



Module Specification

Professional Conduct and Regulation

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Part 1: Information

Module title: Professional Conduct and Regulation

Module code: UJXTX8-0-M

Level: Level 7

For implementation from: 2023-24

UWE credit rating: 0

ECTS credit rating: 0

Faculty: Faculty of Business & Law

Department: FBL Dept of Law

Partner institutions: None

Delivery locations: Not in use for Modules

Field: Law - non modular

Module type: Module

Pre-requisites: None

Excluded combinations: None

Co-requisites: None

Continuing professional development: No

Professional, statutory or regulatory body requirements: None

Part 2: Description

Overview: Not applicable

Features: Not applicable

Educational aims: See learning aims

Outline syllabus: Introduction to the legal and regulatory framework with which Solicitors, regulated by the SRA as exempt professional firms, must comply.

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.

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.

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.

Consideration of the provisions of the Money Laundering Regulations 2007 and the requirements for due diligence.

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

Consideration of the Regulated Activities Order (as amended) including investments, activities and exclusions Consideration of the Solicitors Scope and Conduct of Business Rules

Consideration of the Financial Promotions Order

Part 3: Teaching and learning methods

Teaching and learning methods: Self-study preparation and research in order to acquire knowledge and understanding;

Large group sessions in order to consolidate and develop knowledge and understanding;

A mixture of individual and group work centred on problem-based learning, involving management of information, analysis of complex facts and application of knowledge;

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.

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.

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

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

Module Learning outcomes: On successful completion of this module students will achieve the following learning outcomes.

MO1 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including the core duties solicitors under Rule 1

MO2 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including acting only when competent to do so

MO3 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including the principles and practices of good client relations, client care and information about the cost

MO4 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including conflict of interests

MO5 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including client confidentiality and disclosure

MO6 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including professional undertakings

MO7 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including the solicitor and the court

MO8 Be familiar with the Solicitors' Code of Conduct affecting the conduct of work likely to be encountered by trainees including avoiding discrimination and promoting equality and diversity

MO9 Understand the organization, regulation and ethics of the profession and should be familiar with the impact of the requirements of practice including practicing certificates and indemnity insurance

MO10 Understand the organization, regulation and ethics of the profession and should be familiar with the impact of in-house practice, including non-commercial advice services

MO11 Understand the organization, regulation and ethics of the profession and should be familiar with the impact of business management of private practice, including the supervision of solicitors' offices, sole principals, partnerships and incorporation

MO12 Understand the organization, regulation and ethics of the profession and should be familiar with the impact of relations with third parties

MO13 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

MO14 Understand the application of Financial Services regulation in the context of solicitors practice, in particular understand the purpose and scope of financial services regulation

MO15 Understand the application of Financial Services regulation in the context of solicitors practice, in particular understand the financial services regulatory framework in general (including authorisation), and how it applies to solicitors' firms

MO16 Understand the application of Financial Services regulation in the context of solicitors practice, in particular recognise when relevant financial services issues arise

MO17 Understand the application of Financial Services regulation in the context of solicitors practice, in particular be able to apply financial services provisions to the types of work covered by the course

MO18 Understand the application of Financial Services regulation in the context of solicitors practice, in particular be able to identify and find appropriate sources of information on financial services

Hours to be allocated: 0

Contact hours:

Independent study/self-guided study = 114 hours

Face-to-face learning = 36 hours

Total = 150

Reading list: The reading list for this module can be accessed at [readinglists.uwe.ac.uk](https://uwe.rl.talis.com/modules/ujtx8-0-m.html) via the following link <https://uwe.rl.talis.com/modules/ujtx8-0-m.html>

Part 4: Assessment

Assessment strategy: Assessment is by way of Open Book examination, comprising 40 MCQ questions, students must attain 50% in the assessment to be graded competent.

Remote invigilation is in accordance with SRA requirements.

The Assessment Strategy pervading all modules on the LPC is rigorous in its approach to ensure the credibility of the course to ensure that

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.

Assessment components:**Examination (Online) (First Sit)**

Description: Open Book examination

Weighting: 100 %

Final assessment: Yes

Group work: No

Learning outcomes tested: MO1, MO10, MO11, MO12, MO13, MO14, MO15, MO16, MO17, MO18, MO2, MO3, MO4, MO5, MO6, MO7, MO8, MO9

Examination (Online) (Resit)

Description: Open Book examination.

Weighting: 100 %

Final assessment: Yes

Group work: No

Learning outcomes tested:

Examination (Online) (Resit)

Description: Open Book examination.

Weighting: 100 %

Final assessment: Yes

Group work: No

Learning outcomes tested:

Part 5: Contributes towards

This module contributes towards the following programmes of study:

Advanced Legal Practice [Sep][PT][Frenchay][3yrs] LLM 2022-23

Advanced Legal Practice [Frenchay] LLM 2022-23