



ACADEMIC SERVICES

MODULE SPECIFICATION

Part 1: Basic Data					
Module Title	Professional Conduct and Regulation				
Module Code	UJTX8-0-M	Level	M	Version	3
UWE Credit Rating	0	ECTS Credit Rating	0	WBL module?	No
Owning Faculty	Business and Law	Field	Legal Practice Course		
Department	Law: BILP	Module Type	Professional Practice		
Contributes towards	Post Graduate Diploma in Legal Practice Masters in Advanced Legal Practice				
Pre-requisites	None		Co- requisites	None	
Excluded Combinations	None		Module Entry requirements	N/A	
First CAP Approval Date	2008		Valid from	2008	
Revision CAP Approval Date	1 June 2016		Revised with effect from	September 2016	

Part 2: Learning and Teaching	
Learning Outcomes	<p>On successful completion of this module students will:</p> <p>Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including:</p> <ul style="list-style-type: none"> - the core duties solicitors under Rule 1; - acting only when competent to do so; - the principles and practices of good client relations, client care and information about the cost; - conflict of interests; - client confidentiality and disclosure; - professional undertakings - the solicitor and the court - avoiding discrimination and promoting equality and diversity <p>Understand the organization, regulation and ethics of the profession and should be familiar with the impact of:</p> <ul style="list-style-type: none"> - the requirements of practice including practicing certificates and indemnity insurance - in-house practice, including non-commercial advice services - business management of private practice, including the supervision of solicitors' offices, sole principals, partnerships and incorporation - relations with third parties

	<p>Be able to recognise circumstances encountered in the course of practice where suspicion of money laundering should be reported in accordance with the legislation with particular reference to those types of legal work covered by Stage 1 of the LPC</p> <p>Understand the application of Financial Services regulation in the context of solicitors practice, in particular</p> <ul style="list-style-type: none"> - understand the purpose and scope of financial services regulation - understand the financial services regulatory framework in general (including authorisation), and how it applies to solicitors' firms - recognise when relevant financial services issues arise - be able to apply financial services provisions to the types of work covered by the course - be able to identify and find appropriate sources of information on financial services.
Syllabus Outline	<p>Syllabus Outline</p> <p>Introduction to the legal and regulatory framework with which Solicitors, regulated by the SRA as exempt professional firms, must comply.</p> <p>Consideration of the Solicitors' Code of Conduct and, in particular, the core duties of solicitors under Rule 1, competence to act, the principles and practices of good client relations, client care and information about the cost, and avoiding discrimination and promoting equality and diversity.</p> <p>Consideration of the organization, regulation and ethics of the profession and the impact of the requirements of practice including practicing certificates and indemnity insurance, in-house practice, including non-commercial advice services, business management of private practice, including the supervision of solicitors' offices, sole principals, partnerships and incorporation, relations with third parties.</p> <p>Consideration of the provisions of the Proceeds of Crime Act 2000 (and subsequent legislation) including offences relating to money laundering and terrorist financing, statutory defences to those principal offences including making authorised disclosures and defences available to Solicitors acting in situations involving legal professional privilege.</p> <p>Consideration of the provisions of the Money Laundering Regulations 2007 and the requirements for due diligence.</p> <p>Consideration of the provisions of the Financial Services and Markets Act 2000 (and subsequent legislation) including investments and activities and the Designated Professional Body requirements; consideration of Financial Promotions</p> <p>Consideration of the Regulated Activities Order (as amended) including investments, activities and exclusions</p> <p>Consideration of the Solicitors Scope and Conduct of Business Rules</p> <p>Consideration of the Financial Promotions Order</p> <hr/> <p>Statement of Outcomes</p> <p>The LPC outcomes and the Module outcomes will be met by the students undertaking the type and range of tasks identified in the indicative teaching scheme set out below this statement.</p>

	<p>The elements of law and practice to be covered on the elective are primarily identified in the syllabus set out above as expanded upon in this statement and in the indicative teaching scheme set out below.</p> <p>Ethical and professional conduct issues will pervade the teaching of this Module. In particular students will show compliance with the Solicitors' Accounts Rules.</p> <hr/> <p>Indicative Teaching Scheme</p> <p>Study unit 1 Introduction to the Profession The Code of Conduct, in particular Chapter 1 Client Care, & the Retainer Money Laundering Regulations 2007</p> <p>Study Unit 2 Financial Services & Markets Act 2000 The Code of Conduct, Chapter 3, Conflicts of Interest</p> <p>Study Unit 3 Proceeds of Crime Act 2002 the Code of Conduct Chapter 4, Confidentiality & Disclosure the Code of Conduct Chapter 11, undertakings</p> <p>In addition, students will encounter and study matters of a Professional Conduct & Regulatory nature in other aspects of the Legal Practice Course, in particular, there Core Modules of Business Law & Practice, Litigation & Advocacy and Property Law & Practice</p>
Contact Hours	<p>Each Study Unit involves the student undertaking 11.5 Notional Learning Hours, of which 2.5 hours will be a Small Group Sessions</p>
Teaching and Learning Methods	<p>Self-study preparation and research in order to acquire knowledge and understanding;</p> <p>Large group sessions in order to consolidate and develop knowledge and understanding;</p> <p>A mixture of individual and group work centred on problem-based learning, involving management of information, analysis of complex facts and application of knowledge;</p> <p>The teaching and learning strategy pervading all modules on the Legal Practice Course is a student-centred approach through the provision of a stimulating educational environment.</p> <p>Face to face teaching and learning in a workshop environment is at the heart of the Teaching & Learning strategy, for students to participate fully in challenging activities, undertaking a wide variety of exercises as individuals and in groups. Full participation is encouraged and expected. Students are encouraged to ask questions during the workshops and to take responsibility for their own learning. Feedback will be given on these exercises both by students and tutors.</p> <p>Outside of the workshop students are required to take responsibility for their own learning undertaking a variety of preparatory tasks. These may be undertaken by students either as individuals or working in office groups, including include provision of information, reading from course manuals completion of electronic tests, preparing documents</p> <p>The final component of each Study Unit will be a consolidation task or tasks designed to broaden and deepen students' understanding of an aspect or aspects of work covered in the relevant Study Unit</p>

Reading Strategy	Students will undertake reading from the foundations Manual, and primary source material
Indicative Reading List	Professional Conduct & Regulation Handbook all relevant primary & secondary sources

Part 3: Assessment	
Assessment Strategy	<p>The Assessment Strategy pervading all modules on the LPC is rigorous in its approach to ensure the credibility of the course to ensure that</p> <ul style="list-style-type: none"> • Assessment arrangements will be robust, consistent, fair and secure, to ensure that academic standards will meet the threshold set by the SRA • Assessments will revolve around transactions of the type encountered in practice • Assessments will address depth and realism as well as coverage • Individual assessments cover a representative and robust selection of the relevant outcomes. Where an assessment does not include coverage of all of the outcomes for a particular subject, students will nevertheless be prepared to be assessed on all outcomes and will not be informed of what (or will not) be assessed in any particular assessment. • Student achievement will be measured appropriately in accordance with the LPC outcomes. • All diligent students have an opportunity to achieve and demonstrate the LPC learning outcomes. • The needs of disabled students will be taken into account ensuring equal accessibility of assessments to all students.

% weighting between components A and B	A:	B:
	100%	

First Sit	
Component A (controlled conditions) Description of each element	Element weighting (as % of component)
2 hour Open Book assessment comprising 40 MCQ questions, students must attain 50% in the assessment to be graded competent.	100%
Component B Description of each element	Element weighting (as % of component)
n/a	

First Resit (further attendance at taught classes is not required)	
Component A (controlled conditions) Description of each element	Element weighting (as % of component)
2 hour Open Book assessment comprising 40 MCQ questions, students must attain 50% in the assessment to be graded competent.	100%

Component B Description of each element	Element weighting (as % of component)
n/a	

Second Resit (further attendance at taught classes is not required)	
Component A (controlled conditions) Description of each element	Element weighting (as % of component)
2 hour Open Book assessment comprising 40 MCQ questions, students must attain 50% in the assessment to be graded competent.	100%
Component B Description of each element	Element weighting (as % of component)
n/a	