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ABSTRACT

The impact of compliance programmes on enterprise operations - legal aspects

This doctoral dissertation focuses on the impact that *compliance* programmes have on a company's operations. The purpose of this paper is to answer the question of whether and how *compliance* programmes have an impact on reducing the risk of violations by companies.

The following additional questions will serve to analyse the above research question:

1. What impact do *compliance* programmes have on business management?
2. Do regulations affect how companies implement *compliance* programmes?
3. Does the implementation of *compliance* programmes contribute to creating a *compliance* culture?
4. What non-legal aspects influence how a *compliance* culture is formed?

The choice of the topic of the dissertation was dictated primarily by the need to determine the role that *compliance* programmes play in running a business, as well as what measures should be taken by legislators and authorities to encourage business operators to implement *compliance* programmes.

Among the many research methods I have used, including historical, analytical or empirical method, the most important was the comparative method, which allows for a comparison of *compliance* regulations in different legal orders. For this purpose, I have conducted an analysis of British, French, American and Polish as well as European Union regulations. In order to find answers to the questions posed in the introduction, I have also referred to non-legal circumstances, i.e. social sciences, assessing the effectiveness of the regulations in question in relation to the Polish mentality, social conditions or common stereotypes.

The work is divided into four chapters. Chapter one (“**Concept of *compliance***”) is devoted to analysis of the concept of *compliance*. In this chapter, I have also described the definition of

the concept of *compliance*, its history and evolution. Also, I have described the goals and function of *compliance* programmes and explained the concept of *compliance* culture.

Chapter two (“**Implementation of *compliance* in an enterprise**”) presents the rules for implementing *compliance* programmes in an enterprise. Also, the chapter describes factors that influence the design of *compliance* programmes, and presents model *compliance* programmes.

Chapter three (“**Legal basis of *compliance* programmes in enterprises**”) discusses the roles of legal standards as a reason for implementing *compliance* programmes. This chapter discusses the types of legislative models in relation to the presence of *compliance* programmes and whistleblowing.

In the fourth chapter (“***Compliance* in Poland – the importance of *compliance* for Polish business operators and legal regulations**”), I have presented the situation of *compliance* in Polish companies as well as existing and proposed legal regulations on *compliance*. The last part of this dissertation is a summary, in which I expressed *de lege lata* remarks and *de lege ferenda* postulates.