



Compliance Management

Area Corporate Development

Syllabus for summer term 2017

Instructors:	J.-Prof. Dr. Florian Engl Maivand Sarin	engl@wiso.uni-koeln.de sarin@wiso.uni-koeln.de
Times & Locations:	Lectures Tutorial	Mon, 12:00-13:30, Room 3.206 / SSC Tue, 16:00-17:30, Room 3.206 / SSC Mon, 14:00-15:30, Room 3.206 / SSC Thu, 14:00-15:30, Room 3.206 / SSC

COURSE LANGUAGE: English

CREDIT POINTS: 6 ETCS

COURSE OVERVIEW

Compliance management aims to ensure a company's adherence to the law, regulatory frameworks as well as internal codes of conduct. It has received increased attention in light of recent corporate scandals, increasing regulatory requirements, and the growing importance of corporate social responsibility. In the course, we will discuss and explore topics in compliance management with an emphasis on its relation to findings in behavioral ethics. The aim is to better understand relevant frameworks and when and why non-compliant behavior emerges despite multiple control and monitoring systems. Furthermore, we will consider potential remedies against non-compliant activities and discuss recent cases of compliance failures.

COURSE STRUCTURE

The course comprises the following units:

- I) Corporate governance and legal frameworks
 - II) Components of an effective compliance program
 - III) Crisis management & case studies
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GRADING

Grades are based on a written exam which lasts 60 minutes. Students have to pass the final exam to successfully complete the course. The final exam suffices to earn the best grade possible. Nevertheless, students also have the **opportunity to earn bonus points** by holding a presentation. In case bonus points are earned, they will be added to the points earned in the final exam and might thus lead to a better overall grade.

PRESENTATIONS

Presentations are not mandatory – you will NOT receive negative points for the exam if you do not present. Depending on the final number of participants, we will form groups of 3 (or maybe 2 or 4 if necessary). Starting from the second week on, there will be one or multiple student presentation each week. Students are free in choosing a topic for their presentation. As far as possible, the topics should cover **current events or news** that are somewhat related to each week's lecture topics. Students will get time to work on the presentation during class. Each group will have 20 minutes to present.

ATTENDANCE

It is highly recommended to present and to actively participate in the lectures and classes to earn a comprehensive understanding of the discussed issues. Since it is impossible for you to participate in and benefit from class discussions when you are absent, your attendance at every lecture and tutorial is highly recommended. Note: Exam covers the material presented in the lectures and tutorials, so attending both is crucial for preparing for the exam.

LITERATURE

- Singh, N., Bussen, T. J., 2015: "Compliance Management: A How-to Guide for Executives, Lawyers, and Other Compliance Professionals." ABC-CLIO.
- Miller, G., 2014: "The Law of Governance, Risk Management, and Compliance." Wolters Kluwer Law & Business, New York.
- Additional papers and material will be assigned on a weekly basis.

PRELIMINARY COURSE SCHEDULE

Day	Date	Start	End	Room	Note
Di	18.04.2017	16:00	17:30	SSC 3.206	Introduction
Do	20.04.2017	14:00	15:30	SSC 3.206	Tutorial
Mo	24.04.2017	12:00	13:30	SSC 3.206	Legal frameworks
Mo	24.04.2017	14:00	15:30	SSC 3.206	Tutorial
Di	25.04.2017	16:00	17:30	SSC 3.206	Governance and Compliance organization
Do	27.04.2017	14:00	15:30	SSC 3.206	Tutorial
Mo	01.05.2017	12:00	14:30	SSC 3.206	No class
Mo	01.05.2017	14:00	15:30	SSC 3.206	No class
Di	02.05.2017	16:00	17:30	SSC 3.206	Risk management
Do	04.05.2017	14:00	15:30	SSC 3.206	Tutorial
Mo	08.05.2017	12:00	13:30	SSC 3.206	External speaker: Siemens AG
Mo	08.05.2017	14:00	15:30	SSC 3.206	Compliance training / Culture / Tone at the top
Di	09.05.2017	16:00	17:30	SSC 3.206	Codes of Conduct / Hiring policies
Do	11.05.2017	14:00	15:30	SSC 3.206	Tutorial
Mo	15.05.2017	12:00	13:30	SSC 3.206	External speaker: EY
Mo	15.05.2017	14:00	15:30	SSC 3.206	Tutorial
Di	16.05.2017	16:00	17:30	SSC 3.206	Conflicts of interest / Incentives
Do	18.05.2017	14:00	15:30	SSC 3.206	Tutorial
Mo	22.05.2017	12:00	13:30	SSC 3.206	Monitoring / Whistleblowing
Mo	22.05.2017	14:00	15:30	SSC 3.206	Tutorial
Di	23.05.2017	16:00	17:30	SSC 3.206	Investigations / Responses / Compliance audit
Do	25.05.2017	14:00	15:30	SSC 3.206	No class
Mo	29.05.2017	12:00	13:30	SSC 3.206	Exam Q&A
Mo	29.05.2017	14:00	15:30	SSC 3.206	No class
Di	30.05.2017	16:00	17:30	SSC 3.206	No class
Do	01.06.2017	14:00	15:00	???	1 st exam
Fr	18.08.2017	10:00	11:00	???	2 nd exam