

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**

### **Compliance control system in the financial and credit sector**

---

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

## 1. COURSE GOAL(S)

**The goal of studying the** discipline “Compliance control system in the financial and credit sector” is for undergraduates to in-depth study the theoretical and methodological foundations of organizing a compliance system and financial monitoring in credit institutions, developing practical skills in analyzing the client base, account transactions, and organizing compliance control in banks.

*The main objectives of studying the discipline are:*

- studying the basic concepts and content of the principles of organization and procedures for the effective implementation of the compliance function;
- study of the basic principles of organization and procedures of compliance and financial monitoring in the banking system;
- consideration of the practice of disseminating recommendations based on documents developed by the Basel Committee on Banking Supervision;
- revealing the importance of the financial monitoring system as a mechanism for minimizing banking risks;
- determination of directions for improving financial monitoring in the banking system of the Russian Federation.

## 2. REQUIREMENTS FOR LEARNING OUTCOMES

Mastering the discipline “Compliance control system in the financial and credit sector” 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)*

<b>Competence Code</b>	<b>Competence Descriptor</b>	<b>Competence Formation Indicators</b> (within this discipline)
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; UC-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 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.
GC-4	Able to apply modern communication technologies in the state language of the Russian Federation and a foreign language for academic	GC-4.1. Selects a style of business communication, depending on the language of communication, the purpose and conditions of the partnership; GC-4.2. Adapts speech, communication style and body language to interaction situations;

Competence Code	Competence Descriptor	Competence Formation Indicators (within this discipline)
	and professional interaction	<p>GC-4.3. Searches for the necessary information to solve standard communication problems in Russian and foreign languages;</p> <p>GC-4.4. Conducts business correspondence in Russian and foreign languages, taking into account the stylistic features of official and informal letters and sociocultural differences in the format of correspondence;</p> <p>GC-4.5. Uses dialogue for cooperation in academic communication, taking into account the personality of the interlocutors, their communicative speech strategy and tactics, and the degree of formality of the situation;</p> <p>GC-4.6. Forms and argues his/her own assessment of the main ideas of the participants in the dialogue (discussion) in accordance with the needs of joint activities.</p>
UC-5	Able to analyze and consider cultural diversity in the process of intercultural interaction	<p>GC-5.1. Interprets Russian history in the context of world historical development;</p> <p>GC-5.2. Finds and uses information about the cultural characteristics and traditions of various social groups in social and professional communication;</p> <p>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;</p> <p>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;</p> <p>GC-5.5. Justifies the features of project and team activities with representatives of other ethnic groups and (or) religions;</p> <p>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.</p>
PC-4	Able to develop and generate reporting documents on the operation of the internal control system of an economic entity	<p>PC-4.1 Able to assess the possible consequences of changes in the accounting policies of an economic entity, including their impact on its future activities</p>

### 3. COURSE IN HIGHER EDUCATION PROGRAMME STRUCTURE

Discipline “Compliance control system in the financial and credit sector” 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 “Compliance control system in the financial and credit sector”.

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

<b>Competence Code</b>	<b>Competence Descriptor</b>	<b>Previous disciplines/modules, internships*</b>	<b>Subsequent disciplines/modules, internships*</b>
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, International and Russian standards in the field of internal control and audit, 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, Compliance in the field of securities market regulation	Legal regulation and methodology of modern compliance control, Foreign practice of applying compliance control in the activities of a business entity, Ensuring the cybersecurity of a business entity, Combating corporate fraud, Regulatory support of compliance control in the activities of an organization
GC-4	Able to apply modern communication technologies in the state language of the Russian Federation and a foreign language for academic and professional interaction	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, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Tax compliance, Compliance in	Legal regulation and methodology of modern compliance control, Foreign practice of applying compliance control in the activities of a business entity, Ensuring the cybersecurity of a business entity, Combating corporate fraud, Regulatory support of compliance control in the activities of an organization

Competence Code	Competence Descriptor	Previous disciplines/modules, internships*	Subsequent disciplines/modules, internships*
		the field of securities market regulation	
GC-5	Able to analyze and consider cultural diversity in the process of intercultural interaction	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, Managing the effectiveness of compliance control of a business entity, Risk management and compliance, Tax compliance, Compliance in the field of securities market regulation	Legal regulation and methodology of modern compliance control, Foreign practice of applying compliance control in the activities of a business entity, Ensuring the cybersecurity of a business entity, Combating corporate fraud, Regulatory support of compliance control in the activities of an organization
PC-4	Able to develop and generate reporting documents on the operation of the internal control system of an economic entity	Microeconomics (advanced course), Macroeconomics (advanced course), Internal control, Methods for comprehensive analysis of the activities of a business entity, Digital technologies in the control system, Compliance control system for financial investigations,	Foreign practice of applying compliance control in the activities of a business entity, Regulatory and legal support for compliance control in the activities of an organization, Legal regulation and methodology of modern compliance control

#### 4. COURSE WORKLOAD AND ACADEMIC ACTIVITIES

The total workload of the “Compliance control system in the financial and credit sector” discipline 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
1.	Contact work, academic hours	18	18

	Including:		
1.1.	Lectures (L)	9	9
1.2.	Other activities		
	Including:		
1.2.1.	Seminars (S)	9	9
	Practical exercises (PE))		
	<b>Of these in interactive form (IF)</b>		
<b>2.</b>	<i>Independent work of students, academic hours</i>	90	90
	Including:		
2.1.	Calculation and graphic works		
2.2.	Course paper		
	<i>Other types of independent work</i>		
<b>3.</b>	<i>Control (exam/test with assessment), academic hours</i>		
<b>4.</b>	<b>Total workload (academic hours)</b>	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

<b>Name of the sections (subjects) of the discipline</b>	<b>Summary of the sections (subjects) of the discipline:</b>	<b>Contents of the section (topic)</b>
<i>Section 1. Methodological foundations of compliance and financial monitoring</i>	The concept of "compliance". Basic legislative and regulatory documents governing compliance in credit institutions. Types and forms of compliance. Elements of compliance in commercial banks.	L, S
	Compliance - function and compliance risk. Responsibilities of the board of directors and executive bodies of the bank to ensure compliance. Principles of the compliance function. Disclosure of the content of the principles of the compliance function. Identification, assessment and analysis of compliance risk. Compliance risk management. Compliance control in banks: basic principles and standards.	L, S
<i>Section 2. Principles of building a compliance system in banks</i>	The concept of financial monitoring. Objects and subjects of financial monitoring. The place of financial monitoring in the compliance system. Financial monitoring system in the Russian Federation. Institutional and legal foundations of financial monitoring in credit institutions. International documents and measures to combat money laundering. Measures taken for violation of AML/CFT legislation. Organization of financial monitoring in banks.	L, S
<i>Section 4. Development of a system of compliance control and</i>	Current trends in the development of compliance control systems in credit institutions. Problems of financial monitoring in the banking sector. Practice of effective financial monitoring in Russia. Ways to	L, S

Name of the sections (subjects) of the discipline	Summary of the sections (subjects) of the discipline:	Contents of the section (topic)
<i>financial monitoring in the banking sector</i>	improve financial monitoring in the Russian banking system.	

- L – lectures
- S- seminar classes

#### Practical classes (seminars) (full-time study)

No.	Discipline section number	Topics of practical classes (seminars)	Labor intensity (hours)
1.	Methodological foundations of compliance and financial monitoring	Key legislative and regulatory documents governing compliance in credit institutions	3
		Types and forms of compliance	3
		Elements of compliance in commercial banks	3
2.	Principles for building a compliance system in banks	Compliance function and compliance risk	3
		Principles of the compliance function	3
		Identification, assessment and analysis of compliance risk	3
3.	Conceptual basis for organizing financial monitoring in credit institutions	Objects and subjects of financial monitoring	3
		Institutional and legal foundations of financial monitoring in credit institutions	3
		Organization of financial monitoring in banks	3
4.	Development of a compliance control and financial monitoring system in the banking sector	Current trends in the development of compliance control systems in credit institutions	3
		Problems of financial monitoring in the banking sector.	3
		Criteria and ways to improve financial monitoring in the Russian banking system	3

## 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	21 workstations: Celeron system unit /2600

<b>Classroom Type</b>	<b>Equipment of the Classroom</b>	<b>Specialized educational/laboratory equipment, software and materials for mastering the discipline (if necessary)</b>
	monitoring and intermediate certification, equipped with a set of specialized furniture and equipment.	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 information and educational system.	Classroom No. 420

## **7. RESOURCES RECOMMENDED FOR COURSE STUDY**

### *Main Readings:*

Banking Processing Risks and Controls: A Risk-Based Guide to Banking Functions and Operational Risk Controls (Banking Series) by Leo Oniriuba

### *Additional Readings:*

1. The Compliance Handbook: A Guide to Operationalizing Your Compliance Programme by Thomas Fox

### *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.lexisnexus.com/hottopics/lnacademic/>
4. Book collections of the SPRINGER publishing house. – Access mode: [www.springerlink.com](http://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](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](http://www.kommersant.ru) – Kommersant website
- [www.rbc.ru](http://www.rbc.ru) – RosBusinessConsulting website
- [www.vedomosti.ru](http://www.vedomosti.ru) – Vedomosti website
- [www.Int-comp.org/careers/a-career-in-compliance/](http://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 “Compliance control system in the financial and credit sector”.

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 control system in the financial and credit sector” 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 control system in the financial and credit sector” 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 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 test – 10 points
6. final test – 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. What is the essence of the concept of “compliance”?
2. What are the main forms of compliance in credit institutions?
3. What are the advantages of various forms of compliance in credit institutions?
4. What is the legal and regulatory framework governing compliance in commercial banks?
5. What is financial monitoring?
6. What is the place of financial monitoring in the bank’s compliance system?
7. What are the features of the financial monitoring system in the Russian Federation?
8. What are the measures applied for violation of AML/CFT legislation.
9. What is the role of the Bank of Russia in the functioning of the national financial monitoring system.
10. What is the peculiarity of organizing internal control in order to combat money laundering and terrorist financing in credit institutions.
11. What are the current trends in the development of the compliance control system in credit institutions.
12. What are the problems of financial monitoring in the banking sector?
13. What are the criteria and ways to improve financial monitoring in the Russian banking system?
14. What is the organization of financial monitoring in banks?
15. What are the grounds for modernizing internal control and financial monitoring in credit institutions?
16. What are the new procedures and functions in financial monitoring.
17. Name the problems of organizing an effective compliance control system in commercial banks.
18. Determine ways to develop and integrate the compliance function into the practice of Russian banks.

### **An approximate version of test tasks for the discipline**

1. Which of the following statements describes a survey that is carried out by the compliance department? It:
  - a) provides detailed evidence regarding the content of the control system;
  - b) takes less time for substantive testing;
  - c) provides circumstantial evidence that may require corroborating evidence.

2. Which of the following methods is the best with from the point of view of providing assistance to the compliance department:

- a) development of criteria for assessing the achievement of goals;
- b) periodic inspections by the board of directors;
- c) checking and evaluating the work of the compliance department by internal audit.

3. What type of activity does not lead to a violation of objectivity? compliance officer:

- a) providing recommendations on design control over the movement of goods and materials;
- b) development of procedures for using new software;
- c) checking procedures for new software before installing it.

4. An employee of the compliance department has suspicions, but there is no specific information about the abuse of official position of one of the senior managers. An employee has not demonstrated a professional attitude to work if this:

- a) identified potential methods and methods of distortion and ranked suspected transactions for further investigation;
- b) informed the head of the compliance department about his suspicions;
- c) did not check for possible abuses, since the verification programme had already been approved by the organization's management.

5. In the Federal Law of 08/07/2001 No. 115-FZ "On combating the legalization (laundering) of proceeds from crime and the financing of terrorism," income obtained from crime is defined as:

- a) funds or other property obtained as a result of the commission of a crime
- b) criminal origin of money
- c) transformation of money received as a result of evasion of taxes and (or) fees from an individual
- d) cash withdrawal

6. The compliance criterion for the legalization (laundering) of proceeds from crime is:

- a) giving legal form to the possession, use or disposal of funds or other property received as a result of the commission of an offense
- b) giving legal form to the possession, use or disposal of funds received as a result of the commission of a crime
- c) giving legal form to the possession, use or disposal of funds or other property obtained as a result of the commission of a crime

7. Choose the correct statement:

- a) the regulatory and supervisory functions of the Bank of Russia are carried out through the Banking Supervision Committee
- b) the regulatory and supervisory functions of the Bank of Russia are carried out through independent directors
- c) the regulatory and supervisory functions of the Bank of Russia are carried out through the Board of Directors

8. The head of the compliance department is going to meet with the head of the internal audit service about working together during the upcoming audit. The internal auditor previously performed this work. The goal of the head of the compliance department is:

- a) coordinate the work of internal audit in order to avoid duplication of work;
- b) make sure that work in this area cannot be carried out solely by compliance department employees;

c) identify those areas of activity that were checked by internal audit.

9. Which of the following factors is considered least important when making decisions about the advisability of transferring compliance department resources from the current audit of a structural unit:

- a) increase in the level of expenses over the last year;
- b) the likelihood of fraud in the activity;
- c) the inspection of the specified structural unit was carried out a year ago.

10. A report prepared by the head of the compliance department the work done should not:

- a) list significant comments and recommendations;
- b) list situations that have not been corrected;
- c) contain official information about the weekly performance results of each employee of the compliance department.

### Case measurements

1. A credit organization that owns branches in different regions decides to conduct a comparative assessment of the activities of one of the branches in order to analyze the accuracy and reliability of its financial statements. What indicators need to be selected for inclusion in financial benchmarking?

2. An employee of the compliance department of a credit institution is going to conduct a compliance risk analysis, the results of which should become the basis for a future audit. What recommendations can be given based on the results of the compliance risk analysis?

***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 assessment tool	Presentation of the assessment tool in the fund
<i>Аудиторная работа</i>			
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	A set of multi-level tasks and assignments,

		task completed within a given time (in classroom conditions - from 30 minutes to 2 hours).	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
<b>Independent work</b>			
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 ability to correctly use special terms and concepts, recognition of objects of study within a certain section of the discipline; 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; c) creative level, allowing to evaluate and diagnose skills, integrate knowledge of various fields, and argue one's own point of view.	A set of multi-level tasks and assignments

#### **Assessment criteria for the discipline**

Ticket tasks	Contents of the answer	Points
Question 1/ Question 2	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	The problem was solved correctly (the correct answer was received), a detailed solution was provided	9-10 points
	The problem was solved incorrectly (an error in the calculations, there is no correct answer), but the solution is correct	7-8 points
	The problem was solved correctly (the correct answer was given), but the solution process was incompletely described	4-6 points
	The correct answer is given without describing the solution process	1-3 points

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

The level of knowledge is determined by the 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 get the correct answer, clarifying questions are required.

Rating “**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 testing

1. Concept and essence, objects and subjects of compliance.
2. The essence of financial monitoring, its objects and subjects.
3. Legislative and regulatory documents governing compliance and financial monitoring in credit institutions.
4. Compliance function, compliance control and their organization.
5. Regulatory compliance and its practical aspects.
6. The main functions of the compliance department and its effectiveness.
7. Construction of a compliance control system in a credit institution.
8. Compliance functionality and its main differences from related bank divisions.
9. Compliance - programme and compliance - plan.
10. Compliance risk and its content.
11. Specific functions of the board of directors and senior management of the bank regarding compliance.
12. Basic principles of the compliance function.
13. Responsibilities of the compliance function.
14. The principle of independence of the compliance function and its essence.
15. Specific responsibilities of the compliance function and interaction with internal audit.
16. Compliance function and risk management within the bank and implementation of the outsourcing principle.
17. Minimizing compliance risks in the context of the application of global economic sanctions.
18. The nature of global sanctions and their possible types and the role of compliance monitoring in the field of global economic sanctions.
19. Systematic approach to the implementation of the compliance function.
20. Features of the organization of compliance control in Russian banks.
21. Establishment of a compliance control system over compliance risk.
22. Compliance management: building a system of interactions.
23. The relationship of the compliance function with other functions of the bank and risks.
24. Financial monitoring: concept, objects and subjects.
25. Place of financial monitoring in the compliance system.
26. Financial monitoring system in credit institutions of Russia.
27. Institutional and legal foundations of financial monitoring in credit institutions.
28. Organization of financial monitoring in banks.
29. Ways to improve the compliance control system in credit institutions.

### 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