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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

Legal regulation and methodology of modern compliance control

(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 “Legal regulation and methodology of modern compliance control” is to ensure that students develop the necessary competencies in the field of developing options for risk-oriented management decisions based on the real state of the economic security system using compliance control, as well as to set design and survey tasks, develop innovative projects, selection of methods and technologies for their implementation, creation of methodological and regulatory documents.

The main objectives of studying the discipline are:

- studying the theoretical and practical foundations of developing risk-oriented management decisions using compliance control;
- know the basic legal documents regulating design, survey and innovation activities.

2. REQUIREMENTS FOR LEARNING OUTCOMES

Mastering the discipline “Legal regulation and methodology of modern compliance control” is aimed at developing in students the following competencies (part 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; 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

Competence Code	Competence Descriptor	Competence Formation Indicators (within this discipline)
		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.
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 analysis when conducting applied and/or fundamental research
GPC-5	Able to use modern information technologies and software when solving professional problems	GPC-5.1 Knows modern information technologies and software used in solving professional problems; GPC-5.2 Able to choose among modern information technologies and software tools the most effective ones for solving professional problems; GPC-5.3 Fully possesses the skills to solve standard problems of professional activity using information technology and software;
GPC-1	Able to analyze and forecast the financial potential of an economic entity	GPC-1.1. Able to plan programmes and timing of financial analysis. Develops internal organizational and administrative documents, including those regulating the procedure for carrying out work in the budgeting and cash flow management system
GPC-2	Able to develop a strategy and determine current tasks for the development of the internal control system of an economic entity.	GPC-2.1. Able to collect and systematize information received from various sources. Analyzes the information received and formulates conclusions based on the results of its analysis. Studies and describes the organization's business processes

3. COURSE IN HIGHER EDUCATION PROGRAMME STRUCTURE

Discipline “Legal regulation and methodology of modern compliance control” refers to the compulsory part/part formed by participants in educational relations of block B1 of the basic higher education programme.

Table 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 “Legal regulation and methodology of modern compliance control”.

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), Internal control, International and Russian standards in the field of internal control and audit, Managing the effectiveness of compliance control of a business entity	
GPC-1	Able to manage a project at all stages of its life cycle	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, International and Russian standards in the field of internal control and audit, Methods for comprehensive analysis of the activities of a business entity, Digital technologies in the control system, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Assessment of corruption risks of a business entity, Tax compliance, Antimonopoly compliance	
GPC-2	Able to apply knowledge (at an advanced level) of fundamental economic science in solving practical and/or research problems	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, International and Russian standards in the field of internal control and audit, Methods for comprehensive analysis of the activities of a business	

Competence Code	Competence Descriptor	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
		entity, Digital technologies in the control system, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Assessment of corruption risks of a business entity, Tax compliance, Antimonopoly compliance	
GPC-5	Able to apply advanced instrumental methods of economic analysis in applied and/or basic research	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, International and Russian standards in the field of internal control and audit, Methods for comprehensive analysis of the activities of a business entity, Digital technologies in the control system, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Assessment of corruption risks of a business entity, Tax compliance, Antimonopoly compliance	
GPC-1	Able to use modern information technologies and software when solving professional problems	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, International and Russian standards in the field of internal control and audit, Methods for comprehensive analysis of the activities of a business entity, Digital technologies in the control system, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Assessment of corruption risks of a	

Competence Code	Competence Descriptor	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
		business entity, Tax compliance, Antimonopoly compliance	
GPC-2	Able to analyze and forecast the financial potential of an economic entity	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, International and Russian standards in the field of internal control and audit, Methods for comprehensive analysis of the activities of a business entity, Digital technologies in the control system, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Assessment of corruption risks of a business entity, Tax compliance, Antimonopoly compliance	

4. COURSE WORKLOAD AND ACADEMIC ACTIVITIES

The total workload of the discipline «International Russian standards in the field of internal control and audit» 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	Semester	
			5	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>	45		44
	Including:			
2.1.	Calculation and graphic works			
2.2.	Course work			

	<i>Other types of independent work (home independent work)</i>			
3.	<i>Control (exam/test with assessment), academic hours</i>	32		32
4.	<i>Total workload (academic hours)</i>	108		108
	<i>Total workload (credit units)</i>	3		3

5. COURSE CONTENT

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

Name of the discipline section	Summary of the sections (subjects) of the discipline:	Type of educational work*
Section 1. Methodology for integrated assessment of compliance risks	<p>International standards and recommendations for regulating compliance risks. Sarbanes-Oxley Act. Components of an integrated assessment.</p> <p>Legal regulation of compliance control in Russia. Local regulatory regulation of compliance control in the organization. Development of a compliance programme.</p>	L, S
Section 2. Methods of combating corruption, money laundering and terrorist financing	<p>International standards of public administration in the field of anti-corruption and the main directions of public policy.</p> <p>Risk-based approach to combating corruption. Mandatory financial monitoring. Quantitative and qualitative criteria for transactions subject to mandatory financial monitoring. Development of criteria for identifying and identifying signs of unusual transactions.</p> <p>On-farm control. A programme for assessing the level of risk of a client performing transactions related to the legalization (laundering) of proceeds from crime and the financing of terrorism.</p> <p>Programme for documenting information. Training programme for employees of the organization in the field of anti-corruption.</p> <p>internal (municipal) financial control bodies. Order to eliminate violations</p>	L, S
Section 3. Methods for regulating conflicts of interest	<p>Compliance with restrictions and prohibitions, requirements for preventing or resolving conflicts of interest. Identification and elimination of causes and conditions conducive to conflicts of interest.</p> <p>Notifying the employer about the facts of treatment for the purpose of inducing the commission of offenses.</p> <p>Compliance with moral and ethical standards of behavior of employees. Anti-corruption examination of local regulatory legal documents.</p> <p>Research methods: observation, sociometry, study of documents, survey, modeling of conflict situations.</p>	L, S
Section 4. Research methods for	<p>Concept of misappropriation of assets. Identifying common signs and variants of fraud. Personnel fraud</p>	L, S

misappropriation of assets	(bribery, prohibited monetary rewards, kickbacks in payments, special inflated prices by agreement, etc.). Development of a system for identifying and preventing, countering, investigating and eliminating identified deficiencies. Research methods: analysis and control. Analysis of major transactions for the acquisition and disposal of assets. Analysis of possible distortions in asset values. Analysis of compliance of resource productivity with the industry (market) level. Cost-benefit analysis.	
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L- lectures

S-seminar classes

6. CLASSROOM EQUIPMENT AND TECHNOLOGY SUPPORT REQUIREMENTS

Table 6.1. Equipment and technological support of the discipline

Classroom Type	Equipment of the Classroom	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
Colloquium	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
Autonomous 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	Classroom No. 420

Classroom Type	Equipment of the Classroom	Specialized educational/laboratory equipment, software and materials for mastering the discipline (if necessary)
	information and educational system.	

7. RESOURCES RECOMMENDED FOR COURSE STUDY

Main Readings:

Company Law (Concepts and Ideas), 4th Edition Stephen Bainbridge (Author)

Additional Readings:

Business Law (Barron's Business Review) Robert W. Emerson J.D.

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/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 – 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 “Legal regulation and methodology of modern compliance control”.
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 “Legal regulation and methodology of modern compliance control” 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

1. Compliance risks in the event of a threat to business reputation or financial insolvency.
2. Violations of the principles of compliance control in the field of regulatory standards.
3. Compliance violations during financial manipulation.
4. Violation of compliance control standards as a result of unprofessionalism and incompetence of employees.
5. Violation of compliance control standards in the process of corporate raids, thefts and other illegal influences from the outside.
6. Compliance control tools.
7. Information security policy.
8. Criteria for identifying and identifying signs of unusual transactions.
9. Modern tools and methods for identifying misappropriation of assets.
10. Methods for analyzing return on assets.
11. Methods for analyzing possible distortions in the value of assets.

12. Methods for analyzing the compliance of resource productivity with the industry (market) level.
13. Methods for analyzing cash flow statement data to assess solvency.
14. Methods for analyzing the probability of bankruptcy.

List of essay topics, abstracts

1. Features of the competencies of members of audit commissions (auditors) of joint-stock companies in the study of compliance risks.
2. Features of the functioning of the board of directors and committees of the board of directors of a public joint stock company in the study of compliance risks.
3. Features of disclosure in the annual report of a public joint stock company of a report on compliance with the principles and recommendations of the Corporate Governance Code
4. Methodology for developing criteria for preventing and combating corruption.
5. Identify and assess compliance risks of material misstatement by studying the organization and its environment.
6. Methodology for external assessment of the quality of compliance control.
7. Methodology for checking the safety of assets.
8. Methodology for identifying and preventing conflicts of interest.
9. Methodology for assessing the efficiency and effectiveness of the use of resources in the compliance control system.
10. Development of a programme for documenting information in the compliance control system.
11. Development of a training programme for employees of the organization in the field of anti-corruption.

An approximate version of test tasks for the discipline

1. Who approves the programme for identifying transactions subject to mandatory control, and other operations related to legalization (laundering) of proceeds from crime:
 - a) general director;
 - b) Chairman of the Board of Directors;
 - c) financial director.
2. Risk identification is...
 - a) systematization of a variety of risks based on any signs and criteria that make it possible to combine subsets of risks into more general concepts;
 - b) the initial stage of a system of risk management measures, consisting of the systematic identification of risks characteristic of a certain type of activity and the determination of their characteristics;
 - c) systematic scientific research into the degree of risk to which specific objects, activities and projects are exposed.
3. Compliance risk indicators are:
 - a) payment of additional taxes;
 - b) a significant change in the tax base;
 - c) certain criteria with predetermined parameters, deviation from which or compliance with which allows the selection of an object of control.

4. Risk management is:

- a) a risk that has not been identified, but the conditions for its occurrence exist
- b) systematic work on the development and practical implementation of measures to prevent and minimize risks, assess the effectiveness of their application, as well as control over financial transactions;
- c) the probability of risk occurrence.

5. The subjective method of assessing probability includes:

- a) coefficient analysis method;
- b) professional judgment of the subject;
- c) scenario method.

6. Instruments for legalizing proceeds from crime include:

- a) cash and non-cash funds;
- b) bills;
- c) abuse of official powers.

7. Corruption is:

- a) illegal use of one's powers;
- b) purchase and sale of private property by private or legal entities;
- c) provision of services by legal entities.

8. The main forms of manifestation of corruption are:

- a) entrepreneurial activity of economic entities;
- b) abuse of official position and influence;
- c) tax evasion.

9. The negative consequences of corruption in the economic field are manifested:

- a) in the political instability of the state;
- b) a threat to democracy;

Case measurements

1. Model a conflict situation and suggest ways to resolve it.

2. Develop a scale for diagnosing the presence of conflict and the degree of its severity.

3. Offer a socio-psychological test to assess interpersonal emotional connections in a group.

4. Create a conflict of interest and identify the main and minor parties to the conflict.

5. Ivanova, working as the head of the educational department of one of the state universities, for a remuneration of 35 thousand rubles. I gave Petrov, who completed only three out of five university courses two years ago, a diploma of higher education written in his name. The signatures of the officials on the diploma were genuine. The investigation established that Ivanova's responsibilities included recording and monitoring the use of diploma forms, as well as monitoring the correct completion of diplomas. How should Ivanova's actions be qualified?

6. Engineer Skorobogatov, going on business trips to Murmansk, took travel money from the company's accounting department against an advance report. At the hotel where he usually stayed, for a small fee, he agreed with the administrator Stepina that she would put in Skorobogatov's hotel bills an amount that was 2 times the actual cost of living. Stepina kept the second copy of the invoice with real numbers for herself. Upon returning to the enterprise, Skorobogatov received money from the accounting department based on the false invoices presented. In just eleven business trips, he received 110 thousand rubles in this way. It is necessary to evaluate the actions of Skorobogatov and Stepina.

7. The compliance officer tests controls related to the termination of an employment contract with an employee. What is the most important aspect of such testing?

Methodological materials that define the procedures for assessing knowledge, abilities, skills and (or) operational experience that characterize the stages of competencies formation)

Assessment of knowledge, skills and abilities in an academic discipline is carried out through the use of the following types of assessment tools:

List of assessment tools

№	Name of the assessment tool	Brief description of the evaluation tool	Presentation of the assessment tool in the fund
Classroom work			
1.	Survey	A means of control, organized as a special conversation between a teacher and a student on topics related to the discipline being studied, and designed to determine the amount of knowledge of the student in a certain section, topic, problem, etc.	Questions on discipline sections
2.	Test	A system of standardized tasks that allows you to automate the procedure for measuring the level of knowledge and skills of a student	Database of test tasks
3.	Verification work	A tool for testing the ability to apply acquired knowledge to solve problems of a certain type on a topic or section. This is a written task completed within a given time (in classroom conditions - from 30 minutes to 2 hours).	A set of multi-level tasks and assignments, grouped by options
4.	Business game	The joint activity of a group of students under the guidance of a teacher in order to solve educational and professionally oriented problems through game modeling of a real problem situation. An assessment tool that allows you to evaluate the ability to analyze and solve typical professional problems.	Description of business games by topic
5.	Case measurements	The use of problem-based tasks in which students are asked to comprehend a real, professionally oriented situation that contains the necessary but incomplete information to solve a given problem.	Base of tasks in the form of cases by topic
6.	Exam/Test	A procedure carried out according to established rules to assess the knowledge, skills, competencies of students in the Programme in any academic subject, module, etc.	A set of multi-level questions grouped by ticket options
Autonomous Work of Students			
1.	Doing homework	There are tasks and assignments: a) reproductive level, allowing to evaluate and diagnose knowledge of factual material (basic concepts, algorithms, facts) and the	A set of multi-level tasks and assignments

	<p>ability to correctly use special terms and concepts, recognition of objects of study within a certain section of the discipline;</p> <p>b) reconstructive level, allowing to evaluate and diagnose the ability to synthesize, analyze, generalize factual and theoretical material with the formulation of specific conclusions, establishing cause-and-effect relationships;</p> <p>c) creative level, allowing to evaluate and diagnose skills, integrate knowledge of various fields, and argue one's own point of view.</p>	
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Evaluation criteria for the discipline

Ticket tasks	Contents of the response	Points
Question 1/ Question 2	A detailed, comprehensive correct answer to the question posed is given. Definitions, examples, graphs, formulas are provided. Comprehensive answers to additional questions regarding the content of the answer are given.	9-10 points/for answer to 1 question
	A concise correct answer to the question is given. Definitions, examples, graphs, formulas are not given in full.	5-8 points/for answering 1 question
	The answer is given at the level of definitions and general reasoning. The economic essence of the categories is not disclosed.	3-4 points/for answer to 1 question
	Definitions are given	1-2 points/for answer to 1 question
Question 3: practical task (task)	Задача решена правильно (получен правильный ответ), приедено подробное решение	9-10 points
	Задача решена неправильно (ошибка в вычислениях, нет верного ответа), но ход решения верный	7-8 points
	Задача решена верно (дан правильный ответ), но ход решения описан неполно	4-6 points
	Дан правильный ответ без описания хода решения	1-3 points

Evaluating the results of oral surveys in practical classes, seminars and exams

The level of knowledge is determined by grades *“excellent”*, *“good”*, *“satisfactory”*, *“unsatisfactory”*.

“Excellent” rating - the student demonstrates complete and deep knowledge of the programme material, logically and reasonably answers the question posed, as well as additional questions, shows a high level of theoretical knowledge.

Rating **“good”** - the student demonstrates deep knowledge of the programme material, presents it competently, answers the question posed and additional questions quite fully, and skillfully formulates conclusions. At the same time, when answering, he allows minor errors.

Rating **“satisfactory”** - the student shows sufficient, but not deep knowledge of the programme material; When answering, he does not make gross mistakes or contradictions, but in formulating the answer there is no proper connection between analysis, argumentation and conclusions. To obtain the correct answer, clarifying questions are required.

The rating is **“unsatisfactory”** - the student shows insufficient knowledge of the programme material, is not able to present it in a reasoned and consistent manner, makes gross mistakes in answers, incorrectly answers the question posed or finds it difficult to answer.

Evaluation of testing results during ongoing monitoring

“excellent” - 76-100% correct answers;

“good” - 51-75% of correct answers;

“satisfactory” - 35-50% of correct answers;

“unsatisfactory” - 34% or less correct answers.

Sample list of questions for the exam

1. The concepts of “internal control”, “internal audit” and “compliance control”.
2. Classification and types of compliance control.
3. International standards in the system of legal regulation of compliance control.
4. Functions and procedures of compliance control.
5. Objects and subjects of compliance control.
6. Organizational structure of compliance control.
7. Local regulations establishing the goals and principles of compliance.
8. Policy for regulating the process of accepting and giving gifts and invitations to events.
9. Ensuring compliance with the principles of compliance by counterparties when implementing contractual relations.
10. Compliance control of financial and operational risks and reporting.
11. Security compliance control.
12. Compliance control of personnel management.
13. Compliance control of relationships with regulatory authorities.
14. The place of compliance control in the organization’s internal control system.
15. Compliance control of business reputation.
16. Compliance control over the use of insider information.
17. Compliance control over restrictions on access to information systems.
18. Methodological approach to assessing the effectiveness of compliance control.
19. Compliance control of professional ethics and rules of corporate conduct.

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