

Документ подписан простой электронной подписью
Информация о владельце:
ФИО: Ястребов Олег Александрович
Должность: Ректор
Дата подписания: 02.05.2026 11:20:28
Уникальный программный ключ:
ca953a0120d891083f939673078ef1a989dae18a

**Federal State Autonomous Educational Institution of Higher Education
«Peoples' Friendship University of Russia named after Patrice Lumumba»
(RUDN University)**

Higher School of Management

(name of the main educational unit-developer of the basic higher education programme)

COURSE SYLLABUS

Regulatory and legal support of compliance control in the activities of the organization

(name of discipline/module)

Recommended by the Didactic Council for the Education Field of:

38.04.01 «ECONOMICS»

(code and name of the area of training/specialty)

**The study of the discipline is conducted as part of the professional programme of
higher education:**

«Compliance control in the activities of organizations»

(name (track/specialization) of professional programme of higher education)

1. COURSE GOAL(S)

The goal of studying the discipline “Regulatory support of compliance control in the activities of an organization” is to form and consolidate in students a system of knowledge about the nature and patterns of corporate fraud, teaching them methods of identifying fraud in a corporate environment, methods of assessment, as well as methods of countering fraud from outside employees.

The main objectives of studying the discipline are:

- - provide knowledge of the basic concepts and essence of corporate fraud;
- - ensure knowledge of methods for assessing possible corporate fraud;
- - teach how to use methods to prevent corporate fraud;
- - develop the ability to collect, analyze and process data necessary to detect corporate fraud;
- - to instill skills and techniques for making management decisions under the risk of corporate fraud of an economic entity.

2. REQUIREMENTS FOR LEARNING OUTCOMES:

Mastering the discipline “Regulatory support of compliance control in the activities of an organization Regulatory support of compliance control in the activities of an organization” is aimed at developing in students the following competencies (parts of competencies):

Table 2.1. The list of competencies acquired by students in the course of the discipline (outcomes of the discipline)

Competence Code	Competence Descriptor	Competence Formation Indicators (within this discipline)
GC-1	Able to search, critically analyze problem situations based on a systematic approach, and develop an action strategy	GC-1.1. Analyzes the task, highlighting its basic components; GC-1.2. Identifies and ranks the information required to solve a given problem; GC-1.3. Searches for information to solve a given problem using various types of requests; GC-1.4. Offers options for solving a problem, analyzes the possible consequences of their use; GC-1.5. Analyzes ways to solve problems of ideological, moral and personal nature based on the use of basic philosophical ideas and categories in their historical development and socio-cultural context
GC-2	Able to manage a project at all stages of its life cycle	GC-2.1. Formulates a problem whose solution is directly related to achieving the project goal; GC-2.2. Determines the connections between the assigned tasks and the expected results of their solution;

Competence Code	Competence Descriptor	Competence Formation Indicators (within this discipline)
		GC-2.3. Within the framework of the assigned tasks, it determines the available resources and limitations, the current legal norms; GC-2.4. Analyzes the project implementation schedule as a whole and selects the optimal way to solve the assigned tasks, based on current legal norms and available resources and limitations; GC-2.5 Monitors the progress of the project, adjusts the schedule in accordance with the control results.
GC-3	Able to organize and manage the work of a team, developing a team strategy to achieve the goal	GC-3.1. Defines his (her) role in the team based on the strategy of cooperation to achieve the goal; GC-3.2. Formulates and takes into account in its activities the behavioral characteristics of groups of people identified depending on the goal; GC-3.3. Analyzes the possible consequences of personal actions and plans his/her actions to achieve a given result; GC-3.4. Exchanges information, knowledge and experience with team members; GC-3.5. Argues his/her point of view regarding the use of ideas of other team members to achieve the goal; GC-3.6. Participates in team work to complete assignments.
PC-5	Capable of monitoring and coordinating the activities of internal control systems at all levels of management of an economic entity	PC-5.1 Able to analyze and interpret the norms and requirements of regulatory legal acts on internal control of the organization's activities, regulating issues of independence and principles of ethics

3. COURSE IN HIGHER EDUCATION PROGRAMME STRUCTURE

Discipline “Regulatory support of compliance control in the activities of an organization” refers to the compulsory part/part formed by participants in educational relations of block B1 of the basic higher education programme.

Table No. 3.1 shows the previous and subsequent disciplines aimed at developing the competencies of the discipline in accordance with the matrix of competencies of the basic higher education programme (BP HE).

As part of the BP HE, students also master other disciplines and/or practices that contribute to achieving the planned results of mastering the discipline “Regulatory support of compliance control in the activities of an organization”.

Table 3.1 The list of the higher education programme components that contribute to the achievement of the expected learning outcomes as the disciplines results

Competence Code	Competence Descriptor	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
GC-1	Able to search, critically analyze problem situations based on a systematic approach, and develop an action strategy	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, Methods for comprehensive analysis of the activities of a business entity, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Tax compliance	Undergraduate internship
GC-2	Able to manage a project at all stages of its life cycle	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, Digital technologies in the control system	Undergraduate internship
GC-3	Able to organize and manage the work of a team, developing a team strategy to achieve the goal	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, Digital technologies in the control system	Undergraduate internship
PC-5	Capable of monitoring and coordinating the activities of internal control systems at all levels of management of an economic entity	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, Methods for comprehensive analysis of the activities of a business entity, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Tax compliance	Undergraduate internship

4. COURSE WORKLOAD AND ACADEMIC ACTIVITIES

The total workload of the discipline “Regulatory support of compliance control in the activities of an organization” is 4 credit units.

Table 4.1. Types of educational work by periods of mastering BP HE for full-time education

Type of educational work	Total hours	Semester
--------------------------	-------------	----------

			6/3
1.	<i>Contact work, academic hours</i>	32	32
	Including:		
1.1.	Lectures (L)	16	16
1.2.	Other activities		
	Including:		
1.2.1.	Seminars (S)	16	16
	Practical exercises (PE))		
	Of these in interactive form (IF)		
2.	<i>Independent work of students, academic hours</i>	68	68
	Including:		
2.1.	Calculation and graphic works		
2.2.	Course paper		
	<i>Other types of independent work</i>		
3.	<i>Control (exam/test with assessment), academic hours</i>	44	44
4.	Total workload (academic hours)	144	144
	Total workload (credit units)	4	4

5. COURSE CONTENT

- *Table 5.1. The content of the discipline (module) by type of academic work*

Name of the sections (subjects) of the discipline	Summary of the sections (subjects) of the discipline:	Type of educational work*
Legal regulation in the field of compliance risk management.	Legal regulation in the field of compliance risk management.	L, S
AML/CFT compliance risk management	AML/CFT compliance risk management	L, S
Protection of investor rights	Protection of investor rights	L, S
Sanctions compliance	Legal regulation in the field of compliance risk management.	L, S

- **L** – lectures
- **S**- seminar classes

6. CLASSROOM EQUIPMENT AND TECHNOLOGY SUPPORT REQUIREMENTS

Table 6.1. Equipment and technological support of the discipline

Audience type	Auditorium equipment	Specialized educational/laboratory equipment, software and materials for mastering the discipline (if necessary)
Lecture	An auditorium for conducting lecture-type classes, equipped with a set of specialized furniture; board (screen) and technical means of multimedia presentations.	21 workstations: system unit P4 C2D/3160 MHz MB/ 320 GB/DVD±RW/ LCD monitor 19"+ 1 projector
Laboratory	An auditorium for conducting laboratory work, individual consultations, ongoing monitoring and intermediate certification, equipped with a set of specialized furniture and equipment.	21 workstations: Celeron system unit /2600 MHz/1280 MB/ 40 GB/DVD ROM/ LCD monitor 17"+ 1 projector + WiFi access point
Seminar	An auditorium for conducting seminar-type classes, group and individual consultations, ongoing monitoring and intermediate certification, equipped with a set of specialized furniture and technical means for multimedia presentations.	21 workstations: system unit P4 C2D/3160 MHz MB/ 320 GB/DVD±RW/ LCD monitor 19"+ 1 projector
Computer class	Computer class for conducting classes, group and individual consultations, ongoing monitoring and intermediate certification, equipped with personal computers (in the amount of ___pcs.), a whiteboard (screen) and technical means for multimedia presentations.	21 workstations: Celeron system unit /2600 MHz/1280 MB/ 40 GB/DVD ROM/ LCD monitor 17"+ 1 projector + WiFi access point
For independent work of students	An auditorium for independent work by students (can be used for seminars and consultations), equipped with a set of specialized furniture and computers with access to the electronic information and educational system.	Classroom No. 420

7. RESOURCES RECOMMENDED FOR COURSE STUDY

Main Readings

1. Corporate Governance, Risk Management and Compliance Law: [Connected eBook] (Aspen Casebook) Jeffrey Miller
2. Governance, Risk Management, and Compliance: It Can't Happen to Us--Avoiding Corporate Disaster While Driving Success

Additional Readings:

1. Legal Liability and Risk Management for Public and Private Entities by Betty Van Der Smissen

Resources of the information and telecommunications network "Internet":

Information support for discipline

a) software

Microsoft Office, Mentor

b) databases, information, reference and search systems

1. RUDN Library website – Access mode: <http://lib.rudn.ru/> - from RUDN desktop computers
2. University Library ONLINE – Access mode: <http://www.biblioclub.ru/>
3. LexisNexis. – Access mode: <http://www.lexisnexis.com/hottopics/lnacademic/>
4. Book collections of the SPRINGER publishing house. – Access mode: www.springerlink.com
5. RUDN University Bulletin – Access mode: <http://www.elibrary.ru/defaultx.asp>
6. Columbia International Affairs Online (CIAO) – Access mode: <http://www.ciaonet.org/>
7. Universal Databases East View. - Access mode: <http://online.ebiblioteka.ru/>
8. Full-text collection of Russian scientific journals –eLibrary.ru – Access mode: <http://elibrary.ru/defaultx.asp?>
9. Electronic library of the Grebennikov Publishing House». Grebennikon. – Access mode: <http://grebennikon.ru/>
10. International portal of electronic newspapers on socio-political topics. Library PressDisplay – Access mode: <http://library.pressdisplay.com>
11. Directories - sectoral and regional databases. Polpred.com. – Access mode: <http://www.polpred.com/>
12. On-line access to magazines. Information database on all branches of science and electronic delivery of documents. SwetsWise. – Access mode: <https://www.swetswise.com>
13. University of Chicago Press Journals: American Journal of Education. Comparative Education Review. – Access mode: <http://www.journals.uchicago.edu/action/showJournals?type=byAlphabet>
14. Books from Alpina Publishers. Current business literature. – Access mode: http://www.alpinabook.ru/books/online_biblioteka.php
15. Electronic library of literature on Russian history BIBLIOPHIKA – Access mode: <http://www.bibliophika.ru/>
16. Electronic library of dissertations of the RSL – Access mode: <http://diss.rsl.ru/>
17. Search engines: Яндекс (yandex.ru), Google (google.ru)

*Educational and methodological materials for independent work of students when mastering a discipline/module *:*

1. A course of lectures on the discipline “Regulatory support of compliance control in the activities of an organization.”

2. Educational and methodological materials for students’ independent work are posted in accordance with the current procedure on the discipline page in the Telecommunication Educational Information System

8. ASSESSMENT TOOLKIT AND GRADING SYSTEM* FOR EVALUATION OF STUDENTS' COMPETENCES LEVEL UPON COURSE COMPLETION

Practical classes in the discipline “Compliance in the field of securities market regulation” serve to consolidate and assimilate the theoretical material of lectures and independent work of students with educational literature, as well as for ongoing monitoring of students’ knowledge in the discipline. Practical classes include topics and tasks that require deep theoretical mastery of the material and its practical application. A group discussion of these topics by students together with the teacher should lead to an understanding of the systemic relationships between the analyzed processes and phenomena in strategic management. Theoretical material is consolidated through economic and mathematical modeling of situational problems in microeconomics.

The main forms of practical training in the discipline “Compliance in the field of securities market regulation” should be considered:

- oral survey;
- scientific discussion;
- report;
- written solutions to problems;
- written solutions to tests;
- independent work (short quiz);
- written test (during the study period).

Due to the limited time for conducting seminar classes, it is advisable to combine different forms of training and control during the seminar.

The implementation of the course includes interactive lectures, practical classes (seminars) using multimedia equipment, preparation of independent creative works and their subsequent presentations, testing, group discussions on the topics of the course, and modern knowledge control technologies.

While studying the discipline, the student must listen to a course of lectures, complete the number of seminars provided for in the work programme, independently study some of the course topics and confirm his/her knowledge during control events.

The student’s job at the lecture is to understand the fundamentals of the discipline, briefly take notes on the material, and clarify issues that cause difficulties. Lecture notes are the basic teaching material along with the textbooks recommended in the main bibliography.

The main part of the lecture material is taught using multimedia, which facilitates the perception and memorization of the material. Presentations are available for downloading from the PFUR website and can be freely used by students for educational purposes.

The student is required to master all the topics provided for in the curriculum of the discipline. Certain topics and training issues are submitted for independent study. The student studies the recommended literature and briefly outlines the material, and clarifies the most complex issues that require clarification during consultations. The same should be done with sections of the course that were skipped due to various circumstances.

For an in-depth study of the issue, the student must familiarize himself with the literature from the additional list and specialized websites on the Internet. It is also recommended that students communicate on professional community forums.

Students independently study educational, scientific and periodical literature. They have the opportunity to discuss what they have read with teachers of the discipline during scheduled consultations, with other students at seminars, as well as at lectures, asking clarifying questions to the lecturer.

The independent work of masters is monitored by the leading teacher. Depending on the teaching methodology, the following forms of ongoing monitoring can be used: a short oral or written survey before the start of classes, written homework, essays, etc.

Approximate structure of a typical practical lesson:

1. Mass test of knowledge of definitions and formulas based on the material covered (last 1-2 lectures) using a written quiz for 5-10 minutes. on separate sheets.
(ensures 100% coverage of students in the group; stimulates the systematic development of formulas and definitions)
2. Checking written homework (problems and tests) with analysis on the board of the tasks that caused the greatest difficulty for 5-10 minutes. depending on the complexity.
Grading.
(ensures students' interest in completing written homework and gaining practical problem-solving skills)
3. Oral survey on current material or 1 report within 10-20 minutes.
(in order to discuss the most complex theoretical issues and develop speaking skills)
4. Explanation of the methodology for solving problems and tests on a new topic by the teacher for 5-10 minutes.
(provides students with a new perspective on theoretical models of microeconomics, strengthens practical skills)
5. Independent solving of problems and tests on a new topic during the remaining time with analysis of the solution at the board.
(100% coverage of group students; mastering theoretical material while solving practical tasks; development of practical economic analysis skills; element of competition - who can solve it faster)
6. Summing up the seminar lesson: grading and handing out homework within 2-3 minutes.

Certification of students in the course “Compliance in the field of securities market regulation” is carried out according to a point-rating system:

The maximum number of points is 100.

Number of credits – 4.

The maximum number of points for completing each type of work:

1. survey – 20 points
2. fulfillment of homework – 20 points
3. work in class – 20 points
4. report – 10 points
5. intermediate CD – 10 points
6. final CD – 20 points;

An **unsatisfactory** grade is given on the form F(2); FX(2+).

The F(2) grade is given if the student scores less than 30 points, the FX(2+) grade is 31-50 points. The FX(2+) grade provides an opportunity to retake the exam or test.

A **satisfactory** grade is given on Form E(3); D(3+). A grade of E(3) is given if the student scores between 51 and 60 points. Grade D(3+) – subject to 61-68 points.

The grade «**good**» is given in Form C(4) provided that the student scores 69-85 points.

The **excellent** grade is on Form B(5); A(5+). A grade of B(5) is assigned if the student scores 86-94 points and indicates that all required course requirements have been met. Grade A(5+) - 95-100 points is given not only if all requirements are met, but also with the obligatory manifestation of a creative attitude to the subject, the ability to find original answers not contained in textbooks, the ability to work with sources contained in additional literature course, the ability to combine the knowledge gained in this course with knowledge of other disciplines.

Point-rating system	Traditional assessments of the Russian Federation	Ratings ECTS
95 – 100	Excellent – 5	A (5+)

86 – 94		B (5)
69 – 85	Good – 4	C (4)
61 – 68	Satisfactory – 3	D (3+)
51 – 60		E (3)
31 – 50	Unsatisfactory – 2	FX (2+)
0 – 30		F (2)
51 - 100	Passed	Passed

Typical test tasks or other materials necessary for assessing knowledge, abilities, skills and (or) experience that characterize the stages of developing competencies in the process of mastering the educational programme

Sample questions on discipline topics

An approximate version of test tasks for the discipline

1. The concept of compliance.
2. Determination of risk.
3. Risk management.
4. Risk-based approach to managing an organization.
5. Types and sources of compliance risks.
6. Legal regulation: goals, history, factors influencing legal regulation.
7. Parties involved in the regulatory process.
8. Legal regulation: approaches and models.
9. Sources of regulatory rules.
10. International legislation and development of best practices.
11. Regulatory bodies and their powers.

DEVELOPERS:

**Head of the Department of
Compliance and Controlling**



J. Ragulina

Position, educational department

Signature

name and surname

HEAD OF EDUCATIONAL DEPARTMENT:

**Head of the Department of
Compliance and Controlling**



J. Ragulina

Name, educational department

Signature

name and surname

HEAD OF HIGHER EDUCATION PROGRAMME:

**Head of the Department of
Compliance and Controlling**



J. Ragulina

Position, educational department

Signature

name and surname