

**PROGRAMME ADVISING**  
**Compliance and Corporate Governance (Minor)**  
**Academic Year 2021/2022**

PROGRAMME DELIVERY DEPARTMENT: B.Sc. BANKING AND FINANCE (Major/Minor)

PROGRAMME ADVISING FOR THE ACADEMIC YEAR 2021/2022

**This Programme Advising Document should be used by students  
who were registered for the programme PRIOR to the academic  
year 2019/2020**

**Continuing Students:** Students, who started the programme prior to the Academic Year 2019/2020, are required to complete their Levels 1 and 2 courses before moving to Level 3. Please follow the course sequence provided below.

This professional degree is practice-based and will require students to engage in problem solving, and to draw on work-based experience or to actively engage with case study scenarios in order to achieve programme goals. Because of the highly practical nature of the programme design students are strongly advised to register for **no more than 3** of the available courses per semester to ensure the successful completion of courses and a high GPA.

## SUMMARY OF LEVEL 1 COURSES FOR YEAR 1 STUDENTS

New students may register for eight (8) courses this Academic Year as follows:

### SEMESTER 1: August – December

1. FINA 1001
2. ACCT 1006
3. FOUN 1001 **OR** FOUN 1101 **OR** FOUN1210

IYMS is not for credit – but you should take this prerequisite course in this semester if you intend to register for ECON1003 next semester.

### SEMESTER 2: January – May

1. ECON1003 – To take this course you must take/ pass **IYMS in Semester 1**
2. ECON1008
3. FOUN (Any of the 3 FOUN courses not yet taken/passed)

### SUMMER: May – July

1. ECON1009
2. SOCI1007

- **Effective academic year 2019/2020 all newly admitted students to the university should register for the FOUN1001-English for Academic Purposes during the first year of registration.**
- **The remaining two Level 1 courses [FOUN and Elective] should be taken in the next Academic Year.**

### Assessment:

Most of the courses in this programme use continuous assessment - i.e. assessed as 100% coursework, which require ongoing interaction among peers and a facilitator online. However, there are a few courses that require a final assessment through a face-to-face examination at an Open Campus Country Site. **Note these courses carefully in the list below.**

**Continuing Students are required to register for courses failed at the lower level before selecting courses at the next level – i.e. Level 1, then Level 2, and then Level 3.**

YEAR 1/ LEVEL 1		SEMESTER			PRE- REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
COURSE CODE	COURSE NAME	1	2	Summer		
FOUN1001	English for Academic Purposes  <b>Blended Version (BL) -</b>	1	2		ELPT – English Language Proficiency Test	<p>Please examine your Offer Letter to determine if you are required to take ELPT and IYMS. These are prerequisites for two Level 1 courses.</p> <p>If your Offer Letter indicates that you are required to take the ELPT then you must first pass this test before you are allowed to do FOUN1001.</p> <p><b>Visit your Department’s Web Page frequently – as the dates for the ELPT are also posted at:</b></p> <p><a href="http://www.open.uwi.edu/undergraduate/home">http://www.open.uwi.edu/undergraduate/home</a></p> <p><b>TIPS:</b></p> <ul style="list-style-type: none"> <li>• <b>Returning/Continuing students</b> are required to pass FOUN1001 before registering for their Level 2 courses.</li> </ul> <p><b>Assessment:</b> 50% coursework and 50% Exam (face to face examination)</p>

YEAR 1 / LEVEL 1		SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
COURSE CODE	COURSE NAME	1	2	Summer		
		FOUN1101	Caribbean Civilization	1	2	Summer
FOUN1210	Science, Medicine and Technology in Society	1	2	Summer	None	
FINA1001	Elements of Banking and Finance	1			None	<b>Assessment:</b> 100% Continuous Assessment
ECON1003	Mathematics for the Social Sciences I	1	2		IYMS1001 – Improving Your Math Skills	<p>If your offer letter indicates that you are to take IYMS and you have not yet done so, you will first need to pass IYMS before you do ECON1003. In such a case, you would need to delay taking ECON1003.</p> <p>ECON1003 is offered in both Semesters 1 and 2 during the Academic Year.</p> <p><b>Assessment:</b> 40% coursework and 60% Exam (face to face examination).</p>
ACCT1006	Introduction to Accounting	1			None	<b>Assessment:</b> 100% Continuous Assessment

YEAR 1/ LEVEL 1		SEMESTER			PRE- REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
COURSE CODE	COURSE NAME	1	2	Summer		
ECON1008	Introduction to Financial Economics  Please select ECON1002- Introduction to Macro Economics		2		None	<b>Assessment:</b> 100% Continuous Assessment
ECON1002	Introduction to Macro Economics  Please request an override	1	2		None	<b>Assessment:</b> 40% coursework and 60% Exam
ECON1009	Introduction to International Trade and Foreign Business			Summer	None	SOCI1007 and ECON1009 are pre-requisite courses for some of the Level 2 courses in the programme. You should aim to complete both of these courses at the Summer offer.
SOCI1007	Introduction to the Social Sciences			Summer	None	<b>Assessment:</b> 100% Continuous Assessment.

**YEAR 1/  
LEVEL 1 – ELECTIVES**

**Elective Courses – Select one (1) of the following:**

**TIP:**

- If you are a returning/continuing student you should give priority to completing your core courses at Level 1.
- If you have failed your Elective, you will be allowed to repeat it in the next Academic Year.

COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
SPAN1009	Spanish Language I	1			None	<b>Assessment:</b> 100% Continuous Assessment.
ECON1005	Introduction to Statistics	1	2		None	<b>TIP:</b> ECON1005 is best attempted after completing ECON1003

**YEAR 2/LEVEL 2**  
**CORE COURSES**

**Continuing students** are advised to review the courses listed in Year 1 and ensure that you complete the core courses shown for Year 1 and your Elective course before moving on to your Level 2 courses. Students may take a few Level 2 courses while completing their final Level 1 courses.

**Please note** the pre-requisite courses for **MGMT2023** and **MGMT2008**. **TIP:** The three (3) FINA courses are recommended as priority for Semester 1. These are core Level 2 courses to be completed before moving to Level 3.

COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
FINA2001	Regulatory Environment of Banking and Finance		2		None	<b>Assessment:</b> 100% Continuous Assessment.
FINA2002	Quantitative Methods of Banking and Finance	1			None	<b>Assessment:</b> 100% Continuous Assessment
FINA2003	Information Technology for Banking and Finance	1			None	<b>Assessment:</b> 100% Continuous Assessment.
FINA2005	Risk Analysis and Management		2		None	<b>Assessment:</b> 100% Continuous Assessment.
FINA2006	Law for Banking and Finance	1			None	<b>Assessment:</b> 100% Continuous Assessment.
MGMT2023	Financial Management I	1	2		ACCT1006 ECON1003	Returning students are required to pass the prerequisite Level 1 courses. <b>No override is allowed.</b> <b>Assessment:</b> 40% coursework and 60% face to face examination.

**YEAR 2/  
LEVEL 2 – ELECTIVES**

**Elective Courses: Select any two (2) of the following:**

**TIP:**

Your programme structure requires that you select **two (2) elective** courses to complete your Level 2 courses. It is strongly recommended that you pay attention to the pre-requisite course(s) for your elective course

COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
ACCT2017	Management Accounting	1	2		ACCT1006	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
FINA2009	Sales and Marketing for Banking and Finance			Summer	None	<b>Assessment:</b> 100% Continuous Assessment.
<b>FINA2010</b>  This course is no longer available	<b>Trust and Wealth Management</b>  Please select <b>MGMT3106- Trust and Corporate Law</b>		2		None	<b>Assessment:</b> 100% Continuous Assessment.
MGMT3160	Trust and Corporate Law  <b>Please request an override</b>	1			None	<b>Assessment:</b> 100% Continuous Assessment.
GEND2111	Gender in the Caribbean: Social, Political & Economic Relations		2		None	<b>Assessment:</b> 100% Continuous Assessment.



MGMT2006	Management Information Systems I	1	2		None	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT2008	Organizational Behaviour	1		Summer	SOCI1007	Returning students are required to pass the prerequisite Level 1 courses. <b>No override is allowed.</b> <b>Assessment:</b> 40% coursework and 60% Exam (face-to-face examination).
MGMT2011  This course is no longer available.	Caribbean Business Environment  Please select MGMT2224- Introduction to Entrepreneurship.	1		Summer	ECON1008 OR ECON1009  NB: This prerequisite is only for Banking	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT2224	Introduction to Entrepreneurship  Please request an override.	1		Summer	None	<b>Assessment:</b> 100% Continuous Assessment

**LEVELS 2 & 3**  
**COURSES FOR MINOR**

**Five courses (15 credits) comprise the Compliance and Corporate Governance (Minor).** Two courses at Level 2 and three at Level 3 are approved for this programme as follows:

COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
FINA2012  This course is no longer available	Financial Sector Operations and Regulations.  Please select FINA2014-Financial Regulation		2		None	<i>Assessment:</i> 100% Continuous Assessment.
FINA2014	Financial Regulation  Please request an override			Summer	None	<i>Assessment:</i> 40% coursework & 60% Exam
FINA2013	Compliance and Risk Management	1			None	<i>Assessment:</i> 100% Continuous Assessment.
ACCT3043	Auditing		2		None	<i>Assessment:</i> 40% coursework and 60% Exam (face-to-face)

FINA3016	Corporate Law and Governance			Summer	None	<i>Assessment:</i> 100% Continuous Assessment.
FINA3017	Ethics in Banking and Finance			Summer	None	<i>Assessment:</i> 100% Continuous Assessment.

### YEAR 3/LEVEL 3

#### CORE COURSES

- Your programme structure requires that you complete the following core courses.
- In the Final Year, students will be required to take their Practicum (6 credits). **PLEASE NOTE:** It is recommended that at least **twenty-four (24) courses be completed** (all at Levels 1 and 2, with the remainder at Level 3) before attempting this course.

COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
FINA3005	Bank Financial Management	1			None	<i>Assessment:</i> 100% Continuous Assessment.
MGMT3024	Business Communication		2	Summer	FOUN1001	<i>Assessment:</i> 100% Continuous Assessment.
MGMT3081	Credit Analysis and Lending		2		FINA1001, FINA2005, MGMT2023	<i>Assessment:</i> 40% coursework and 60% Exam (face-to-face)
MGMT3104	Principles and Practices of Corporate Governance	1			None	<i>Assessment:</i> 100% Continuous Assessment.
FINA3018	Practicum	1	2			The Practicum is a <i>year-long</i> course which begins in Semester 1 and terminates at the end of Semester 2. Please note the recommendation provided above for this course.

<b>YEAR 3/ LEVEL 3 - ELECTIVES</b> <b><u>Elective Courses: Select any one (1) of the following:</u></b>					<b>NOTE:</b> Your programme structure requires that you select one (1) elective course to complete your Level 3 courses. It is strongly recommended that you pay attention to the pre-requisite course(s) for your elective course.	
COURSE CODE	COURSE NAME	SEMESTER			PRE-REQUISITE	IMPORTANT INFORMATION TO GUIDE COURSE SELECTION/REGISTRATION
		1	2	Summer		
MGMT3017	Human Resource Management	1		Summer	MGMT2008	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT3049	Financial Institutions and Markets		2		MGMT2023	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT3053	International Financial Management		2		MGMT2023	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT3048	Financial Management II	1		Summer	MGMT2023	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
MGMT3031	Business Strategy and Policy		2	Summer	MGMT2006, MGMT2008, MGMT2023	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
<b>SOCI2007</b>	<b>Survey Design and Analysis</b>			Summer	ECON1005, SOCI 1007	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)
<b>This course is no longer available</b>	<b>Please select SOCI3008- Industrial Sociology #1 Theories &amp; Practices</b>					
SOCI3008	Industrial Sociology # 1 Theories & Practices  <b>Please request an override.</b>			Summer	None	<b>Assessment:</b> 40% coursework and 60% Exam (face-to-face)

**Disclaimer: The Programme Delivery Department (PDD) reserves the right to revise this document during the Academic Year 2021/2022. Students are kindly advised to consult the online document regularly during the academic year for any updates. Please be guided accordingly.**