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**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

Managing the effectiveness of compliance control of a business entity

(name of discipline/module)

Recommended by the Didactic Council for the Education Field of:

38.04.01 «ECONOMY»

(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 (profile/specialization) of the basic higher education programme)

1. THE GOAL OF DISCIPLINE MASTERING

The purpose of studying the discipline “Managing the effectiveness of compliance control of an economic entity” - the formation of theoretical knowledge about compliance control in an organization, identifying, posing and solving practical issues of forming the management function, as well as developing effective recommendations for improvement.

Studying the academic discipline “Managing the effectiveness of compliance control of a business entity” is important for the formation of the professional consciousness of the future manager, the formation of his/her confidence in the possibility of practical solution of management problems based on an understanding of the theoretical foundations of effective management of organizations.

Knowledge of the organization of compliance control of a business entity helps to understand the specifics of modern management and develops in future professionals the desire to apply the acquired knowledge in practice.

The main objectives of studying the discipline are:

- mastering modern approaches to the effectiveness of compliance control;
- studying the basic methods and techniques for managing the effectiveness of compliance control;
- studying the international foundations of professional practice of compliance control of a business entity.

2. REQUIREMENTS FOR DISCIPLINE OUTCOMES:

Mastering the discipline “Managing the effectiveness of compliance control of a business entity” is aimed at developing in students the following competencies (part of the competencies):

Table 2.1. List of competencies formed in students when mastering the discipline (results of mastering the discipline)

Code	Competency	Indicators of Competency Achievement (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

Code	Competency	Indicators of Competency Achievement (within this discipline)
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; GC-2.3. Within the framework of the assigned tasks, 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-5	Able to analyze and consider cultural diversity in the process of intercultural interaction	GC-5.1. Interprets Russian history in the context of world historical development; GC-5.2. Finds and uses information about the cultural characteristics and traditions of various social groups in social and professional communication; GC-5.3. When social and professional communication on a given topic takes into account the historical heritage and sociocultural traditions of various social groups, ethnic groups and faiths, including world religions, philosophical and ethical teachings; GC-5.4. Collects information on a given topic, taking into account the ethnic groups and religions most widely represented at the points where the research is carried out; GC-5.5. Justifies the features of project and team activities with representatives of other ethnic groups and (or) religions; GC-5.6. Adheres to the principles of non-discriminatory interaction in personal and mass communication in order to fulfill professional tasks and strengthen social integration.
GPC-1	Able to apply knowledge (at an advanced level) of fundamental economic science in solving practical and/or research problems	GPC-1.1 Has fundamental knowledge in the field of economic science; GPC-1.2 Able to use fundamental knowledge to solve applied and/or research problems; GPC-1.3 Has the skills to select methods for solving practical and research problems based on fundamental economic knowledge;
GPC-2	Able to apply advanced instrumental methods of economic analysis in applied and/or basic research	GPC-2.1 Has knowledge of advanced instrumental methods of economic analysis; GPC-2.2 Able to apply knowledge of advanced instrumental methods of economic and financial

Code	Competency	Indicators of Competency Achievement (within this discipline)
		analysis when conducting applied and/or fundamental research
PC-3	Able to provide methodological support for the activities of the internal audit service and manage the work of the internal audit service	PC-3.1. Applies laws, regulations and local regulations of the organization in work. Coordinates his/her activities with colleagues, works effectively in a team. PC-3.2. Organizes the work of subordinates, sets tasks and monitors their implementation. Analyzes and evaluates information, identifies cause-and-effect relationships, draws objective conclusions and sets priorities for future plans
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 PC-5.2 Able to explain the norms and requirements of regulatory legal acts in various areas of activity related to internal control

3. COURSE IN HIGHER EDUCATION PROGRAMME STRUCTURE

The discipline “Managing the effectiveness of compliance control of a business entity” is a discipline of the mandatory part of the variable component of the professional cycle of disciplines of the main educational programme (MEP) in the direction of “Economics” (master’s degree).

As part of the main higher education programme, students also master other disciplines and/or practices that contribute to achieving the planned results of mastering the discipline “Managing the effectiveness of compliance control of a business entity”.

Table 3.1. List of components of BP HE that contribute to achieving the planned results of mastering the discipline

Code	Competency	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)	Legal regulation and methodology of modern compliance control; Methods for comprehensive analysis of the activities of an economic entity, Design of a compliance control system and organization of its

Code	Competency	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
			implementation in the activities of an economic entity
GC-2	Able to manage a project at all stages of its life cycle	Econometrics	Legal regulation and methodology of modern compliance control; Methods for comprehensive analysis of the activities of an economic entity, Design of a compliance control system and organization of its implementation in the activities of an economic entity
GC-5	Able to analyze and consider cultural diversity in the process of intercultural interaction	Econometrics	Transforming cultural change in a digital company
GPC-1	Able to apply knowledge (at an advanced level) of fundamental economic science in solving practical and/or research problems	Digital technologies in the control system	Legal regulation and methodology of modern compliance control Techniques for conducting internal corporate investigations
GPC-2	Able to apply advanced instrumental methods of economic analysis in applied and/or basic research	Digital technologies in the control system	Designing a compliance control system and organizing its implementation in the activities of an economic entity
PC-3	Able to provide methodological support for the activities of the internal audit service and manage the work of the internal audit service	Econometrics Digital technologies in the control system	International and Russian standards in the field of internal control and audit
PC-5	Capable of monitoring and coordinating the	Compliance control system for financial investigations	Techniques for conducting internal corporate investigations

Code	Competency	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
	activities of internal control systems at all levels of management of an economic entity		

4. COURSE WORKLOAD AND ACADEMIC ACTIVITIES

The total workload of the discipline “Managing the effectiveness of compliance control of a business entity” is 3 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	Semesters			
		1	2	3	4
<i>Contact work, academic hours</i>	108				
Lectures (L)	18	18			
Practical/seminar sessions (S)	18	18			
<i>Independent work of students, academic hours</i>	72	72	0		
<i>Control (exam/test with assessment), academic hours</i>					
Total workload	<i>academic hours</i>	108	108		
	<i>credit units</i>	3	3		

5. COURSE OF DISCIPLINE

Table 5.1. Contents of the discipline (module) by type of academic work

Name of the discipline section	Contents of the section (topic)	Type of educational work*
Section 1. Theoretical and methodological aspects of assessing the effectiveness of compliance control	Topic 1.1. Assessing the effectiveness of compliance control of an economic entity. Methods for calculating complex assessment	L
	Topic 1.2. Methods of working with inspection bodies and regulators	LW, S
Section 2. Evaluation criteria for the	Topic 2.1. Internal audit as a criterion for the effectiveness of compliance control	L

Name of the discipline section	Contents of the section (topic)	Type of educational work*
effectiveness of compliance control	Topic 2.2. Assessment of the compliance function by rating agencies, lenders, insurers, potential consumers, business partners and counterparties	L, S
Section 3. Functional and organizational aspects of compliance control	Topic 3.1. Compliance control functions and procedures	L
	Topic 3.2 Organization of the structure of compliance control	L
	Topic 3.3 Concept of Institutional Compliance Control	S
Section 4. Local regulatory regulation of compliance control	Topic 4.1. Local regulatory system for compliance control	L
	Topic 4.2. Local regulations establishing compliance goals and principles	L
	Topic 4.3. Local regulations governing certain aspects of compliance control	S

* - to be filled out only for **full-time** education: L – lectures; LW – laboratory work; 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 Hall	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	21 workstations: system unit P4 C2D/3160 MHz MB/ 320 GB/DVD±RW/ LCD monitor 19"+ 1 projector

Audience type	Auditorium equipment	Specialized educational/laboratory equipment, software and materials for mastering the discipline (if necessary)
	multimedia presentations.	
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. Governance, Risk Management, and Compliance: It Can't Happen to Us-- Avoiding Corporate Disaster While Driving Success by Richard M. Steinberg.

Additional Readings:

1. FUNDAMENTALS OF GOVERNANCE, RISK MANAGEMENT AND COMPLIANCE: Governance, Risk Management, and Compliance (GRC) Book 1 Kindle Edition by Uwem Essia (Author), Kester Ehiwario (Author)

Resources of the information and telecommunications network "Internet"

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/hottopic/academic/>
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 – Access mode: <http://diss.rsl.ru/>
17. Search engines: Яндекс (yandex.ru), Google (google.ru)

1. Databases and search engines:

- electronic fund of legal and regulatory technical documentation <http://docs.cntd.ru/>
- Yandex search engine <https://www.yandex.ru/>
- Google search engine <https://www.google.ru/>

Addition:

electronic sources:

- www.kommersant.ru – Kommersant website
- www.rbc.ru – RosBusinessConsulting website
- www.vedomosti.ru – Vedomosti website
- www.Int-comp.org/careers/a-career-in-compliance/ – website of the International Compliance Association

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

1. Course of lectures on the discipline “Managing the effectiveness of compliance control of a business entity”.

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

Evaluation materials and a point-rating system* for assessing the level of development of competencies (parts of competencies) based on the results of mastering the

discipline “Managing the effectiveness of compliance control of a business entity” are presented in the Appendix to this Work Programme of the discipline.

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 reading list. 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 RUDN 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 missed 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. Control of independent work of masters is carried out by the leading teacher. Depending on the teaching methodology, the following forms of ongoing control can be used: a short oral or written survey before the start of classes, written homework, abstracts, etc. Certification of students in the course “Methods of comprehensive analysis of the activities of an economic entity” is carried out using 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 for assessing knowledge, rating scale
Correspondence between scores and grades

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

The toolkit for the midterm assessment of students in the discipline (module) (developed and issued in accordance with the requirements of the " Regulations for the Formation of Assessment Toolkit (FOS)", approved by the Rector's order No. 420 dated 05.05.2016).

Code of controlled competence or part of it Controlled section of the discipline	Controlled section of the discipline	Controlled Discipline Topic	Fund of assessment tools (forms of monitoring the level of mastery of the main educational programme)										Topic points	Section points	
			Classroom work					Independent work							
			Survey	Test	Colloquium	Test paper	Discussion	Essay	Homework	Abstract	Creative project	Completing the test	Exam/Test		
GC-1, GPC-2, PC-5	Section 1. Theoretical and methodological aspects of assessing the effectiveness of compliance control	Topic 1.1. Assessing the effectiveness of compliance control of an economic entity. Methods for calculating complex assessment	5				2							7	14
		Topic 1.2. Methods of working with inspection bodies and regulators	5				2							7	
GC-1, PC-3, PC-5	Section 2. Evaluation criteria for the effectiveness of compliance control	Topic 2.1. Internal audit as a criterion for the effectiveness of compliance control	5				2							7	16
		Topic 2.2. Assessment of the compliance function by rating agencies, lenders, insurers, potential consumers, business partners and counterparties	5				2	2						9	

GC-2, PC-3, PC-5	Section 3. Functional and organizational aspects of compliance control	Topic 3.1. Compliance control functions and procedures	5										5	15	
		Topic 3.2 Organization of the structure of compliance control	5												5
		Topic 3.3 Concept of Institutional Compliance Control	5												5
GC-1, GC-2, GPC-2, PC-5	Section 4. Local regulatory regulation of compliance control	Topic 4.1. Local regulatory system for compliance control	3				2						5	15	
		Topic 4.2. Local regulations establishing compliance goals and principles	3				2						5		
		Topic 4.3. Local regulations governing certain aspects of compliance control	3						2				5		
GC-1, GC-2, GC-5, GPC-2, PC-5		Midterm certification (test)											10	10	
GC-1, GC-2, GC-5, GPC-1, GPC- 2, PC-3, PC-5		Test											10	10	
		Exam											20	20	
		TOTAL	44				12			4			100	100	

Sample exam paper

Discipline “Managing the effectiveness of compliance control of a business entity”

EXAMINATION TICKET No. 1

1. Possible criteria for assessing effectiveness, their classification and procedure for application.
2. Plan for eliminating identified comments and suggestions, measures to eliminate them. The procedure for informing the supervisory authority about the elimination of identified deficiencies.
3. Answer the test questions.

1. The degree to which controls are effective if they are largely indirectly related to the financial reporting assertions:

1. More efficient;
2. Less effective;
3. Moderately effective.

2. When does the need for external financial control usually arise?

1. In cases where the information received by internal control bodies dependent on the management of the managed facility does not inspire confidence among the owners
2. As required by law
3. At the request of shareholders or investors

As part of the exam, the maturity of all competencies of the discipline can be checked (depending on the question). Attached to the set of exam papers are evaluation criteria for the discipline developed by the teacher and approved at a department meeting.

Criteria for assessing answers to exam questions:

The answer to each exam question is scored from 0 to 10 points:

Response Evaluation Criteria	Points		
	The answer does not meet the criterion	The answer partially meets the criterion	The answer fully meets the criterion
The answer is correct	0	1	2
The student gives an answer without leading questions from the examiner	0	0,5	1
The student practically does not use the prepared draft	0	0,5	1
The answer shows the teacher’s confident knowledge of the	0	1	2

terminological and methodological apparatus of the discipline			
The answer has a clear logical structure	0	1	2
The answer shows the student's understanding of the connections between the subject of the question and other sections of the discipline and/or other disciplines	0	1	2

The programme is compiled in accordance with the requirements of the educational standards of higher education of the RUDN University.

DEVELOPERS:

**Professor of the Department of
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A. Bolonin

Position, educational department

Signature

name and surname

HEAD OF EDUCATIONAL DEPARTMENT:

**Head of the Department of
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HEAD OF HIGHER EDUCATION PROGRAMME:

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