

University of Cologne

**Bachelorseminar in Corporate Development:
Topics in Business Ethics and Compliance Management**

Syllabus - Winter term 2017/18

Instructor:	J.-Prof. Dr. Florian Engl	engl@wiso.uni-koeln.de
Time & Location:	Introduction	Friday, 13.10.2017, 15:00 – 18:00 Room No.: 3.206 Universitätsstraße 22a (Studierenden Service Center)
	Seminar	Friday, 08.12.2017, 09:00 – 18:00 Saturday, 09.12.2017, 09:00 – 18:00 Room No.: 3.206 Universitätsstraße 22a (Studierenden Service Center)

COURSE OVERVIEW

The aim of the seminar is to prepare students to write a Bachelor's thesis in the area of corporate development and to introduce them to the topic of business ethics and compliance management. 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 seminar, students will discuss and explore topics in the compliance literature with an emphasis on its relation to findings in behavioral business 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

The seminar consists of one introductory session on October 13th at which students will learn about key methods (how to do a literature review, understanding data analysis, etc.) and key topics. At the introductory session, topics will be assigned to groups of up to three students. For each topic, students will prepare a literature review and try to come up with an original own idea related to that topic. The seminar will be held on December, 8 and 9. At the seminar, each group will introduce their assigned topic and idea in a 20 minutes presentation, which is followed by 10 minutes of discussion. During the discussion 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 19th, 2018.

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.

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REQUIREMENTS

Students are expected to possess a basic understanding of experimental and econometric methods.

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GRADING

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

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COURSE LANGUAGE

English

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CREDIT POINTS

6 ECTS

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SOME POTENTIAL TOPICS

- Regulatory frameworks
 - Compliance management systems
 - The costs of non-compliance
 - Corporate culture and compliance
 - Ethical leadership
 - Behavioral ethics and compliance
 - Incentives and ethical behavior
 - Whistleblowing
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SOME LITERATURE

Introductory readings

Treviño, L. K., Weaver, G. R., Reynolds, S. J., 2006. Behavioral ethics in organizations: A review. *Journal of management*, 32(6), 951-990.

Singh, N., Bussen, T. J., 2015. Compliance Management: A How-to Guide for Executives, Lawyers, and Other Compliance Professionals. ABC-CLIO.

Case studies

Kaplan, R., Kiron, S., 2007. Accounting Fraud at WorldCom. *Harvard Business School Case*. Available from HBS Press.

David Barstow, April 21, 2012. Vast Mexico Bribery Case Hushed Up by Wal-Mart After Top-Level Struggle. *The New York Times*.

Bob Ivry, 31 May 2012. Woman Who Couldn't be Intimidated by Citigroup Wins \$31 Million. *Bloomberg*,

Rose, C., Sesia, A., 2013. Barclays and the LIBOR Scandal. *Harvard Business School Case*. Available from HBS Press.