



ACADEMIC SERVICES

MODULE SPECIFICATION

Part 1: Basic Data					
Module Title	Governance and Ethics in Banking				
Module Code	UMEDKP-15-2	Level	2	Version	1
UWE Credit Rating	15	ECTS Credit Rating	7.5	WBL module?	No
Owning Faculty	FBL	Field	Economics		
Department	BBS: Accounting, Economics and Finance	Module Type	Standard		
Contributes towards	BA (Hons) Banking and Finance				
Pre-requisites	None	Co- requisites	None		
Excluded Combinations	UMAD5P-30-2 Governance, Regulation and Risk Management in Banking	Module Entry requirements	n/a		
First CAP Approval Date	1 June 2016	Valid from	September 2017		
Revision CAP Approval Date		Revised with effect from			

Part 2: Learning and Teaching	
Learning Outcomes	<p>On successful completion of this module students will be able to:</p> <ol style="list-style-type: none"> 1. Understand the current debates about the appropriate regulatory framework for banking and the principles and issues which underpin the regulation of the industry(Component A and B). 2. Evaluate and apply the principles of corporate governance and social responsibility in the context of a financial institution's obligations to its stakeholders and the environment. (Component A). 3. Critically review a range of ethical decision-taking models and apply these scenarios involving ethical dilemmas or conflicts of interest to make reasoned choices (Component B). 4. Distinguish between a range of cultural models and preferences and assess their potential impact on ethical and professional behaviour in a banking environment. (Component B). 5. Assess risks from scenario information and to identify the ways that they may be managed. (Component A and B). 6. Research a topic independently; drawing on academic and practitioner information sources (Component B). 7. Present reasoned views and discuss and defend ideas effectively

	(Component B)																				
Syllabus Outline	<p>An indicative outline of topics and themes on this module includes:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Corporate governance in banks – the way in which banks are directed and controlled, risk assessment and management, broader corporate social responsibilities. <input type="checkbox"/> Ethics in banking – individual and institutional behavioural drivers, cultural and situational influences on ethical decision making. <input type="checkbox"/> The importance, rationale and function of the regulator in banking, including the concepts of principles-based and rules-based regulation. <input type="checkbox"/> International and UK/US Banking Regulation (for example, UK Corporate Governance Code, Sarbanes-Oxley, Basel2/3 and other capital solvency and liquidity regulations). <input type="checkbox"/> Role of the FSA, Bank of England, UK Treasury, FRC and US SEC in banking regulation and in the identification, evaluation and management of risk. 																				
Contact Hours	Module delivery will be based on 3 hours of scheduled learning and teaching activities per teaching week.																				
Teaching and Learning Methods	Formal contact between lecturers and students will be through lectures and workshops each week. The lectures will deliver material, and set work to prepare for the workshops and in the workshops the students will undertake practical work based on this preparation. Students will be encouraged to discuss concepts and present their ideas and views. They will be expected to act independently in planning and undertaking tasks, in reflecting on their own learning and in seeking and making use of feedback from tutors and each other.																				
Key Information Sets Information	<p>Key Information Sets (KIS) are produced at programme level for all programmes that this module contributes to, which is a requirement set by HESA/HEFCE. KIS are comparable sets of standardised information about undergraduate courses allowing prospective students to compare and contrast between programmes they are interested in applying for.</p> <table border="1" data-bbox="459 1395 1369 1787"> <thead> <tr> <th colspan="5">Key Information Set - Module data</th> </tr> </thead> <tbody> <tr> <td colspan="4"><i>Number of credits for this module</i></td> <td>15</td> </tr> <tr> <th>Hours to be allocated</th> <th>Scheduled learning and teaching study hours</th> <th>Independent study hours</th> <th>Placement study hours</th> <th>Allocated Hours</th> </tr> <tr> <td>150</td> <td>36</td> <td>114</td> <td>0</td> <td>150</td> </tr> </tbody> </table> <p>The table below indicates as a percentage the total assessment of the module which constitutes a -</p> <p>Written Exam: Unseen written exam, open book written exam, In-class test Coursework: Written assignment or essay, report, dissertation, portfolio, project Practical Exam: Oral Assessment and/or presentation, practical skills assessment, practical exam</p>	Key Information Set - Module data					<i>Number of credits for this module</i>				15	Hours to be allocated	Scheduled learning and teaching study hours	Independent study hours	Placement study hours	Allocated Hours	150	36	114	0	150
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150	36	114	0	150																	

Please note that this is the total of various types of assessment and will not necessarily reflect the component and module weightings in the Assessment section of this module description:

Total assessment of the module:			
Written exam assessment percentage		50%	
Coursework assessment percentage		35%	
Practical exam assessment percentage		15%	
		100%	

Reading Strategy

Core reading

Any core reading will be indicated clearly, along with the method for accessing it, eg students may be expected to purchase a set text, be given a study pack or be referred to texts that are available electronically, or in the Library. Module guides will also reflect the range of reading to be carried out.

Further reading

All students are encouraged to read widely using the library search, a variety of bibliographic and full text databases and Internet resources. Many resources can be accessed remotely. Guidance to some key authors and journal titles available through the Library will be given in the module handbook and updated annually. Assignment reference lists are expected to reflect the range of reading carried out.

Access and skills

Students are expected to be able to identify and retrieve appropriate reading. Additional support is available through the library web pages, including interactive tutorials on finding books and journals, evaluating information and referencing. Sign-up workshops are also offered by the Library.

Indicative Reading List

The following list is offered to provide validation panels/accrediting bodies with an indication of the type and level of information students may be expected to consult. As such, its currency may wane during the life span of the module specification. *Current* advice on additional reading will be available via the module handbook or Blackboard pages.

Books

Bloomfield, S. (2013) *Theory and Practice of Corporate Governance: an Integrated Approach* Cambridge: Cambridge University Press.
 Boatright, J.R. (2014) *Ethics in Finance* (3rd ed) Chichester: Wiley
 Docherty, A. and Viort, F. (2014) *Better Banking* Chichester: Wiley
 Padgett, C. (2011) *Corporate Governance: Theory and Practice*. Basingstoke: Palgrave Macmillan.
 Reynolds, J.N and Newell, E. (2011) *Ethics in Investment Banking* London: Palgrave Macmillan
 Tricker, B. (2015) *Corporate Governance: Principles, Policies and Practices* (3rd ed.) Oxford: Oxford University Press

Journals

Business Ethics: A European Review
 Journal of Banking Regulation
 Corporate Governance: An International Review

Assessment Strategy	<p>Component A – Examination A 1.5 hour closed book examination, focussing on evaluation and application of knowledge to contemporary issues in governance</p> <p>Component B - Individual coursework:</p> <p>Element One A 2,000 word research essay in which students will independently research and explore in greater depth, current issues in governance and ethics in banking. This provides an opportunity to construct a reasoned and evidenced academic argument and prepares student for the extended writing assessments required at level 3 studies, (Maximum 2,000 words - see the university word count policy for details).</p> <p>Element Two A 10 minute presentation activity comprising 5 minutes presenting their essay research and 5 minutes discussing/defending their findings. This is both summative and formative, with immediate formative feedback being provided on their research and argument.</p>
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Identify final assessment component and element	Component A	
% weighting between components A and B (Standard modules only)	A: 50%	B: 50%
First Sit		
Component A (controlled conditions) Description of each element	Element weighting	
1. Examination (1.5 hours)	100%	
Component B Description of each element	Element weighting	
1. Presentation (in class) 10 minutes	30%	
2. Individual assignment (2,000 words)	70%	

Resit (further attendance at taught classes is not required)		
Component A (controlled conditions) Description of each element	Element weighting	
1. Examination (1.5 hours)	100%	
Component B Description of each element	Element weighting	
1. Individual assignment (2,000 words)	100%	
<p>If a student is permitted a retake of the module under the University Regulations and Procedures, the assessment will be that indicated by the Module Description at the time that retake commences.</p>		