

University of the West of Scotland

Module Descriptor

Session: 2024-25

Title of Module: Global Financial Compliance			
Code: TBA	SCQF Level: 9 (Scottish Credit and Qualifications Framework)	Credit Points: 20	ECTS: (European Credit Transfer Scheme)
School:	School of Business and Creative Industries		
Module Co-ordinator:	Dr Kenbata Bangassa		
Summary of Module			
<p>This module introduces students to the international regulatory environment for financial services. It considers the role of compliance within a firm and how regulatory relationships are managed. Students will critically assess how the risk of financial crime is managed and the policies, procedures and controls that firms require to deal with the practical implications of financial crime. The important of ethics, integrity and fairness will be considered, including vulnerable clients and environmental, social and governance considerations. Students will develop an understanding of corporate governance and the risk management function within organisations.</p> <p>Emphasis is given on how these topics and theories are applied in practice considering the professional responsibilities and the career development issues associated in this field.</p>			

Module Delivery Method		
Face-To-Face	Blended	Fully Online
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<p>Face-To-Face Term used to describe the traditional classroom environment where the students and the lecturer meet synchronously in the same room for the whole provision.</p> <p>Fully Online Instruction that is solely delivered by web-based or internet-based technologies. This term is used to describe the previously used terms distance learning and e learning.</p> <p>Blended A mode of delivery of a module or a programme that involves online and face-to-face delivery of learning, teaching and assessment activities, student support and feedback. A programme may be considered "blended" if it includes a combination of face-to-face, online and blended modules. If an online programme has any compulsory face-to-face and campus elements it must be described as blended with clearly articulated delivery information to manage student expectations.</p>		

Campus(es) for Module Delivery

The module will normally be offered on the following campuses / or by Distance/Online Learning: (Provided viable student numbers permit) (tick as appropriate)						
Paisley:	Ayr:	Dumfries:	Lanarkshire:	London:	Distance/Online Learning:	Other:
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Add name

Term(s) for Module Delivery					
(Provided viable student numbers permit). N/A					
Term 1	<input checked="" type="checkbox"/>	Term 2	<input type="checkbox"/>	Term 3	<input type="checkbox"/>

Learning Outcomes: (maximum of 5 statements)	
These should take cognisance of the SCQF level descriptors and be at the appropriate level for the module. At the end of this module the student will be able to:	
L1	Demonstrate an understanding of the international regulatory environment and how regulatory relationships are managed.
L2	Explain money laundering, terrorist financing and the standards required of firms
L3	Demonstrate an understanding of how ethical principles relate to the financial services industry.
L4	Critically assess the corporate governance and risk management functions of organisations.

During completion of this module, there will be an opportunity to achieve core skills in:	
Knowledge and Understanding (K and U)	
SCQF Level 9	
Demonstrate a critical understanding of a range of principles, concepts and terminology relating to compliance, financial crime and corporate governance.	
Practice: Applied Knowledge and Understanding	
SCQF Level 9.	
Application of knowledge, skills and understanding of the financial services sector and products using a range of professional skills and techniques associated with financial services, including a degree of unpredictability.	

<p>Generic Cognitive skills</p> <p>SCQF Level 9.</p> <p>Critically identify, define, and conceptualise complex problems and make judgements where information comes from a range of sources.</p> <p>Communication, ICT and Numeracy Skills</p> <p>SCQF Level 9.</p> <p>Use a wide range of communication and ICT skills to convey complex information about financial products to a range of audiences for a variety of purposes.</p> <p>Autonomy, Accountability and Working with others</p> <p>SCQF Level 9</p> <p>Exercise managerial responsibility for the work of others. Work with others to manage ethical and professional issues in the financial services sector.</p>	
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Pre-requisites:	Before undertaking this module the student should have undertaken the following:	
	Module Code:	Module Title:
	Other: N/A	N/A
Co-requisites	Module Code: N/A	Module Title: N/A

Learning and Teaching	
<p>The current position is that 10 hours per credit point is the accepted working norm – thus for a 20 point module, 200 notional student effort hours would be expected. For a standard face-to-face delivery over a term, this should equate to a maximum of 36 scheduled contact hours.</p> <p>Note that the categorisation of the learning activities has been removed i.e. Scheduled, Placement and Independent will no longer appear beside the activities.</p>	
<p>Learning Activities</p> <p>During completion of this module, the learning</p>	<p>Student Learning Hours (Normally totalling 200 hours):</p> <p><small>(Note: Learning hours include both contact</small></p>

activities undertaken to achieve the module learning outcomes are stated below:	hours and hours spent on other learning activities)
Lecture/Core Content Delivery	12 hours
Tutorial/Synchronous Support Activity	24 hours
Independent Study	164 hours
	200 Hours Total

****Indicative Resources: (eg. Core text, journals, internet access)**

Global Financial Compliance, by Chris Selden, 1 August 2016

Global Financial Compliance, CISI, Edition 10, July 2022 – Core Text

(**N.B. Although reading lists should include current publications, students are advised (particularly for material marked with an asterisk*) to wait until the start of session for confirmation of the most up-to-date material)

Attendance Requirements

In line with the Academic Engagement Procedure, Students are defined as academically engaged if they are regularly engaged with timetabled teaching sessions, course-related learning resources including those in the Library and on the VLE, and complete assessments and submit these on time. Please refer to the Academic Engagement Procedure at the following link: [Student Attendance and Engagement Procedure](#) For the purposes of this module, academic engagement equates to the following:

Regular attendance at class and engagement with relevant materials and completion of assignments in timely manner.

Equality and Diversity

[UWS Equality, Diversity and Human Rights Code](#) Please ensure any specific requirements are detailed in this section. Module Co-ordinators should consider the accessibility of their module for groups with protected characteristics..

(N.B. Every effort will be made by the University to accommodate any equality and diversity issues brought to the attention of the school.)

Supplemental Information

Divisional Programme Board	Accounting, Finance and Law
Assessment Results (Pass/Fail)	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
School Assessment Board	Business and Creative Industries
Moderator	Dr Nasir Kolade
External Examiner	TBA
Accreditation Details	N/A
Changes/Version Number	1.0

Assessment: (also refer to Assessment Outcomes Grids below)

Video presentation (50%)

Professional report to client offering tailored financial advice (50%)

(N.B. (i) **Assessment Outcomes Grids** for the module (one for each component) can be found below which clearly demonstrate how the learning outcomes of the module will be assessed.

(ii) An **indicative schedule** listing approximate times within the academic calendar when assessment is likely to feature will be provided within the Student Handbook.)

Assessment Outcome Grids (Footnote A.)

Assessment Type	Learning Outcome (1)	Learning Outcome (2)	Learning Outcome (3)	Learning Outcome (4)	Weighting (%) of Assessment Element	Timetabled Contact Hours
Group Presentation	X	X			50	
Assessment Type (Footnote B.)	Learning Outcome (1)	Learning Outcome (2)	Learning Outcome (3)	Learning Outcome (4)	Weighting (%) of Assessment Element	Timetabled Contact Hours
Professional Report			X	X	50	

Footnotes

A. Referred to within Assessment Section above. 1. More than one assessment method can be used to assess individual learning outcomes.

B. Identified in the Learning Outcome Section above. Please choose assessment type from list below:

Exam - Unseen closed book (standard)

Exam - Seen closed book

Exam - Unseen open book

Exam - Seen open book

Case study

Class test (written)

Design/ Diagram/ Drawing/ Photograph/ Sketch

Dissertation/ Project report/ Thesis

Essay

Laboratory/ Clinical/ Field notebook

Portfolio of written work

Report of practical/ field/ clinical work

Review/ Article/ Critique/ Paper

Workbook/ Laboratory notebook/ Diary/ Training log/ Learning log

Class test (practical)

Clinical/ Fieldwork/ Practical skills assessment/ Debate/ Interview/ Viva voce/ Oral

Creative output/ Audiotapes/ Videotapes/ Games/ Simulations

Demonstrations/ Poster presentations/ Exhibitions

Performance/ Studio work/ Placement/ WBL/ WRL assessment

Portfolio of practical work

Presentation

Objective Structured Clinical Examinations (OSCEs)

Objective Structured Professional Examinations (OSPRES)