



Module Specification

Governance and Ethics in Banking

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Part 1: Information

Module title: Governance and Ethics in Banking

Module code: UMEDKP-15-2

Level: Level 5

For implementation from: 2023-24

UWE credit rating: 15

ECTS credit rating: 7.5

Faculty: Faculty of Business & Law

Department: FBL Dept of Accounting Economics & Finance

Partner institutions: None

Delivery locations: Not in use for Modules

Field: Economics

Module type: Module

Pre-requisites: None

Excluded combinations: Governance, Regulation and Risk Management in Banking [NOT RUNNING] 2023-24

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 outcomes.

Outline syllabus: An indicative outline of topics and themes on this module includes:

Corporate governance in banks– the way in which banks are directed and controlled, risk assessment and management, broader corporate social responsibilities.

Ethics in banking– individual and institutional behavioural drivers, cultural and situational influences on ethical decision making.

The importance, rationale and function of the regulator in banking, including the concepts of principles-based and rules-based regulation.

International and UK/US Banking Regulation (for example, UK, Corporate Governance Code, Sarbanes-Oxley, Basel2/3 and other capital solvency and liquidity regulations).

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.

Part 3: Teaching and learning methods

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.

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

MO1 Understand the current debates about the appropriate regulatory framework for banking and the principles and issues which underpin the regulation of the industry

MO2 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

MO3 Critically review a range of ethical decision-taking models and apply these scenarios involving ethical dilemmas or conflicts of interest to make reasoned choices

MO4 Distinguish between a range of behavioural models and preferences and assess their potential impact on ethical and professional behaviour in a banking environment

MO5 Assess risks from scenario information and to identify the ways that they may be managed

MO6 Research a topic independently; drawing on academic and practitioner information sources

MO7 Present reasoned views and discuss and defend ideas effectively

Hours to be allocated: 150

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/umedkp-15-2.html) via the following link <https://uwe.rl.talis.com/modules/umedkp-15-2.html>

Part 4: Assessment

Assessment strategy: Task A - Group Presentation 50%

A 20 minute presentation activity comprising 15 minutes presenting your research and 5 minutes discussing/defending the findings. This is both summative and formative, with immediate formative feedback being provided on research and argument.

Task B - Individual Report max 1,500 words 50%

A 1,500 word research essay in which you 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 you for the extended writing assessments required for final year Level 6 studies.

Assessment components:**Presentation (First Sit)**

Description: Group Presentation (15 minutes presentation and 5 minutes discussion)

Weighting: 50 %

Final assessment: No

Group work: Yes

Learning outcomes tested: MO1, MO2, MO3, MO4, MO5, MO6, MO7

Written Assignment (First Sit)

Description: Individual assignment (1500 words)

Weighting: 50 %

Final assessment: Yes

Group work: No

Learning outcomes tested: MO1, MO2, MO3, MO4, MO5, MO6, MO7

Presentation (Resit)

Description: Group presentation . Groups of one allowed where necessary

Weighting: 50 %

Final assessment: No

Group work: Yes

Learning outcomes tested: MO1, MO2, MO3, MO4, MO5, MO6, MO7

Written Assignment (Resit)

Description: Individual assignment (1500 words)

Weighting: 50 %

Final assessment: Yes

Group work: No

Learning outcomes tested: MO1, MO2, MO3, MO4, MO5, MO6, MO7

Part 5: Contributes towards

This module contributes towards the following programmes of study:

Banking and Finance [Frenchay] BSc (Hons) 2022-23

Banking and Finance {Foundation} [Sep][FT][Frenchay][4yrs] BSc (Hons) 2021-22

Banking and Finance {Foundation} [Sep][SW][Frenchay][5yrs] BSc (Hons) 2021-22