University of Cologne

Bachelorseminar: Topics in Compliance

Syllabus - Winter term 2015/16

Instructor: Jun.-Prof. Florian Engl
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Time & Location:

Introduction
Tuesday, 03.11.15, 18:00 - 19:30,
Room No.: 3.206
Universitätstraße 22a
(Studierenden Service Center)

Seminar
Friday, 20.11.15, 09:00 - 18:00,
Saturday, 21.11.15, 10:00-15:00
Room No.: 3.206
Universitätstraße 22a
(Studierenden Service Center)

COURSE OVERVIEW

Compliance management aims to ensure adherence with 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 seminar, students will discuss and explore topics in the compliance literature 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.

COURSE STRUCTURE

Topics will be assigned to groups of up to three students. There will be one introductory session at which an overview of the topics and details about the seminar will be provided. The seminar will be held on two consecutive days in November. At the seminar, each student group will introduce their assigned topic in a 30 minutes presentation, which is followed by 15 minutes of discussion. A list of papers and articles will be provided for each topic. In order to be able to engage in fruitful discussions, all participants are required to prepare by reading the assigned literature. During the discussions students have the opportunity to exchange their arguments, give feedback and reflect on the lessons that can be drawn. Finally, each group writes an essay on their topic, which is to be submitted until January 31, 2016.
ATTENDANCE

Attendance at the seminar is highly recommended. It is also highly recommended to actively participate to earn a comprehensive understanding of the discussed issues and for an excellent preparation of your essay.

GRADING

Grades are based on your presentation at the seminar (50%) and your essay (50%).

COURSE LANGUAGE

English

CREDIT POINTS

6 ECTS

LITERATURE

For each topic there is a list with required readings. We will provide you with the texts and expect you to read these texts for a thorough seminar preparation. You will find the topics and a preliminary reading list below.

Introductory readings


Case studies


Topic 1: Regulatory frameworks – An overview


**Topic 2: Compliance management systems – An overview**


Standards: IDW PS 980 and ISO 19600

**Topic 3: The costs of non-compliance**


**Topic 4: Corporate culture and compliance**


**Topic 5: Ethical leadership**


**Topic 6: Behavioral ethics and compliance**


Topic 7: The role of incentives

Topic 8: Whistleblowing

Topic 9: Managing compliance: What works and what doesn't?