

CHAPTER 34
ADAPTIVE MANAGEMENT OF AN ENTERPRISE
BASED ON THE IMPLEMENTATION
OF COMPLIANCE MANAGEMENT TECHNOLOGY

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INTRODUCTION

The period of functioning under conditions of full-scale war has led to an increase in the relevance of two interrelated aspects: first, previously acquired experience proved insufficiently effective not only due to the dominance of the threat of war, but also because there have been fundamental changes in the list of factors that determine the operating conditions of each business entity; second, business survival is determined by the ability to introduce adjustments into established operating parameters. Taken together, both aspects have given relevance to the application of adaptive management, which in its content is oriented toward flexible response to significant shifts in the external environment.

It is erroneous to consider adaptive management exclusively through the prism of implementing corrective measures in those areas where losses and damages have occurred. A more effective option is to monitor external shifts with the identification of those trends that will determine the influence of key factors on the enterprise's activities within operational and tactical horizons. In this context, the issue of implementing compliance management technology requires attention. In Ukraine, certain experience has been formed in the banking sector, but the current rapidly changing conditions of conducting business activities indicate the need to expand practice. Another important prerequisite lies in the ability, under functioning compliance management, to stabilize the situation after further forced changes during the implementation of adaptive management. In fact, this concerns deep integration, where it is important to maintain control over adaptive procedures with subsequent stabilization of the situation after the transition to the next level of development, which should be facilitated precisely by compliance management through its ability to unite personnel on the basis of fundamental positions of ethical coexistence. Effective application cannot be limited to formality on the basis of certain internal provisions of compliance policy. A technology is required that

provides for cyclic implementation of targeted measures with control for introducing important changes. Undoubtedly, the specifics of business activities determine the practical aspects of applying such technology, but at the current stage, the defining factor is the formation of a “skeleton” that would be taken into account with subsequent refinement in the conditions of the majority of enterprises in Ukraine.

34.1. Adaptive Management of the Enterprise:

Relevance in Current Conditions and Modern Parameters of Application

In conditions of high dynamism, building a theoretical basis remains invariably relevant, which is explained by changes that affect even conditional “axioms.” In accordance with such an approach, in order to modernize the perception of the concept of “adaptive management,” it is necessary initially to clarify the basic terms, namely “management” and “adaptation,” followed by a revision of the principles of their combination that correspond precisely to the current conditions of economic activity of Ukrainian enterprises.

The starting point for rethinking the perception of management remains the postulates authored by A. Fayol and F. Taylor. The first of the mentioned scholars considered management through interconnected components consisting of “to foresee, to organize, to command, and to control”¹. On the one hand, in terms of content such components are close to functions, but at the same time the emphasis was placed on purposefulness through the implementation of sequential actions to obtain the expected result. F. Taylor argued that as a process, management should be implemented exclusively on the basis of scientific principles, that is, chaos without a vision of the ultimate goal and the use of the optimal sequence of actions is merely a spontaneous reaction aimed at a temporary and partial solution to an urgent problem, but not at eliminating its root causes and taking experience into account in any other similar or different situation. In this context, it is appropriate to recall the position of M. Meskon, who substantiated the need to consider management as “a process of planning, motivation, and control necessary in order to formulate and achieve the goals of an organization”², thereby giving weight to the aspect of goal orientation in activities concerning any aspects of the functioning and development of the system.

¹ Fayol H. (1917) *Administration industrielle et générale*. Paris : Dunod et Pinat.

² Meskon M., Albert M., Khedouri F. (2002) *Osnovy menedzhmentu* [Management Fundamentals]. Kyiv: Osnova. (in Ukrainian)

Summarizing, it can be stated that the theoretical basis of management was formed proceeding from detailing the functional foundation and achieving a certain goal. Modern perception is characterized by a higher level of variability, which complements the previously formed vision through important aspects in certain moments. It is common to consider management as “science, function, and process”³. We believe that such a position somewhat limits perception. The conducted generalization made it possible to specify certain variations that emphasize the following significant parameters of management:

- the basis for maintaining the viability of every socio-economic system;
- knowledge⁴ that allows influencing the object in order to develop it and acquire vital qualities necessary under high dynamism of existence conditions;
- determines the nature of interaction between the subject and the object, which is not limited to influence, but necessarily contains feedback. In modern conditions, interaction is implemented through information exchange, using all communication options;
- establishment of principles for rational use of resource support to achieve priority goals;
- ensures preservation of the integrity of the system on the basis of maintaining the strength of internal connections through taking into account the interests of all participants in interaction;
- the primary impulse for activation is external shifts and internal changes that disrupt the previously established order of socio-economic processes. Implementation involves searching for a new option, considering that the problem represents a non-typical situation that does not allow applying a typical approach.

Within the characterized variability, in terms of further focusing attention on issues of adaptive management, we are inclined toward those moments that characterize management as a process, that is, the implementation of actions aimed at searching for the optimal option, based on a creative approach to solving a problem vital for the system, generated by external shifts and internal changes, which should not provoke a decrease in the integrity of the system, but transfer it to a new level of development. The author’s perception primarily proceeds from the high dynamism of changes under which management acts as a tool for harmonizing the internal structure and principles of system existence

³ Brych V. Ya., Peryt I. O. (2019) Teoretyko-kontseptualni osnovy upravlinnia vitchyznianym pidpriemstvom [Theoretical and conceptual foundations of domestic enterprise management]. *Ekonomichnyi prostir* [Economic space], no. 146, pp. 82–99.

⁴ Haievskiy B. A. (1997) *Osnovy nauky upravlinnia* [Fundamentals of Management Science]. Kyiv: MAUP (in Ukrainian)

with the conditions that have formed and are actively transforming in its environment. We do not reject the functional feature of management that enables the existence of the system, on the basis that it is constant and mandatory in application during each subsequent cycle. These points form a sufficiently reasoned basis for further clarification of the next component of adaptive management, namely “adaptation” and the related term “adaptability.”

The basic principles of applying the term “adaptation” were laid down by biologists in the second half of the 19th century. They used it to explain the ability of living organisms to survive in an aggressive natural environment through adaptation, that is, through acquiring new qualities. The semantic basis was formed by the Latin word adaptation, which is close to the widely used “adjustment.” In current conditions, practical application is maximally broad and covers almost all branches of science. In reference literature, the meaning is presented without taking into account specific applied aspects, where the essence is given as “the process and result of the adaptation of an organism, personality, or system to changing environmental conditions”⁵. In this definition, the key is not only the mention of adaptation, but the fact of continuity of such a process due to environmental instability in relation to any system.

Economists took into account the substantive content of adaptation with further deepening. Evidence of this can be the position of Kenneth Joseph Arrow, who argued that the ability to understand adaptation in biological systems opens the way to applying similar mechanisms in economics. In Ukraine, one of the first clarifications of the content of adaptation at the micro level was made by S. Alekseev, who understood it as “the process of developing and implementing measures aimed at changing the internal environment of an enterprise in accordance with the requirements of the external environment”⁶. The defining emphasis was placed on following external shifts in internal changes. H. Kozachenko⁷ proved that the synchronicity of such transformations forms the necessary basis for ensuring economic security at each enterprise.

⁵ Busel V. T. (ed.) (2005) *Velykyi suchasnyi slovnyk suchasnoi ukrainskoi movy* [Large modern dictionary of the modern Ukrainian language]. Kyiv; Irpin : VFT «Perun». (in Ukrainian)

⁶ Alekseev S. B. (2007) *Adaptyvne upravlinnia konkurentospromozhnistiu pidpriemstva* [Adaptive management of enterprise competitiveness]. Donetsk : DonNUET. (in Ukrainian)

⁷ Kozachenko H. V., Ponomarov V. P., Liashenko O. M. (2003) *Ekonomichna bezpeka pidpriemstva: sutnist i mekhanizm zabezpechennia* [Economic security of the enterprise: essence and mechanism of ensuring it]. Kyiv : Libra. (in Ukrainian)

The theoretical foundation thus formed became the basis for perceiving adaptation as a process that must necessarily be implemented at the micro level as a prerequisite for the continued functioning of an enterprise under any degree of dynamic change in the business environment. Subsequent research contributed to deepening its content, leading to the consolidation of two basic variants of interpretation.

According to the first approach, adaptation is understood as a "...property, process, and method"⁸, reflecting similarities with the characteristics of a biological system. As a property, it indicates the ability to adjust; as a process, it reflects the necessary sequence of implemented changes; and as a method, it determines the search for an optimal option among possible alternatives. The second variant distinguishes between passive and active adaptation: the former involves the system's adjustment to existing conditions, whereas the latter implies its active search for a different environment or the implementation of actions aimed at correcting the parameters of coexistence.

These aspects emphasize the affinity between biological and socio-economic systems in addressing the problem of survival and serve as a necessary foundation for further scholarly inquiry, which has clarified important features of adaptation at the micro level:

- it is carried out through active interaction with key actors in the external environment;
- it involves following external shifts;
- it is a controlled process of introducing changes into system parameters in order to sustain its viability;
- it represents a qualitative characteristic of the ability to respond to changes in the nature of interaction with environmental stakeholders;
- it reflects the capacity to achieve set objectives under conditions of difficult-to-predict developments in the sphere of activity;
- it constitutes a type of managerial influence⁹ oriented toward the fulfillment of established tasks.

Collectively, the identified and refined variations in understanding the basic term "adaptation" create the necessary grounds for perceiving it as a process of introducing changes into enterprise parameters in order to align them with

⁸ Sirenko M. Yu., Tsysar I. O. (2015) Naukovyi analiz poniattia «adaptatsiia pidpriemstva» [Scientific analysis of the concept of "enterprise adaptation"]. *Hlobalni ta natsionalni problemy ekonomiky* [Global and national economic problems], vol. 8, pp. 77–80.

⁹ Melnyk S. I. (2022) Adaptivne upravlinnia finansovoiu bezpekoiu pidpriemstva [Adaptive management of the financial security of the enterprise]. *Efektivna ekonomika* [Efficient economy], no. 5. DOI: <https://doi.org/10.32702/2307-2105-2022.5.2>

external environmental trends, thereby ensuring the maintenance of viability and the achievement of established objectives. Undoubtedly, concisely integrating all the above distinctions is extremely challenging; therefore, priority has been given to key characteristics that emphasize: process orientation, alignment with external trends, focus on business preservation, and ensuring operational capability regardless of the intensity of environmental shifts.

If adaptation is a process activated under certain conditions and represents an inevitable response driven by the necessity of system development to maintain congruence with its environment, then its implementation is determined by a number of circumstances that define the content of a related concept – “adaptability.” One of the earliest interpretations of adaptability was proposed by V. Yachmenyova, who emphasized it as a “...characteristic of enterprise activity, the ability (property of an economic system) for self-preservation, adjustment, structural restructuring, transformation, and adaptation under conditions of instability”¹⁰. Subsequent interpretations retain the reference to property but prioritize capability. In other words, implementing adaptation measures requires prerequisites and the capacity to realize them.

Thus, adaptability should be considered as a capability determined by available opportunities and the ability to implement changes that ensure the system’s parameters correspond to the conditions of its existence. Regarding prerequisites, at a minimum, this implies the presence of a monitoring system capable of recording and quantitatively and qualitatively characterizing shifts that require a response. The implementation of adaptation procedures is impossible without resource support. The development of an appropriate program and the organization of managerial influence over relevant objects should rely on experience and be guided by a creative approach. Resistance to change – a natural reaction to circumstances requiring deviation from traditional practices, provoked by uncertainty and the need for additional efforts during stabilization – cannot be ignored. All these factors determine both the feasibility of adaptation and the nature of the expected effect. Insufficient adaptability is likely to cause system imbalance, resulting in losses that deteriorate its condition and threaten its integrity. This aspect underscores the importance of managing the adaptation process, beginning with the formation of an appropriate level of adaptability.

¹⁰ Yachmenova V. M. (2007) *Identyfikatsiia stiikosti diialnosti promyslovykh pidpriemstv* [Identification of the sustainability of industrial enterprises]. Simferopol : Dolia. (in Ukrainian)

The preliminary clarification of the terms “adaptation” and “adaptability” allows for focusing on the micro level, namely, deepening the understanding of “enterprise adaptation.” A widespread position equates adaptation directly with enterprise adaptation. Only within certain approaches are important specific features substantiated. For example, S. Melnyk, proceeding from a systemic perspective, emphasizes that enterprise adaptation requires the “...adjustment of the enterprise, including all its components”¹¹, thereby proving that each adaptation program must be developed on the basis of real necessity, feasibility, and expediency of implementing changes, with clarification of the objects of such changes in order to achieve maximum positive results. A valuable addition is contained in the publication by O. Kucherenko, which elevates adaptation measures from the level of fragmented changes aimed at reducing the relevance of a specific problem to the horizon of strategic restructuring. The researcher insists on the necessity of implementing “...a certain ordered set of changes introduced both into the enterprise development strategy and into its internal systems of activity, the implementation of which ensures effective performance under changed conditions”¹². Taken together, these views shape the perception of enterprise adaptation as a comprehensive program, the preparation of which should be carried out with due regard to current operational circumstances and probable changes in the external environment. Its implementation is accompanied by a temporary disruption of dynamic equilibrium in order to transition to a new level of development which, after stabilization of internal processes, ensures the possibility of functioning and achieving established objectives. From the author’s perspective, the conditionality of prerequisites, the complexity of the process, and the necessity of stabilization underscore the importance of a controlled course of this process, which is possible only through the application of adaptive management.

The historical roots of adaptive management are quite deep; however, its practical significance has manifested relatively recently. The COVID-19 pandemic demonstrated the unpreparedness of most businesses to operate under conditions of radical transformation in the core set of influencing factors. In other words, while the list of key factors remained unchanged, a decisive vector emerged concerning the feasibility of functioning under substantial

¹¹ Melnyk S. I. (2022) Adapatyvne upravlinnia finansovoiu bezpekoiu pidprijemstva [Adaptive management of the financial security of the enterprise]. *Efektivna ekonomika* [Efficient economy], no. 5. DOI: <https://doi.org/10.32702/2307-2105-2022.5.2>

¹² Kucherenko O. O. (2008) Adaptyvna reaktsiia yak element adaptatsii pidprijemstva do zminy umov zovnishnoho seredovyshcha [Adaptive response as an element of enterprise adaptation to changing environmental conditions]. *Biznes-Inform* [Business-Inform], no. 10, pp. 66–68.

restrictions, particularly those related to physical contact. The prioritization of safety measures aimed at reducing the spread of the new virus limited the applicability of previously effective business practices. New opportunities arose in cases where enterprises either maintained parallel operational formats or rapidly established alternative modes of interaction with external stakeholders and internal process organization through the use of digital technologies. Since February 2022, a new experience has been effectively applied in Ukraine, although the decisive vector was already shaped by the threat of war. Alongside the danger of property loss due to missile strikes across the country, issues of independent energy supply and the maintenance of human capital gained particular relevance. This was addressed by identifying reserves through the engagement of students, retirees, veterans, and other population groups. Given the high dynamics of changing operating conditions – including further shifts expected during the post-war recovery of the national economy – the search for continuous adaptation options ensures the maintenance of a security level necessary for the functioning of each business entity. These generalizations substantively correspond to the understanding of adaptive management justified by Michael Mescon, who argued that “...the essence of modern management lies in adaptation, since constant changes in external conditions and the internal environment of socio-economic systems systematically lead them to crisis situations”¹³. In essence, the scholar substantiated that management in general should be characterized by a high level of adaptability. This position has also found support among Ukrainian researchers, as evidenced by the definition proposed by Halyna Yelnikova, who considers adaptive management as a “...dynamic form of implementing managerial functions”¹⁴. From the standpoint of current conditions facing Ukrainian enterprises, adaptive management is more than relevant. Nevertheless, established practices of applying crisis management, anticipatory management, holistic management, and other forms should not be disregarded. Under such circumstances, it is appropriate to clarify the specific features of adaptive management in order to form a theoretical foundation for its broad application with maximum effectiveness. The following aspects characterize adaptive management as:

¹³ Meskon M., Albert M., Khedouri F. (2002) *Osnovy menedzhmentu* [Management Fundamentals]. Kyiv: Osnova. (in Ukrainian)

¹⁴ Yelnikova H. (2011) *Tekhnolohiia adaptivnoho upravlinnia personalom orhanizatsii* [Technology of adaptive personnel management of an organization]. *Naukovyi visnyk Instytutu profesiino-tekhnichnoi osvity NAPN Ukrainy* [Scientific Bulletin of the Institute of Vocational and Technical Education of the National Academy of Sciences of Ukraine], no. 1, pp. 8–14.

- a procedure for responding to changes in the business environment;
- the ability of the controlling subsystem to influence the controlled subsystem¹⁵ in order to impart qualities consistent with the conditions of existence;
- a flexible type of management¹⁶ with a priority on situational adjustment to the combined influence of key factors;
- an activity involving the adjustment of operational, tactical, and strategic plans in accordance with external environmental shifts;
- a combination of principles, functions, methods, and tools that ensure higher effectiveness in achieving set objectives through situational alignment with current operating conditions;
- a system of flexible managerial decisions based on external trends, implemented in response to current shifts, and aimed at ensuring the continuity of operations;
- managerial actions¹⁷ oriented toward maintaining and improving competitive positions on an ongoing basis;
- a universal instrument for preserving the integrity of the enterprise as a system¹⁸ under conditions of limited information availability due to the high dynamism of environmental change.

Based on reconciling extreme positions regarding adaptive management and providing a clearer delineation of its content in relation to the other aforementioned types of management, it is proposed to consider it as an optimal configuration in the implementation of management functions, determined by the nature of external shifts and aligned with internal processes accordingly, while preserving integrity and the capacity to achieve defined objectives. The substantiation of this authorial position is carried out through clarification of key methodological principles (Fig. 1).

¹⁵ Nalyvaiko T. L. (2019) Identyfikatsiia poniatiino-katehorialnoho aparatu adaptivnoho upravlinnia [Identification of the conceptual and categorical apparatus of adaptive management]. *Ekonomika ta derzhava* [Economy and state], no. 9, pp. 95–102.

¹⁶ Pakhota N. V. (2020) Mekhanizm adaptivnoho upravlinnia orhanizatsiinoiu kulturoiu pidpriemstva [Mechanism of adaptive management of the organizational culture of the enterprise]. *Intelekt XXI* [Intellect XXI], no. 6, pp. 82–85.

¹⁷ Piletska S. T., Korytko T. Yu. (2018) Systema adaptivnoho upravlinnia pidpriemstvom v umovakh minlyvoho zovnishnoho seredovyshcha [Adaptive enterprise management system in a changing external environment]. *Biznes-Inform* [Business-Inform], no. 12, pp. 435–440.

¹⁸ Chernyshov O. D. (2023) Osoblyvosti zastosuvannia kontseptsii adaptivnoho upravlinnia pry zabezpechenni ekonomichnoi bezpeky pidpriemstv [Features of the application of the concept of adaptive management in ensuring the economic security of enterprises]. *Ekonomika ta suspilstvo* [Economy and society], no. 48, pp. 425–430.

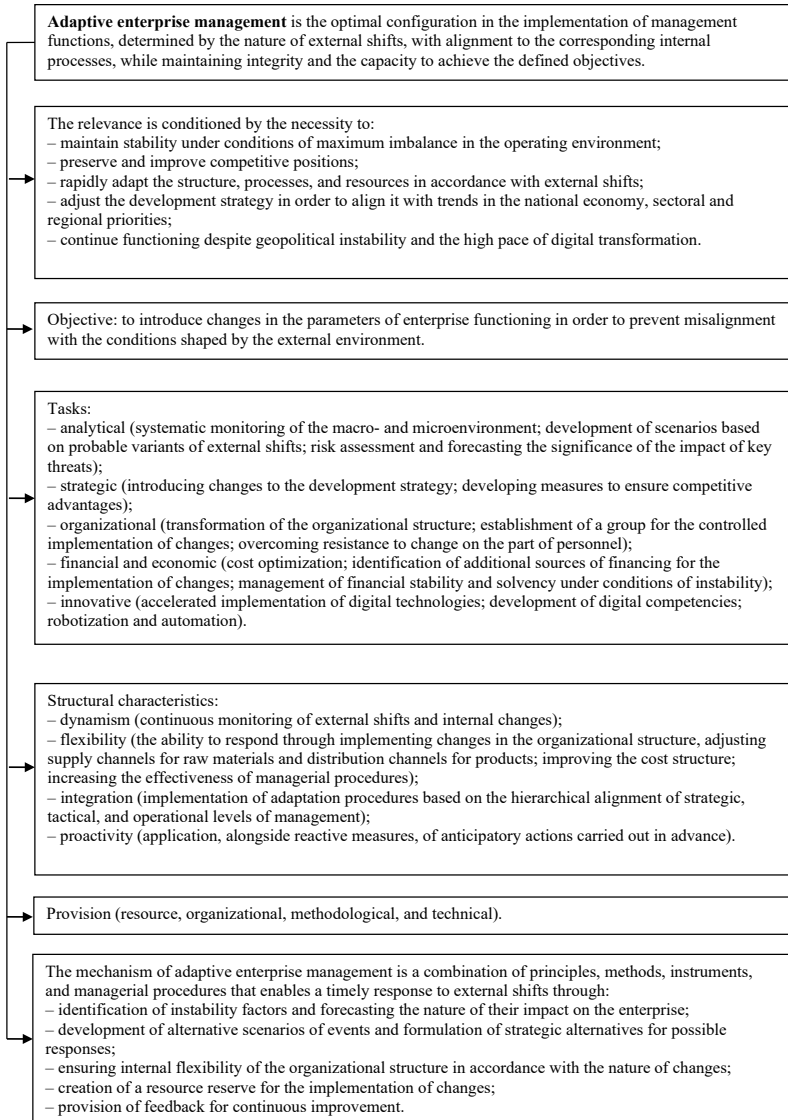


Figure 1. Methodological principles of applying adaptive management

Source: formed by the author

It should be noted that, despite the current relevance of external shifts provoked by the war, the proposed methodological framework is oriented toward responding to any significant transformations. This is particularly important in the context of the anticipated post-war recovery of the national economy, which is likely to generate shifts no less intense than those caused by COVID-19 and the onset of the full-scale war.

As emphasized above, adaptive management remains only one of several management approaches, the necessity of which is determined by the intensity of shifts in the external environment.

At the same time, the methodological support emphasizes such a characteristic as “proactiveness,” when changes are implemented in advance. Compliance management today is mandatory in the banking sector, but there are significant advantages to expanding its practice. One objective reason is investor confidence, which becomes particularly relevant as the active phase of military operations approaches its end and the expected accession to the EU draws nearer.

Under these circumstances, we consider it necessary to develop the methodological support of adaptive management from the standpoint of deepening the perception of compliance management and developing appropriate technology to expand its practical application.

34.2. Compliance Management as a Necessary Practice for Maintaining the Stability of Enterprise Functioning

Previously, we have already noted that today in Ukraine compliance management is limited in its spread compared to other countries, where it is perceived as a mandatory characteristic determining the ability to conduct business in the future. These circumstances can partly be explained by different timeframes: in Ukraine, the first mention in legislative documents occurred in 2007, whereas in the United States practical steps were taken starting from 1929. Today, the mandatory implementation of compliance management remains exclusively for the banking sector, which indicates a real lag but at the same time forms a task for conducting scientific research, primarily relying on international experience while taking into account the peculiarities of doing business in our country.

Considering that the initial interest and subsequent establishment of the institutional foundations of compliance management emerged in the United States, we will briefly characterize the main stages of development, which are undoubtedly interesting from the standpoint of adapting best practices. It should

be emphasized that the grounds for its emergence were formed by the global economic crisis of the 1930s, particularly regarding systemic abuses in U.S. financial markets.

Within the first stage (1931–1934), there was an objective strengthening of state control over business activities. The regulatory foundation was laid by the Glass–Steagall Act, signed on June 16, 1933, which strengthened the centralization of the banking system. The key characteristic of this stage can be considered the emergence of the concept of mandatory compliance, which determined the necessity for each company to adhere to established rules regarding reporting and disclosure of objective information, as well as the formation of a culture of state supervision.

The second stage (1940–1970) involved the expansion of regulatory control beyond the financial sphere to include issues of antitrust legislation, labor law, environmental standards, and consumer protection, which stimulated the creation of specialized units within corporations.

The transition to the third stage was conditioned by the adoption of the Foreign Corrupt Practices Act in 1977, which provoked another expansion of the functional sphere with the active development of internal anti-corruption programs and corporate codes of ethics.

An objective reason for the transition to the fourth stage was the adoption of the Federal Sentencing Guidelines for Organizations (FSGO), which defined as grounds for reducing a company’s liability its activity in developing and practically applying a compliance program.

After the corporate scandal of 2002, which became the basis for the adoption of the Sarbanes–Oxley Act, compliance effectively became mandatory in the implementation of corporate governance.

The current stage is no longer limited to the United States but, due to the significant role of transnational corporations, has a global dimension and is characterized by a high level of digital control and the mandatory application of international standards, in particular ISO 37001 and ISO 37301.

In summary, it can be stated that from the initial strengthening of state financial control in the 1930s, compliance management has transformed today into a comprehensive system that “encompasses not only compliance with laws, but also internal enterprise standards, corporate codes of conduct, international norms, and rules of fair business practice”¹⁹. It can be argued that such a system has been formed at the intersection of corporate governance, risk management,

¹⁹ Compliance Management Systems – Guidelines (2025). Available at: <https://www.iso.org/standard/62342.html>

anti-corruption activities, and internal audit. Given the limited practice within Ukrainian enterprises, we will further consider it as a component of adaptive management from the standpoint of overcoming the existing lag behind foreign competitors. As a basis for applying this approach, we have chosen the statement by Sean J. Griffith that “compliance is a set of internal processes by which firms adapt their behavior to established norms”²⁰.

The stages of transformation and perception of compliance in international practice, discussed above, are interpreted in Ukrainian realities in a narrow vision by equating it with internal economic control and in a broader understanding based on the relatively limited accumulated experience in the banking sector. The latter is decisive, as it involves identifying a list of specific areas, including “counteracting the legalization of proceeds obtained through criminal means and terrorist financing; developing documents and procedures ensuring compliance of organizational activities with current legislation; protecting information flows; counteracting fraud and corruption; establishing ethical standards of employee behavior, etc.”²¹. Further orientation toward the priorities of the banking sector limits the effectiveness of application in any other sector of the national economy. For example, within this list of areas, at a minimum, limited attention is paid to issues of corporate policy, which under conditions of significant external shifts plays the role of a conditional medical bandage in the case of severe bone injuries. Therefore, there is a real need to deepen the understanding of compliance management with subsequent use of the obtained results for developing technology, the application of which will serve to increase the effectiveness of adaptive management within Ukrainian enterprises.

In foreign reference literature, the content of compliance is presented with certain variations. The Oxford English Dictionary defines it as “activity that complies with established requirements or instructions”²², while the Cambridge University Press dictionary considers it as “actions in accordance with a request, rule, or instruction”²³. Although the difference is minor, it corresponds to the essence of the transformation discussed above, where

²⁰ Griffith Sean J. (2016) Corporate Governance in an Era of Compliance. William & Mary Law Review, vol. 57, no 6. Fordham Law Legal Studies Research Paper. № 2766661. Available at: <https://ssrn.com/abstract=2766661>

²¹ Mozharovskyi, M. Iu. (2021). Teoretyko-pravovyi analiz vyznachennia poniattia «komplaiens» ta yoho vydiv [Theoretical and legal analysis of the definition of the concept of «compliance» and its types]. *Pravo.ua* [Law.ua], no. 2, pp. 139–148.

²² Oxford English Dictionary (2026) Available at: <https://oxforddictionaries.com>

²³ Compliance. Cambridge Dictionary Online (2026). Available at: <https://dictionary.cambridge.org/dictionary/english/compliance>

initially compliance meant adherence to legislatively established norms, but in current conditions there is prevailing interest in the primary regulation of internal processes, which corresponds to the essence of a managerial tool that should ensure control over the implementation of changes with subsequent facilitation of the fastest possible stabilization. Another aspect is emphasized in the definition provided by the International Compliance Association, which refers to “the ability to act in accordance with established rules, norms, requirements, and internal standards”²⁴. In other words, compliance management is not a formality involving the development of instructions and partial amendments to job descriptions. It concerns the ability to comply with norms that determine the trust of the state, society, investors, counterparties, and others.

In publications by Ukrainian researchers, attempts are made to adapt foreign experience to the actual conditions of enterprise functioning. We have identified two different approaches. According to the first, O. Vorkunova narrows the content of compliance management to an element of corporate governance²⁵. Ye. Maslennikov, being a supporter of a broader position, proposes to perceive compliance management as “a holistic management concept and a set of organizational-legal and ethical-cultural mechanisms aimed at ensuring compliance of business activities with external regulatory requirements and internal corporate standards, minimizing risks, and increasing stakeholder trust”²⁶. Progress is also evident in attempts to prove the effectiveness of using compliance management to achieve goals in specific areas of enterprise activity. For example, in K. Kramarenko’s publication, compliance management is considered as “a component of the financial and economic security system”²⁷, based on the fact that such a tool allows minimizing risks and thereby

²⁴ A career in governance, risk and compliance. Available at: <https://www.intcomp.org/careers/your-career-in-compliance/career-in-compliance>

²⁵ Vorkunova O. V., Yarova N. V., Yarovyj V.I., Kotsiubenko K. O. (2023) Stratehiia vprovadzhennia systemy komplaiensu u diialnist pidpriemstv morskoho transport [Strategy for implementing a compliance system in the activities of maritime transport enterprises]. *Biznes-Inform* [Business-Inform], no. 4, pp. 173–182.

²⁶ Maslennikov Ye. I. (2025) Komplaiens-menedzhment v systemi upravlinnia pidpriemstvom [Compliance management in the enterprise management system]. *Rynkova ekonomika: suchasna teoriia i praktyka upravlinnia* [Market economy: modern theory and practice of management], vol. 2(60), pp. 140–164.

²⁷ Kramarenko K., Sharko I. (2025) Komplaiens-menedzhment yak skladova systemy finansovo-ekonomichnoi bezpeky subiektiv hospodariuvannia [Compliance management as a component of the financial and economic security system of business entities]. *Problemy suchasnoi transformatsii* [Problems of modern transformation], no. 21. DOI: <https://doi.org/10.54929/2786-5738-2025-21-04-05>

preventing certain threats while maintaining the level of security necessary for functioning. The position of Yu. Liubtsova²⁸ differs by expanding the objects of compliance management, in particular by including components of the external environment in terms of their violation of legislation, which forms additional risks for the enterprise itself. Our position is to eliminate extreme positions and understand compliance management as a system that ensures maintaining the stability of enterprise functioning based on compliance with established requirements, strengthening stakeholder trust, deepening personnel loyalty, and preserving long-term competitiveness.

In summary, it is appropriate to emphasize that in Ukraine there is a process of adapting foreign experience with an attempt to find the option that will ensure higher management effectiveness under conditions burdened by the transformation of the national economy, ongoing military actions, and further recovery, combined with a high readiness to continue the struggle for sovereignty and the need for integration into the EU. The current limited application of compliance management, given its significant role in these processes, has made it possible to form initial methodological foundations for practical implementation.

The purpose of compliance management is most concisely defined by Ye. Maslennikov²⁹, where emphasis is placed on the necessity of complying with established requirements, particularly regulatory and those defined by corporate policy. Our position differs in the necessity of carrying out financial and economic activities in accordance with international standards, the national legislative framework, sectoral and regional guidelines, and internal policy in order to limit risks and maintain the sustainability of functioning. In other words, we expand the compliance system by specifying key goals defined through risk limitation and maintaining the integrity of the enterprise as a system (Fig. 2).

²⁸ Liubtsova Yu. L. (2020) *Perevahy zastosuvannia komplaiens-kontroliu v bankivskykh ustanovakh* [Advantages of implementing compliance control in banking institutions]. Kyiv : KNUTD. (in Ukrainian)

²⁹ Maslennikov Ye. I. (2025) *Komplaiens-menendzhment v systemi upravlinnia pidpriemstvom* [Compliance management in the enterprise management system]. *Rynkova ekonomika: suchasna teoriia i praktyka upravlinnia* [Market economy: modern theory and practice of management], vol. 2(60), pp. 140–164.

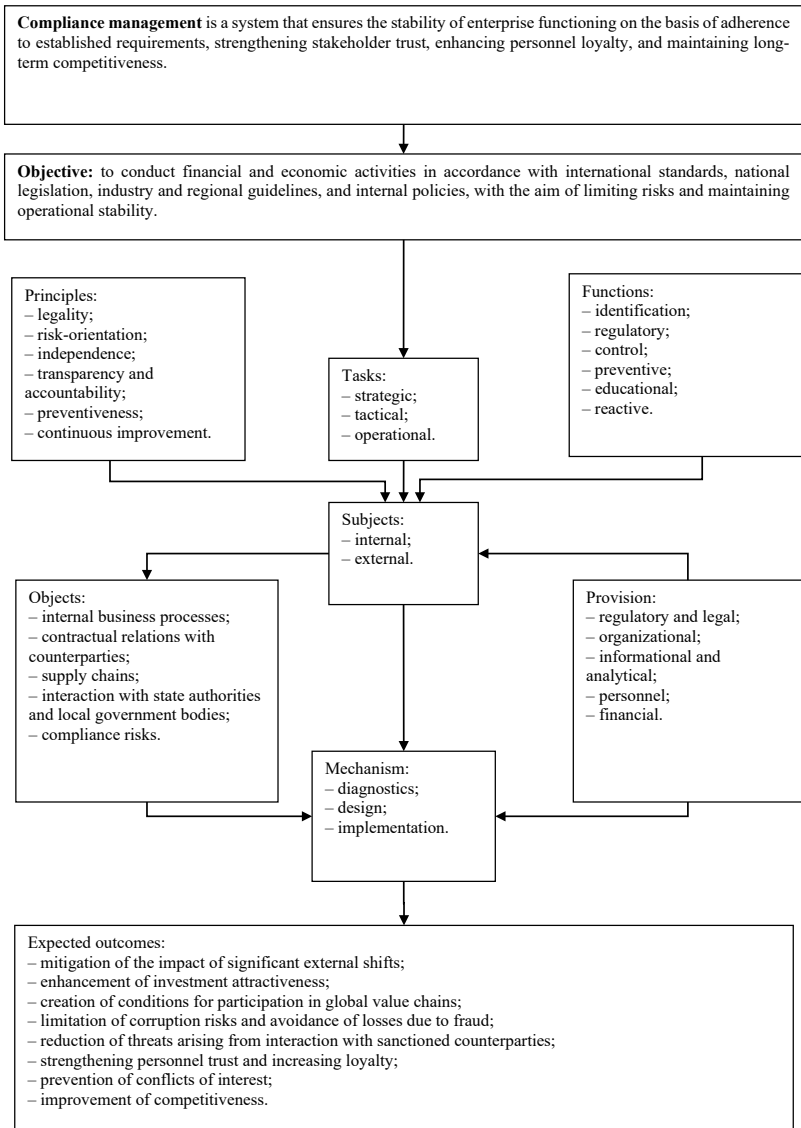


Figure 2. Compliance management parameters in Ukrainian enterprises

Source: formed by the author

In accordance with this purpose, we have specified tasks with their detailing by implementation horizons as follows:

- strategic, which should provide for the full integration of compliance management into the enterprise management system, positioning in the external environment as an entity conducting activities in accordance with current legislation, and dissemination of a culture of integrity within the internal environment;

- tactical, which determine: development and continuous improvement of procedures for identifying and minimizing compliance risks; creation of internal policy to strengthen intolerance to any manifestations of corruption; introduction of mechanisms for monitoring compliance with requirements by personnel and entities of the enterprise's microenvironment;

- operational, with primary organization of personnel training, creation of a monitoring system, development of response protocols to suspicions and proven facts, and implementation of planned and situational inspections.

The fulfillment of these tasks should be carried out in accordance with defined principles, which we include as follows:

- legality, which determines the mandatory compliance with current legislation;

- risk orientation, priority focus on processes with a high level of risk, particularly in matters of interaction with employees belonging to risk groups;

- independence, which determines the possibility of conducting objective inspections and forming unbiased and reliable analytical reports;

- transparency and accountability, particularly in terms of building trust among personnel and entities of the microenvironment through the dissemination of reliable information.

- preventiveness, aimed at the primary prevention of violations;

- continuous improvement, aimed at keeping pace with external shifts and ensuring timely responses to changes in internal processes.

Above, we emphasized the importance of fully integrating compliance management into the enterprise management system. The elimination of this complex issue is proposed to be carried out by clarifying its functions, which include:

- identification, which provides for systematic updating of the legal framework across key sectors (international, national, sectoral, regional, internal) and monitoring areas of increased risk;

- regulatory, which determines the procedure for developing, coordinating, and modernizing corporate policy, the code of ethics, and internal reporting procedures;

- control, implemented through continuous monitoring and various types of inspections;
- preventive, which gives priority to measures aimed at preventing violations over those carried out after the fact and requiring more resources to stabilize the situation;
- educational, carried out through personnel training in order to develop corporate culture, particularly in strengthening integrity in interaction with the enterprise;
- reactive, which defines the procedure for investigating incidents using disciplinary measures.

Regarding the clarification of the composition of subjects and objects of compliance management, we agree with Ye. Maslennikov, with certain clarifications. The researcher significantly generalizes the composition of subjects, distinguishing “...enterprise management, control units, employees, and external stakeholders participating in the formation and implementation of compliance policy”³⁰. We consider it appropriate to group them into internal and external categories, and within the first subgroup to single out a specialized unit or a compliance manager. Such specification is aimed at implementing changes in the organizational structure of the enterprise and establishing functional horizontal and vertical links. In turn, in structuring the objects, it is proposed to single out contractual relations, supply chains, and interaction with state authorities and local self-government bodies in order to avoid focusing exclusively on internal processes. In addition, the purpose and tasks emphasized compliance risks, which also provides grounds for considering them as objects.

The interaction between subjects and objects is implemented through managerial influence, which requires appropriate support:

- regulatory and legal support (international standards, regulatory legal acts of Ukraine, regional and sectoral development programs, internal corporate documents);
- organizational support (formation of a specialized unit or creation of a compliance manager position with implementation into the enterprise’s organizational structure, definition of powers and functional scope of activity);

³⁰ Maslennikov Ye. I. (2025) *Komplaiens-menendzhment v systemi upravlinnia pidpriemstvom* [Compliance management in the enterprise management system]. *Rynkova ekonomika: suchasna teoriia i praktyka upravlinnia* [Market economy: modern theory and practice of management], vol. 2(60), pp. 140–164.

- information and analytical support (internal reports, a system for monitoring shifts in the external environment, a system for summarizing, verifying, and processing analytical materials, preparation of analytical briefs);
- personnel support (cooperation with relevant enterprise departments to strengthen human resources potential, personnel training, and maintenance of feedback);
- financial support (budgeting expenses in accordance with the nature of planned measures and creating reserves in case of extraordinary situations).

The unifying element with respect to all the above components is the mechanism. In relation to compliance management, relevant methodological developments are virtually absent. The reason may be the perception identified above of compliance management as a component of corporate governance, the financial and economic security system, etc. At the same time, even under such conditions, according to the systems approach, a mechanism is mandatory, as it represents an integrated system that combines and allows the rational use of organizational, legal, informational, and other tools. Our position, regardless of how compliance management is positioned, assumes that its mechanism is a component of a higher-level system, that is, the mechanism of corporate governance or any other system with which vertical links are established.

At the core of any mechanism in economics lies a functional algorithm implemented through the components discussed above – that is, by subjects in relation to objects in order to achieve a goal by performing tasks, adhering to principles, carrying out functions, and using appropriate support. We believe that such a functional algorithm should include:

- diagnostics (monitoring changes in the legislative framework and assessing the quality of internal procedures; identifying compliance risks with their subsequent classification, quantitative and qualitative assessment, and prioritization of response);
- design (development and improvement of policies; enhancement of procedures; study and adaptation of best practices; formulation of proposals based on diagnostic results);
- implementation (selection of the optimal option for introducing changes and monitoring the implementation process, particularly regarding possible resistance from personnel, with adjustments in case of deviations limiting the achievement of expected results; introduction of training programs and anti-corruption training).

Previously, we emphasized that for foreign companies compliance management is in fact a mandatory condition for conducting business, as it indicates the ability to comply with established requirements. It is also noted separately that it minimizes compliance risks, increases investor trust, and serves as an effective tool for developing corporate culture. In Ukraine, the situation is somewhat different; therefore, we present our position, which involves considering the expected result in the form of:

- smoothing the impact of significant external shifts currently caused by the threat of war, and in the future expected to result from integration into the European legal space and other transformations;
- strengthening investment attractiveness in interaction with international financial institutions;
- creating preconditions for participation in global value chains;
- limiting corruption risks and avoiding losses due to fraud;
- reducing threats arising from interaction with sanctioned counterparties;
- strengthening personnel trust and increasing loyalty;
- avoiding conflicts of interest;
- increasing competitiveness;
- stabilizing the situation after transformation, particularly through the application of adaptive management.

We consider it appropriate to emphasize that, as before, compliance management is viewed by us as a necessary component of adaptive management, particularly in eliminating lag behind foreign companies and as a means of stabilization after any internal changes under the influence of external shifts. This duality underscores the need to develop appropriate technology for broad implementation within Ukrainian enterprises.

34.3. Compliance Management Technology of the Enterprise

Representatives of the business community in Ukraine are at the stage of realizing the need for the practical application of compliance management. An additional impetus may be the development of appropriate technology. That is, when not only information about the current necessity and possible future advantages is disseminated, but also a substantiated process with a holistic vision of intermediate benchmarks and the necessary resource base and measures for implementation into the management system. Based on the priority of this task, we will further clarify the key parameters of the technology and subsequently model the relevant one for compliance management using the IDEF0 functional modeling method.

We state that the widespread term “technology” is based on the combination of two Greek terms: *τεχνη*, which can be interpreted as “skill,” and *λογος*, which denotes transmission. Together, they form the process of disseminating (transmitting) knowledge about the possibility of satisfying human needs by influencing the object of labor with tools of labor, creating a product with the necessary qualitative characteristics.

The basis for the emergence and spread of technology was the production sphere, which is reflected in the initial perception of its content. Thus, in a narrow sense, it refers to methods of influencing objects of labor to obtain the necessary product, while in a broader sense it involves acquiring knowledge with the possibility of variable application in accordance with certain conditions and actual needs. We agree with V. Matviienko that “the general technical meaning of technology lies in revealing the most rational ways of constructing and organizing the production process and providing appropriate recommendations”³¹. In other words, it is no longer only about organizing a specific production process, but about knowledge that allows achieving higher efficiency with a corresponding expansion of the scope of application of the basic term.

In the production sphere, the application of technology is characterized by a certain stability. There are requirements for the characteristics of materials and raw materials, parameters of technical means of influence, qualification level of personnel, and compliance features of the resulting product. In other words, technology represents strict regulation of all procedures. Only if the technology is followed can the necessary result be obtained. Technology in relation to socio-economic systems differs. The reasons are determined by the dynamism and openness of such systems, manifested through internal changes and external shifts. Therefore, technology must be as flexible as possible, while preserving its initial perception as a combination of knowledge for further practical application.

The review conducted made it possible to identify two key approaches to technology within a socio-economic system. The first shows adherence to technical foundations but with recognition of the above-mentioned features of such systems. This can be illustrated by O. Palchuk’s statement that it concerns “...an ordered sequence of interrelated procedures and operations, a set of methods, techniques, and tools for implementing a process”³². The other

³¹ Matviienko V. Ya. (2001) *Sotsialni tekhnologii* [Social technologies]. Kyiv : Ukrainski propilei. (in Ukrainian)

³² Palchuk O. V., Hutsaliuk O. M. (2011) *Pidkhody do vyznachennia poniattia «tekhnologiia upravlinnia» diialnistiu pidpriemstva* [Approaches to defining the concept of "management

approach differs by a higher level of specification of conditions for effective use, as it provides for the combination of "...knowledge (methods, techniques, ways, experience), processes of various nature (managerial, research, and others), and a support complex (from equipment to personnel with necessary skills and experience)"³³. Collectively, technology is presented as a complex system that is at the same time flexible due to variability in the controlling and supporting subsystems, while maintaining clear order in the sequence of primary and auxiliary processes, particularly through the initial definition of intermediate benchmarks and a mechanism for introducing corrective changes based on feedback. The author's vision of the essence of technology became a necessary basis for developing such a technology in relation to compliance management. The practical implementation of this task was carried out using the IDEF0 functional modeling method.

The basis for modeling compliance management technology consists of the initial provisions defined in Fig. 3.

Based on the defined initial principles, a hierarchical structure has been developed (Fig. 4).

Achieving the key objective, concisely defined as "development of compliance management," involves the consistent implementation of several stages (A1–A5). It is important that, in addition to vertical subordination and horizontal sequence, cyclicity is also necessary, which is activated when the conditions of existence of such a system change.

The modeling is carried out on the basis of clarifying input and output flows, as well as constraining and supporting parameters (Fig. 5).

It should be emphasized that in constructing the comprehensive diagram, we took into account the established theoretical foundation of compliance management, as well as its bilateral relationship with adaptive management. Specifically: first, the implementation of compliance management is a necessary component of adaptive management in order to eliminate lag behind foreign competitors, minimize compliance risks, and utilize new opportunities arising from compliance; second, such a transformation of the management system requires the execution of adaptation procedures, as it involves the implementation of a new component within the management system; third,

technology" of enterprise activities]. *Naukovi pratsi Kirovohradskoho natsionalnoho tekhnichnoho universytetu* [Scientific works of Kirovohrad National Technical University], vol. 19, pp. 349–355.

³³ Tsarova T. O., Zozulov O. V. (2009) Tekhnolohiia yak ekonomichna katehoriia [Technology as an economic category]. *Ekonomichnyi visnyk NTUU «KPI»* [Economic Bulletin of NTUU "KPI"], no. 6, pp. 345–351.

effective compliance management ensures the controlled implementation of adaptive measures with accelerated stabilization of the situation.

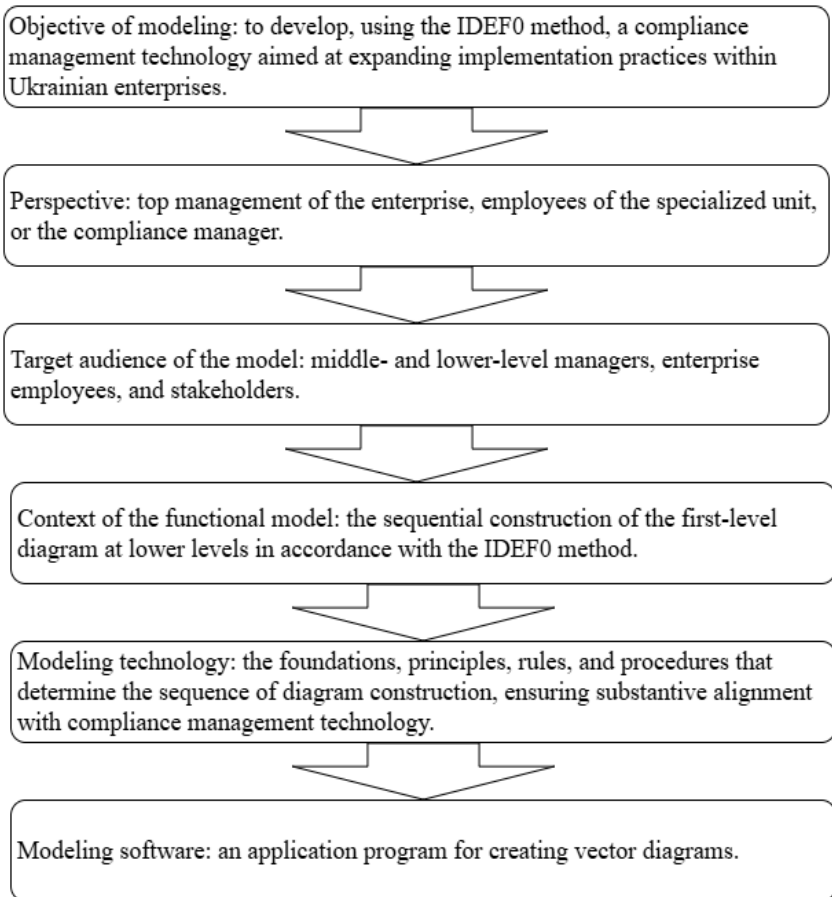


Figure 3. Initial principles of developing the functional model IDEF0 of compliance management technology

Source: formed by the author

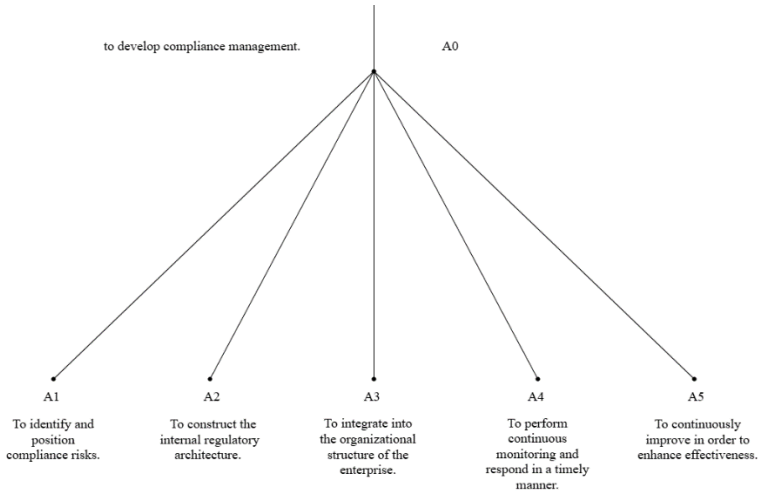


Figure 4. Hierarchical structure of the IDEF0 model defining the course of compliance management technology execution

Source: formed by the author

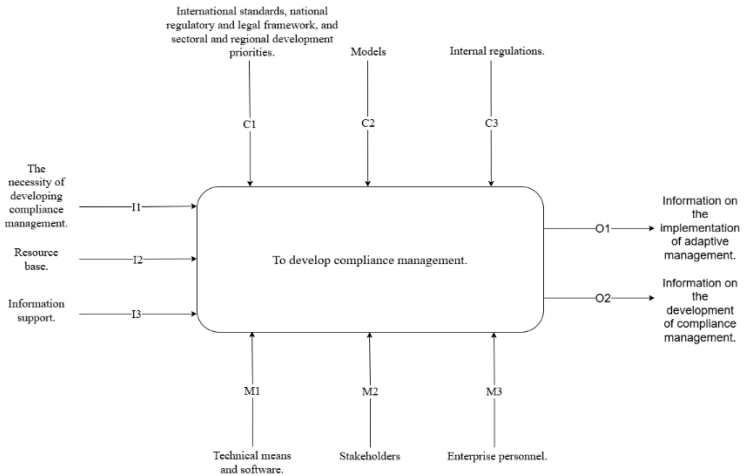


Figure 5. Context diagram of the IDEF0 compliance management technology

Source: formed by the author

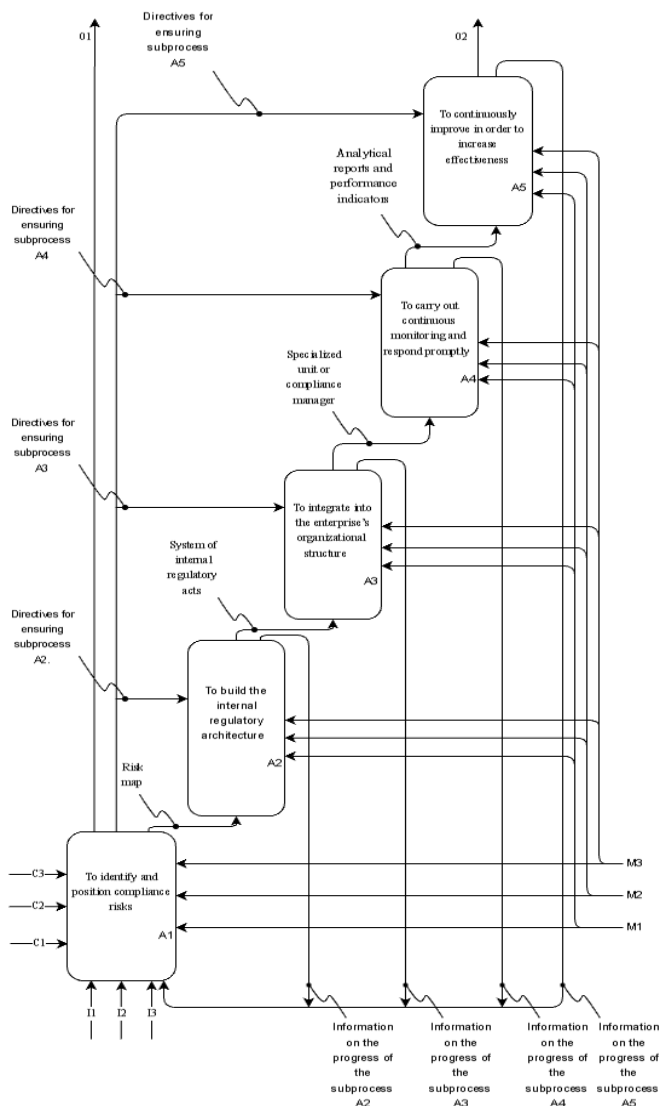


Figure 6. First-level decomposition of the IDEF0 context diagram of compliance management development

Source: formed by the author

The developed first-level decomposition is presented in Fig. 6. For clarity of understanding the author's approach, we will detail the content of each intermediate stage.

A1 – Identify and position compliance risks. It should be clarified that the very concept of “compliance risk” is borrowed from foreign practice, where it is interpreted as probable losses in case of non-compliance of the enterprise's activities with established requirements. Above, we classified such requirements by distinguishing international standards, national regulatory legal acts, sectoral and regional business development priorities, and internal provisions. In order to reduce the likelihood of such compliance risks, it is necessary to systematically monitor the legal framework of the enterprise's operation, as well as the nature of interactions within internal processes and with subjects of the external microenvironment. The result is a risk map with subsequent hierarchical ordering to determine the set of risks requiring priority response.

A2 – Build an internal regulatory architecture. This stage involves the development of internal provisions and procedures aligned with the requirements formed by the external environment. The specific nature of Ukrainian enterprises' activities requires revising corporate policy, developing an anti-corruption program, creating a mechanism for resolving conflicts of interest, complying with the state's sanctions policy while simultaneously strengthening control over internal processes.

A3 – Integrate into the enterprise's organizational structure. As previously emphasized, the effectiveness of compliance requires the establishment of a specialized unit or the creation of a compliance manager position. Changes in the organizational structure of the enterprise must be reinforced by aligning vertical and horizontal links in accordance with the principle of independence. Necessary components include: personnel training; feedback mechanisms in the form of a hotline and a whistleblowing mailbox; interviews during hiring and dismissal of employees; accountability and a coordinated procedure for internal investigations and inspections. To assess effectiveness, it is necessary to define criteria based on evidence of minimized compliance risks, increased employee loyalty, and enhanced stakeholder trust.

A4 – Perform continuous control and respond in a timely manner. The functional focus of the specialized unit or compliance manager can be outlined in three areas:

- responding to incidents by eliminating consequences, analyzing causes, and adjusting internal regulations;

– conducting testing of personnel and interested stakeholders to identify compliance risks, followed by the application of preventive minimization methods;

– carrying out planned and unplanned inspections with updates to the risk map and development of response procedures.

The result of this stage is the periodic preparation of an analytical report with an objective assessment of effectiveness and the formulation of recommendations for improving compliance management.

A5 – Continuously improve to increase effectiveness. It is erroneous to perceive compliance management as an unchanging component of the enterprise management system. As previously emphasized, this tool is important in ensuring controlled implementation of changes within adaptive management. At the same time, changes in external requirements, the study of best practices, internal transformation, and other factors require constant modernization of compliance. High effectiveness cannot be achieved without reviewing procedures for identifying and responding to compliance risks, as both their list and nature continuously change. A decisive factor in achieving the set goals is human resources, which require the accumulation of experience, encouragement of creative approaches, and development of digital competencies dictated by turbulent changes in the business environment. These are only some of the circumstances that determine the need for continuous improvement of compliance management. Strategically, certification under ISO 37301 should be envisaged.

We have developed and characterized the first-level decomposition. The IDEF0 method makes it possible to detail each main block based on defined input flows, links with other components, and constraining and supporting parameters. Detailing is carried out down to the level of elementary actions. The advantage is that subsequent decompositions are developed taking into account the specifics of a particular enterprise. In other words, we have developed a conditional framework that corresponds to the understanding of technology in socio-economic systems, where actual implementation is carried out by specifying relevant parameters.

CONCLUSION

Conducting business requires focusing on satisfying consumer needs through interaction with other actors in the microenvironment. In Ukraine, this concerns the survival of enterprises, which is possible exclusively through adaptation. The cessation of the active phase of military operations does not imply stabilization of operating conditions, since, in addition to the threat of

war, a significant number of factors exert substantial influence—from the demographic crisis to increasing pressure from foreign competitors. All these aspects determine the importance of scientific research aimed at improving the methodological support for applying adaptive management.

The study proves the necessity of understanding adaptive management as an optimal configuration in the implementation of management functions, determined by the nature of external shifts and aligned with internal processes while preserving integrity and the ability to achieve defined goals. The purpose, tasks, structural characteristics, parameters of necessary support, and conditions for effective application of the corresponding mechanism have been clarified.

The necessity of applying compliance management within Ukrainian enterprises has been substantiated from the perspective of approaching business practices in economically developed countries. Taking into account foreign experience and known domestic developments made it possible to propose the author's vision of compliance management as a system that ensures the stability of enterprise functioning based on compliance with established requirements, strengthening stakeholder trust, deepening personnel loyalty, and preserving long-term competitiveness. It has been proven that under current conditions compliance management contributes to the controlled implementation of adaptation procedures and the maintenance of stability of Ukrainian enterprises despite the high level of dynamism and uncertainty of the operating environment.

It has been demonstrated that the broad application of compliance management should be facilitated by technology that provides for a clear sequence, definition of conditions and expected results, with the possibility of refining parameters in accordance with the specifics of each enterprise. Based on the application of the IDEF0 method, a compliance management technology has been developed.

Within the framework of the study, the problem of the current survival and subsequent development of Ukrainian enterprises has been comprehensively considered through the interdependence of adaptive management application and the mandatory implementation of compliance management. Theoretical developments and modeling results create the necessary foundation for wide practical application.

SUMMARY

The current high dynamics in changes to the list and significance of key factors, combined with the expected shifts in tactical and strategic dimensions, undoubtedly require the application of adaptive management. A positive result

is formed both through adjustment and through the availability of opportunities to transition to a new level of development by implementing proactive transformation. In general, enterprises capable of implementing adaptive management at a minimum retain their competitive position and have the opportunity to improve it through leadership in change. The latter actualizes the need to pay attention to the issue of implementing compliance management. In Ukraine, certain experience exists within the structures of the banking sector, while other business entities remain passive despite the growing necessity, which will primarily be driven by the end of military actions and the stage of large-scale reconstruction of the national economy. Investor confidence, as well as activity in global value chains, is primarily determined by the effective application of compliance management. Another argument interconnected with the internal transformations of Ukrainian enterprises is that compliance management ensures a high level of control and the ability to quickly stabilize the situation during and after the implementation of adaptive procedures. Overall, an interdependent relationship can be observed: for Ukrainian enterprises, the implementation of compliance management is necessary in terms of adaptation and eliminating the lag behind foreign competitors, with its subsequent positive influence on the course of implementing adaptive procedures. In order to accelerate the necessary progress, a theoretical basis has been formed by clarifying the content and parameters of adaptive management and compliance management, followed by the development of technology using the IDEF0 functional modeling method.

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