance Contracts	SOLM140	15	7	Elective	1	Semester 1
EU Data Protection Law	SOLM209	30	7	Elective	1	Semester 1
Information Security and the Law	SOLM210	15	7	Elective	1	Semester 1
Cyberspace: Jurisdiction and Dispute Resolution	SOLM211	30	7	Elective	1	Semester 1

Programme Title: Regulation and Compliance

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Cybercrime: Substantive Offences	SOLM207	30	7	Elective	1	Semester 1
Cybercrime: Forensic Investigations	SOLM208	15	7	Elective	1	Semester 1
Mergers and Acquisitions	SOLM010	30	7	Elective	1	Semester 2
Chinese Business Law	SOLM029	30	7	Elective	1	Semester 1
Cartels, Collusion and Competition Law	SOLM057	30	7	Elective	1	Semester 1
Competition Enforcement: From Investigation to Sanctions	SOLM059	15	7	Elective	1	Semester 2
International Merger Control: Special Topics	SOLM053	30	7	Elective	1	Semester 2
International Competition Law	SOLM054	15	7	Elective	1	Semester 1
EU Competition Law and Practice	SOLM051	30	7	Elective	1	Semester 2
Transnational Law and Governance Applied	SOLM028	30	7	Elective	1	Semester 2
International Energy Law and Ethics	SOLM157	30	7	Elective	1	Semester 1
United States Energy Law, Regulation and Policy	SOLM158	15	7	Elective	1	Semester 1
International Environmental Law	SOLM134	30	7	Elective	1	Semester 2
Climate Change Law	SOLM136	15	7	Elective	1	Semester 1
Water Law	SOLM137	15	7	Elective	1	Semester 1
Nuclear Energy Law	SOLM168	15	7	Elective	1	Semester 2
Renewable Energy Law	SOLM167	15	7	Elective	1	Semester 1
International Energy Transactions	SOLM162	15	7	Elective	1	Semester 2

Programme Title: Regulation and Compliance

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Energy Law Principles	SOLM155	15	7	Elective	1	Semester 2
International Regulation of Shipping	SOLM146	15	7	Elective	1	Semester 1
Law of Economic Crime: Proceeds of Crime	SOLM199	30	7	Elective	1	Semester 1
Law of Economic Crime: Corruption	SOLM200	30	7	Elective	1	Semester 2
Banking and FinTech Law	SOLM008	30	7	Elective	1	Semester 2
Banking Law International	SOLM007	30	7	Elective	1	Semester 1
E-Commerce Transactions	SOLM219	15	7	Elective	1	Semester 1
E-Commerce Regulation	SOLM220	30	7	Elective	1	Semester 2
International Financial Regulation	SOLM246	15	7	Elective	1	Semester 2
Media Regulation	SOLM265	30	7	Elective	1	Semester 2
Trade, Environment and IPRS	SOLM267	15	7	Elective	1	Semester 3
Legal Tech	SOLM273	15	7	Elective	1	Semester 3
Public Affairs Advocacy	SOLM274	15	7	Elective	1	Semester 3
Seminar on AI Regulation, Rights and Responsibilities	SOLM284	15	7	Elective	1	Semester 2
Data Protection Law and Compliance	SOLM285	15	7	Elective	1	Semester 3
Comparative Competition Law	SOLM290	15	7	Elective	1	Semester 2
Competition Law in the Digital Era	SOLM297	15	7	Elective	1	Semester 2
Telecommunications law	SOLM305 NEW	30	7	Elective	1	Semester 1

Programme Title: Regulation and Compliance

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
Advocacy in Commercial Disputes	SOLM276	15	7	Elective	1	Semester 3
Trade, Climate Change and Energy EU and International Perspectives	SOLM243	15	7	Elective	1	Semester 3
EU Competition Law	SOLM248	15	7	Elective	1	Semester 1
Criminal Justice and Surveillance Technologies	SOLM204	15	7	Elective	1	
Energy and Climate Change	SOLM278	30	7	Elective	1	Semester 2
Law of International Financial Institutions	SOLM306 NEW	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.

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.

Programme Title: Regulation and Compliance

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 weeks 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

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)
- Access to specialist mentoring support for students with mental health issues and Autistic Spectrum Disorders.

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:

Sue Fitzgerald

Person responsible for management of programme:

Garry Gabison

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

December 2023

**Date Programme Specification approved by Taught
Programmes Board:**