

2019.HS

| <b>Module Name: Compliance</b>                              |   |  |  |
|---|---|--|--|
| Module Code   | w.BA.XX.2CMP.XX   |  |  |
| Module Description  | Government intervention, penalties and fines, withdrawal of authorizations, requirements and conditions, claims for damages and loss of reputation all increase pressure on companies to implement tailor-made compliance systems. This applies not only to highly regulated sectors, but also industrial, commercial, and service companies, whether they are large corporations or SMEs. Compliance with legal and internal requirements goes far beyond the Swiss legal system. Students on this elective module learn how and why such a compliance management system is built up within the company.   |  |  |
| Program and Specialization                                  | <ul style="list-style-type: none"> <li>§ Business Administration - Accounting, Controlling, Auditing</li> <li>§ Business Administration - Banking and Finance</li> <li>§ Business Administration - Banking and Finance (FLEX)</li> <li>§ Business Administration - Banking and Finance (PiE)</li> <li>§ Business Administration - Economics and Politics</li> <li>§ Business Administration - General Management</li> <li>§ Business Administration - Risk and Insurance</li> <li>§ Business Law</li> </ul>   |  |  |
| Legal Framework   | Academic Regulations BSc dated 29.01.2009, Appendix to the Academic Regulations for the degree programs in Business Administration, Business Information Technology, and Business Law, first adopted on 12.05.2009  |  |  |
| Module Category   | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Module Type:</b><br/>Compulsory Elective</td> <td style="width: 50%;"><b>Program Phase:</b><br/>Main Study Period</td> </tr> </table>  | <b>Module Type:</b><br>Compulsory Elective | <b>Program Phase:</b><br>Main Study Period |
| <b>Module Type:</b><br>Compulsory Elective                  | <b>Program Phase:</b><br>Main Study Period  |  |  |
| ECTS  | 3   |  |  |
| Organizational Unit   | W Abteilung Business Law Leitung  |  |  |
| Module Coordinator  | Fabio Babey (babf)  |  |  |
| Deputy Module Coordinator                                   | -   |  |  |
| Prerequisite Knowledge                                      | Basic understanding of law and business administration  |  |  |
| Contribution to Program Learning Goals (Affected by Module) | <ul style="list-style-type: none"> <li>§ Professional Competence</li> <li>§ Methodological Competence</li> <li>§ Social Competence</li> <li>§ Self-Competence</li> </ul>  |  |  |
| Contribution to Program Learning Objectives                 | <ul style="list-style-type: none"> <li>Professional Competence <ul style="list-style-type: none"> <li>§ Knowing and Understanding Content of Theoretical and Practical Relevance</li> <li>§ Apply, Analyze, and Synthesize Content of Theoretical and Practical Relevance</li> <li>§ Evaluate Content of Theoretical and Practical Relevance</li> </ul> </li> <li>Methodological Competence <ul style="list-style-type: none"> <li>§ Problem-Solving &amp; Critical Thinking</li> <li>§ Scientific Methodology</li> <li>§ Work Methods, Techniques, and Procedures</li> <li>§ Information Literacy</li> <li>§ Creativity &amp; Innovation</li> </ul> </li> <li>Social Competence <ul style="list-style-type: none"> <li>§ Written Communication</li> <li>§ Oral Communication</li> <li>§ Teamwork &amp; Conflict Management</li> <li>§ Intercultural Insight &amp; Ability to Change Perspective</li> </ul> </li> <li>Self-Competence <ul style="list-style-type: none"> <li>§ Self-Management &amp; Self-Reflection</li> <li>§ Ethical &amp; Social Responsibility</li> <li>§ Learning &amp; Change</li> </ul> </li> </ul> |  |  |
| Module Learning Objectives                                  | <p>Students...</p> <ul style="list-style-type: none"> <li>§ understand the legal national and international foundations of a compliance management system (CMS).</li> <li>§ understand the economic importance of a CMS.</li> <li>§ understand the compliance responsibilities of a company.</li> <li>§ understand the essential legal risks on which a compliance management system is based.</li> <li>§ understand the essential risk-minimizing measures of a CMS.</li> <li>§ are able to design a CMS.</li> <li>§ are able to evaluate a CMS.</li> </ul>  |  |  |

|                                     |  |                                   |                              |
|-------------------------------------|--|-----------------------------------|------------------------------|
| Module Content                      | § Compliance and legal principles<br>§ The economic importance of compliance<br>§ Significant legal risks<br>§ The compliance management system<br>§ Compliance management systems in practice |                                   |                              |
| Links to other modules              | The content of this module is linked to the following module:<br>w.BA.XX.1PRe3-BL.XX   |                                   |                              |
| Methods of Instruction              | § Lecture<br>§ Interactive Instruction<br>§ Application Tasks<br>§ Case Studies<br>§ Exercises<br>§ Problem-Oriented Teaching<br>§ Literature Review   | <b>Social Settings Used:</b><br>- |                              |
| Digital Resources                   | Teaching Materials   |                                   |                              |
| Type of Instruction                 | <b>Classroom Instruction</b>   | <b>Guided Self-Study</b>          | <b>Autonomous Self-Study</b> |
| Large Class                         | 28 h   | -                                 |                              |
| Small Class                         | -  | -                                 |                              |
| Group Instruction                   | -  | -                                 |                              |
| Practical Work                      | -  | -                                 |                              |
| Seminar                             | -  | -                                 |                              |
| <b>Total</b>                        | <b>28 h</b>  | <b>0 h</b>                        |                              |
| Performance Assessment              |  |                                   |                              |
| <b>End-of-module exam</b>           | <b>Form</b>  | <b>Length (min.)</b>              | <b>Weighting</b>             |
| Written exam                        | Open book  | 60                                | 100,00 %                     |
| <b>Permitted Resources</b>          | Free choice of calculator  | With dictionary                   |                              |
| <b>Others</b>                       |  |                                   |                              |
|                                     | <b>Assessment</b>  | <b>Length (min.)</b>              | <b>Weighting</b>             |
|                                     | -  | -                                 | -                            |
| Classroom Attendance Requirement    | none   |                                   |                              |
| Language of Instruction/Examination | German   |                                   |                              |
| Compulsory Reading                  | Roth, M. (2018). Compliance in a nutshell. 3rd edition. Zürich/ St. Gallen: Dike. ISBN 978-3-03891-016-9.  |                                   |                              |
| Recommended Reading                 | -  |                                   |                              |
| Comments                            | Literature for further study to be provided on Moodle.   |                                   |                              |