



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 Available pathways: LLM/MSc in Regulation and Compliance (Financial and Insurance Regulation) LLM/MSc in Regulation and Compliance (Energy and Environmental Regulation) LLM/MSc in Regulation and Compliance (Data Protection and Information Security) LLM/MSc in Regulation and Compliance (Business and Trade Regulation)
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):	PSRAC/PSRCI/PSRCN/PSRCS/PSRCT
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:

Department of Law

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

NA

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, the European Union, and Global Financial 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 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 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 are as follows:

SOLM011 Law and Ethics in Business and Finance (15 credits);

SOLM224 Compliance Systems in Practice (15 credits);

SOLM258 Regulation and Compliance Clinic (15 Credits)

SOLM259 Law and Economics of Regulation & Compliance (15 credits).

Compulsory dissertation: SOLM926 Dissertation (30 credits)

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)

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

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

LLM in Regulation and Compliance (Business & Trade Regulation)

MSc in Regulation and Compliance (Business & Trade Regulation)

LLM in Regulation and Compliance (Energy & Environmental Regulation)

MSc in Regulation and Compliance (Energy & Environmental Regulation)

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 virtual learning environments and MS Teams (or equivalent).

Academic Year of Study FT - Year 1

Programme Title: Regulation and Compliance

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
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
Regulation of Financial Markets	SOLM003	30	7	Elective	1	Semester 1
Securities Regulation	SOLM001	30	7	Elective	1	Semester 2
EU Trade Law	SOLM035	15	7	Elective	1	Semester 1
Banking Law International	SOLM007	30	7	Elective	1	Semester 1
Corporate Governance in Finance	SOLM012	30	7	Elective	1	Semester 2
EU Data Protection Law	SOLM209	30	7	Elective	1	Semester 1
Information Security and the Law	SOLM210	15	7	Elective	1	Semester 2
Cybercrime: Substantive Offences	SOLM207	30	7	Elective	1	Semester 1
Cybercrime: Forensic Investigations	SOLM208	15	7	Elective	1	Semester 1
Cartels, Collusion and Competition Law	SOLM057	30	7	Elective	1	Semester 2
International Merger Control: Special Topics	SOLM053	30	7	Elective	1	Semester 2

Programme Title: Regulation and Compliance

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
International Energy Law and Ethics	SOLM157	30	7	Elective	1	Semester 1
Law of Economic Crime: Proceeds of Crime	SOLM199	30	7	Elective	1	Semester 1
E-Commerce Transactions	SOLM219	15	7	Elective	1	Semester 1
Law of Economic Crime: Corruption	SOLM200	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
Competition Law in the Digital Era	SOLM297	15	7	Elective	1	Semester 1
Law of International Financial Institutions	SOLM306	15	7	Elective	1	Semester 2
International Commercial Law	SOLM019	30	7	Elective	1	Semester 2
Chinese Business Law	SOLM029	30	7	Elective	1	Semester 1
International Environmental Law	SOLM134	30	7	Elective	1	Semester 1
Climate Change Law	SOLM136	15	7	Elective	1	Semester 1
Energy Law Principles	SOLM155	15	7	Elective	1	Semester 1
Renewable Energy Law	SOLM167	15	7	Elective	1	Semester 2
Nuclear Energy Law	SOLM168	15	7	Elective	1	Semester 3
Energy and Climate Change	SOLM278	30	7	Elective	1	Semester 2
Data Protection Law and Compliance	SOLM285	15	7	Elective	1	Semester 3
Law of the Sea: International Regulation of Shipping	SOLM349	15	7	Elective	1	Semester 3

Module Title	Module Code	Credits	Level	Module Selection Status	Academic Year of Study	Semester
International and Comparative Competition Law	SOLM348	30	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 Student Voice Committee provides a formal means of communication and discussion between the Centre and its students. The Committee consists of student representatives from each programme in the Centre together with appropriate representation of academic and administrative staff. The Committee is designed to respond to the needs of students, as well as act as a forum for discussing programme and module developments. The Committee meets regularly throughout the year.

The Centre operates a Postgraduate Taught Law Education Committee that advises its Director of Education on all matters relating to the delivery of taught programmes at the Centre, including monitoring the application of relevant QM policies. It also reviews proposals for new programmes and modules and proposed amendments to existing programmes and modules, before they are submitted to the Taught Programmes Board. Student views are incorporated in the Committee's work in various ways, such as through consideration of module experience surveys.

The Centre regularly reviews its taught postgraduate taught provision. This is a continuous process of reflection and action planning which is owned by those responsible for programme delivery. Students' views are considered in this process through analysis of the Postgraduate Taught Experience Survey and module experience surveys. This information is provided to the Faculty as part of regular censuses of the Centre's activities.

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 weeks of the academic session.

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 central support and wellbeing services at QM, 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 choose to specialise (Award Routes) must take their compulsory module's AND 90 credit guided electives from specific modules listed in their Award Route specialism.

- Regulation and Compliance (Financial & Insurance Regulation);

SOLM001 Securities Regulation

SOLM003 Regulation of Financial Markets

SOLM007 Banking Law International

SOLM012 Corporate Governance and Responsibility in Finance

SOLM199 Law of Economic Crime: Proceeds of Crime

SOLM200 Law of Economic Crime: Corruption

SOLM219 E-Commerce Transactions

SOLM223 Compliance in Global Markets

SOLM246 International Financial Regulation

SOLM306 Law of International Financial Institutions

- Regulation and Compliance (Data Protection & Information Security);

SOLM207 Cybercrime: Substantive Offences

SOLM208 Cybercrime: Forensic Investigations

SOLM209 EU Data Protection Law

SOLM210 Information Security and the Law

SOLM219 E-Commerce Transactions

SOLM265 Media Regulation

- Regulation and Compliance (Business & Trade Regulation);

SOLM029 Chinese Business Law

SOLM035 EU Trade Law

SOLM053 International Merger Control: Special Topics

SOLM348 International and Comparative Competition Law

SOLM057 Cartels, Collusion and Competition Law

- Regulation and Compliance (Energy & Environmental Regulation);

SOLM134 International Environmental Law

SOLM136 Climate Change Law

SOLM155 Energy Law Principles

SOLM157 International Energy Law and Ethics

SOLM167 Renewable Energy Law

SOLM168 Nuclear Energy Law

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
- Examination Access Arrangements
- 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)

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• 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:

Leonie Dos Santos

Person responsible for management of programme:

Daniele D'Alvia

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

December 2024

Date Programme Specification approved by Taught
Programmes Board: