

An aerial photograph of a city street, likely in Warsaw, Poland, featuring a large globe in the foreground. The globe is positioned in the lower half of the frame, showing the Americas and parts of Europe and Africa. The street is filled with people, some walking and some on bicycles, and there are various structures and trees visible in the background. The overall scene is captured from a high angle, looking down on the city.

# CONTEMPORARY TRENDS AND CHALLENGES OF ENTREPRENEURSHIP, SECURITY AND LOGISTICS

EDUCATION AND R&D AS A POLISH EXPORT COMMODITY

REDAKCJA NAUKOWA:

SYLWIA SKRZYPEK-AHMED

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**WSPÓŁCZESNE TRENDY  
I WYZWANIA  
PRZEDSIĘBIORCZOŚCI,  
BEZPIECZEŃSTWA  
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jako polski towar eksportowy**



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**Redakcja naukowa**

**Sylwia Skrzypek-Ahmed, Tomasz Wołowicz**

**Lublin 2024**

LUBELSKA AKADEMIA WSEI

*Seria wydawnicza:*

Monografie Wydziału Administracji i Nauk Społecznych

CONTEMPORARY TRENDS AND CHALLENGES OF ENTREPRENEURSHIP,  
SECURITY AND LOGISTICS  
Education and R&D as a polish export commodity

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*Grafika na okładce:*

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Printed in Poland

Innovatio Press Wydawnictwo Naukowe

Lubelskiej Akademii WSEI

20-209 Lublin, ul. Projektowa 4

tel.: +48 81 749 17 77, fax: + 48 81 749 32 13

[www.wsei.lublin.pl](http://www.wsei.lublin.pl)

ISBN – wersja elektroniczna: 978-83-67550-21-5

# SPIS TREŚCI

|                    |           |
|--------------------|-----------|
| <b>Wstęp .....</b> | <b>23</b> |
|--------------------|-----------|

*Tomasz Wołowicz, Sylwia Skrzypek-Ahmed, Paul Vincent, Haruna Muhammad Awwal*

|  |           |
|--|-----------|
| <b>Research on stimulating entrepreneurship by LGU's and their analysis .....</b>  | <b>27</b> |
| Introduction .....   | 28        |
| Local business development factors .....   | 30        |
| The level of fiscalism in the field of real estate tax<br>and the increase in the number of new companies .....                  | 34        |
| Impact of taxation on local business development .....   | 40        |
| Social and economic development of the commune<br>in the context of the level of own tax revenues .....                          | 44        |
| Development of local entrepreneurship from the perspective<br>of various support instruments - financial and non-financial ..... | 48        |
| Conclusions .....  | 51        |
| Bibliography .....   | 52        |

*Sylwia Skrzypek-Ahmed, Andrzej Gwiżdż, Nghargbu K'tso, Jerzy Gilarowski*

|   |           |
|---|-----------|
| <b>Evolution of the process management concept in an organisation including<br/>quality systems (selected problems) .....</b> | <b>53</b> |
| Introduction .....  | 54        |
| The concept and essence of the process .....  | 56        |
| Process management concept development .....  | 59        |
| Conclusions .....   | 62        |
| Bibliography .....  | 64        |

*Chukwunonso Etal, Andrzej Gwiżdż, Diana Ismailova, Emanuel Józefacki,  
Magdalena Gawrońska*

|  |           |
|--|-----------|
| <b>The processes innovation model .....</b>            | <b>66</b> |
| Introduction .....                                     | 67        |
| Stages of the innovation design management cycle ..... | 68        |
| Life cycle of process innovations .....                | 70        |
| Methodology for implementing process management .....  | 70        |
| Process design .....                                   | 71        |
| Functional management and process management .....     | 73        |
| Conclusions .....                                      | 76        |
| Bibliography .....                                     | 77        |

*Sylwia Skrzypek-Ahmed, Artem Artyukhov, Artur Kornatka, Hannatu Umar,  
Magda Ahmed*

|   |           |
|---|-----------|
| <b>Innovation as a stimulant for economic growth and economic competitiveness .....</b> | <b>79</b> |
| Introduction .....  | 80        |
| Innovation at the company level .....   | 81        |
| Definitions of innovation in the world literature and types of innovation .....         | 84        |
| Conclusions .....   | 92        |
| Bibliography .....  | 94        |

*Sylwia Skrzypek-Ahmed, Ruth Andah, Indira Karibayeva, Krzysztof Dyrek,  
Marcin Szkudlarek*

|  |           |
|--|-----------|
| <b>Innovation activity as a process of uncertainty .....</b>           | <b>96</b> |
| Introduction .....   | 97        |
| Innovation in a multidimensional perspective .....                     | 98        |
| Innovation activity as an economic and social process .....            | 100       |
| R&D as a specific type of innovative activity .....                    | 101       |
| Types of innovation activity by time factor .....                      | 103       |
| Innovative company .....   | 106       |
| An innovation active company and the gradation of innovativeness ..... | 107       |
| Diffusion of innovation and degree of novelty .....                    | 110       |
| Conclusions .....  | 110       |
| Bibliography .....   | 112       |

*Magda Ahmed, Iwona Kawka, Gbenga Ibileye, Bashir Adewale Adeniyi, Usman  
Alhaji Yusuf, Tomasz Połomski*

|  |            |
|--|------------|
| <b>Change management in the implementation of new products .....</b>                                 | <b>114</b> |
| Introduction .....   | 115        |
| How to implement change – change management in practice .....  | 117        |
| Implementation of new services as a change in the organization .....                                 | 118        |
| Stages of adaptation to change .....   | 121        |
| Rules for making changes .....   | 122        |
| Professional management of implementation of new products<br>/ services on an individual level ..... | 122        |
| Conclusions .....  | 125        |
| Advantages of the customer relationship building process .....                                       | 127        |
| Bibliography .....   | 130        |

*Ruth Andah*

**Effect of social entrepreneurship on community development in Pyakasa Settlement Abuja Municipal – Area Council, Federal Capital, Territory**

|  |     |
|--|-----|
| <b>Nigeria</b> .....                                       | 133 |
| Introduction .....   | 134 |
| Literature review .....                                    | 138 |
| Conceptual review – social entrepreneurship concepts ..... | 138 |
| Empirical review .....                                     | 140 |
| Theoretical review.....                                    | 142 |
| Methodology .....  | 143 |
| Results and discussion .....                               | 145 |
| Descriptive statistics .....                               | 145 |
| Ordinal regression results .....                           | 147 |
| Model fit for ordinal logistics regression analysis .....  | 149 |
| Discussion of findings .....                               | 150 |
| Conclusion and recommendations .....                       | 151 |
| Bibliography .....   | 152 |

*Piotr Zawada, Maciej Chrzanowski*

**Wykorzystanie narzędzi AI w procesie budowania marki osobistej**

|  |     |
|--|-----|
| <b>– szansa dla twórców czy droga do redukcji autentyczności?</b> .....  | 155 |
| Wprowadzenie .....   | 156 |
| Dynamiczny rozwój rozwiązań opartych na generatywnej sztucznej inteligencji wspomagającej tworzenie multimodalnych treści (w tym treści wzmacniających proces budowania marki osobistej) – przegląd literatury ... | 157 |
| Rekomendacje do dalszych badań i dyskusji .....  | 162 |
| Bibliografia .....   | 163 |

*Kostiantyn Pavlov, Olena Pavlova, Oleksandr Dluhopolskyi, Tetiana Ostapenko*

**The concept of nanoeconomic knowledge impact on business environment**

|                         |     |
|-------------------------|-----|
| <b>in Ukraine</b> ..... | 165 |
| Introduction .....      | 166 |
| Literature review ..... | 168 |
| Methods .....           | 169 |
| Results .....           | 169 |
| Discussion .....        | 175 |
| Conclusions .....       | 176 |
| Bibliography .....      | 176 |

*Liudmyla Alieshchenko*

|  |     |
|--|-----|
| <b>The essence of strategic management for tourism enterprises</b> ..... | 179 |
| Bibliography .....   | 189 |



*Tetiana Sak, Ihor Chulipa*

|  |            |
|--|------------|
| <b>Digital marketing - analysis of current trends in Ukraine and worldwide .....</b> | <b>190</b> |
| Introduction .....   | 191        |
| Analysis of digital marketing in the world and Ukraine .....                         | 192        |
| Diagnosis and current trends in social media marketing .....                         | 196        |
| The development of influencer marketing worldwide .....                              | 204        |
| Analysis and current trends in email marketing .....                                 | 205        |
| Directions of digital marketing development .....                                    | 208        |
| Conclusions .....  | 209        |
| Bibliography .....   | 210        |

*Larysa Yushchyshyna*

|   |            |
|---|------------|
| <b>Energy management - its state and prospects of development in Ukraine .....</b>    | <b>211</b> |
| Introduction .....  | 212        |
| Analysis of the damage from Russian aggression in Ukraine's energy sector .....       | 212        |
| Implementation of energy management systems in Ukraine .....                          | 215        |
| Energy management in the restoration and development of Ukraine's energy sector ..... | 218        |
| Conclusions .....   | 221        |
| Bibliography .....  | 222        |

*Małgorzata Lalak-Dybała*

|  |            |
|--|------------|
| <b>Wykorzystanie nowych technologii w opiece pielęgniarskiej .....</b> | <b>225</b> |
| Telemedycyna i telepielęgniarstwo .....                                | 226        |
| Elektroniczna dokumentacja medyczna (EDM) .....                        | 228        |
| Robotyka w pielęgniarstwie .....                                       | 229        |
| Noszone technologie medyczne – Wearable .....                          | 230        |
| Sztuczna inteligencja w pielęgniarstwie .....                          | 231        |
| Nowe technologie w sytuacjach zagrożenia życia .....                   | 231        |
| Podsumowanie .....   | 232        |
| Bibliografia .....   | 233        |

*Sylvia Skrzypek-Ahmed, Andrew E. Zamani, Krzysztof Dyrek, Iloh John Paul Izuchukwu & Nwammuo Collins*

|   |            |
|---|------------|
| <b>Internationalisation and globalisation of business and the international environment of the company in the context of global marketing .....</b> | <b>235</b> |
| Introduction .....  | 236        |
| International business .....  | 237        |
| Globalization of the enterprise .....   | 239        |
| Globalization of the economy and marketing operations and internationalization of marketing .....   | 244        |

---

|   |     |
|---|-----|
| The process of business internationalization .....                          | 247 |
| International marketing in the context of export internationalization ..... | 249 |
| Conclusions .....   | 254 |
| Bibliography .....  | 255 |

*Jerzy Gilarowski, Anna Wiśniewska, Nghargbu K'tso, Hannatu Umar, Agnieszka Lamb*

|  |            |
|--|------------|
| <b>Economic determinants of international entrepreneurship</b>                             |            |
| <b>- globalisation and global business .....</b>   | <b>257</b> |
| Introduction: International trade - globalization and the entrepreneurial process .....    | 258        |
| International trade .....  | 259        |
| The essence and concept of international business and international entrepreneurship ..... | 266        |
| Enterprise globalization .....   | 270        |
| International entrepreneurship .....   | 271        |
| Globalization and the process of business internationalization .....                       | 274        |
| Conclusions .....  | 278        |
| Bibliography .....   | 280        |

*Paweł Barwiak, Olayemi Akinwumi, Mohammed Suleiman Audu, Igor Chulipa, Przemysław Bochenek, Olga Leł*

|  |            |
|--|------------|
| <b>Financial statements as a basic source of information for financial analysis ..</b> | <b>284</b> |
| Introduction .....   | 285        |
| Accounting and economic and financial analysis in business management .....            | 287        |
| Accounting policy .....  | 288        |
| Difference between financial analysis and accounting .....                             | 290        |
| Economic analysis and financial planning .....   | 291        |
| Links and complementary analyses - multidimensional evaluation of the company .....    | 292        |
| Conclusions .....  | 294        |
| Bibliography .....   | 295        |

*Adam Radziszewski*

|   |            |
|---|------------|
| <b>Współczesne trendy i wyzwania w przedsiębiorczości firm usług społecznych na przykładzie PES oraz spółki z o.o. ....</b> | <b>298</b> |
| Wstęp .....   | 299        |
| Współczesne trendy i wyzwania w PES .....   | 300        |
| Proces powstawania innowacji w PES .....  | 301        |
| Identyfikowanie potrzeb w usługach społeczno-gospodarczych .....  | 301        |
| Generowanie innowacyjnych rozwiązań .....   | 302        |
| Wdrożenie pilotażowe rozwiązań .....  | 302        |

|  |            |
|--|------------|
| Podtrzymanie rozwiązania .....   | 302        |
| Upowszechnianie innowacji.....   | 303        |
| Zmiana systemowa projektów innowacyjnych .....   | 303        |
| Współczesne trendy i wyzwania w spółkach z o.o. ....   | 303        |
| Co każdy z partnerów może wnieść do współpracy? .....  | 305        |
| Trendy i zarazem wyzwania dla spółek z o.o. ....   | 305        |
| Rekomendacje – rekomendowane zasady dobrej współpracy .....  | 307        |
| Podsumowanie .....   | 308        |
| Bibliografia .....   | 309        |
| <br><i>Bożena Korzeniewska</i>   |            |
| <b>Bezpieczeństwo finansowe przedsiębiorstw w kontekście ubezpieczeń społecznych i ubezpieczenia zdrowotnego .....</b> | <b>310</b> |
| Wprowadzenie .....   | 311        |
| Istota bezpieczeństwa finansowego przedsiębiorstw .....  | 312        |
| Polityka w zakresie ubezpieczeń społecznych .....  | 314        |
| Polityka w zakresie ubezpieczenia zdrowotnego .....  | 321        |
| Inne obciążenia publicznoprawne .....  | 325        |
| Wpływ ubezpieczeń społecznych i ubezpieczenia zdrowotnego na bezpieczeństwo finansowe przedsiębiorstw .....            | 327        |
| Podsumowanie .....   | 330        |
| Bibliografia .....   | 331        |
| <br><i>Ihor Lishchynskyy, Mariia Lyzun</i>   |            |
| <b>Concept of urban development poles and their sustainability within global economic flows .....</b>                  | <b>334</b> |
| Introduction .....   | 335        |
| The emergence of the ontology of urban development poles .....   | 335        |
| Typology of development poles .....  | 340        |
| The effects of developmental poles .....   | 343        |
| The idea of development axes .....   | 346        |
| Sustainability of development poles in the context of globalization .....  | 348        |
| Bibliography .....   | 363        |
| <br><i>Miroslav Gejdoš, Urszula Anisiewicz</i>   |            |
| <b>Alcide De Gasperi – pensatore e ideatore del progetto di integrazione europea .....</b>                             | <b>369</b> |
| Introduzione .....   | 370        |
| La vita .....  | 371        |
| La dimensione spirituale di Alcide De Gasperi .....  | 374        |
| La famiglia di De Gasperi .....  | 375        |
| Statista De Gasperi .....  | 376        |

|  |            |
|--|------------|
| L'omaggio del papa Benedetto XVI reso all' Alcide De Gasperi .....   | 379        |
| Conclusioin .....  | 379        |
| Bibliografia .....   | 380        |
| <i>Hanna Kostovyat, Viacheslav Rogov</i>   |            |
| <b>The theoretical foundations of enterprise's digital transformation .....</b>                            | <b>381</b> |
| Conclusion .....   | 400        |
| Bibliography .....   | 401        |
| <i>Hanna Zhosan, Gabriel Jerry Otu</i>   |            |
| <b>Analysis of the role of digitalization in enhancing the efficiency<br/>of business operations .....</b> | <b>402</b> |
| Bibliography .....   | 413        |
| <i>Anastasiia Simakhova, Vladislav Smyk</i>  |            |
| <b>US and EU experience in franchising development for Ukraine<br/>in postwar period .....</b>             | <b>414</b> |
| Introduction .....   | 415        |
| The main problems in organizing a franchise business in Ukraine .....                                      | 415        |
| US and EU experience in franchising development for Ukraine .....  | 418        |
| Conclusions .....  | 426        |
| Bibliography .....   | 427        |
| <i>Olena Ivashko</i>   |            |
| <b>Venture capital investments – current trends and development factors .....</b>                          | <b>428</b> |
| Introduction .....   | 428        |
| Prerequisites for the development of venture capital investment .....                                      | 429        |
| The essence of venture capital .....   | 430        |
| Current global trends in venture capital financing .....   | 434        |
| Trends in the Ukrainian venture capital market .....   | 437        |
| Conclusions .....  | 441        |
| Bibliography .....   | 442        |
| <i>Iryna Tsymbaliuk</i>  |            |
| <b>Inclusive labor market development through green economy<br/>and social responsibility .....</b>        | <b>443</b> |
| Introduction .....   | 444        |
| Overview of global labor market challenges related to the transition<br>to a green economy .....           | 445        |
| The role of corporate social responsibility in supporting inclusive growth ....                            | 447        |
| Job creation in the green economy and its impact on local economies.....                                   | 448        |
| Labor market gaps: gender and economic aspects .....   | 451        |
| Green economy and gender equality through the lens of corporate social<br>responsibility .....             | 453        |

|  |            |
|--|------------|
| The role of government and business policies in reducing inequalities through inclusive approaches .....   | 454        |
| Conclusions .....  | 456        |
| Bibliography .....   | 457        |
| <br><i>Włodzimierz Martyniuk, Norbert Kosior</i>   |            |
| <b>Rynek pracy Polski w obliczu zmian demograficznych .....</b>  | <b>459</b> |
| Wprowadzenie .....   | 460        |
| Cel artykułu .....   | 460        |
| Badanie prac naukowych .....   | 461        |
| Część główna .....   | 462        |
| Podsumowanie .....   | 468        |
| Bibliografia .....   | 468        |
| <br><i>Kinga Kajzer</i>  |            |
| <b>Rola partycypacji społecznej w kształtowaniu bezpiecznego środowiska lokalnego – analiza na przykładzie wybranych programów społecznych miasta Lublin .....</b> | <b>470</b> |
| Wprowadzenie .....   | 471        |
| Pojęcie partycypacji społecznej .....  | 471        |
| Narzędzia partycypacji społecznej .....  | 473        |
| Kształtowanie bezpiecznego środowiska lokalnego .....  | 474        |
| Znaczenie programów społecznych w budowaniu bezpiecznego środowiska lokalnego .....  | 476        |
| Wybrane programy społeczne w Lublinie .....  | 476        |
| Podsumowanie .....   | 480        |
| Bibliografia .....   | 481        |
| <br><i>Janusz Gudowski, Tomasz Wołowicz, Joe-Ikechebelu Etal, Robert Szarota, Tatiana Varcholova, Stanisława Podkowińska</i>                                       |            |
| <b>Statistical and econometric data – verification and management in economics, finance and transport &amp; logistic management .....</b>                          | <b>483</b> |
| Introduction .....   | 484        |
| The need for seasonal adjustment of time series in the context of data reliability .....   | 487        |
| Multi-equation models in the process of creating reliable data .....   | 490        |
| Indirect method of least squares .....   | 495        |
| Consumer theory – spending systems .....   | 500        |
| Exponential smoothing .....  | 501        |
| Conclusions .....  | 504        |
| Bibliography .....   | 508        |

*Tomasz Wołowiec, Dariusz Woźniak, Robert Szarota, Nghargbu K'tso, Rifkatu Nghargbu*

|   |            |
|---|------------|
| <b>Selected issues of modelling and simulation in the teaching of economic courses in transport, logistics and management .....</b> | <b>510</b> |
| Introduction .....  | 511        |
| Simulation .....  | 514        |
| Marginal function .....   | 515        |
| Assumptions .....   | 515        |
| Functional flexibility .....  | 517        |
| Flexibility of cost functions and their calculation .....   | 520        |
| Optimization models .....   | 521        |
| Dynamic models in economics .....   | 524        |
| Economical dynamic models with discrete time .....  | 526        |
| Functions and their properties .....  | 529        |
| Conclusions .....   | 536        |
| Bibliography .....  | 536        |

*Bohdan Samoilenko, Liubov Starodubtseva, Tetiana Dluhopolska*

|  |            |
|--|------------|
| <b>Mechanisms for ensuring state regulation of the logistics services market in the context of sustainable development .....</b> | <b>539</b> |
| Introduction .....   | 540        |
| Literature review .....  | 543        |
| Methods .....  | 543        |
| Results .....  | 544        |
| Discussion .....   | 555        |
| Conclusions .....  | 556        |
| Bibliography .....   | 556        |

*Tomasz Wołowiec, Lyubomir Antonov, Mariusz Paździor*

|  |            |
|--|------------|
| <b>Road transportation law – selected legal and economic conditions in Poland and Bulgaria .....</b>         | <b>559</b> |
| Introduction .....   | 560        |
| The subject matter of the Road Transport Act in Poland and of the Automobile Transport Act in Bulgaria ..... | 562        |
| Definitions related to road transport .....  | 563        |
| Requirement to operate a motor vehicle used for transport by the entrepreneur or his employees .....         | 567        |
| Requirement for the entrepreneur to have a title to dispose of motor vehicles .....                          | 569        |
| Regular transport .....  | 570        |
| Special regular transport .....  | 571        |
| Combined transport .....   | 574        |

|  |            |
|--|------------|
| License & Permit in road transport .....   | 577        |
| Conclusions .....  | 586        |
| Sources of transport law in Poland .....   | 587        |
| Bibliography .....   | 589        |
| <br><i>Tomasz Wołowicz, Leszek Gil, Artur Dmowski, Joe-Ikechebelu Etal</i>                                       |            |
| <b>Economics of transport and the efficiency and rationality of decision-making ....</b>                         | <b>592</b> |
| Introduction .....   | 593        |
| Sectoral economies as a managerial economics .....   | 595        |
| Rationality of expectations .....  | 597        |
| Rational behaviour in the decision-making proces .....   | 599        |
| Budget constraint line and consumer optimum .....  | 603        |
| Conclusions .....  | 607        |
| Bibliography .....   | 608        |
| <br><i>Marta Grzeszczuk</i>  |            |
| <b>Elementy uproszczonego postępowania administracyjnego w odniesieniu do sektora transportu drogowego .....</b> | <b>610</b> |
| Wstęp .....  | 611        |
| Uproszczone postępowania administracyjne w systemie przepisów procedury administracyjnej .....                   | 611        |
| Specyfika postępowania w sprawach skarg i wniosków uregulowanego w Kodeksie postępowania administracyjnego ..... | 614        |
| Wybrane elementy kodeksowego postępowania skargowego w obszarze transportu drogowego .....                       | 617        |
| Zakończenie .....  | 620        |
| Bibliografia .....   | 621        |
| <br><i>Dominika Cinner</i>   |            |
| <b>Logistyka XXI – innowacje w logistyce .....</b>   | <b>623</b> |
| Czym jest logistyka? .....   | 623        |
| Główne determinanty rozwoju logistyki .....  | 624        |
| Blockchain i logistyka .....   | 625        |
| Big Date dla logistyki .....   | 626        |
| Obszary wykorzystywania sztucznej inteligencji w logistyce .....   | 628        |
| Internet Rzeczy IoT .....  | 629        |
| Zakończenie .....  | 630        |
| Bibliografia .....   | 630        |
| <br><i>Miroslav Gejdoš</i>   |            |
| <b>Education reform in Slovakia .....</b>  | <b>632</b> |
| Introduction .....   | 633        |
| Hopes of improving the education system .....  | 633        |

|  |            |
|--|------------|
| Training content in cycles .....   | 634        |
| A vision of education for the 21st century .....   | 635        |
| Change will take years .....   | 635        |
| What are the main objectives of the reform .....   | 636        |
| Curriculum – planned changes .....   | 637        |
| Complex set of requirements for changes to teaching .....  | 637        |
| Conclusion .....   | 639        |
| Bibliography .....   | 639        |
| <br><i>Jakub Kosowski</i>  |            |
| <b>Standardy ochrony małoletnich jako nowe narzędzie zapewnienia bezpieczeństwa małoletnich trenujących w klubach sportowych .....</b> | <b>640</b> |
| Wstęp .....  | 641        |
| Podmioty zobowiązane do wprowadzenia standardów .....  | 642        |
| Termin wdrożenia standardów .....  | 643        |
| Elementy składowe standardów .....   | 643        |
| Wdrożenie standardów .....   | 645        |
| Świadomość społeczna nowych obowiązków .....   | 647        |
| Wnioski .....  | 648        |
| Bibliografia .....   | 649        |
| <br><i>Ewa Dumkiewicz-Sprawka</i>  |            |
| <b>Wybrane aspekty finansowania zadań oświatowych .....</b>  | <b>650</b> |
| Wprowadzenie .....   | 652        |
| Miejsce wychowania przedszkolnego w polskim systemie oświaty .....   | 652        |
| Zmiany ustawowe w edukacji przedszkolnej na przestrzeni lat .....  | 655        |
| Ogólne zasady finansowania zadań oświatowych .....   | 657        |
| Część oświatowa subwencji ogólnej .....  | 658        |
| Dotacje celowe, w tym dotacja na dofinansowanie zadań w zakresie wychowania przedszkolnego .....                                       | 659        |
| Subwencja oświatowa i dotacje celowe a wydatki bieżące JST na zadania oświatowe .....  | 660        |
| Wydatki na wychowanie przedszkolne w kontekście wydatków na zadania oświatowe .....  | 664        |
| Źródła finansowania wydatków bieżących na wychowanie przedszkolne i ich procentowy udział w ponoszonych wydatkach .....                | 667        |
| Podsumowanie .....   | 670        |
| Bibliografia .....   | 671        |
| <br><i>Mariia Tyshchenko, Oleksandr Dluhopolskyi</i>   |            |
| <b>Gender relations transformation during the early industrialization .....</b>  | <b>674</b> |
| Introduction .....   | 675        |
| Literature review .....  | 675        |



|   |            |
|---|------------|
| Methods .....   | 680        |
| Results .....   | 684        |
| Discussion .....  | 692        |
| Conclusions .....   | 697        |
| Bibliography .....  | 698        |
| <br>  |            |
| <i>Wińczysław Jastrzębski</i>   |            |
| <b>Dobrowolna zasadnicza służba wojskowa w Polsce .....</b>   | <b>701</b> |
| Wprowadzenie .....  | 702        |
| Zasadnicza służba wojskowa w Ustawie o obronie Ojczyzny .....   | 704        |
| Powołania do dobrowolnej zasadniczej służby wojskowej .....   | 707        |
| Podsumowanie .....  | 709        |
| Bibliografia .....  | 710        |
| <br>  |            |
| <i>Jakub Kosowski</i>   |            |
| <b>Dokumenty strategiczne jednostek samorządu terytorialnego jako<br/>instrumenty skutecznego zapobiegania przestępczości .....</b> | <b>712</b> |
| Wstęp .....   | 713        |
| Cel i metodologia badania .....   | 715        |
| Wyniki badań .....  | 716        |
| Wnioski .....   | 725        |
| Bibliografia .....  | 726        |
| <br>  |            |
| <i>Gabriel Jerry Otu</i>  |            |
| <b>An assessment of state-sponsored terrorism in Africa as both international<br/>conspiracy and political engineering .....</b>    | <b>727</b> |
| Introduction .....  | 728        |
| Statement of the problem .....  | 732        |
| Research Questions .....  | 733        |
| Research Objectives .....   | 733        |
| Theoretical framework .....   | 733        |
| Methodology .....   | 734        |
| Literature review .....   | 734        |
| Nature of state sponsorship of terrorism .....  | 740        |
| Current trends .....  | 741        |
| Impact of state sponsored terrorism on international security .....   | 742        |
| Political impact .....  | 742        |
| Some of the other possible consequences .....   | 745        |
| Social impact .....   | 745        |
| Economic impact .....   | 746        |
| Infrastructure and production .....   | 746        |
| State-sponsored terrorism as both international conspiracy and political<br>engineering .....                                       | 747        |

|   |            |
|---|------------|
| Counterterrorism measures .....   | 748        |
| International cooperation .....   | 748        |
| Intelligence.....   | 748        |
| Capacity building.....  | 749        |
| Access to resources .....   | 749        |
| Safe havens.....  | 749        |
| Psychology .....  | 749        |
| Conclusions .....   | 750        |
| Bibliography .....  | 751        |
| <br>  |            |
| <i>Miroslav Gejdoš</i>  |            |
| <b>Zarys przestępczości jako lokalnego zjawiska społecznego .....</b>   | <b>753</b> |
| Wstęp .....   | 753        |
| Charakterystyka przestępczości .....  | 754        |
| Przyczyny przestępczości .....  | 756        |
| Przyczyny wewnętrzne .....  | 756        |
| Przyczyny zewnętrzne .....  | 757        |
| Rodzina jako czynnik kryminogeny .....  | 757        |
| Szkoła i przestępczość .....  | 758        |
| Grupy rówieśnicze .....   | 759        |
| Inne wpływy społeczne .....   | 760        |
| Zapobieganie przestępczości .....   | 760        |
| System i rodzaje profilaktyki .....   | 760        |
| Społeczne środki zapobiegawcze .....  | 762        |
| Rola rodziny .....  | 762        |
| Rola edukacji szkolnej .....  | 762        |
| Wykorzystanie czasu wolnego .....   | 763        |
| Wnioski .....   | 764        |
| Bibliografia .....  | 765        |
| <br>  |            |
| <i>Joe-Ikechebelụ Ngozi Nneka, Echendu Sylvia Tochukwu, Egbueri Johnbosco Chukwujekwu, Akanwa Angela Oyilize, Igbodike Emeka Philip, Umeh Uche Marian, Ifemeje Jonathan C., Ifedi Izuchukwu Charles, Elemuo Chukwuebuka Stanley, Joe-Ikechebelụ Belusochi Blessing, Kate Azuka Omenughā</i> |            |
| <b>Picturing change – public health entrepreneurship, public health communication and telemedicine in Nigeria in the post covid era .....</b>   | <b>767</b> |
| Introduction .....  | 769        |
| Public health entrepreneurship .....  | 771        |
| Human resource constraint .....   | 774        |
| Financial constraint .....  | 775        |
| Health system constraint .....  | 775        |
| Public health communication .....   | 775        |

|   |     |
|---|-----|
| Challenges to effective communication of information in the COVID-19 era in Nigeria ..... | 777 |
| Shortage of Functional and Modern Equipment for Communication.....                        | 777 |
| Poor communication skill .....  | 778 |
| Lack of internet connectivity.....  | 778 |
| Poor knowledge of the information needs of users.....                                     | 778 |
| Lack of partnership drive among stakeholders in the information industry .....            | 778 |
| Lack of strong political will .....   | 778 |
| Poor funding.....   | 779 |
| Strategies for effective communication in public health information services .....        | 779 |
| Telemedicine .....  | 780 |
| Challenges faced by telemedicine in Nigeria in the post-COVID era .....                   | 782 |
| Consolidating and scaling-up the health system through telemedicine .....                 | 784 |
| Conclusion .....  | 785 |
| Bibliography .....  | 786 |

## The Contents

|   |     |
|---|-----|
| <b>Introduction</b> .....   | 25  |
| <i>Tomasz Wołowicz, Sylwia Skrzypek-Ahmed, Paul Vincent, Haruna Muhammad Awwal</i>  |     |
| <b>Badania nad stymulowaniem przedsiębiorczości w gminach i ich analiza</b> .....   | 27  |
| <i>Sylwia Skrzypek-Ahmed, Andrzej Gwiżdż, Nghargbu K'tso, Jerzy Gilarowski</i>  |     |
| <b>Ewolucja koncepcji zarządzania procesowego w organizacji z uwzględnieniem systemów jakości (wybrane problemy)</b> .....                  | 53  |
| <i>Chukwunonso Etal, Andrzej Gwiżdż, Diana Ismailova, Emanuel Józefacki, Magdalena Gawrońska</i>  |     |
| <b>Model procesowy innowacji</b> .....  | 66  |
| <i>Sylwia Skrzypek-Ahmed, Artem Artyukhov, Artur Kornatka, Hannatu Umar, Magda Ahmed</i>  |     |
| <b>Innowacje jako stymulant wzrostu gospodarczego i konkurencyjności ekonomicznej</b> .....   | 79  |
| <i>Sylwia Skrzypek-Ahmed, Ruth Andah, Indira Karibayeva, Krzysztof Dyrek, Marcin Szkudlarek</i>   |     |
| <b>Działalność innowacyjna jak proces niepewności</b> .....   | 96  |
| <i>Magda Ahmed, Iwona Kawka, Gbenga Ibileye, Bashir Adewale Adeniyi, Usman Alhaji Yusuf, Tomasz Połomski</i>                                |     |
| <b>Zarządzanie zmianą w procesie wdrażania nowych produktów</b> .....   | 114 |
| <i>Ruth Andah</i>   |     |
| <b>Wpływ przedsiębiorczości społecznej na rozwój społeczności w osadzeniu Pyakasa – gminie Abuja, stolica federalna, Nigeria</b> .....      | 133 |
| <i>Piotr Zawada, Maciej Chrzanowski</i>   |     |
| <b>The use of ai tools in the process of building a personal brand – an opportunity for creators or a way to reduce authenticity?</b> ..... | 155 |
| <i>Kostiantyn Pavlov, Olena Pavlova, Oleksandr Dluhopolskyi, Tetiana Ostapenko</i>  |     |
| <b>Koncepcja wpływu wiedzy nanoekonomicznej na środowisko biznesowe w Ukrainie</b> .....  | 165 |

|  |     |
|--|-----|
| <i>Liudmyla Alieshchenko</i><br><b><i>Istota zarządzania strategicznego w przedsiębiorstwach turystycznych</i></b> .....   | 179 |
| <i>Tetiana Sak, Ihor Chulipa</i><br><b><i>Marketing cyfrowy - analiza współczesnych trendów w Ukrainie i na świecie</i></b> ....   | 190 |
| <i>Larysa Yushchysyna</i><br><b><i>Zarządzanie energią – stan i perspektywy rozwoju na Ukrainie</i></b> .....  | 211 |
| <i>Małgorzata Lalak-Dybała</i><br><b><i>The use of new technologies in nursing care</i></b> .....  | 225 |
| <i>Sylwia Skrzypek-Ahmed, Andrew E. Zamani, Krzysztof Dyrek, Iloh John Paul<br/>Izuchukwu &amp; Nwammuo Collins</i><br><b><i>Internacjonalizacja i globalizacja biznesu a otoczenie międzynarodowe<br/>przedsiębiorstwa w kontekście marketingu globalnego</i></b> ..... | 235 |
| <i>Jerzy Gilarowski, Anna Wiśniewska, Nghargbu K'tso, Hannatu Umar, Agnieszka Lamb</i><br><b><i>Ekonomiczne uwarunkowania przedsiębiorczości międzynarodowej –<br/>globalizacja i biznes międzynarodowy</i></b> .....  | 257 |
| <i>Paweł Barwiak, Olayemi Akinwumi, Mohammed Suleiman Audu, Igor Chulipa,<br/>Przemysław Bochenek, Olga Leł</i><br><b><i>Sprawozdanie finansowe jako podstawowe źródło informacji dla analizy<br/>finansowej</i></b> .....   | 284 |
| <i>Adam Radziszewski</i><br><b><i>Contemporary trends and challenges in entrepreneurship of social service<br/>companies on the example of a PES and a limited liability company</i></b> .....   | 298 |
| <i>Bożena Korzeniewska</i><br><b><i>Financial security of enterprises in the context of social insurance and health<br/>insurance</i></b> .....  | 310 |
| <i>Ihor Lishchynskyy, Mariia Lyzun</i><br><b><i>Koncepcja biegunów rozwoju miejskich i ich trwałość w ramach globalnych<br/>przepływów gospodarczych</i></b> .....   | 334 |
| <i>Miroslav Gejdoš, Urszula Anisiewicz</i><br><b><i>Alcide De Gasperi – myśliciel i pomysłodawca projektu integracji europejskiej</i></b> .....  | 369 |
| <b><i>Alcide De Gasperi – thinker and designer of the european integration project</i></b> .....   | 369 |

|  |            |
|--|------------|
| <i>Hanna Kostoviyat, Viacheslav Rogov</i><br><b>Teoretyczne podstawy cyfrowej transformacji przedsiębiorstw .....</b>  | <b>381</b> |
| <i>Hanna Zhosan, Gabriel Jerry Otu</i><br><b>Analiza roli cyfryzacji w zwiększaniu efektywności operacji biznesowych .....</b>   | <b>402</b> |
| <i>Anastasiia Simakhova, Vladislav Smyk</i><br><b>Doświadczenie USA i UE w rozwoju franczyzy na Ukrainie w okresie powojennym .....</b>  | <b>414</b> |
| <i>Olena Ivashko</i><br><b>Inwestycje venture capital – bieżące trendy i czynniki rozwoju .....</b>  | <b>428</b> |
| <i>Iryna Tsymbaliuk</i><br><b>Inkluzywny rozwój rynku pracy poprzez zieloną gospodarkę i odpowiedzialność społeczną .....</b>  | <b>443</b> |
| <i>Włodzimierz Martyniuk, Norbert Kosior</i><br><b>Poland's labour market in the face of demographic change .....</b>  | <b>459</b> |
| <i>Kinga Kajzer</i><br><b>The role of social participation in shaping a safe local environment – an analysis on the example of selected social programs of the city of Lublin .....</b>  | <b>470</b> |
| <i>Janusz Gudowski, Tomasz Wołowiec, Joe-Ikechebelu Etal, Robert Szarota, Tatiana Varcholova, Stanisława Podkowińska</i><br><b>Dane statystyczne i ekonometryczne – weryfikacja i zarządzanie w ekonomii, finansach oraz zarządzaniu transportem i logistyką .....</b> | <b>483</b> |
| <i>Tomasz Wołowiec, Dariusz Woźniak, Robert Szarota, Nghargbu K'tso, Rifkatu Nghargbu</i><br><b>Wybrane zagadnienia modelowania i symulacji w dydaktyce przedmiotów ekonomicznych z zakresu transportu, logistyki i zarządzania .....</b>                              | <b>510</b> |
| <i>Bohdan Samoilenko, Liubov Starodubtseva, Tetiana Dluhopolska</i><br><b>Mechanizmy zapewniające państwową regulację rynku usług logistycznych w kontekście zrównoważonego rozwoju .....</b>  | <b>539</b> |
| <i>Tomasz Wołowiec, Lyubomir Antonov, Mariusz Paździor</i><br><b>Ustawa o transporcie drogowym – wybrane uwarunkowania prawne i ekonomiczne w Polsce i Bułgarii .....</b>  | <b>559</b> |
| <i>Tomasz Wołowiec, Leszek Gil, Artur Dmowski, Joe-Ikechebelu Etal</i><br><b>Ekonomika transportu a efektywność i racjonalność podejmowania decyzji ...</b>  | <b>592</b> |

|   |     |
|---|-----|
| Marta Grzeszczuk<br><b>Elements of simplified administrative proceedings in relation to the road transport sector</b> .....   | 610 |
| Dominika Cinner<br><b>Logistics XXI – innovation in logistics</b> .....   | 623 |
| Miroslav Gejdoš<br><b>Przygotowana reforma edukacji na Słowacji</b> .....   | 632 |
| Jakub Kosowski<br><b>Standards for the protection of minors as a new tool to ensure the safety of minors training in sports clubs</b> .....   | 640 |
| Ewa Dumkiewicz-Sprawka<br><b>Selected aspects of financing educational tasks</b> .....  | 650 |
| Mariia Tyshchenko, Oleksandr Dluhopolskyi<br><b>Transformacja relacji płciowych na wczesnym etapie industrializacji</b> .....   | 674 |
| Wińczysław Jastrzębski<br><b>Voluntary compulsory military service in Poland</b> .....  | 701 |
| Jakub Kosowski<br><b>Strategic documents of local government units as instruments of effective crime prevention</b> .....   | 712 |
| Gabriel Jerry Otu<br><b>Ocena terroryzmu sponsorowanego przez państwo w Afryce jako formy międzynarodowego spisku i inżynierii politycznej</b> .....  | 727 |
| Miroslav Gejdoš<br><b>An outline of crime as a local social phenomenon</b> .....  | 753 |
| Joe-Ikechebelụ Ngozi Nneka, Echendu Sylvia Tochukwu, Egbueri Johnbosco Chukwujekwu, Akanwa Angela Oyilieze, Igbodike Emeka Philip, Umeh Uche Marian, Ifemeje Jonathan C., Ifedi Izuchukwu Charles, Elemuo Chukwuebuka Stanley, Joe-Ikechebelụ Belusochi Blessing, Kate Azuka Omenughā<br><b>Obrazowanie zmian – przedsiębiorczość w zakresie zdrowia publicznego, komunikacja w zakresie zdrowia publicznego i telemedycyna w Nigerii w erze post-COVID</b> ..... | 767 |

## WSTĘP

Współczesna nauka w coraz większym stopniu opiera się na interdyscyplinarności i wieloaspektowym podejściu badaczy do prezentowanych zjawisk i procesów. Postulat interdyscyplinarności jest reakcją na wyzwania rodzące się wraz z rozwojem nauki – po pierwsze, jako odpowiedź na postępującą profesjonalizację, specjalizację i instytucjonalizację w zakresie badań naukowych; po drugie, jako odpowiedź na wyzwania stające przed nauką w związku z tym, że nasza rzeczywistość w swym charakterze i strukturze staje się coraz bardziej złożona i tym samym trudniejsza do naukowej eksploracji.

Interdyscyplinarność oznacza skoncentrowanie uwagi na zagadnieniach, które są zlokalizowane na styku różnych dyscyplin. Prezentowana monografia jest rezultatem współpracy naukowców reprezentujących różne dyscypliny naukowe od administracji i nauk o polityce, poprzez psychologię, nauki ekonomiczne, nauki o zdrowiu, a kończąc na informatyce. W przedłożonych artykułach pokazano proces uwolnienia się od wąskiego, ugruntowanego w ramach jednej dziedziny wiedzy, podejścia do złożonych kwestii oraz wynikających z tego faktu wielu ograniczeń badawczych. Prezentowane rozdziały są wynikiem współpracy naukowej zarówno na styku wymienionych dyscyplin, jak i współpracy międzynarodowej pomiędzy partnerskimi Uczelniami, jak i szeroko rozumianym biznesem (praktyką gospodarczą).

W rozdziałach zaprezentowano różne podejścia badawcze. Jako główną metodę badawczą zastosowano indukcję. Polega ona na wyprowadzeniu ogólnych wniosków czy też ustaleniu prawidłowości na podstawie analizy empirycznie stwierdzonych zjawisk i procesów. Jest to typ wnioskowania na podstawie szczegółów o właściwościach ogólnych zjawiska czy przedmiotu. Stosowanie tej metody wymaga przyjęcia założenia, że tylko fakty mogą stanowić podstawę naukowego wnioskowania. Faktami tymi są realnie zaistniałe sytuacje (np. społeczne, prawne czy organizacyjne). Do metod indukcyjnych należą różnego rodzaju analizy, ekspertyzy, dane statystyczne i dokumenty naukowe stosowane w badaniach społecznych. Ponadto w artykułach skorzystano z dwóch ogólnych metod badawczych – metod analitycznych i syntetycznych – charakteryzujących się szczególnym ujmowaniem badania rzeczywistości. Analiza traktuje rzeczywistość jako zbiorowisko pojedynczych, szczególnych cech i zdarzeń. Postępowanie według tej metody badawczej polega na rozłożeniu przedmiotu badań na części i na badaniu każdej z nich osobno lub na wykryciu składników tego przedmiotu. Ujemną cechą metody analitycznej jest nadmierne eksponowanie szczegółów, powodujące nieraz tracenie z pola widzenia całości przedmiotu badań. Utrudnia to pełne i obiektywne poznanie rzeczywistości, będącej co prawda zbiorowiskiem niezależnych elementów cząstkowych, zarazem jednak zespołem części ściśle związanych z sobą w ograniczoną całość. Metoda syntetyczna traktuje rzeczywistość jako zbiorowość cech, jej realizacja polega na poszukiwaniu wspólnych cech



różnych zjawisk i zdarzeń, a następnie na ich wiązaniu w jednolitą całość. Zatem metoda syntetyczna bada i określa całość przedmiotu badań. Stosując kompleksowe (hybrydowe) podejście badawcze zastosowano także tak zwaną triangulację źródeł danych, czyli porównywanie informacji, metod i narzędzi stosowanych w różnych dyscyplinach naukowych do rozwiązywania problemów badawczych z perspektywy wielu różnych praktycznych i teoretycznych koncepcji badawczych.

Interdyscyplinarność jako postulat badania rzeczywistości ponad granicami dyscyplin naukowych stanowi istotną wartość dodaną, ponieważ analiza badanej rzeczywistości z perspektywy różnych gałęzi naukowych poszerza, pogłębia, modyfikuje i precyzuje rezultaty badawcze, co dla nauki jest niezwykle rozwojowe i korzystne. Interdyscyplinarność to zarówno wykraczanie poza daną dyscyplinę, tę, którą reprezentuje badacz, jak i rozpatrywanie określonego tematu z różnych perspektyw (np. nauk o administracji i polityce, zarządzania czy informatyki i telekomunikacji). W rozdziałach zastosowano m.in. następujące metody badawcze: analizę porównawczą, analizę funkcjonalną, która została zastosowana w celu uchwycenia zależności przyczynowo-skutkowych badanych zjawisk i procesów, metody badań w ujęciu dynamicznym (istotne zarówno dla całościowego spojrzenia na specyfikę danego problemu, jak również oceny możliwości aplikacyjnych uzyskanych rezultatów) oraz metody analizy ilościowej i jakościowej.

Refleksje nad badaniami interdyscyplinarnymi pozwalają na stwierdzenie, że wymagają one coraz bardziej złożonych metod prowadzenia badań empirycznych. Ta konieczność wynika między innymi z dynamiki otaczającej rzeczywistości, procesów unifikacji dyscyplin naukowych, a także postępującej cyfryzacji i automatyzacji procesów społecznych, co implikuje nowoczesne rozumienie i wyjaśnianie nieustannie zmieniających się zjawisk społecznych oraz gospodarczych.

Przedłożona monografia jest efektem współpracy Lubelskiej Akademii WSEI z Uczelniami i naukowcami z innych krajów w ramach procesu umiędzynarodowienia Uczelni w trzech obszarach: dydaktyka, projekty oraz współpraca naukowa. Strategia Rozwoju Uczelni oraz skorelowana z nią strategia rozwoju Instytutu Administracji Publicznej i Biznesu oraz poszczególnych dyscyplin naukowych zakłada zaangażowanie kadry w krajowe i międzynarodowe aktywności naukowe oraz programy badawcze, nawiązywanie współpracy z zagranicznymi ośrodkami naukowymi (uczestnictwo w projektach międzynarodowych, wspólne badania), jak i nawiązywanie współpracy z wiodącymi wydawnictwami naukowymi w charakterze redaktora, recenzenta, autora (monografie, czasopisma i numery specjalne czasopism).

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## *Introduction*

Modern science is increasingly based on interdisciplinarity and the multifaceted approach of researchers to the phenomena and processes presented. The demand for interdisciplinarity is a response to the challenges arising with the development of science: first, as a response to the progressive professionalization, specialization and institutionalization in the field of scientific research; second, as a response to the challenges facing science as our reality in its nature and structure is becoming more complex and thus more difficult to explore scientifically.

Interdisciplinarity means focusing attention on issues that are located at the intersection of various disciplines. The monograph presented here is the result of a collaboration of scientists representing various scientific disciplines from administration and policy sciences to psychology, economic sciences, health sciences and information technology. The submitted articles show the process of freeing oneself from a narrow approach to complex issues, established within a single field of knowledge, and the many research limitations that result from this. The chapters presented are the result of scientific cooperation both at the interface of the above-mentioned disciplines and international cooperation between partner Universities, as well as the wider business (business practice).

The chapters present different research approaches. Induction was used as the main research method. It involves drawing general conclusions or establishing regularities on the basis of analysis of empirically established phenomena and processes. It is a type of inference based on details about the general properties of a phenomenon or object. The use of this method requires the assumption that only facts can form the basis of scientific inference. These facts are real-life situations (e.g., social, legal or organizational). Inductive methods include various types of analysis, expert opinion, statistical data and scientific documents used in social research. In addition, the articles make use of two general research methods, i.e. analytical and synthetic methods, which are characterized by a particular approach to the study of reality. Analytical treats reality as a collection of individual, specific features and events. Following this research method involves breaking down the object of study into parts and studying each part separately or detecting the components of that object. A negative feature of the analytical method is the overexposure of details, sometimes resulting in losing sight of the whole object of study. This hinders full and objective cognition of reality, which is admittedly a collection of independent partial elements, but at the same time a set of parts closely related to each other into a limited whole. The synthetic method treats reality as a collection of features, its implementation consists in searching for common features of various phenomena and events, and then binding them into a unified whole. Thus, the synthetic method examines and determines the totality of the object of study. Using a comprehensive (hybrid) research approach, the so-called

triangulation of data sources was also applied, i.e. comparing information, methods and tools used in different scientific disciplines to solve research problems from the perspective of many different practical and theoretical research concepts.

Interdisciplinarity as a demand to study reality beyond the boundaries of scientific disciplines is an important added value, since the analysis of the studied reality from the perspective of different scientific branches broadens, deepens, modifies and clarifies the research results, which is extremely developmental and beneficial for science. Interdisciplinarity is both transcending a particular discipline, the one represented by the researcher, and considering a particular topic from different perspectives (e.g., administrative and political sciences, management or computer science and telecommunications). Among other things, the chapters employ the following research methods: comparative analysis, functional analysis, which was used to capture the cause-effect relationships of the phenomena and processes under study, research methods from a dynamic perspective (important both for a holistic view of the specifics of a given problem, as well as for grading the applicability of the results obtained), and methods of quantitative and qualitative analysis.

Reflections on interdisciplinary research allow us to conclude that it requires increasingly complex methods for conducting empirical research. This necessity is due, among other things, to the dynamics of the surrounding reality, the processes of unification of scientific disciplines, as well as the increasing digitization and automation of social processes, which implies a modern understanding and explanation of constantly changing social and economic phenomena.

The submitted monograph is the result of cooperation of the Lublin WSEI Academy with universities and scientists from other countries as part of the internationalization process of the University in three areas: teaching, projects and scientific cooperation. The University's Development Strategy and the correlated strategy for the development of the Institute of Public Administration and Business and individual scientific disciplines assume the involvement of staff in national and international scientific activities and research programs, establishing cooperation with foreign scientific centers (participation in international projects, joint research), as well as establishing cooperation with leading scientific publishers as an editor, reviewer, author (monographs, journals and special issues of journals).

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## RESEARCH ON STIMULATING ENTREPRENEURSHIP BY LGU'S AND THEIR ANALYSIS

### *Badania nad stymulowaniem przedsiębiorczości w gminach i ich analiza*

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#### **Streszczenie**

*Celem badań jest ocena czynników wpływających na rozwój przedsiębiorczości, ze szczególnym uwzględnieniem polityki podatkowej na przykładzie wybranych gmin województwa małopolskiego. Badania oparto na wybranych danych statystycznych i innych publicznie dostępnych źródłach informacji, jak i na informacjach uzyskanych w trakcie wywiadów i ankiet, których respondentami byli zarządzający gminami, jak i podmioty gospodarcze działające w badanych gminach. Badanie prowadzono za pomocą wielu metod ilościowych i jakościowych. W warstwie ilościowej, na podstawie różnorodnych źródeł. Okres badań obejmuje lata 2015-2021.*

**Słowa kluczowe:** *przedsiębiorczość, konkurencyjność, rozwój lokalny, dane statystyczne, metody ilościowe i jakościowe, efektywność ekonomiczna, zarządzanie rozwojem lokalnym*

#### **Summary**

The aim of the research is to grade factors influencing the development of entrepreneurship, with particular emphasis on tax policy on the example of selected communes of the Lesser Poland Voivodeship. The research was based on selected statistical data and other publicly available sources of information, as well as on information obtained during interviews and questionnaires, whose respondents were municipal managers and business entities operating in the studied municipalities. The research was conducted using a number of quantitative and qualitative methods.

In the quantitative layer, it was based on a variety of sources. The research period covers the years 2015-2021.

**Key words:** entrepreneurship, competitiveness, local development, statistical data, quantitative and qualitative methods, economic efficiency, local development management

## Introduction

The spatial concentration of enterprises affects the investment climate of the region by shaping its individual components. Firstly, thanks to the activities of companies, labor resources are developed, and human capital is strengthened as a result of local employee mobility. Secondly, the greater the entrepreneurship, the more receptive the local market. This relation is particularly visible in the case of industries focused on servicing enterprises and in the case of large and medium-sized cities in Małopolska and the Lubelskie Voivodeship. Entrepreneurship shapes the number and scope of activities of business environment institutions included in the economic infrastructure. Locally high entrepreneurship attracts the business service sector, which strengthens entrepreneurship and allows you to attract external investors.

The growth of entrepreneurship in Małopolska is characterized by a pace similar to that observed at the national level. A positive feature is the reduction of intra-regional differences in the level of entrepreneurship in 2015-2022. Apart from the diversification of entrepreneurship in the city-village system (especially visible in the field of medium and large companies), there is a clear contrast between the western and eastern Małopolska. At the same time, the processes of economic suburbanization are taking place, especially visible in the suburban area of the city of Krakow. Moreover, a large number of private companies related to the number of inhabitants occurs in tourist communes<sup>1</sup>.

The activity of foreign capital is one of the most important factors of regional and local development in Poland. Companies with foreign capital include a source of new jobs, technologies and modern management methods. The presence of foreign companies locating their investments (greenfield) in specific municipalities can be considered in two perspectives: the factor facilitating the acquisition of new investors and the investment attractiveness index. Almost all municipalities where medium and large foreign capital expenditures took place focus on three areas:

- a. Cracov Metropolitan Area (Cracov metropolis – CMA), in particular the central city and the suburban area. It is an area with by far the highest concentration of new foreign investments. 2/3 of the total expenditure in the voivodeship is accounted for by four communes: Kraków, Niepołomice, Skawina and Wielka Wieś;
- b. communes located in the corridor of the main communication axis of the region: A4 motorway and national number 4. Most investments (excluding the areas adjacent to this axis in CMA) were attracted by Brzesko, Chrzanów and Tarnów;

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<sup>1</sup> R. Guzik, K. Gwosdz, J. Działka, *Klimat inwestycyjny w województwie małopolskim*, Małopolskie Obserwatorium Gospodarki, Kraków 2013.

- c. three industrialized counties in western Małopolska: Oświęcim, Chrzanów and Olkusz. Most of the capital went to poviats cities, significant outlays were also attracted by smaller cities: Chełmek, Bukowno, Wolbrom;
- d. apart from the above-mentioned areas, only Nowy Sącz and Gorlice were of greater interest to investors.

The scale of local success in attracting foreign investors is reflected in the size of the capital involved in relation to the number of inhabitants. The leaders in Małopolska are two communes of the Krakow poviat: Niepołomice (USD 21,000 per capita), where this value is five times higher than the voivodship average, and Wielka Wieś (USD 18,000 per capita). While Niepołomice is a recognized leader in attracting external investors, pursuing an effective pro-investment policy since the beginning of the 1990s, the success of Wielka Wieś (and mainly the village of Modlniczki located on its territory with excellent spatial accessibility) is mainly the result of the last 5 years. Another clear difference concerns the type of investors – Niepołomice attracted mainly industrial activities, and Wielka Wieś – logistics and commercial activities.

The existing spatial layout of greenfield investments indicates a strong differentiation of investment attractiveness factors in the Małopolskie Voivodeship from the point of view of external investors.

Trade investments are eminently market oriented. Nearly three-quarters of the financial outlays for new facilities were incurred in Kraków, followed by Tarnów and Nowy Sącz. In total, greenfield expenditures of USD 1 million and more can be found in 35 municipalities of the voivodeship. The high concentration in Krakow results both from the largest sales market in the voivodship (the number of customers and their wealth), consumer habits favorable from the point of view of commercial networks, and finally from the high capital intensity of large-scale facilities implemented in the voivodeship capital. However, the penetration of the voivodeship space by trade is of a hierarchical diffusion character and currently covers more and more locations with relatively low potential – even several thousand inhabitants.

Services are a sector where inputs are even more concentrated than trade. There are few places that attract more interest from investors in this sector – greenfield investments worth USD 1 million have been identified only in 23 municipalities. More than three-quarters of investments took place in Kraków, over 10% in other communes located in CMA (mainly in the areas adjacent to Kraków – Wielka Wieś, Zabierzów, Niepołomice, Wieliczka, Skawina), and the rest mainly in Nowy Sącz, Tarnów and Oświęcim. Investments in knowledge-intensive services are concentrated only in Krakow and some municipalities adjacent to it, while other municipalities attract services aimed at the local market - mainly commercial real estate for rent, banking and insurance establishments.

The distribution of entities providing business services in the Małopolskie Voivodeship shows several regularities. First of all, you can see the domination of the three largest cities in virtually every field of this type of activity. The high level of equipment with business services is also characteristic of the municipalities

neighboring Krakow from the north and west, and the municipalities of the western subregion. Also some smaller powiat towns (Myślenice) and those that are places of concentration of economic activities (Niepołomice) are well equipped for this type of activity. The lowest concentration of services for enterprises occurs in the rural areas of the voivodeship, especially in its eastern and southern parts. An important characteristic of the distribution of this type of activity is also their greater number in the part of Małopolska adjacent to the Śląskie Voivodeship. This applies especially to companies from the financial and IT industries.

## **Local business development factors**

The most important factors determining the distribution of business services in Małopolska are: the size of a given settlement unit (measured by the number of inhabitants) and the level of development of local entrepreneurship. The total number of enterprises operating in a given place affects the level of development of the business services industry – it may cause the underdevelopment of the sector (e.g. cities dominated by single large employers, e.g. Libiąż), or its concentration (e.g. Nowy Targ, Niepołomice, Myślenice) in compared with the size of the center measured by the number of its inhabitants.

Business services are an important element of regional investment attractiveness. Their presence influences both the possibilities of attracting external investors as well as the development of local entrepreneurship. The conducted analysis shows that Małopolska cities are well equipped with this type of activity, with particular emphasis on the largest centers: Kraków, Tarnów and Nowy Sącz. Peripheral communes of the voivodeship, especially those located in its eastern and southern parts, are often areas of poor development of business services. Most often it is caused by the agricultural specialization of local economies, the lack of strong economic entities and little local entrepreneurship.

The factor that weakens the investment attractiveness of the Małopolskie Voivodeship as compared to other regions of the country are small resources of investment areas, especially those over 50 ha, which can accommodate large industrial investments. The largest area offered is the area of 142 ha in the village of Brodła in the Alwernia commune. The commune of Niepołomice also offers, currently used for agriculture, land with an area of 116 ha, for which the procedure of changing the spatial development plan is underway, intended for “modern industry, high technologies, laboratories, services, warehouses”. The city of Chrzanów promotes the offer of an investment area with an area of 102 ha for production and warehouse activities, owned by the municipal commune of Chrzanów and private individuals, and located near the Chrzanów II motorway junction. Tarnów has, in the south-eastern part of the city, a vast, undeveloped area of 100 ha of the former farm of the Complex of Economic and Horticultural Schools. Among the areas away from the main communication axis of the region, Wolbrom, a town in the Olkusz powiat with a large

industrial tradition, has the most extensive offer in the northern part of the voivodeship. The relatively high activity of the traditionally agricultural communes of the Proszowice and Dąbrowski poviats is visible. However, in the southern part of the region, few offers concern mainly areas intended for sports and recreation services, hotel and catering services and spa treatment.

In the subregional system, the communes of the Cracov Metropolitan Area and Western Małopolska are the most active. On the other hand, the largest number of offers with a large area is available in the Tarnów subregion - plots with a total area of over 100 ha are offered in Tarnów, the rural commune of Bochnia, in Brzesko and in the communes of Lisia Góra and Szczurowa. Numerous offers with a total area of over 950 ha are at the disposal of the communes of Western Małopolska, especially Chrzanów, Oświęcim, Alwernia and Trzebinia. In the Cracov Metropolitan Area, Niepołomice has the largest resources of investment areas, where nearly 250 ha of plots of land for investment have been identified. The next five communes of the Cracov, Wieliczka and Proszowice Poviats as well as Cracov offer areas with a total area of 50 to 70 ha. The other two sub-regions offer a much smaller number of investment areas. In the nowosądecki subregion, only three municipalities have greater resources: in Piwniczna-Zdrój, Stary Sącz and Krynica-Zdrój, where the aforementioned areas intended for services (tourism or spa) are promoted. In the Podhale subregion, only Nowy Targ recorded greater resources of investment areas.

Various types of more or less detailed and comprehensive pro-investment solutions were proposed for implementation in the strategic documents of 155 communes of the Małopolskie Voivodeship (91,17% of the examined communes), including 12 urban communes, 45 urban-rural communes and 98 rural communes. At the same time, it should be noted that in the case of 56 surveyed local government units, references to pro-investment policy were at the level of the vision and / or development mission, which may indicate the great importance that these municipalities attach to the process of attracting investors. At the level of the vision and / or mission of development, the most frequent attention was paid to the openness of local authorities to external investors, as well as the need to increase investment attractiveness and build a favorable climate for investors.

Pro-investment activities under all the previously mentioned thematic categories were envisaged for implementation in the documents of 19 local government units. This group included 2 urban municipalities (Nowy Sącz and Nowy Targ), 8 urban-rural municipalities (Alwernia, Andrychów, Chelmek, Libiąż, Myślenice, Piwniczna-Zdrój, Proszowice, Szczawnica), as well as 9 rural municipalities (Czarny Dunajec, Dębno, Kozłów, Nowy Targ, Olesno, Pcim, Szczurowa, Wielka Wieś and Zabierzów).

The assessment of strategic documents of the considered LGU's is correlated with the type (kind) of communes, their size (measured by the number of inhabitants), as well as with their location within the Małopolskie Voivodeship. The highest average scores were given to municipalities (6,00). In the case of urban-rural communes, its average value was 5,83 points. The lowest score was given to strategic documents



of rural LGU's (3,89). At the same time, the highest average score in terms of pro-investment activities was received by communes with a population between 20,000 and 50,000 people (6,79). It is also worth noting that this group included 6 out of 13 local government units which received a score of 10 points. Both in the case of municipalities with a population of 50 to 100 thousand. residents (Nowy Sącz, Olkusz, Wieliczka), as well as over 100,000 inhabitants (Cracov, Tarnów), the average score for strategic documents was 6,00. On the other hand, for communes with a population between 10 and 20 thousand. people, was 4,55. The lowest average score was given to strategic documents of communes with less than 10,000 inhabitants (3,71). This group included only one commune, which obtained a score of 10 points (Szczawnica). The above regularities should be related to the fact that large and medium-sized urban and urban-rural communes are generally characterized by a higher organizational and financial potential compared to small rural LGU's and thus are characterized by relatively greater possibilities of conducting a comprehensive pro-investment policy. The average score for strategic documents was 6,00<sup>2</sup>.

It is worth noting that 123 municipalities (72,8% of the total number of respondents) proposed the implementation of detailed projects – the most frequently indicated tasks are: designating investment areas in planning documents (83 municipalities – 49,1% of respondents) and developing land intended for economic activity in the network and technical infrastructure equipment (79 communes – 46,7% of the respondents). The simultaneous implementation of the above-mentioned projects was proposed in the strategic documents of 54 communes. These phenomena should be assessed positively, as they mean that local authorities are more aware that in the process of effectively attracting external capital, the main role is played by having an attractive investment offer separate and equipped areas for business activity.

In the case of 47 Małopolska municipalities (27,8% of the total surveyed), the preparation of the investment offer is to focus on the creation of new or development of already existing dense complexes of investment areas (including economic activity zones, industrial zones, subzones of special economic zones 10). Such solutions were proposed for implementation in the strategic documents of 6 urban municipalities (Bukowno, Bochnia, Nowy Sącz, Nowy Targ, Oświęcim, Tarnów), 22 urban-rural municipalities (including Brzesko, Chełmek, Chrzanów, Dobczyce, Kęty, Myślenice, Niepołomice, Skawina, Trzebinia, Wieliczka, Wolbrom, Zator), and 19 rural municipalities.

Among the initiatives aimed at attracting external capital, an important place is the dissemination of the offer and investment values. Undertakings in the field of economic promotion are planned for implementation in 111 communes of the Małopolskie voivodship (65,7% of the respondents), but only half (56 communes – LGU's) indicated in the strategic documents at least one form of popularizing the investment offer. The most frequently chosen method of disseminating economic values is promotion through the official website of the office (34 communes – 20,1% of all respondents).

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<sup>2</sup> R. Guzik, K. Gwosdz, J. Działka, *Klimat inwestycyjny...* op. cit.

29 communes (17,2% of all respondents) adopted in their strategic documents the development and distribution of promotional materials (eg folders and guides) as a form of disseminating economic values. Participation in economic events (fairs, conferences, presentations of the investment offer) was planned in 29 LGU's, and 25 communes (14,8% of respondents) decided to promote economic activities in the media (mainly in the press). Popularization of the investment offer through media advertising and participation in economic events was most often chosen by municipal and urban-rural communes (including Andrychów, Bochnia, Chełmek, Gorlice, Kęty, Myślenice, Nowy Targ, Tarnów, Wojnicz, Zator), which should be associated with high costs of this type of promotion.

Strategic documents of 112 communes (66,3% of the respondents) contain provisions concerning preferred economic activities. In 81 communes (47,9% of the respondents), investments in the field of tourism and recreation were considered the most desirable, related to, inter alia, with the construction of accommodation facilities (hotels, guesthouses) and / or sports and recreational facilities (e.g. ski lifts, swimming pools and bathing areas), or the development of spa and sanatorium services. Agri-food processing was in second place among the preferred economic activities in Małopolska communes. 26 communes (15,4% of the respondents) would like to see this type of activity in their area. Among these local government units, only 6 are urban-rural communes (Cieżkowice, Nowe Brzesko, Olkusz, Proszowice, Radłów, Wojnicz), the rest are rural communes.

In the strategic documents of 24 communes (14,2% of the respondents), the remaining industrial activity was listed as preferred. In most cases, it was not specifically indicated which production activities could be involved. Provisions regarding the preferred production activities were included only in strategic documents of the municipal commune of Oświęcim (chemical industry) and the rural commune of Nowy Targ (tanning plants). In the case of 10 communes in Małopolska (5,9% of respondents), the location of investments representing the so-called high technology. This group includes 4 municipalities (Bukowno, Kraków, Tarnów) mentioned the production that is not harmful to the natural environment. 20 and 8 communes intend to develop the remaining service and commercial activities in their area, respectively.

The own study, based on, inter alia, the data of the Małopolska Economic Observatory, showed primarily the diversity of investment attractiveness, often poorly dependent or independent on the activities of local authorities. Indicators showing the attitude and pro-investment activities indicate that the activity of local authorities may be more important than "objective" indicators of investment attractiveness. The very high, objective investment attractiveness is not everything – it must be skillfully transformed into a good investment climate, and this does not guarantee success in attracting investors. Therefore, a high position in terms of the value of the synthetic index should be an incentive for even greater activity. On the other hand, a low investment cannot justify abandoning any activities, in particular those aimed at activating local resources. The image of attractiveness shown is averaged for different activities and sizes of investors. You can find a niche or

investment gap in every place. For some activities, the only address may be Krakow, but there are also those where Krakow will be the least suitable place. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions. You can find a niche or investment gap in every place. For some activities, the only address may be Krakow, but there are also those where Krakow will be the least suitable place. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions. Investors can find a niche or investment gap in every place. For some activities, the only address may be Krakow, but there are also those where Krakow will be the least suitable place. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions. An example may be selected branches of the agri-food industry, for which agricultural communes may be the best, which in terms of the synthetic index were in the lowest positions, but for this branch of the economy they may be an attractive location. The analysis of individual climates and its comprehensive approach shows the way in which attractiveness is assessed by potential investors and consulting companies, supporting their decisions.

### **The level of fiscalism in the field of real estate tax and the increase in the number of new companies**

In the area of local economy, tax stimulation may concern issues such as the structure and forms of running a business, creating and shaping taxpayers' investment, financial and consumption decisions, and finally also attracting foreign capital. The possibilities of using the structure of the real estate tax (excluding forest and

agricultural tax) were analyzed<sup>3</sup> and tax on means of transport to support the behavior of taxpayers in line with the directions of local government policy. The choice of these taxes results from the fact that they are the most fiscally efficient local property taxes, and due to the possibility of shaping the system of tax reliefs and exemptions, they can also act as a stimulus, e.g. in terms of increasing economic activity and locating (or relocating) new companies. In 2015-2020, real estate tax revenues increased from approximately PLN 11 billion to approximately PLN 15,8 billion, and revenues from the tax on means of transport increased from PLN 700 million to approximately PLN 832 million, respectively.

Property taxes (in kind) is all taxes related to property rights. From the point of view of the relationship between the tax burden and the taxpayer incurred it, we distinguish between direct and indirect taxes. Direct tax can be considered when there is a precisely defined relationship between the tax burden (type of tax, its amount, method of payment) and the taxpayer who incurs it directly. Thus, there is a link between the payment of the tax and the direct burden on the taxpayer. Thus, there is a convergence between the formal and material burden. Direct taxes are charged to the taxpayer in a way closely related to his income or property situation. Direct taxes include income taxes and property taxes. Direct taxes, and especially property taxes, are considered not to be passed on<sup>4</sup> but in fact it is not so, so the criterion of taxpayer unity and tax burden is inconsistent<sup>5</sup>. Therefore, it should be considered – taking into account the criterion of the relationship of the entity with the attributes assigned to it – that direct taxes are those that are precisely related to the permanent and inalienable characteristics of the taxpayer or measures of economic activity, which are assigned to it through property rights (income and property)<sup>6</sup>.

The basic property of taxes is that they are always streams, as they are paid by subtracting part of other streams generated by economic agents. In order to pay a tax, they must give up a portion of their income - in the case of a direct tax, or of their expenses - in the case of an indirect tax; both of these are included in economic categories called streams. This feature of taxes is therefore called the stream logic of tax. The conclusion about the streaming nature of a tax is indeed trivial, but fraught with serious consequences - not always recognized. For since a tax is itself a stream, then, first, in its creation as a category of public finance, it should always be determined by proper reference to the value of some other stream; it should be created relative to that other stream, for example, relative to income, since only a stream is an effective source of income. Tax represents a monetary stream, and only to a monetary stream

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<sup>3</sup> These taxes are of marginal fiscal importance in the budgets of local government units, and at the same time their structure makes it impossible to use these taxes in a flexible manner by local government bodies.

<sup>4</sup> More on the subject of shifting and the advantages and disadvantages of direct taxes: G. Szczo-drowski, *Polski system podatkowy*, PWN, Warszawa 2007, p. 24-26.

<sup>5</sup> F. Grądalski, *Wstęp do teorii opodatkowania*, SGH, Warszawa 2004, p. 105.

<sup>6</sup> A. B. Atkinson, *Optimal Taxation and the Direct versus Indirect Tax Controversy*, "Canadian Journal of Economics" 1977; 6: 590-606.

must it be referenced. The paradox is the situation in which there is taxation of certain legal activities that are internal to companies. Here it turns out that surcharges to the company's capital stock are taxed; the company's contracts (articles of incorporation), amendments to contracts, etc., are subject to tax. The tax consequently becomes a sanction without any economic justification.

In the case of property taxes, the taxable amount for real estate tax or inheritance tax is the value of the property. The streaming nature of the tax means that the taxpayer has to pay it by returning part of the income stream. Therefore, if he does not have such a flow, he must spend the accumulated savings, possibly take out a loan for repayment, and finally even cash in all or part of his property (inheritance). Therefore, it seems rational to postulate that the wealth tax should not lead to a reduction in the taxpayer's property (property substance)<sup>7</sup>. A question may be asked whether, due to economic illogicality, the property tax should not be eliminated from the tax system? In my opinion, no, as long as income is taxed as it is generated by this property. This approach is economically rational, because although the subject of taxation is the property and the tax base is the value of that property, the tax is paid on the income stream from that property. Therefore, it is possible to indicate certain situations in which property taxation is justified, despite the fact that these taxes do not directly take into account in their structure the flow nature of taxation<sup>8</sup>:

First, this taxation makes sense when the income derived from the property is hidden and there is no formal basis for levying the tax on it. Thus, wealth tax can be a form of indirect income taxation, as it then retains its stream character.

Secondly, property taxation is justified when the state wants to put pressure on the owners of productive assets to use them properly. An example is the tax on construction land, which encourages landowners to make them profitable<sup>9</sup>. The willingness to put pressure on the economic operator to use property productively, or the willingness to tax hidden income, may also justify the taxation of large residential properties. However, the presumption of the taxing authority that the real estate is or can be used for rental for consideration, and therefore income is generated from it, may often be completely unjustified, and then the negative effects of property tax will take effect. Taxation of productive assets motivated by the desire to activate idle assets may, however, lead to a reduction in the incentive to invest. An entrepreneur who has the prospect of paying tax on inactive property – even when this property cannot be used productively through no fault of his / her own – will be afraid of taking the risk of investing, especially in an uncertain economic situation. In this way, the wealth tax has a weakening effect on the economic situation.

Third, property taxation is economically and socially justified when the owners of certain categories of property use state services related to that property, and the tax is a form of payment for these services. An example is the tax on means of transport (road construction and maintenance) or the *adiacencka* tax (increase in the value of real estate as a result of certain administrative and legal activities).

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<sup>7</sup> S. Owsiak, *Finanse publiczne. Teoria i praktyka*, PWN, Warszawa 2002, p. 156.

<sup>8</sup> J. Żyżyński, *Budżet i polityka budżetowa*, PWN, Warszawa 2009, p. 178 and next.

<sup>9</sup> P. M. Gaudamet, J. Molinier, *Finanse publiczne*, PWE, Warszawa 2002, p. 481.

Fourth, property taxation is justified when the public authority deems it necessary to impose certain restrictions (high tax rates) on certain forms of property, when these forms are considered economically or socially undesirable, or when a certain way of creating such property is considered inappropriate. In fact, however, in such a situation, the stream is subject to taxation anyway – of income or transactions related to this property<sup>10</sup>.

As regards the impact of the level of local fiscalism and the structure of the tax system on economic growth, there are often different views on this subject. Views on this can be divided into two groups. According to the first of them, the low level of tax burdens is conducive to increasing the investment attractiveness of the commune, therefore it is beneficial to lower the real tax rates in the resolutions of commune councils. At the same time, the attention is not paid to the structure of the tax system, but to the general level of the tax rate and the rate of fiscal burden expressed in the amount of tax (quota) rates. After some time, the reduction of communal budget revenues will be compensated by higher tax revenues, which are the effect of the economic boom. The second group of views questions the direct impact of low local taxes on economic growth, emphasizing the negative consequences of reducing budget tax revenues. The under-financing of some areas of the commune's functioning, eg education, local investments, etc., inhibits the growth rate of the commune's economic and social attractiveness. The supporters of these views also point out that the possible (may or may not) positive effects of tax cuts appear only after a few years, and budget losses immediately.

The relationship that is particularly emphasized is the correlation between the amount of fiscal burdens in personal income tax and the rate of economic growth. Much less attention in various analyzes is devoted to the issues of the impact of the structure of budgetary tax revenues on economic growth. The relationships between the level of fiscalism (the relation of tax revenues from property tax and tax on means of transport in relation to the number of new companies and the number of jobs created) for 25 LGU's in 2015-2020 will be presented below. Using the Pearson correlation coefficient, it is possible to examine the strength and direction of the relationship between the level of fiscalism and the number of new companies and the number of new jobs. The sign of the coefficient informs about the direction of the correlation and the absolute value about the strength of the relationship.

The correlation coefficient assumes values in the range [-1; 1]. The absolute value of the coefficient indicates the strength of the relationship between the two variables. The most closely related are the variables whose correlation coefficient is close to 1 or -1, and the weakest are those whose correlation coefficient is close to 0 (positive or negative). The sign of the correlation coefficient shows the direction in which the variables are related. When it is positive, there is a so-called positive correlation between the variables. This means that an increase (decrease) in the value of one variable is accompanied by an increase (decrease) in the value of the other variable.

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<sup>10</sup> J. Żyżyński, *Budżet i polityka...* op. cit., p. 185-186.

When it is negative (the so-called negative correlation of variables), it means that an increase (decrease) in the value of one variable is accompanied by a decrease (increase) in the value of the other variable.

The obtained value of the linear correlation coefficient  $r_{xy} = -0,26$  indicates the existence of a statistically negative relationship between the two variables. The coefficient of determination obtained from the Pearson correlation coefficient allows us to conclude that the average rate of growth of new businesses and new jobs in the surveyed 25 municipalities in 10% is explained by the average level of fiscalism in both property taxes. Based on the above research results, it can be concluded that municipalities with maximum tax rates on property tax and transportation tax generate no lower rate of new business growth.

Assuming the assumption that taxes reduce incentives to work by reducing wage levels, then reducing the amount of taxes will increase incentives to work and increase income. This view is only partially correct, as taxpayers, as a result of a reduction in net income by a tax increase, may be mobilized to work to meet their consumption needs. In addition, an increase in net income, through a tax cut, may cause taxpayers to meet their consumption needs more quickly and the propensity for additional income-expansion activity will decrease. Thus, the effect of a reduction in the level of taxation may be to slow down the rate of new business growth, since a reduction in the level of tax rates improves the material situation of taxpayers, and consequently reduces the supply of labor. It should also be borne in mind that in a situation where the local tax system is "saturated" with numerous investment-type concessions, a reduction in taxes weakens their incentive effect. Research shows that in a short period of time it is difficult to show a relationship between the reduction of tax rates and the growth rate of local income. A negative correlation means that the growth in economic activity is lower, the higher the level of marginal tax rates. The obtained correlation coefficients are statistically insignificant, i.e. so small ( $r_{xy} = 0,09$ ) that there is no reason to reject the hypothesis of the existence of a relationship between the level of marginal tax rates in a short period of time. These results do not allow to confirm the theoretical postulates of the school of supply economics. Supporters of this school argue that the reduction of marginal tax rates generally leads to a reduction in labor costs, stimulation of consumption and production, and consequently a shift in the global supply curve. so that the equilibrium point of supply and demand would set a higher level of economic activity and lower prices. This action is to lead to economic growth and lower inflation. These actions may result in an increase in the trade deficit, caused by the growing demand for consumer and investment goods, and an increase in the capital surplus, due to an increase in the inflow of capital from abroad and a decrease in the outflow of domestic capital abroad.

In addition to the impact of the level of fiscalism itself on economic growth, it is also important to analyze the budget structure of local tax revenues (including fees). It will allow to answer the question of how particular types of fiscal revenues affect the growth dynamics of new companies and the increase of jobs. Two tax groups were analyzed. The first are property taxes (on real estate and means of transport), the

second are local taxes. By analyzing the impact of the share of property taxes in local fiscal revenues on the growth rate of new companies, we obtain a Pearson linear correlation coefficient of  $r_{xy} = 0,11$ . The obtained value of the ratio means that there is no statistically significant correlation between the share of property taxes in fiscal revenues and the average annual GDP growth rate. We obtain similar results in the case of the study of the discussed relationship on an annual basis in individual years (2015-2020). By examining the strength and direction of the correlation between real estate tax and tax on means of transport separately, and the average annual growth rate of the number of new companies and the number of new jobs, we also obtain statistically insignificant relationships. The obtained correlation coefficients are respectively  $r_{xy} = 0,04$  and  $r_{xy} = 0,39$ . Thus, the share of the most fiscally efficient taxes on property taxes in the structure of local budgets does not have a significant impact on the dynamics of growth in the number of new companies, both in the short and long term). By examining the strength and direction of the correlation between real estate tax and tax on means of transport separately, and the average annual growth rate of the number of new companies and the number of new jobs, we also obtain statistically insignificant relationships. By determining the strength and direction of the relationship between the share of local fees in the total own fiscal revenues and the average annual growth rate of new companies, we obtain a correlation coefficient  $r_{xy} = -0,03$ . This result proves that there is no negative correlation between the examined variables.

The obtained results of the research do not allow to put forward the thesis that low property tax rates, even correlated with tax reliefs and exemptions, have a statistically significant impact on the location of new companies and job creation without detailed microeconomic analyzes.

Assessment of the impact of property taxes on the behavior of taxpayers, and consequently on the growth of new companies and jobs, requires taking into account the entire external environment, in which taxes are one of the important elements, but it is not an independent element that determines economic growth. A feature of the environment is both the fact that it can inhibit or stimulate economic growth, and the fact that it is shaped independently of the will of taxpayers. The following parts can be distinguished in the surroundings:

1. The state of the market (prices of goods, goods and services, exchange rates, labor costs in local terms, the state and intensity of competition, payment gridlocks, the state of the economic situation, etc.).
2. Road and rail infrastructure, local tax policy, local entrepreneurship development strategy, municipal investment policy, etc.
3. Social and material infrastructure (banking and insurance system, education, corruption, state of administration, justice, etc.).
4. Fiscal and monetary policy of the state (customs, state aid, budget deficit, interest rate, taxes and tax breaks, etc.).
5. Regulatory and administrative impact of the state (legal regulations in individual industries, labor market regulations, sanitary standards, shaping the quality of production, etc.).



## **Impact of taxation on local business development**

Influence of taxes on supply and demand. In microeconomic terms, income taxes influence the shaping of demand, supply, and market equilibrium for a given good, as well as the decisions of producers, consumers and investors. Imposing or increasing a tax on a given good will cause a decrease in revenues from its sale as a result of a decrease in demand for them and a decrease in its net price. The increased gross price is covered in part by the seller and in part by the buyer. The proportions of their share in covering the increased price depend on such economic factors as the price of supply and demand, the possibility of the seller (producer) influencing the level and structure of own costs. In conditions of rigid elasticity of demand, the entire burden of imposing (increasing) the income tax will be borne by the buyer. If the elasticity of supply becomes rigid, this imposition or increase of taxation in these conditions will not cause a change in the gross price of a given good, but its net price will decrease by the amount of the imposed (increased) tax. The seller will bear the entire tax burden. If the demand for a good were infinitely elastic, the consequence of imposing or increasing the tax would be to limit the supply with the gross price increase, until the equilibrium price is reached, determined by the propensity of buyers to pay the higher price. Thus, the less flexible the supply and demand, the smaller the impact of income tax on a given type of economic activity, since the imposition (increase) of taxation does not cause major changes in the allocation of resources. The greater this flexibility, the greater the impact on resource allocations however, its net price will decrease by the amount of the imposed (increased) tax. The seller will bear the entire tax burden. If the demand for a good were infinitely elastic, the consequence of imposing or increasing the tax would be to limit the supply with the gross price increase, until the equilibrium price is reached, determined by the propensity of buyers to pay the higher price. Thus, the less flexible the supply and demand, the smaller the impact of income tax on a given type of economic activity, since the imposition (increase) of taxation does not cause major changes in the allocation of resources. The greater this flexibility, the greater the impact on resource allocations however, its net price will decrease by the amount of the imposed (increased) tax. The seller will bear the entire tax burden. If the demand for a good were infinitely elastic, the consequence of imposing or increasing the tax would be to limit the supply with the gross price increase, until the equilibrium price is reached, determined by the propensity of buyers to pay the higher price. Thus, the less flexible the supply and demand, the smaller the impact of income tax on a given type of economic activity, since the imposition (increase) of taxation does not cause

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Income tax affects the price of the taxed good, and the increase in the price affects the market situation. Increasing tax rates may result in a situation where the taxpayer's gross income for tax remains unchanged - then his net income after tax decreases, or the taxpayer manages to increase gross income, so that his net income after tax does not decrease. In the first case, an increase in taxation may translate into either a decrease in direct consumption or a decrease in savings. The decrease in consumption translates into a decrease in indirect taxation revenues, unless the increase in income tax rates is accompanied by an increase in indirect tax rates. This, however, may cause either a further decline in consumption or a decline in savings and the supply of capital.

In a market economy, allocation decisions are more or less related to the monetary savings of entities. The propensity of entities to save depends both on the interest rate on deposits and inflation, and on the tax rate on capital income (savings). Also, the propensity to invest by economic entities depends on the income from the invested capital. High burdens of capital income may limit its marginal efficiency, causing investments to be allocated in preferential taxed sectors but with lower efficiency, which at the same time distorts investment decisions<sup>12</sup>.

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<sup>11</sup> S. Owsiak, *Finanse publiczne. Teoria a praktyka*, PWN, Warszawa 1997, p. 155-158, 172-175.

<sup>12</sup> Some researchers suggest the existence of a statistically significant impact of taxes on investment. The flexibility of the investment in relation to the cost of capital ranges from 0,25-1,0. In the US, every billion dollars in tax revenue decrease was accompanied by an increase in R&D spending by approximately \$ 2 billion. There are suggestions in the literature that the abandonment of the capital tax and the introduction of the consumption tax mean that investment decisions are not distorted by tax policy. With inflation of 3%, investment financing half with debt, half with equity, and a shift from taxing capital to consumption tax, investment increases by 10% and increases social wealth from a permanent reduction in capital taxes ranging from 25 cents to one dollar. for a one-dollar reduction. Low inflation is the best means of supporting investments as it lowers the cost of capital (high inflation translates into a rising interest rate, it also reduces profits on the stock market and this discourages investing in

Undoubtedly, high taxation limits private investment by reducing the proportion of income potentially earmarked for investment, leaving taxpayers only with sufficient resources for consumption. Some researchers<sup>13,14</sup> take a different view, proving that a high level of fiscal burden does not reduce the attractiveness of risk-free investments compared to risk-free investments for two main reasons. First, taxation reduces the overall level of a taxpayer's income, which may change the attitude towards risk. This effect occurs regardless of the form and method of income taxation, and depends only on the amount of tax, i.e. the scale of the reduction of income after tax. Whether the tax reduces or increases risk-taking depends on the shape of the utility function. Second, as Young argues, high effective taxation reduces the scope of expected income after tax, prompting operators to take risks. Of course, Young's assumptions may seem somewhat controversial, because high effective tax rates, by reducing the taxpayer's income, do not necessarily induce him to increase risk. Moreover, Young adopts a simplifying assumption that all taxpayers do not differ in the degree of risk aversion, thus concluding that a non-negative tax scale is risk neutral if and only if it equalizes either an absolute or a proportional sacrifice<sup>15</sup>. If  $U(x)$  represents utility for income  $x$  in the absence of taxation,  $t = f(x)$  is the tax scale, then  $V(x) = U(x - t)$  is the taxpayer's utility for after tax income. The tax scale is risk-neutral if the taxpayer makes the same choices in taxation and in the absence of taxation. Since the utility of von Neumann – Morgenstern is determined for a positive linear transformation, it is the same as saying that  $V(x) = U(x - t) = AU(x) - B$  for  $A > 0$ . If  $A = 1$ , then  $U(x) - U(x - t) = B$ , it means that  $t$  equalizes absolute sacrifice. In a situation where  $A \neq 1$ , and  $b = B(1 - A)$ , then  $[U(x - t) + b] / [U(x) + b] = A$ . By assumption  $t \geq 0$ , and  $U$  is ascending, so  $A < 1$ . So the tax equalizes the sacrifice at a rate of  $1 - A$ <sup>16,17</sup>. It should be noted that the above argument has some weaknesses. First, the utility function cannot be estimated individually for each taxpayer, and therefore individual taxpayers' decisions should not be "averaged". Moreover, the degree of risk aversion varies, which significantly affects the division of social roles and the social division of labor, as well as consumption and investment decisions made by taxpayers.

In the light of the clastic theory of economics, the amount of savings of households (companies – shareholders) is influenced by the rate of return on savings, which constitute "non-consumed" income. Savings are the result of the choice of a specific consumption structure by households over time by comparing the subjective value of current consumption against future consumption (discount rate) with the market

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companies increasing capital). The combination of anti-inflationary monetary policy and the shift from income tax to consumption tax significantly stimulate investment. Research suggests high flexibility of the capital stock in terms of its cost over a long period of time.

<sup>13</sup> H. P. Young, *Eguity*. In *Theory...* op. cit.

<sup>14</sup> H.P. Young, *Progressive Taxation and Equal Sacrifice*, "The American Economic Review" 1994; 80: 255.

<sup>15</sup> Taxpayers clearly differ in the degree of risk aversion, so there is no tax function that is neutral for each taxpayer.

<sup>16</sup> See more: H. P. Young, *Eguity*. In *Theory and Practice*, Princeton 1994, p. 112.

<sup>17</sup> H. P. Young, *Progressive Taxation and Equal Sacrifice...* op. cit.

interest rate determining the degree of increase in future consumption as a result of abandoning current consumption (interest rate). Taxation of capital gains (interest on bank deposits, bonds, units in investment funds, dividends on company shares) reduces the effective rate of return, thereby lowering the savings remuneration. As a consequence, one should expect a decrease in the level of savings (substitution effect), but there is also an income effect – a decrease in the effective rate of return on savings translates into a reduction in the level of household wealth. This may limit current and future consumption. Limiting current consumption may result in an increase in the level of savings. The effect of a decrease in the real net rate as a result of taxation of savings income is not clearly defined due to the occurrence of substitution and income effects. Economic research shows that in the long run the substitution effect is stronger than the income effect and a decrease in the net return rate is in line with a decrease in the supply of savings. This may limit current and future consumption. Limiting current consumption may result in an increase in the level of savings. The effect of a decrease in the real net rate as a result of taxation of savings income is not clearly defined due to the occurrence of substitution and income effects. Economic research shows that in the long run the substitution effect is stronger than the income effect and a decrease in the net return rate is in line with a decrease in the supply of savings. This may limit current and future consumption. Limiting current consumption may result in an increase in the level of savings. The effect of a decrease in the real net rate as a result of taxation of savings income is not clearly defined due to the occurrence of substitution and income effects. Economic research shows that in the long run the substitution effect is stronger than the income effect and a decrease in the net return rate is in line with a decrease in the supply of savings<sup>18</sup>.

If, in the long run, tax cuts lead to an increase in the local budget deficit, taxpayers expect an increase in taxes in future periods (or an increase in utility prices). Taxpayers will save a portion of the additional disposable income derived from the tax cut, seeking to even out the distribution of consumer spending over time. Assuming intergenerational altruism, we get the same effect, regardless of whether taxes will increase during the life of the household or whether the increase in taxes will affect its descendants. Thus, we are dealing with a substitution between savings in the public and private sectors, with the studies of the economies of the EU countries and the American economy not confirming the full substitution of public savings with private savings<sup>19</sup>. If households treat the retained earnings of their enterprises as

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<sup>18</sup> The results of the estimation of savings elasticity carried out on the basis of OECD countries data do not confirm the strong correlation between the real interest rate and the supply of savings, which may undoubtedly be influenced by the liberalization of financial markets and the scale of international capital flows. Panel studies conducted on 21 OECD countries showed that taxation of income from capital causes a small but statistically significant decrease in savings (the elimination of the tax on capital gains with an average rate of 40% translates into an increase in savings by about 0,5% of GDP). See more: V. Tanzi, H. H. Zee, *Taxation and the Household Saving Rate: evidence from OECD countries*, „IMF Working Paper” 1998.

<sup>19</sup> The correlation coefficient is below one, and some deviations only apply to special cases (rapid increase in the budget deficit, substitution between public savings and private savings in the pension and social security sector).

their own savings, the level of taxation of corporate income may significantly affect household savings. Households can save more when firms keep less profits and save less when firms keep more profits. In a situation where the marginal propensity to save of households with a significant share in corporate profits is higher than the average in the population, an increase in the tax burden on corporate profits (income) combined with a reduction in personal tax may result in a reduction in the aggregate private sector savings<sup>20</sup>. Summing up, it can be concluded that the growing taxation of savings income may lead to a decrease in aggregate savings stimulating investment goals, mainly by reducing disposable income, lowering the return on savings and the transfer of income between households with different propensity to save.

The factor that has a significant impact on the size of the investment is the cost of capital, depending on the interest rate<sup>21,22</sup>. Taxing investment income or savings increases the difference between the pre-tax return on investment and the post-tax return on savings. Thus, it is a specific tax wedge between the supply of savings and the demand for capital, which generates a decrease in the net return on savings and an increase in the gross return on investment and, consequently, a decrease in investment outlays<sup>23</sup>. When analyzing the impact of taxation of investment income, one should focus on effective tax rates, because very often lowering nominal (statutory) rates does not have to positively stimulate investment growth, if the accompanying changes in tax law (e.g. elimination of tax reliefs) lead to an increase in real tax burdens.

### **Social and economic development of the commune in the context of the level of own tax revenues**

The multiple linear regression method was used to assess the relationship between the variables characterizing the growth of new companies and jobs and the variable describing own income from property tax and tax on means of transport of shrinking cities. This method is used to show a statistically significant linear relationship between the dependent variable and the explanatory variables. It also makes it possible to indicate the strength and direction of this relationship by interpreting the

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<sup>20</sup> E. Nojszewska, M. Rojek, Rozważania na temat konsekwencji wprowadzenia reformy podatkowej w Polsce – inwestycje z uwzględnieniem oszczędności oraz rynek pracy z uwzględnieniem kapitału ludzkiego, [in:] Kierunki reformy polskiego systemu podatkowego, A. Pomorska (ed.), UMCS, Lublin 2003, p. 153.

<sup>21</sup> See more: R. Gordon, M. Dietz, Dividends and Taxes, NBER, Working Paper 12292, June 2006; A. J. Auerbach, Who Bears the Corporate Tax? A review of what we know, NBWR, Working Paper 11696, October 2005; A. J. Auerbach, K. Hassett, Dividend Taxes and Firm Valuation: New Evidence, NBER, Working Papers 11959, January 2006.

<sup>22</sup> A. J. Auerbach, The Future of Capital Income Taxation, "Fiscal Studies" 2006; 24(4): 399-420.

<sup>23</sup> The complexity of tax law through numerous tax reliefs and exemptions, rules for deducting depreciation write-offs, inventory valuation, deduction of foreign exchange gains and losses, etc., results in the lack of a simple relationship between the gross return on investment and the net return on savings, determined by statutory tax rates.

parameters of a linear equation (econometric model). The spatial scope of the research covered 25 communes of Małopolska, where reduced tax rates were observed and numerous incentive tax reliefs and exemptions were introduced into local law. The time scope of the research covered the years 2015-2020. In the conducted research, the explained variable (Y) was assumed to be the share of own income from property tax and tax on means of transport of income in total tax income of municipalities. It is the basic indicator describing the income independence of municipalities, which synthetically presents the most important sources of own income. The explained variables (Xn) were indicators that relate to the development of entrepreneurship through the increase in the number of new companies. The following variables were used in the research, which are also variables describing significant subelements stimulating the development of local entrepreneurship, distinguished on the basis of the author's interviews with the authorities of the surveyed communes. The adopted variables are: the degree of development of water supply and sewage infrastructure, (X1); the degree of development of road infrastructure and the amount of land prepared for investment (X2); number of natural persons running a business per 100 persons of working age (X3), number of entities of the national economy per thousand persons (X4), value of the relation of newly registered entities to entities removed from the REGON register per ten thousand people (X5); share of the registered unemployed in the working-age population (X6), the share of the employed in the working-age population (X7); number of post-working age population per one hundred working age population (X8), net internal migration in the commune (X9), net international migration in the commune (X10). In order to make a correct inference from linear regression analysis, the assumptions of this method must be met. In the research, they were verified by the following tests: linearity of the model with respect to parameters (Ramsey test), number of observations (municipalities) is greater than or equal to the number of estimated parameters, significance of parameters (Student's t-test), no collinearity of parameters, the expected value of the random component is equal to zero, the random component is homoscedastic, and the random component is normally distributed. The above assumptions were tested at the significance level of  $p = 0,05$ . Econometric calculations were made in Statistica and Excel the random component is homoscedastic and the random component is normally distributed. The above assumptions were tested at the significance level of  $p = 0,05$ . Econometric calculations were made in Statistica and Excel the random component is homoscedastic and the random component is normally distributed. The above assumptions were tested at the significance level of  $p = 0,05$ . Econometric calculations were made in Statistica and Excel.

As shown by the multivariate linear regression analysis, revenues from property tax and tax on means of transportation as a proportion of total tax revenues, as well as the saturation of the local tax system with concessions and exemptions, were not statistically significantly related to factors of local entrepreneurship development, as measured by the growth of new businesses and jobs. This proves the lack of relevance of the hypothesis adopted in the study assuming a relationship between

the amount of taxes on real estate and means of transportation, as well as concessions and exemptions in these taxes, and the growth of new businesses and jobs. The multivariate linear regression equation can be written in the following form:  $Y = 32,19 + 0,45X_3 - 0,40X_6 + 0,01X_7 + e$ . A multivariate linear regression analysis was also carried out for municipalities where significant investments were made in road infrastructure and site preparation. The multiple linear regression equation can be written as follows:  $Y = 53,94 + 1,37X_1 - 0,67X_6 + 0,29X_7 + e$ . The interpretation of the parameters of the obtained equation is analogous to the previous equation. Thus, the obtained result can be interpreted in such a way that the greater the scale of the process of preparing economic and social infrastructure for investment, the more forms located their centers in the municipality. The conducted research confirms the thesis that the competitiveness of a commune is a product of the behavior of both economic entities (taxpayers) and local government. The tasks of the local government commune include, first of all, the creation of an appropriate macroeconomic climate, conducive to the functioning of economic entities at the microeconomic level. This statement is of particular importance in relation to economic entities, including transport companies, which are not able to exert a significant influence on the environment (e.g. infrastructure, local taxes, etc.). Therefore, it can be assumed that the competitiveness of companies depends to a much greater extent on the nature of external conditions and the ability to adapt to these conditions. Therefore, it depends to a much greater extent on the socio-economic policy implemented in the country (contributions, concessions, formal requirements, etc.) than local tax policy. Assessment of the impact of a reduction in tax rates on means of transport and real estate tax on the behavior of taxpayers and, consequently, on the theoretical increase in the number of companies (increasing the tax base of a given Rzeszów commune) requires taking into account the entire external environment, in which both analyzed taxes are one of the important elements, but not it is an independent element that determines the stimulating function of the rate reduction. A feature of the business environment is both the fact that it can inhibit or stimulate the profitability of individual companies and the entire industry, and that it is shaped independently of the will of taxpayers.

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The following parts can be distinguished in the surroundings:

1. The state of the market (prices and exchange rates, the state and intensity of competition, payment gridlocks, the state of the economic situation, etc.).
2. Social and material infrastructure (banking and insurance system, education, corruption, state of administration, justice, etc.).
3. Fiscal and monetary policy of the state (customs, state aid, budget deficit, interest rate, taxes and tax breaks, etc.).
4. Regulatory and administrative impact of the state (legal regulations, labor market regulations, EU sanitary standards, shaping the quality of production, etc.).

LGU's have a wide set of instruments for stimulating entrepreneurship development, but they are very rarely used in the form of a comprehensive and well-thought-out strategy with multifaceted impact. The instruments of municipal support for entrepreneurship development can be divided into two main categories: financial and non-financial. The main financial instruments include: revenue instruments of budget policy (local taxes and fees), investment spending, external sources of financing (bank credit, municipal bonds and EU funds) and public-private partnerships. The main non-financial instruments include: the effectiveness of the municipality's promotion, investor services, social policy, support for innovation, the "climate" around public procurement, business incubators, industrial parks, and the use of consulting assistance. The essence of the commune's competitiveness can be understood as the ability to compete effectively, leading to the achievement of maximum benefits. Economic and investment competitiveness of a commune is one of the partial competitiveness of a commune, understood as the ability to achieve a high position in the field of economic and investment attractiveness<sup>24</sup>.

Based on the results of the author's own research (case studies of 100 companies), it can conclude that the key factors that determined the choice of the location of the business are:

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<sup>24</sup> Among other types of partial competitiveness of a commune, we can distinguish: environmental, cultural, climatic, social competitiveness, etc.



1. Infrastructure (banks, leasing companies, the labor market, the state of the market) and the proximity and accessibility of the commune, the quality of communication routes. 70% of indications in questionnaires for these features.
2. Proximity of main clients, easy implementation of business functions (offices, institutions, etc.). 10% of indications in questionnaire surveys.
3. Only 12% mentioned the rates of local taxes and fees, but for 70% of entities the most important were the rates of rent and rent, water and real estate tax rates or parts thereof used for business activities.

Financial instruments of the commune's budgetary influence on the development of entrepreneurship and economic and investment competitiveness of the commune can be considered from the point of view of their effectiveness and efficiency. However, this is not an easy task. Determining the effectiveness of the tax instruments or investment expenditures used by the commune requires a detailed analysis of the effects of changes caused by them, both in individual economic entities and in the scale of the entire community. This analysis is not always possible and is very expensive. Similarly, many difficulties are caused by examining the degree of effectiveness. In addition to the correct diagnosis, it is necessary to quantify these identified changes, which are qualitative in nature. It is very difficult to quantify the correlation between the importance for the development of a given commune, e.g.

### **Development of local entrepreneurship from the perspective of various support instruments - financial and non-financial**

The tax policies of communes have been divided into two groups. Firstly, the policies for harmonizing tax regulations in the local perspective – they were considered using models of the impact of these policies on local demand and the growth of new companies, as well as policies in the field of tax burdens, determining how the tax burden is divided between two local taxes – real estate tax and means of transport (the application of these policies was considered from the supply side). From the point of view of local economic policy, an important issue is the answer to two questions. First, what would be the effects of applying a different policy in terms of the amount of tax burdens and the applied reliefs over a certain historical period, and would a change of policy be beneficial in terms of a faster growth rate in the number of new economic entities? Secondly, what possible effects can be achieved in the future as a result of changing the policy of unifying tax regulations in the local approach to a different one in relation to the continuation of the current policy? The answer to these questions is crucial when it comes to assessing the quality of the tax policy of municipalities applied so far and possible options for the future. The key assumptions made in this simulation can be defined as follows. Firstly, the change by a given commune of the tax policy (unifying tax regulations) to the policy applied by another commune produces the same or similar effects as in the neighboring commune (competitive in terms of location). This means that the strength and direction

of the impact of the variables that unify tax policies on the number of new companies after the adoption of the new policy is the same as in the country, from which this policy comes. Secondly, the remaining variables affecting the number of newly remaining companies in the commune changing the tax policy have an unchanged effect, which means the adoption of the *ceteris paribus* principle. However, this unchanged level of impact on the number of new firms of the remaining variables may also be analyzed and may affect the size of the increase in new firms and jobs.

The following variables were distinguished as part of the study:

- X1t – the size of the local budget (the value of the budget of the examined commune),
- X2t – the amount of own tax revenues in total budget revenues,
- X3t – commune investment expenditure,
- X4t – municipal social expenses,
- X5t – promotional expenses of the commune,
- Y1t – index for Unifying Property Tax Rates,
- Y2t – index of harmonization of tax rates on means of transport,
- Y3t – Local Services Price Unification Index,
- Z1t – subsidies and subsidies,
- Z2t – co-financed commissioned tasks.

These variables were used with time lags reaching the period t-4. Quarterly data on time series are taken from the Eurostat Metabase. For model estimates, in order to meet the stationarity postulate, variables were used that were the difference of logarithms of the variable in the period t and of the same variable in the period t-1. The transformed variables had very interesting properties. They represented the logarithms of the quarterly rate of increase or decrease of a given economic quantity. For example:  $X1 = \ln X1t - \ln X1t-1 = \ln (X1t / X1t-1)$ . Having the estimated values of X1t and the delayed value X1t-1, it was possible to estimate the absolute values of X1t transformed according to the formula:

$$(X1t / X1t-1) = e^{X1t}, \text{ that is: } X1t = X1t-1 \times e^{X1t}$$

Estimates of X1 in the form of log differences have been reduced to absolute values using the properties of the logarithms specified above. The following procedure was used to estimate the effects of the policy of unifying tax regulations on a local basis on a different one in relation to the continuation of the existing policy: regression models were estimated in which the explained variable is X1t and the explanatory variables are components stimulating the local development of entrepreneurship, measured by the number of new companies and jobs: X2t, X3t, X4t, X5t and variables in the field of unifying tax regulations in the local approach, i.e.: Y1t, Y2t, Y3t for 20 LGU's. All estimated regressions had good and very good econometric properties. The X1t regression errors were not large. This allowed for the adoption of a simplification, that the estimates are simulation regressions and that they represent constant and time-invariant linear relationships. These estimates are called simulation regression functions. It was assumed that the explanatory variables in simulation regression functions may be delayed. In the

regression functions for all communes, it was assumed that the changed policy of unifying tax regulations in the field of real estate tax and tax on means of transport exactly copies the way of influencing another commune in which such a policy was applied before, leaving the impact of other variables unchanged. These types of functions are called simulation regression functions. The simulation regression functions have been developed in two variants: when accepting time delays of a commune changing the policy and when accepting time delays from the commune from which a given policy comes and is implemented. The following estimates of the linear regression function  $X1t$  were obtained for selected 5 municipalities marked with letters from A to E depending on the factors stimulating the increase in the number of new companies and the variables unifying the tax policy at the local level.

**Table 1.** Estimates of the linear regression function  $X1t$  were obtained for selected 5 municipalities marked with letters from A to E

| Variable | X1t                |                    |                   |                   |                   |
|----------|--------------------|--------------------|-------------------|-------------------|-------------------|
|          | LGU A              | LGU B              | LGU C             | LGU D             | LGU E             |
| X2t      | 0,78498            | 0,26524            | 0,59702           | 0,40490           | 0,59033           |
| X3t      | 0,20757            | 0,11774            | 0,18698           | 0,095524          | 0,29441           |
| X4t      | 0,23168            | 0,1345             | 0,66842           | 0,052638<br>(t-1) | 0,72973           |
| X5t      | -0,34158           | -0,14452<br>(t-3)  | -0,48873          | 0,086026          | -0,71580          |
| Y1t      | -0,060931<br>(t-1) | 0,21510<br>(t-3)   | 0,20393<br>(t-2)  | -0,63618          | 0,13315<br>(t-4)  |
| Y2t      | 0,020619<br>(t-1)  | 0,28506<br>(t-3)   | 0,20370           | -0,13517<br>(t-3) | -0,14716          |
| Y3t      | 0,00456            | -0,20527<br>(t-1)  | 0,1109            | -0,1450           | 0,031420<br>(t-4) |
| Z1t      | 0,0017793<br>(t-1) | 0,0034582          | -0,0028525        | -0,0987           | 0,04560           |
| Z2t      | 0,0061405<br>(t-3) | -0,021503<br>(t-1) | 0,011013<br>(t-1) |                   |                   |
| Ut       | 0,00114533         | 0,0036941          | 0,0021462         | 0,0013855         | -0,0015183        |
| R2       | 0,97548            | 0,94967            | 0,96863           | 0,99066           | 0,99152           |
| DW       | 2,1997             | 2,0098             | 2,1592            | 1,9853            | 2,4594            |

Source: own elaboration

The obtained results were confronted through face-to-face interviews with employees of the analyzed 20 municipalities. Research of a “soft” nature confronted with budget data confirms the thesis that the local tax policy itself (adopted tax strategy) is not the only and sufficient (often not very important) factor determining the investment attractiveness of a given municipality expressed in the number of new companies, new investments and, consequently, new jobs. The study of the strategic documents of 20 municipalities and adopted strategies in various areas of socio-economic development, including in-depth face-to-face interviews, allows us to formulate the following conclusions.

## **Conclusions**

It is important for the socio-economic development of the municipality to have a long-term development strategy or a study of the conditions and directions of spatial development or other similar document positively influences entrepreneurship, as the vast majority of municipalities (85%) are characterized by high values of Pearson's correlation coefficient  $r_{xy} = 0,69$  (the influence of the strategy on the increase in the number of new companies). An effective instrument for supporting entrepreneurship is also the local zoning plan, along with the preparation of specific investment trenches (preparation of land with technical development – access roads, power and sewage network, gas network and a special fast way to serve entrepreneurs, etc.). Analyses showed that 80% of municipalities that had a plan were characterized by high correlation values  $r_{xy} = 0,63$  (the influence of a comprehensive land use plan with full preparation of land for investment on the increase in the number of new companies). The research further showed that informing interested parties about available funding opportunities on municipal websites is an effective instrument for supporting entrepreneurship. The largest number of municipalities declaring the use of the Internet for the purpose in question is characterized by the highest level of new business growth. Mass media are another effective instrument for informing people about available funding opportunities, despite the fact that they were used less frequently as brochures, whose effectiveness was not confirmed.

The research shows that in order to raise the level of entrepreneurship in the commune, loyal authorities should undertake marketing activities, advertise the commune outside, help in finding free land or premises, assist in the recruitment and training of employees, provide advice, including legal and financial advice, and provide individual services in registering business activities, run the unit's website, preferably translated into foreign languages, promote the commune at foreign fairs and have a separate organizational unit or position for servicing foreign investors. There is no doubt that municipalities they use a diverse range of activities supporting the development of entrepreneurship.

However, it is difficult to clearly indicate which of the activities are more effective than others, but it can certainly be indicated that the use of one selected tool will not bring such good results. effects, such as the use of a whole well-chosen and

constructed support system for newly established enterprises. For example, the reference to tax preferences as the main (main) determinant of stimulating entrepreneurship is not decisive (as shown in the research). As a result of the conducted analyzes, it can be concluded that the key, apart from the above-mentioned preferences, and sometimes even more important, is infrastructure and the policy of its development, as well as the instruments used, such as: fast administrative path, as well as predictability of local financial policy (expressed in e.g. a moderate increase in the level of taxes and local fees) and a stable pricing policy for municipal services.

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## EVOLUTION OF THE PROCESS MANAGEMENT CONCEPT IN AN ORGANISATION INCLUDING QUALITY SYSTEMS (SELECTED PROBLEMS)

### *Ewolucja koncepcji zarządzania procesowego w organizacji z uwzględnieniem systemów jakości (wybrane problemy)*

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#### **Streszczenie**

*Zarządzanie procesowe polega na traktowaniu wszystkich zadań w organizacji jako pewnego rodzaju ciągu sekwencji, które zgrupowane są w ramach jednego procesu. Celem organizacji staje się efektywne zaspokojenie potrzeb klienta poprzez realizację własnych celów strategicznych i operacyjnych, definiowanych na bazie wartości dodanej wytwarzanych dla klienta dóbr oraz usług. Taka struktura zadań generuje większą skuteczność działania, efektywniejsze wykorzystanie zasobów i potencjału pracowników oraz ustrukturalizowany wzrost ich kompetencji. Sprawność działań przedsiębiorstwa jest weryfikowana oraz realizowana poprzez identyfikowanie, projektowanie i optymalizowanie procesów, standaryzowanie działań i sterowanie ich przebiegiem. Takie podejście daje możliwość elastycznego dostosowania się do otoczenia i zmian w nim zachodzących. Przewaga konkurencyjna budowana jest na podstawie dynamiki działania i efekt, a nie realizację poszczególnych zadań oraz czynności.*

**Słowa kluczowe:** zarządzanie procesowe, zarządzanie jakością, systemy jakości, zarządzanie funkcjonalne, racjonalność ekonomiczna, optymalizacja działań, potrzeby klienta, zarządzanie efektywne

## **Summary**

Process management consists of treating all tasks in an organisation as a kind of sequence, which are grouped under one process. The aim of the organisation becomes the effective satisfaction of customer needs through the realisation of its own strategic and operational goals, defined on the basis of the added value of the goods and services produced for the customer. This structure of tasks generates greater efficiency, more effective use of resources and employee potential, and a structured increase in their competences. The efficiency of a company's operations is verified and realised by identifying, designing and optimising processes, standardising activities and controlling their course. This approach offers the possibility to flexibly adapt to the environment and changes in it. Competitive advantage is built on the dynamics of action and effect, rather than the implementation of individual tasks and activities.

**Key words:** process management, quality management, quality systems, operational management, economic efficiency, optimisation of performance, customer needs, effective management

## **Introduction**

In each organisational unit there are two basic groups of processes: basic processes (also called main or key processes), these are processes for the implementation of which the unit was established and which result directly from the statutory activity of the organisation, are strategic for it and largely contribute to the achieved financial results, the main feature of this group of processes is the creation of added value; and auxiliary processes (also called supporting processes), these are processes whose purpose is, as the name suggests, to support the functioning and implementation of key processes; one of their basic features is not the creation of added value as in the case of basic processes, but the generation of additional costs<sup>1</sup>.

In management systems, due to the nature of the global interaction in the organisation, an additional group of processes can be distinguished from the auxiliary processes, the so-called management processes. A characteristic feature of this group of processes is that they have a unidirectional effect and control the primary and secondary processes in terms of measuring their optimisation, establishing compliance with requirements and objectives as well as verifying the status of the implementation of preventive or corrective actions to non-compliances that have arisen. Management processes are responsible in an organisation for<sup>2</sup>:

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<sup>1</sup> M. Zairi, Sinclair D., Business process re-engineering and process management, „Business Process Re-engineering & Management Journal” 1995; 1(1): 7-8.

<sup>2</sup> R. Wysocki, Efektywne zarządzanie projektami/Tradycyjne, zwinne, ekstremalne, HELION, Gliwice 2013.

- vision building, i.e. setting the direction of the organisation,
- strategic planning, i.e. they plan the realisation of predetermined goals over a longer time interval (more than one year),
- short-term planning, i.e. they plan the realisation of predetermined short-term operational goals (up to one year),
- setting short- and long-term objectives,
- resource allocation, i.e. they manage and supervise the resources held by the organisation (financial resources, physical resources and human capital),
- human capital management,
- monitoring and evaluation of activity, i.e. they carry out evaluation of the compliance of the actual state with the accepted assumptions and requirements in the identified processes and grade the organisation's activity on the basis of the information collected and analysed.

The management processes in each organisational unit (which has a management system) are similar and oversee the following areas<sup>3</sup>.

Documentation functioning in the organisation, (requirement – clause 4.2.3 of ISO 9001:2008). One of the most important aspects of management is the development and supervision of a set of documents determining the requirements on the basis of which the organisation functions. Correctly designed documentation constitutes the framework as well as the foundation on which the management system is built. All persons occupying specific positions in the organisation must at all times have at their disposal up-to-date external and internal regulations defining the scope of their work and responsibilities. A necessary and absolute condition for the functioning of any organisation is to ensure the correct circulation and supervision of the creation, distribution and validity of documents affecting the correct functioning of identified processes, but also to ensure the smooth flow of communication at every level of management.

Created in the course of current work - records, in accordance with point 4.2.4 of ISO 9001:2008. Both in the case of the documentation functioning in the organisation and the records created in the course of its processing, their supervision is important from the viewpoint of the management system. The essence of supervision over the records is to ensure their traceability, accessibility and, what is important, preparation of records and their later storage, among others for the purpose of preparation of various reports, analyses, as well as providing evidence during the audit.

Internal audits, in accordance with sec. 8.3 of ISO 9001:2008. Another very important stage of grading the compliance of the functioning system with the requirements specified in the documentation is conducting internal audits of the management system. It is necessary to determine supervision as well as to define the individual stages of conducting internal audits by creating an annual programme of internal audits as well as its subsequent conduct and documentation of the resulting observations, findings and conclusions. The results of the audits and their analysis form the basis for a proper assessment of the effectiveness of the implemented system.

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<sup>3</sup> J. Vom Brocke, T. Schmiedel, J. Recker, P. Trkman, W. Mertens, S. Viaene, Ten principles of good business process management, „Business Process Management Journal” 2014; 20(4): 2-7.



A non-conforming product or service, in accordance with sec. 8.3 of ISO 9001:2008. Each organisation, in order to ensure the highest possible level of quality of the products or services it offers, in the case of detecting a non-conformity of a product or service, i.e. non-fulfilment of requirements (i.e. defects, faults, shortcomings or other factors influencing the level of customer satisfaction) should ensure ongoing monitoring of each stage of the product or service implementation. Continuous monitoring is aimed at the rapid identification of non-conformities, their proper identification, marking and supervision in order to isolate them from inappropriate use, as well as the rapid elimination of non-conformities. Once a non-conformity has been identified, the employee responsible for the non-conformity (the employee controlling the area in which the non-conformity occurred) is required to ensure that the causes of the non-conformity are eliminated and the potential causes of the non-conformity are evaluated in terms of their significance and likelihood of occurrence.

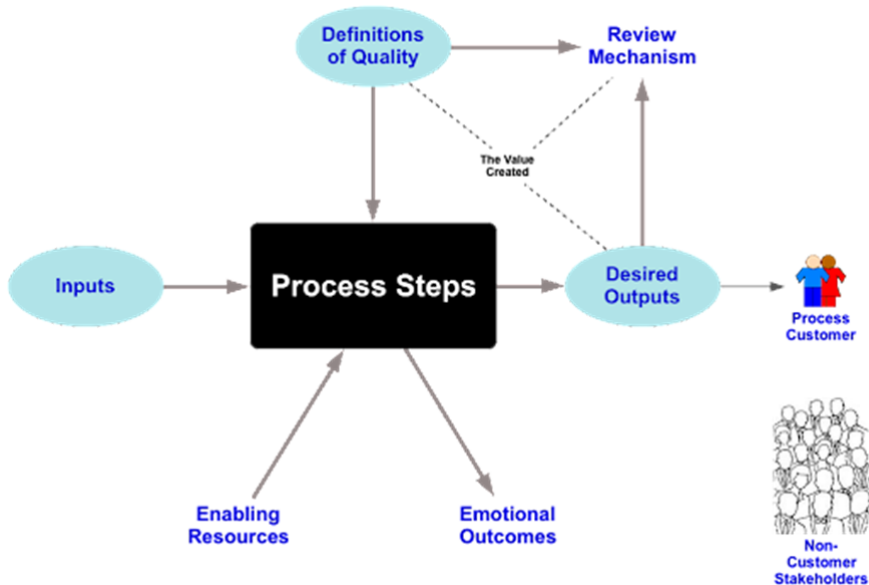
Corrective and preventive actions taken in relation to the detected nonconformities, in accordance with sec. 8.5.2 and 8.5.3 of ISO 9001:2008. After finding the occurrence of a nonconformity (failure to fulfil the requirement) either during the audit or in the course of ongoing work, the management standards prescribe taking corrective actions with respect to it in order to prevent its recurrence. Each employee has the right to report the occurrence of nonconformity or potential nonconformity by indicating and describing the area (process) in which it occurred, giving the circumstances, place and evidence. In a further stage of processing the reported nonconformity, the persons responsible for the occurrence of the nonconformity analyse it, giving the reasons for its occurrence and proposing actions to eliminate it completely.

## **The concept and essence of the process**

The process approach is based on the assumption that activities should be optimized taking into account processes, not functions, therefore the process is a natural determinant of achieving an increase in the efficiency of a modern organization. Streamlining operations based on the analysis of processes allows for the dynamization of the organizational system. The systemic mechanism of the organization's functioning makes its members aware that it is a specific ecosystem of elements with a complex system of interdependencies. Interference with even one element of the system can destroy the logic of its functioning and threaten the existence of the whole. The basic principle that is used to build the configuration of team activities is their division into elements so that they become understandable and can be quickly mastered by a human. Such a category is a process, treated as a dynamic object around which a system of intra-organizational relations is built<sup>4</sup>.

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<sup>4</sup> Compare: M. Trocki, B. Gucza, K. Ogonek, Zarządzanie projektami, PWE, Warszawa 2003; M. Trocki, Organizacja projektowa, PWE, Warszawa 2014.



**Figure 1.** Process management

Source: <http://www.i4process.com/2335/the-first-look-at-a-process-definition/>

Each activity or set of activities can be presented as a process, as a result of which from a certain initial value, i.e. input, we obtain a result, i.e. input transformed and enriched with added value, which is the result of the process.



**Figure 2.** BPM scheme

Source: <https://pyrus.com/en/blog/business-process-management>

A process-oriented organization can be considered when<sup>5</sup>:

- processes have been identified, the number of which should not exceed several dozen,
- process connection maps have been built,
- there is a system for measuring the results of processes,
- the process of process management is carried out, aimed at their permanent improvement.

Features of the process organization:

- internal implementation of the principles of mutual relations in the client-supplier system, which in practice entitles the members of the process organization to negotiate between themselves the conditions of implementation and reception of the effects of work of business partners;
- team nature of work performed in the process organization, which means broadening its subjectivity;
- designing the course of operations in processes adapted to the contract in order to obtain the maximum effect of adapting the process organization to the complex level of meeting customer expectations;
- empowering implementers to make the necessary decisions and actions in the performance of operations in processes, which allows the client to be brought closer to the contractor, the creator of the added value of the product or service;
- configuration of the organizational structure, taking into account the pro-customer orientation of intra-organizational relations.

The orientation of management systems towards processes was created as a response to the common, static view of the logic of the organization's functioning. The division of the internal organizational structure into independent divisions, units and positions makes it easier to assign them tasks, competences and responsibilities. The functional division of tasks may facilitate planning and control, it generates a system in which they usually have narrow work scopes. It is also easy to allocate the costs of the activities conducted to separate units on the basis of the cost centers, and not the efforts related to the production of products and / or services. The problems faced by modern companies relate to processes, not tasks. The client is not interested in what tasks the supplier or contractor performs, but what is the effect of his actions, i.e. the value he receives as a result of the process.

Complementing the understanding of the process category is the formulation of the term "task". The concept of a process unequivocally excludes tasks performed by individual employees. Examples of such individual activities include a secretary rewriting letters, an accounting officer inserting invoices into envelopes, or a worker at the assembly line putting wheels on vehicles. All these employees perform tasks that are part of the processes. The definition of "process" emphasizes the fact that

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<sup>5</sup> See more: E. Skrzypek, M. Hofman, Zarządzanie procesami w przedsiębiorstwie. Identyfikowanie, pomiar, usprawnianie, Wolters Kluwer Business, Warszawa 2010.

a process is not what people do – its essence is a series of actions or tasks performed that lead to the creation of a specific product<sup>6</sup>.

There are the following reasons why companies decide to reorient their company's vision towards process solutions:

- The tasks performed do not relate to the company's value;
- In most companies, no one manages the processes and no one is responsible for them;
- There is a significant level of bureaucracy in companies (e.g. a complicated workflow or description of tasks), which makes it difficult to operate efficiently;
- Many different procedures and instructions are created in companies, which means that knowledge about functioning is dispersed;
- Nobody can coordinate one whole process, there are many people involved in the processes, but it is not the work of one functional department;
- Fragmented processes and specialized structures are usually not flexible enough for companies to react to significant external changes;
- Lack of control of the effectiveness of processes (costs, quality, time).

Process management is an activity consisting in the optimization of the structure of the elements of the organization, due to their influence on directing the value of the final effect of the separated processes. It is therefore an attempt to maximize the share of value-adding elements in this structure and to minimize the share of ineffective operations. In practice, this means looking for such an operation structure, i.e. process components, which would be maximally focused on creating added value for the entire organizational system, and thus its individual parts.

## **Process management concept development**

Research on the concept of process management dates back to the mid-1980s. The results of these studies date back to the beginning of the 1990s. It was then that reengineering appeared – Business Process Reengineering (BPR) as one of the restructuring methods. Reengineering is the most radical method, as it is usually rapid, and its implementation sometimes involves a complete abandonment of the current form of organization of specific processes in the enterprise and their construction from the beginning. The authors of the reengineering concept are Michael Hammer and James Champy, who investigated the causes of the malfunctioning of American enterprises and their liquidations. According to the authors of the Business Process Reengineering concept, the vast majority of American enterprises of the 1980s were not creatures operating in an effective manner. In terms of Hammer and Champy,

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<sup>6</sup> See more: M. Romanowska, M. Trocki, *Podejście procesowe w zarządzaniu*, SGH, Warszawa 2004; G. A. Rummier, A. P. Brache, *Improving Performance: How to Manage the White Space on the Organization Chart*, John Wileys & Sons, San Francisco 2013; M. Segatto, S. I. Dallavalle de Padua, D. P. Martinelli, *Business process management: a systemic approach?*, „Business Process Management Journal” 2013; 19(4).

such efficiency is mainly expressed in the company's flexibility in relation to the dynamically changing environment, energy, quick response to all changes, competitiveness, innovation, customer orientation and ultimately in profitability. The vast majority of American companies observed by Hammer and Champy did not follow the above pattern. They were characterized by: unhealthy economic condition, stiffness, uncompetitive nature, unproductive character, ineptitude and disrespectful attitude towards the client. The factor responsible for this bad state of affairs was the way in which tasks were performed in the enterprise<sup>7</sup>.

The sources of problems in the enterprise vary, and the most common of them include:

- Inability to quickly execute customer orders by the manufacturer – this goal is unattainable due to the existence of ineffective, extensive, multi-stage distribution systems.
- The problem of the efficiency of a specific department and the efficiency of the entire enterprise – the improvement of a specific activity or department often leads to a reduction in the efficiency of the entire enterprise.
- The problem of collective work requiring the coordination of work of many departments of the enterprise.
- Lack of people managing work of key importance for the company – in the modern company model, specialization applies, i.e. the division of the process into the simplest tasks, which is associated with the division of responsibility for the performance of its individual parts. In this case, however, there is no person responsible for the entire performance of the task.
- Increase in the importance of customers – nowadays it is not the manufacturer who decides which product to offer to customers and at what price. It is the customer who dictates the price and properties of the product, and if they do not suit him, he is ready to buy the competitor's product.
- Increased importance of competition – it acquires a global character through the elimination of trade barriers.
- Change becomes a permanent feature – enterprises operating according to the old rules should adapt to the new conditions of the environment in order to be able to compete in it effectively and efficiently and achieve their goals.

Innovative company is a company that implemented an innovation during the period in question. Such a broad definition of an innovative company will not always meet the needs of public policy or research activities. In many cases, a narrower definition can be useful, particularly useful when comparing innovation across sectors, company size categories or across countries. An example of a narrower definition is the one that refers to companies that innovate in products or processes. A company that makes process innovations (process innovative companies) is a company that

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<sup>7</sup> See more: T. Pokusa, *Proces i zarządzanie procesowe w łańcuchu dostaw* [in:] *Podejście procesowe w zarządzaniu*, M. Romanowska, M. Trocki (ed.), SGH, Warszawa 2015; M. J. Radło, *Kontrakty outsourcingowe*, [in:] *Duening, Business Process Outsourcing. The Competitive Advantage*, T. Click (ed.), John Wiley & Sons, Hoboken 2009.

implemented a new or significantly improved product or process during the period in question. This definition, which includes all companies that have implemented a product or process innovation, is similar to the definition of “TPP innovative company”. A simple diagram shows the way from the resource of knowledge to the market product and value for the company and the customer.



**Figure 3.** The path from knowledge to product and value for the company and the customer

Source: <https://www.iccs-bpo.com/BPO/Developing-Your-Customer-Core-Values>

The figure shows in a simplified way the full course of the process of creating and implementing innovations, which in the conditions of a market economy should be successful for all participants of the process, in the form of value for the company and the customer. Thus, the process of commercialization of scientific research results is accompanied by a chain of creating value for the client, e.g. in a university and a company<sup>8</sup>.

<sup>8</sup> Compare: A. J. McNeil, R. Frey, P. Embrechts, Quantitative risk management, concepts, techniques and tools. Princeton University Press, New Jersey 2015; P. Miller, Systemowe zarządzanie jakością, Difin, Warszawa 2011; M. Nowak, Analiza kosztów jako niezbędny etap podjęcia decyzji o outsourcingu, IIR, Warszawa 1999; S. Nowosielski, Podejście procesowe w organizacjach, Wydawnictwo Uniwersytetu Ekonomicznego we Wrocławiu, Wrocław 2009; M. Ossowski, Identyfikacja i klasyfikacja procesów w przedsiębiorstwie, „Zarządzanie i Finanse” 2012; 4.

## Conclusions

A modern enterprise should be innovative, open to novelties, able to search for signals from the market and ready to introduce innovative changes. It is inextricably linked with developing one's innovativeness through professional and competent management and creating such working conditions that will be interesting and attractive for people. With the emergence of innovation, the competitiveness of the enterprise grows, so it can be concluded that it is one of its features, characterized by: searching for, creating and implementing various types of innovations, the ability to make decisions in the event of risk or uncertainty, the ability to constantly observe the market, signals and quick reaction to market needs, the ability to observe and predict the actions of the competition, or to overcome innovative inertia. An innovative enterprise is one that can create, acquire and absorb innovations and obtain information about innovative solutions. The innovativeness of an enterprise is the introduction of a new solution in the field of organization and management, technology or marketing. You can also define the innovativeness of the enterprise as the improvement and development of operational and production technologies related to services, the sphere of organization and management, as well as the collection, processing and sharing of information<sup>9</sup>.

Innovative enterprise according to the OECD methodology it is an economic entity that has implemented at least one innovation (product or process) in a specific, usually three-year period of time, also provided that it is new to it. An innovative enterprise is defined as an intelligent organization that continuously generates innovations and implements innovative projects to produce products and services that are appreciated by recipients due to the high level of modernity and competitiveness. It can be said that the concept of innovation defines the results of an enterprise's innovative activity at a given time and in a given place.

Another definition: an innovative enterprise is one that:

- conducts development works and research in a vast area or buys projects of new products / technologies, allocating relatively large financial outlays for this purpose,
  - systematically implements new scientific and technical solutions and constantly and continuously introduces innovations to the market,
  - it has a significant share of new products in the total number of products or services.
- Innovative enterprises are most often called<sup>10</sup>:
- innovators, i.e. individuals that are the first to adapt new ideas and regularly introduce innovations,

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<sup>9</sup> S. Gopalakrishnan, *Unraveling the Links Between Dimensions of Innovation and Organizational Performance*, „The Journal of High Technology Management Research” 2000; 11(1): 137-153.

<sup>10</sup> See: Z. Malara, *Przedsiębiorstwo w globalnej gospodarce, wyzwania współczesności*, PWN, Warszawa 2007; J. Machaczka, *Zarządzanie rozwojem organizacji, czynniki, modele, strategia, diagnoza*, PWN, Warszawa 1998.

- early adapters, more careful in their actions than innovators, but characterized by a high propensity to introduce innovations,
- late majority – they adapt innovations with a long delay, usually under the influence of economic calculations or market pressure,
- slackers, i.e. organizational units that introduce innovations at the latest among units of a given type of activity.

The enterprise itself should develop the form and pattern of innovative behavior, both internal and in contacts with the environment. The most important attributes of an innovative enterprise are:

- ability to generate innovation,
- creativity,
- the ability to use the innovative potential to maintain a competitive position,
- high competences,
- the ability to predict changes in the environment,
- the ability to recognize customer needs and meet them,
- having a team of innovators,
- flexibility and the ability to adapt to a changing and turbulent environment.

A company that is innovatively active in the area of processes – is a company that conducted innovative activities in the period in question, including both ongoing and discontinued activities. In other words, innovation-active companies are companies that carried out innovative activities during the period in question, regardless of whether their activity led to the implementation of innovation or not. New firms may emerge during the survey period, whether entirely from scratch or through mergers, divisions or other types of reorganization. The innovativeness of these companies (innovative company or innovation active company) is defined in the same way as for all other companies.

Assessment of the degree of innovation of the company. It can be defined in several ways. The basic definition of an innovative company is that it is a company that has implemented at least one innovation, while a product or process innovator is defined as a company that has implemented a product or process innovation. Other ways of classifying innovative companies are also possible, depending on public policy and research needs. Such classifications can be used to determine what percentage of firms (by size class, sector, country or other factor) implement each of the four types of innovation, or implement a combination of several types of innovation (for example, product and marketing innovations, or process innovations with organizational innovations). Classification according to the criterion of innovation may also take into account other information (for example, data on the entity that is the innovation creator) that can be used to identify companies that only absorb innovations in products and processes developed in other companies. It may happen that during the period in question, companies will conduct innovative activities, but will not actually implement innovations. All activities related to the development or



implementation of innovations, including implementations planned for the future, are classified as innovative activities<sup>11</sup>.

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<sup>11</sup> Comparte: M. Bugdol, K. Szczepańska, Podstawy zarządzania procesami, Difin, Warszawa 2016; J. Czekaj, Zarządzanie procesami biznesowymi. Aspekt metodyczny, Wydawnictwo Uniwersytetu Ekonomicznego w Krakowie, Kraków 2009; P. Grajewski, Procesowe zarządzanie organizacją, PWE, Warszawa 2012; P. Grajewski, Organizacja procesowa. Projektowanie i konfiguracja, PWE, Warszawa 2007; H. J. Harington, Process Management Excellence: The Art of Excelling in Process Management, Paton Press LLC, California 2006; M. Kohlbacher, H. A. Reijers, The effects of process – oriented organizational design on firm performance, „Business Process Management Journal” 2013; 19(2); A. Landwójtowicz-Kucińska, Podejście procesowe w zarządzaniu innowacjami [in:] R. Knosala (ed.), Innowacje w zarządzaniu i inżynierii produkcji, Oficyna Wydawnicza PTZP, Opole 2013.

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## THE PROCESSES INNOVATION MODEL

### *Model procesowy innowacji*

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#### **Streszczenie**

*Dla właściwego rozwoju przedsiębiorstwa bardzo ważne jest opracowanie strategii promowania innowacji, bowiem ich brak staje się najczęstszą przyczyną spadku konkurencyjności. Zdolność tworzenia i właściwego wykorzystania innowacji stanowi ważny element określający sprawność funkcjonowania jednostki gospodarczej oraz możliwość jej dalszego rozwoju na konkurencyjnym rynku. Celem zarządzania rozwojem przedsiębiorstwa powinno być kształtowanie postępu techniczno-organizacyjnego oraz ekonomicznego, a innowacje organizacyjne odnoszące się do sfery zarządzania wraz z innowacjami produktowymi należą do najważniejszych czynników kształtujących konkurencyjność przedsiębiorstw, w tym małych i średnich jednostek gospodarczych.*

**Słowa kluczowe:** zarządzanie procesowe, zarządzanie innowacjami, komercjalizacja badań, zarządzanie funkcjonalne, racjonalność ekonomiczna, optymalizacja działań

#### **Summary**

For the proper development of an enterprise, it is very important to develop a strategy to promote innovation, as its absence becomes the most common cause of a decline in competitiveness. The ability to create and make proper use of innovations is an important element determining the efficiency of an economic entity and the possibility of its further development in a competitive market. The aim of business development management should be to shape technical, organisational and

economic progress, and organisational innovations relating to the sphere of management, together with product innovations, are among the most important factors shaping the competitiveness of enterprises, including small and medium-sized economic units.

**Key words:** process management, innovation management, commercialisation of research, functional management, economic rationality, optimisation of operations

## **Introduction**

Management innovation is an approach that allows companies to respond dynamically and flexibly to changing market conditions. Here are some examples of innovations that are revolutionising the way we manage companies. Information technology: the use of modern information systems, such as enterprise resource management (ERP) software, enables effective monitoring, planning and control of all activities in a company. This allows processes to be optimised, errors to be eliminated and decisions to be made more quickly. Lean methodology, or a focus on eliminating waste and improving operational efficiency. By identifying and eliminating unnecessary activities, Lean enables higher quality, faster turnaround times and lower production costs. Agile Management: is an approach that focuses on flexible adaptation to change and continuous improvement. By dividing projects into short iterations, Agile Management enables rapid response to changing customer and market requirements. The process model of innovation creates a set of processes, and from the point of view of the company, the following processes can be called conventionally:

Ideas => R + D => Transfer => Implementation =>  
Commercialization => Diffusion

What is important:

- these are not phases (stages) of the innovative process, but rather processes that make up contemporary innovative activity;
- this sequence of steps is not always the case. For example, in the course of research, an idea for a new product may come up, even accidentally, that has not been considered before;
- some processes, such as “Ideas” and “R&D”, may run in parallel;
- the innovation may or may not be based on an invention that arose during research and development;
- implementation and commercialization are part of the aforementioned process of transforming research results into practical applications;
- activities that make up the transfer of technology (knowledge) and diffusion of innovation are not typical work included in the innovation process, but accompanying it;

- in the case of a specific innovation process, not all phases have to occur, some may not occur at all;
- the only process that must take place is implementation, because it is the implementation that determines whether (technical) innovation will emerge or not.

Nowadays, innovation is one of the key factors influencing the company's competitiveness for a company, therefore it can be said that it is one of the conditions determining its survival and development. It requires not only the so-called instrumental rationality<sup>1</sup>, i.e. the assessment and analysis of changes implemented in the enterprise, but also the so-called strategic prudence<sup>2</sup> that is, developing entrepreneurial activities, increasing the ability to undertake challenges or solving problems, as well as taking up new market challenges that will bring positive results in the future. Enterprises can become innovative, both as a result of making groundbreaking discoveries and inventions, but also as a result of minor improvements, modifications or corrections. While the first road is difficult, complicated and rarely happens, the second is very often "within reach" of enterprises, you just need to be able to use it. Therefore, innovation should become the basic way of existence and functioning of the company, the value and opportunities of which all employees know. It should also be for him the main force of originality, creativity and creativity<sup>3</sup>.

## **Stages of the innovation design management cycle**

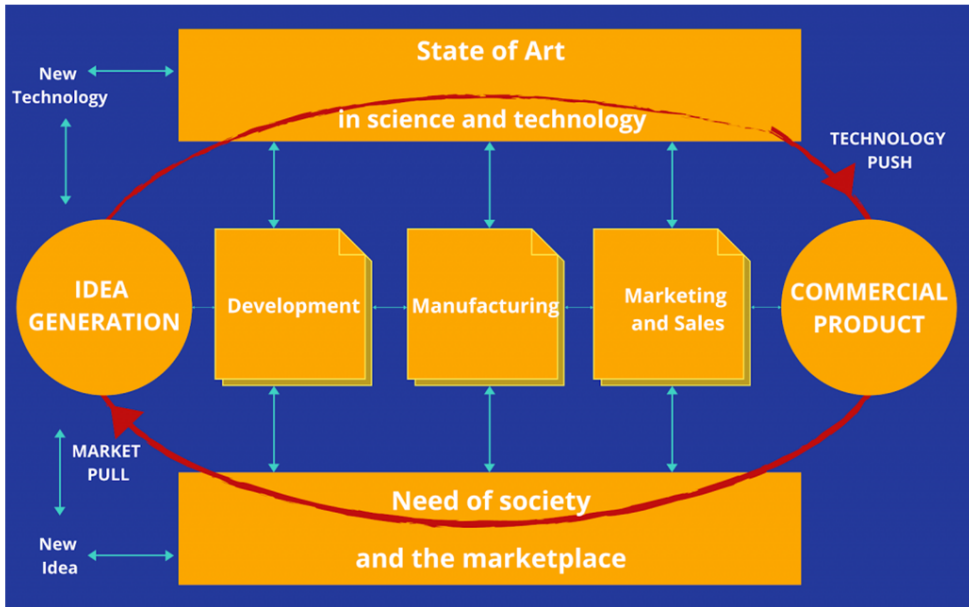
It is a systemic process – the significance of the element of chance is definitely diminishing in this issue or it does not exist. The selection of methods, techniques and used in this complex process should be consistent with the design cycle of innovative products and processes in the enterprise. System-based innovation design management cycle in an enterprise – can be included in several activities that can be presented in five stages, carried out concurrently (the first two) and sequentially (the remaining) – each of them requires special tools (figure 1).

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<sup>1</sup> J. Penc, Innovations and changes in the company. Transformation and control of the company's development. Principles of operation. Conditions for Success, Placet, Warsaw 1999, p. 13.

<sup>2</sup> Quote from: M. Bratnicki: Enterprise Transformation, Wyd. AE in Katowice, Katowice 1998, p. 88.

<sup>3</sup> Source: A.H. Jasiński, Innovativeness in the Polish economy Models, barriers, support instruments, University of Warsaw, Warsaw 2014, p. 24-25.



**Figure 1.** The management cycle for designing innovative processes

Source: <https://alcorfund.com/insight/innovation-models-innovation-process-models-examples/>

The stages of the cycle's operation that require constant attention and analysis of the company's environment are:

- Searching for signals about potential threats and opportunities.
- Strategic analysis, selection and planning.
- Acquiring technology.
- Implementation.
- Reviewing and learning.

From the point of view of economic theory, innovation currently plays an extremely important role in organizing economic growth. They are also gaining more and more importance as a subject of scientific research. In addition, they are also an important object in practical activities, the aim of which is to start a more extensive use of innovations in the implementation of specific goals relevant to modern man and related to his activities. The significant increase in the importance of innovations and the increase in the frequency of their application, which can be observed in recent years, are primarily the result of the continuous expansion of knowledge about the structure of innovative processes. To a large extent, they also result from the well-founded belief that innovation has a very strong impact on the entire economic and social development. Assuming the degree of complexity of the innovation process.

Understood in this sense, the innovative process is composed of various stages of technological changes, which include:

- Invention, that is, a specific idea;
- Innovation, that is, a specific invention;
- Diffusion, i.e. the way of impact (dissemination).

Time is the most important factor for the entire course of the innovation process. It takes into account both the moment of the appearance of a given innovation and the duration of the entire process, i.e. all its stages: from the moment when a given idea comes into existence to the moment when it takes the form of a given product, service or technology. Each innovation has a so-called life cycle, i.e. its specific duration<sup>4,5,6</sup>.

## **Life cycle of process innovations**

It is initiated when the research work begins and then continues through the basic research phase and the implementation research phase until the implementation of the innovation begins, which is the beginning of the life cycle of a product, service or technology on the market. Conducting the observation and analysis of innovation processes has contributed to the distinction of certain specific regularities:

- The innovation life cycle is individual. It depends on various factors.
- The most important of which are: the level of economic development, as well as the location of innovation, i.e. a specific area in which the innovation process takes place.
- The innovations that are emerging today are much more often the result of activities undertaken as part of teamwork.
- In some cases, it is not possible to appoint one separate author of a given Innovation.
- Along with the evolution of civilization towards development and progress, the innovative process of a given product, service or technology is shortened. The formation of the so-called next generations of products.

## **Methodology for implementing process management**

Methodology for implementing process management should be based on the following principles:

1. start with formulating a strategy,
2. focus on processes,
3. link the strategy with processes,
4. analyze the level of customer satisfaction,
5. integrate the processes and their course with IT systems.

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<sup>4</sup> P. Grajewski, Premises of the process approach to organization design and management, „Research Papers of the Wrocław University of Economics” 2014; 340: 275-282.

<sup>5</sup> M. Hammer, J. Champy, Reengineering in Corporation. A Manifesto for Business Revolution, „Harper Business” 1993; 7.

<sup>6</sup> B. Kalinowski, The impact of process maturity on the effectiveness of the organization, „Marketing i Rynek” 2015; 5.

The effectiveness of introducing the methodology of process management into business practice is determined by the application of the following principles<sup>7,8,9,10,11,12</sup>:

1. pervasiveness, which means the need to understand and implement the principles and assumptions of process management throughout the organization;
2. ownership, which means that all processes should have a clearly defined owner who manages the process team and is responsible for the review of the continuous improvement of the process;
3. documentation, which means the need to define document standards (i.e. internal measures of processes, ways of document circulation and information flow) that should meet the expectations of process participants. All elements of the methodology should be described in a complete, detailed and unambiguous manner in the form of the so-called the Process Handbook Manual, which is the equivalent of organizational regulations in structured management, consisting of the following parts:
  - methodological foundations of process management – concepts and general principles,
  - organization of work related to process management,
  - process design,
  - process implementation,
  - supervision over the implementation of the process,
  - recommended methods and techniques of process management;
4. measurement, which means the need to evaluate the process using measures classified into the categories of quality, cost and time;
5. inspection, which means making the process owner responsible for monitoring activities, identifying gaps in the implementation of the process and eliminating them.

## **Process design**

Process design it is a particularly difficult undertaking in organizations, especially when it is done for the first time. It is also related to the need to redefine the picture of the company's operation. Identification of processes carried out according to the adopted criteria, in fact, makes members of the organization aware of the new division of the enterprise into areas whose boundaries are determined by the inputs and outputs of processes, and not, as before, the boundaries between sets of tasks and

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<sup>7</sup> J. N. Kapferer, *The new strategic brand management advanced insights and strategic thinking*, fifth edition, Kogan, London 2012.

<sup>8</sup> M. Kunasz, *Practical aspects of process management*, *Economicus*, Szczecin 2010.

<sup>9</sup> Z. Malara, *An enterprise in the global economy, contemporary challenges*, PWN, Warszawa 2007.

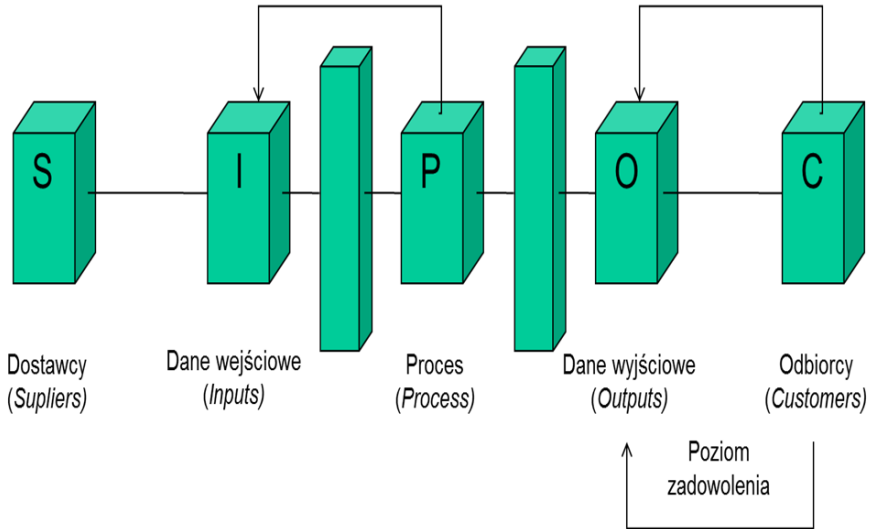
<sup>10</sup> J. Machaczek, *Organization development management, factors, models, strategy, diagnosis*, PWN, Warszawa 1998.

<sup>11</sup> A. J. McNeil, R. Frey, P. Embrechts, *Quantitative risk management, concepts, techniques and tools*, Princeton University Press, New Jersey 2015.

<sup>12</sup> M. Nadolna, A. Skowronek-Mielczarek, *Process management and modern media enterprises*, CeDeWu, Warszawa 2014.



functions. Designing the internal structure of the process, i.e. the set of activities it consists of, requires a specific transformation of the functions and tasks performed into sequential sets of operations (activities), linked with each other by a chain of sequence. It would be good if the process designer would arrange the next elements of the action preferably from the end, i.e. from the effect expected by the recipient (client). In designing processes according to the SIPOC model (Suppliers, Inputs, Process, Outputs, Customers), it is assumed that the project of the organization's operation is fully in line with the expectations of the recipients.



Source: own study

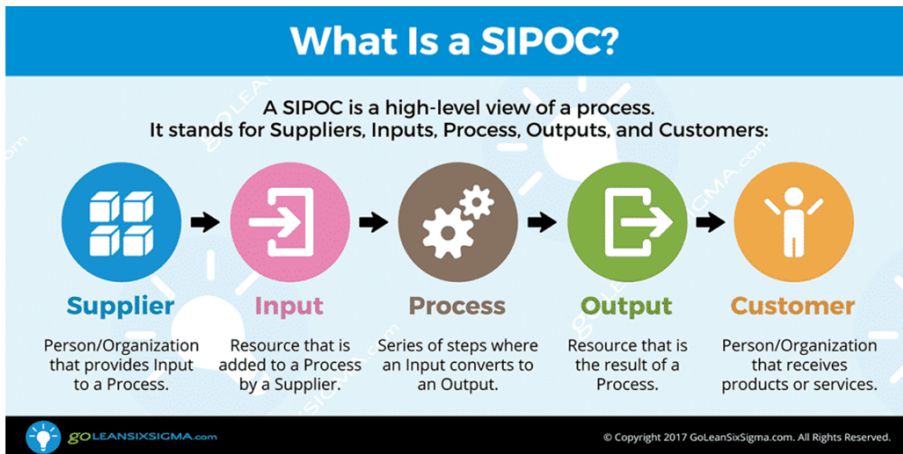


Figure 2 and 3. Designing an organization towards processes – the SIPOC model / SIPOC model (concept)

Source: <https://goleansixsigma.com/sipoc/>

An important factor for the effective process design effect is the precise definition of the needs and expectations of recipients. These expectations determine the effect of the process and its course, and their change means each time the need to reconfigure the internal process structure and the potential of the necessary supplies. As the processes form a network of interrelated contractors, a change in the configuration of one process, influenced by new customer expectations, may affect the course of other, closely related processes.

## **Functional management and process management**

Changes towards procedural organization require a radical reconstruction of the methods of operation of the existing functional organization. The key problem is to design processes and rebuild all aspects of the new organization around them.

- In such a targeted reorganization process, it is therefore necessary to change<sup>13,14,15,16</sup>:
- the structure of the basic elements of the organization – functional cells are replaced by process implementation teams whose internal configuration depends on the type of work performed. These can be, for example: case teams – implementation of a homogeneous process; contract teams – individual performance of a contract (transaction) with possible support from experts (advisers);
  - the nature of the work performed, from simple to multidimensional – the process organization has an impact on shifting and overlapping boundaries between different types of work, thus replacing individual responsibility for the implementation of tasks with joint responsibility for the achieved results of the process. Changing the formula of coordinating the existing, divided process leads to the gradual elimination of such works as: agreeing, waiting, checking, signing, tracking, etc., strengthening the actual, substantive operational content of the activity;
  - structure of the organizational structure – the multi-level hierarchical system is gradually eliminated, the main task of which is to maintain the efficiency of the mechanisms of control, monitoring, settling inter-functional conflicts in the fight for priorities and gratuities, and making decisions that bind the parts together. Instead, a flat structure is created, composed of independent teams fully responsible for the manner and effects of activities, supported by managers who change the current role of supervisors to the role of advisers. Processes are controlled by the implementers themselves. The procedures are determined by an ongoing

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<sup>13</sup> R. Škrinjar, P. Trkman, Increasing process orientation with business process management: Critical practices, „International Journal of Information Management” 2013; 33.

<sup>14</sup> M. Kohlbacher, H. A. Reijers, The effects of process - oriented organizational design on firm performance, „Business Process Management Journal” 2013; 19(2).

<sup>15</sup> M. Zairi, D. Sinclair, Business process re-engineering and process management, „Business Process Re-engineering & Management Journal” 1995; 1(1).

<sup>16</sup> M. Kohlbacher, The effects of process orientation: a literature review, „Business Process Management Journal” 2010; 16(1).

assessment of the situation and conditions as perceived by the process implementation team. The reaction is quick and requires no interference from hierarchical levels. Traditional organizational structure is losing importance, because it is replaced by teams and people who contact who they want, easily reach the information they need, and make decisions on their own. The structure diagram is no longer the basic information about the organization – it is replaced by a map of processes and organizational roles;

- way to measure results – from work-based to productive. Traditional job evaluation determines only the potential factors of the final effect, not the effect itself. Process management requires the evaluation of the result of the team's activity from the point of view of its value for the client (internal and external). Therefore, not the value of a function is measured, but the value of operations and entire processes. This value is measurable when teams create products and / or provide services with an overall effect for which the customer is willing to pay a certain price;
- employee status – ubiquitous, formalized organizational control is replaced by a wide range of competences of process implementers. In a traditional functional organization, an employee is expected to be active and inventive within the scope defined by formal regulations and procedures. In the process organization, the rule is to independently create implementation procedures within the framework of predefined processes. The adoption of this principle reverses the roles played by an employee in both types of organization: from a contractor moving around the area of independence defined by regulations, he becomes an active executor, capable of unconventional activities determined by the size of the process for which he is responsible and which he shapes. In this situation, the key factor of effective operation in such an organization is the increased scope of competences, and consequently – greater responsibility. The manager-subordinate relationship with the system of headship and subordination in a functional organization changes into a relationship of cooperation and support. The status of a specialist - implementer (with a wide range of skills and abilities) is increasing, for whom promotion does not have to mean vertical movements;
- organizational culture – the cult of the superior is replaced by the cult of the client. The transformation of the organization in the process direction triggers a change in the main values adopted in the employee team. The way of reading the organizational hierarchy changes, and thus interpersonal relations are no longer determined by the principle of the hierarchy of reasons. Discussion, negotiation, mutual persuasion and argumentation begin to prevail over the decreed reason as a derivative of the place in the hierarchy. The importance of such attitudes as real creativity and innovation, courage, openness and empathy in relations with clients, direct communication is growing.

In addition to the described main parameters of the organization's transition towards the process structure, the following are also changing: interpersonal relations, promotion paths, employee evaluation systems, remuneration principles, roles of managers and managers. The parameters that a process organization should have are

characteristic of a modern enterprise that develops well in all spheres. Reaching such a level is not easy and requires many efforts on the part of all members of the organization, especially managers. Table 1 compares functional organization with process organization, and table 2 presents differences between functional management and process management.

**Table 1.** Comparison of functional organization with process organization

| <b>Parameters changes</b> | <b>Organization functional</b> | <b>Organization trial</b> |
|---------------------------|--------------------------------|---------------------------|
| Work                      | Straight                       | Complex                   |
| Environment               | Control                        | Independence              |
| Structure                 | Hierarchical                   | Flat                      |
| Unit                      | Department                     | Team                      |
| Staff                     | Employees And Managers         | Specialists               |
| Center Of Gravity         | Boss                           | Client                    |
| Axis                      | Function                       | Process                   |
| Measurement               | Activity                       | Result                    |
| Career                    | Promotion                      | Development               |
| Remuneration              | Position                       | Value                     |
| Manager                   | Supervisor                     | Coach                     |
| Manager                   | Supervising Person             | Leader                    |
| Objectives                | Separately                     | Common                    |
| Perspective               | Narrow                         | Wide                      |
| Values                    | Protective                     | Productive                |

**Table 2.** Functional management and process management

| Characteristic                  | Management functional  | Management process  |
|---------------------------------|--|---|
| <b>Organizational structure</b> | <ul style="list-style-type: none"> <li>- Hierarchical</li> <li>- Functional orientation</li> <li>- Classic organizational structure</li> </ul>                             | <ul style="list-style-type: none"> <li>- Horizontal</li> <li>- Process orientation</li> <li>- Process architecture</li> </ul>   |
| <b>Operational processes</b>    | <ul style="list-style-type: none"> <li>- By function</li> <li>- Functional limits</li> <li>- Discontinuous flows</li> <li>- Non-optimized operations</li> </ul>            | <ul style="list-style-type: none"> <li>- According to the processes</li> <li>- End-to-end, customer-oriented flows simplified, optimized in terms of customer service, cost and efficiency</li> </ul> |
| <b>People</b>                   | <ul style="list-style-type: none"> <li>- Functional obedience</li> <li>- Limited view of the client, separation of specialists' skills</li> <li>- Individualism</li> </ul> | <ul style="list-style-type: none"> <li>- Process obedience, customer-oriented</li> <li>- Skills integration</li> <li>- Team orientation</li> </ul>  |
| <b>Technology</b>               | <ul style="list-style-type: none"> <li>- Discreet in functions</li> <li>- Measures of functional goals</li> <li>- Lost connection of planning and control</li> </ul>       | <ul style="list-style-type: none"> <li>- Integrated in processes</li> <li>- The basis of process measures</li> <li>- Planning and process control</li> </ul>  |
| <b>Communication</b>            | <ul style="list-style-type: none"> <li>- Vertical orientation</li> </ul>   | <ul style="list-style-type: none"> <li>- Horizontal orientation</li> </ul>  |
| <b>Culture</b>                  | <ul style="list-style-type: none"> <li>- Functional principalities</li> <li>- The language of discipline</li> </ul>  | <ul style="list-style-type: none"> <li>- Process owner</li> <li>- Language of service provision</li> </ul>  |

Source: R. Škrinjar, P. Trkman., *Increasing process orientation... op. cit.*; M. Kohlbacher, H. A. Reijers, *The effects of process... op. cit.*; M. Zairi, D. Sinclair., *Business process re-engineering... op. cit.*; M. Kohlbacher, *The effects of process... op. cit.*; R. G. Lee, B. G. Dale, *Business process management: a review and evaluation*, „Business Process Management Journal” 1998; 4(3); M. Kunasz, *Functional organization vs. process organization research results*, „Zarządzanie Przedsiębiorstw” 2013; 4: 7-8; P. Grajewski, *Premises of the process... op. cit.*; M. Hammer, J. Champy., *Reengineering in Corporation... op. cit.*; B. Kalinowski, *The impact of process... op. cit.*; J. N. Kapferer, *The new strategic... op. cit.*; M. Kunasz, *Practical aspects... op. cit.*; Z. Malara, *An enterprise in the... op. cit.*; J. Machaczek, *Organization development... op. cit.*; A. J. McNeil, R. Frey, P. Embrechts, *Quantitative risk... op. cit.*; M. Nadolna, A. Skowronek-Mielczarek, *Process management... op. cit.*

## Conclusions

Innovation activity in an enterprise depends in part on the diversity and structure of its linkages with sources of information, knowledge, technology, operating practices and human and financial resources. Linkages act as sources of knowledge and technology for the innovation activity of enterprises, and their form varies from

passive information sources for tangible and intangible knowledge and technology providers to collaborative partnerships. Linkages can relate to any of the four types of innovation (i.e. within products, processes, marketing and organisational methods).

Each linkage (linkage) connects the innovative enterprise with other actors in the innovation system: state laboratories, universities, public policy departments, regulators, competitors, suppliers and customers. In statistical surveys on innovation, information can be obtained on the prevalence and importance of different types of linkages and on the factors influencing the use of specific linkages.

From the point of view of the control of innovation processes in an organisation, the beginning of the innovation process should be taken to be the creation and collection of inventions regardless of where they originate. Subsequent stages include selecting those that are likely to be successful, deciding how to implement them and implementing them, i.e. concrete practical acts that make it possible to introduce innovations into organisational reality. Creative change, which is precisely innovation, also differs from non-creative change in that it proceeds in two basic phases - conceptual (creative) and application.

The end result of the creative phase is a new, creative and appropriately detailed idea, generally referred to as an invention or solution, while in the application (implementation) phase, the invention is used for specific practical (production) purposes, i.e. transformed into an innovation. As a result of this two-phase nature, it is necessary to distinguish between two concepts: innovation, i.e. an invention applied in practice, and invention - a new idea (set of ideas) of any nature in a given system, appropriately specified, not directly resulting from the existing state of affairs and suitable for application.

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## INNOVATION AS A STIMULANT FOR ECONOMIC GROWTH AND ECONOMIC COMPETITIVENESS

### *Innowacje jako stymulant wzrostu gospodarczego i konkurencyjności ekonomicznej*

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#### **Streszczenie**

*Innowacje odgrywają szczególną rolę wśród czynników wpływających na konkurencyjność przedsiębiorstw. Bez względu na rozmiar prowadzonej działalności, efektywne zarządzanie procesami innowacyjnymi stanowi główny element konkurencyjności przedsiębiorstwa. O przewadze konkurencyjnej decyduje bowiem podatność na wdrażanie wszelkich zmian produktowych i technologicznych, zmian w systemie zarządzania, czy w komunikacji z potencjalnym użytkownikiem produktu. Mimo wielu czynników ograniczających wdrażanie innowacji w małych i średnich przedsiębiorstwach ich realizacja jest niezbędna, bowiem pozwala na dalszy rozwój tych firm (często rodzinnych) oraz efektywniejsze dostosowanie do zmian zachodzących w jej otoczeniu, zdobywanie nowych rynków, a tym samym osiągnięcie przewagi konkurencyjnej. Konieczność sprostania coraz to większym wymaganiom odbiorców, rosnącej konkurencji motywuje małe i średnie przedsiębiorstwa do wprowadzania zmian w różnych obszarach ich funkcjonowania. Przedsiębiorstwo, jeśli chce się rozwijać i odnosić sukcesy na rynku, musi doskonalić oferowane wyroby czy świadczone usługi, usprawniać procesy technologiczne oraz polepszać organizację produkcji, a zatem powinno stać się poszukiwać i wdrażać rozwiązania innowacyjne.*

**Słowa kluczowe:** innowacje, zarządzanie innowacjami, proces innowacyjny, efektywność, racjonalność, konkurencyjność



## **Summary**

Innovation has a special role among the factors influencing the competitiveness of enterprises. Regardless of the size of the business, effective management of innovation processes is a key element of a company's competitiveness. This is because the competitive advantage is determined by the susceptibility to implement any product and technological changes, changes in the management system or in communication with potential product users. In spite of the many factors limiting the implementation of innovations in small and medium-sized enterprises, their implementation is essential, as it allows these (often family-owned) companies to further develop and adapt more effectively to changes in their environment, conquer new markets and thus achieve a competitive advantage. The need to meet the ever-increasing demands of customers and growing competition motivates small and medium-sized enterprises to introduce changes in various areas of their operation. If an enterprise wants to develop and be successful on the market, it must improve the products or services it offers, streamline technological processes and improve the organisation of production, and therefore it should constantly seek and implement innovative solutions.

**Key words:** innovation, innovation management, innovation process, efficiency, rationality, competitiveness

## **Introduction**

Innovation is an important factor in stimulating the growth of the economy and its international competitiveness. The question then arises how to stimulate innovation, in which sectors and with which instruments / methods? In the economic field, innovation is the development and implementation of new concepts and technologies that improve the quality of products and services or increase production efficiency. An example is information technology, which has changed the way goods and services are produced and sold, while creating new markets and business models. One of the most important effects of innovations is their impact on economic growth. In a nutshell, they can lead to increased productivity, i.e. achieving more output with the same inputs. Numerous innovations have been initiated precisely in Europe and it continues to be an innovative region; we undoubtedly have the potential to further strengthen our innovativeness. According to the World Economic Forum's Global Competitiveness Report, there are only three Eurozone countries in the world's top ten. The gap in the amount of resources devoted to R&D by the euro area and other major developed economies has persisted for some time. On top of this, the diffusion of innovation in the euro area appears to be slow. Recent research by the ECB has shown that there is a large productivity gap between the highest and lowest performing companies in this area. This means that while well-performing, pioneering companies are highly innovative, the so-called "marauders" benefit only marginally from innovation. Structural measures to support innovation include

increasing spending on research and development and investing in education, as well as making it easier for entrepreneurs to set up new companies and more quickly withdraw bankrupt entities from the market. Innovation can also be supported by companies themselves by investing in their employees and conducting their own research and development.

Innovation plays a special role among the factors influencing the competitiveness of enterprises. Regardless of the size of the business, effective management of innovation processes is a key element of a company's competitiveness. This is because the competitive advantage is determined by the susceptibility to implement any product and technological changes, changes in the management system or in communication with potential product users. In spite of the many factors limiting the implementation of innovations in small and medium-sized enterprises, their implementation is essential, as it allows these (often family-owned) companies to further develop and adapt more effectively to changes in their environment, conquer new markets and thus achieve a competitive advantage. The need to meet the ever-increasing demands of customers and growing competition motivates small and medium-sized enterprises to introduce changes in various areas of their operation. If an enterprise wants to develop and be successful on the market, it must improve the products or services it offers, streamline technological processes and improve the organisation of production, and therefore it should constantly seek and implement innovative solutions.

## **Innovation at the company level**

For the successful development of an enterprise, it is very important to develop a strategy to promote innovation, as the lack of innovation becomes the most common reason for a decline in competitiveness. The ability to create and make proper use of innovations is an important element determining the efficiency of an economic entity and the possibility of its further development in a competitive market. The aim of business development management should be to shape technical, organisational and economic progress, and organisational innovations relating to the sphere of management, together with product innovations, are among the most important factors shaping the competitiveness of enterprises, including small and medium-sized economic units<sup>1</sup>.

A company's innovativeness can be defined in several ways. The basic definition of an innovative firm is that it is a firm that has implemented at least one innovation, while a product or process innovator is defined as a firm that has implemented a product innovation or a process innovation. All activities related to the development or implementation of an innovation, including implementations planned for the future, are counted as innovative activities. Innovation activity carried out during a given period can be of three types: successful activity, i.e. the successful implementation of the

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<sup>1</sup> P. Kokot-Stępień, Zarządzanie innowacjami jako źródło konkurencyjności małych i średnich przedsiębiorstw, „Organizacja i Zarządzanie” 2017; 114: 222-227.

innovation (although there is no requirement that this also be a commercial success); ongoing activity, i.e. activities in progress that have not yet led to the implementation of the innovation; or activity abandoned before the innovation was implemented.

The problematic and increasingly difficult marketing of products is forcing manufacturers to do a lot to keep their regular customers with them. Proper identification of customer needs will create demand for a specific good and allow loyalty to a proven product. The ever-increasing consumer awareness is reflected in the demand for goods distinguished by their original recipe, which is the result of a search for a specific method and a unique composition. The modern consumer is becoming more and more demanding when making food purchasing decisions and, as a result, it is no longer enough just to have the right price and standard quality. A fundamental issue, which is becoming increasingly important for the potential customer, is the selection of products with the right parameters, the most important of which are: taste and health values, brand, manufacturing traditions, regional origin or tighter control of the production process. Changes in consumer preferences, greater awareness of nutrition etc. signal to the producer to focus his attention, among other things, on the development of an organic product. The production of an organic agricultural product is legitimate and represents an opportunity to improve competitiveness in agriculture. This evolution should be directed towards the production of products with low chemical content, in line with the promotion of sustainable agriculture<sup>2</sup>.

In the traditional approach, innovation (change) is the result of a process that initiates the generation of a certain idea (concept) of a new solution in the field of product, manufacturing technology, or new systems in the field of management, but also culture and ecology. In the field of technology and engineering, innovation is embodied in the form of an invention, which has a specific tangible or intangible form that can be described by a set of features and characteristics. If an invention is also characterised by the feature of usefulness and applicability with a specific value for the user, it can be called an innovation<sup>3</sup>.

It is defined in the Oslo Manual. Innovation (innovation) is the implementation of a new or significantly improved product (product or service) or process, a new marketing method or a new organisational method in business practice, workplace organisation or public relations. This broad definition covers a wide range of possible innovations. Innovation can more narrowly be categorised as the implementation of one or more types of innovation, for example innovation within a product and process. The narrower definition of innovation within products and processes can be referred to the definition of technological innovation within products and processes used in the second edition of the Oslo Manual<sup>4</sup>.

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<sup>2</sup> M. Dacko, A. Płonka, Grupy producentów – szansa na zwiększenie konkurencyjności rozproszonego rolnictwa, „Wieś i Doradztwo” 2011; 1-2(65–66): 5-13.

<sup>3</sup> S. Łobejko, A. Sosnowska, Komercjalizacja wyników badań naukowych. Praktyczny poradnik dla naukowców, Urząd Marszałkowski Województwa Mazowieckiego w Warszawie, Departament Rozwoju Regionalnego i Funduszy Europejskich Wydział Innowacyjności, Warszawa 2013, p. 10.

<sup>4</sup> Podręcznik Oslo. Zasady gromadzenia i interpretacji danych dotyczących innowacji. Wspólna publikacja OECD i Eurostatu, Ministerstwo Nauki i Szkolnictwa Wyższego, Warszawa 2008.

It is assumed that the minimum requirement for an innovation to occur is that the product, process, marketing method or organisational method is new (or significantly improved) to the company. This includes products, processes and methods that a company has developed first and those that have been assimilated from other companies or entities. The Central Statistical Office uses a definition in which innovativeness is understood as the ability of enterprises to create and implement innovations and the actual ability to introduce new and modernised products, new or changed technological or organisational and technical processes. Innovations imply positive changes. They are associated with the need to meet the needs and expectations of a changing environment, but it should be remembered that the order is often reversed: it is the innovator who changes the environment – the innovator, with his solution, introduces a new quality to people's life<sup>5</sup>.

**Table 1.** Overview of the definition of innovation

*Innovation is the successful exploitation of a new idea. In the service sector, innovation occurs in all aspects of a service company's organisation. For this reason, it is difficult to distinguish "real" innovation from mere management craftsmanship, a "business-as-usual" approach, etc. Entrepreneurial management practitioners may have a problem qualifying their day-to-day activities: is a new questionnaire for periodic employee grading in a hotel chain already an "innovation in the hotel business" or just a "minor improvement developing the daily work of the hotel's HR department"?*

*Below are some definitions of innovation:*

*Innovation is the extraction of economic value from new activities.  
(Innovation Vital Signs Project, 2007)*

*Innovation arises at the intersection of invention and insight and leads to the creation of social or economic value.  
(Council of Competitiveness, 2005)*

*Innovation refers to a wide range of activities to improve performance in firms, including the implementation of new or significantly improved products, services, distribution processes, production, marketing and organisation.  
(European Commission, 2004)*

*Innovation - a combination of invention, insight and entrepreneurship that creates new industries, creates new value and creates valuable new jobs.  
(Business Council of New York State, 2006)*

*The design, invention, development and/or implementation of new or revised products, services, processes, systems, organisational methods to create new value for customers and return on investment for the company.  
(Advisory Committee on Measuring Innovation in the 21st Century, US Department of Commerce)*

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<sup>5</sup> J. Fazlagić, Czy Twoja firma jest innowacyjna? Jak poszukiwać innowacji w sektorze usług? Podpowiedzi dla MSP, PARP, Warszawa 2012, p. 19.

*Innovation is the implementation of a new or significantly improved product (good or service) or process, a new marketing method or a new method of business organisation or external relations. Innovation activities are scientific, technological, organisational, financial or commercial in nature and are intended to lead to or result in the implementation of an innovation*  
(OECD, 2005)

*Successful innovation is the extent to which value is created for customers through ventures that transfer new knowledge and technology into new profitable products and services in national and international markets. A high rate of innovation leads to the creation of new markets, economic growth, job creation, wealth and higher living standards.*  
(Innovation Vital Signs Project, 2007)

*Innovation: is an implemented idea that creates new\* value or a new market.*  
(\*new to a particular company, country or on a global scale)  
(Report on Polish Innovation Go Global!, VISTULA University, 2011)

Source: A. M. Aizorb, C. E. Moylan, C. A. Robbins, *Toward Better Measurement of Innovation and Intangibles*, „Survey of Current Business” 2009; 1: 14; *Go Global! Raport o polskiej innowacyjności Go Global!*, Uczelnia VISTULA, Warszawa 2011 [za:] J. Fazlagić, *Czy Twoja firma jest innowacyjna? Jak poszukiwać innowacji w sektorze usług? Podpowiedzi dla MSP*, PARP, Warszawa 2012, p. 20

## Definitions of innovation in the world literature and types of innovation

**Table 2.** Definitions of innovation in the world literature

| Autor                      | Definitions  |
|----------------------------|--|
| J. Schumpeter <sup>1</sup> | The commercial or industrial application of something new: a product, process, production method; a new market or source of supply; a new form of business.  |
| E. Mansfield <sup>2</sup>  | An innovation is the first application of an invention.  |
| M.E. Porter <sup>3</sup>   | To the concept of innovation, M.E. Porter includes technological improvements, better methods, ways of doing a thing. This can manifest itself in product or process changes, new approaches to marketing, new forms of distribution.                        |
| R. Simonetti <sup>4</sup>  | Innovation is a creative and interactive process involving the market and non-market institutions. Innovation consists of the creative use of different forms of knowledge that responds to market demand and the requirements set by the innovation society |

<sup>1</sup> J. Schumpeter; *Teoria rozwoju gospodarczego*, PWN, Warszawa 1960.

<sup>2</sup> E. Mansfield, *The Economics of Technological Change*, W.W. Norton and Co, New York 1968.

<sup>3</sup> M.E. Porter, *Competitive Strategy*, Free Press, New York, 1980.

<sup>4</sup> R. Simonetti, D. Archibugi, R. Ewangelista, *Product and process innovations: how they defined? How are they quantified*, „Scientometrics” 1995; 32.

|   |  |
|---|--|
| P. Drucker <sup>5</sup>                               | P. Drucker defined innovation as: ‘a specific tool of entrepreneurs by means of which change makes the opportunity to undertake new economic activities or provide new services. Innovation is a specific tool of entrepreneurship – an activity that gives resources new opportunities for wealth creation.   |
| P. Kotler <sup>6</sup>                                | P. Kotler referred to innovation as a good, service or idea that is perceived by someone as new. The idea may have already existed for a long time, but it represents an innovation to the person who perceives it as new.   |
| R.W. Griffin <sup>7</sup>                             | Innovation is considered to be the directed effort of an organisation to master new products and services or new applications of existing products and services.   |
| D. Begg,<br>S. Fisher,<br>R. Dornbush <sup>8</sup>    | Innovation is ‘the application of new knowledge to the production process  |
| Council of Competitiveness 2005 <sup>9</sup>          | Innovation arises at the intersection of invention and insight and leads to the creation of social or economic value.  |
| OECD 2005 <sup>10</sup>                               | Innovation is the implementation of a new or significantly improved product (good or service) or process, a new marketing method or a new method of business organisation or external relations. Innovative activities are of a scientific, technological, organisational, financial or commercial nature and are intended to lead or lead to the implementation of an innovation.   |
| Business Council of New York State 2006 <sup>11</sup> | Innovation is a combination of invention, insight and entrepreneurship that creates new industries, creates new value and creates new valuable jobs.   |
| Innovation Vital Signs Project 2007 <sup>12</sup>     | Innovation is about extracting economic value from new activities. Successful innovation is the extent to which value is created for customers through ventures that transfer new knowledge and technology into new profitable products and services in national and international markets. A high rate of innovation leads to the creation of new markets, economic growth, job creation, wealth and higher living standards. |

<sup>5</sup> P. Drucker, *Innowacja i przedsiębiorczość*, PWE, Warszawa 1992.

<sup>6</sup> Ph. Kotler, *Marketing. Analiza, planowanie, wdrażanie i kontrola*, Gebethner i Ska, Warszawa 1994.

<sup>7</sup> R.W. Griffin, *Podstawy zarządzania organizacjami*, PWN, Warszawa 1996.

<sup>8</sup> D. Begg, S. Fisher, R. Dornbush, *Makroekonomia*, PWE, Warszawa 1997.

<sup>9</sup> Praca zbiorowa, *Catalyzing Cross-Border Innovation: The Mexican Life Sciences Initiative. Phase I Report*, Council of Competitiveness, 2005.

<sup>10</sup> *Podręcznik Oslo...* op. cit.

<sup>11</sup> Business Council of New York State, <http://www.bcnys.org/>.

<sup>12</sup> B. Kalweit, E. Milbergs, R.S. Boege *J.D Innovation Vital Signs Project*, Technology Administration US Department of Commerce, ASTRA, 2007.

|                              |   |
|------------------------------|---|
| Ross A. Webber <sup>13</sup> | Innovation is any research and development process whose primary objective is the application and use of improved solutions to technique, technology and organisation.        |
| A. Pomykalski <sup>14</sup>  | Innovation is a process involving all activities related to the creation of an idea, the creation of an invention and its implementation in the form of a product or process. |

*Source: own work*

The main definitional differences shown in the table lie primarily in two different approaches to innovation. The first treats innovation as the pioneering application of a product or process. The second considers as innovation any subsequent application of them. Another factor that differentiates the definition of “innovation” is its perception. It is worth noting that until the mid-1990s “innovation” was understood as the implementation or application of an invention, product or process. It was not until R. Simonetti in 1995 emphasised that innovation is a creative and interactive process. He noted that the implementation of an innovation requires a variety of activities not only from the side of the adopter, but also from the market and non-market institutions. This formulation had an important influence on the further development of the concept of „innovation”<sup>6</sup>.

Innovation is one of the primary sources of competitive advantage for companies, and in a highly competitive environment it even becomes the dominant attitude. In such a situation, an enterprise needs innovations in order to grow: new products, processes, services, organisation or management or marketing methods. These lead, on the one hand, to cost reductions and, on the other hand, provide an opportunity to gain/maintain market share by creating customer value. The process of continuous creation of new types of products and services is a picture of the intensity of structural change in the modern economy. Innovation is understood as an outcome and as a process.

There are essentially four types of (main) innovation: product innovation, process innovation, marketing innovation and organisational innovation.

Product innovation is the introduction of a new good or service to the market by a given company or the significant improvement of previously offered goods and services with respect to their characteristics or intended use. This includes significant improvements in terms of technical specifications, components and materials, embedded software, ease of use or other functional features. Product innovations (within products) may use new knowledge or technology or be based on new applications or combinations of existing knowledge and technology. The term “product” is used to designate both products and services. Product innovations include both the

<sup>13</sup> R.A. Webber, *Zasady zarządzania organizacjami*, PWE, Warszawa 1996.

<sup>14</sup> A. Pomykalski, *Innowacje*, Politechnika Łódzka, Łódź 2001.

<sup>6</sup> M. Baraniak, *Finansowanie działalności innowacyjnej indywidualnych gospodarstw rolnych województwa łódzkiego*, rozprawa doktorska, Uniwersytet Łódzki 2019, p. 32-34.

introduction of new products and services and significant improvements to existing products and services in terms of their functional or performance characteristics<sup>7</sup>.

Process innovation means the introduction of new or significantly improved production or delivery methods into the practices of an enterprise. Significant changes in technology, equipment and/or software fall into this category. Process innovation may aim to reduce the unit cost of production or delivery, increase quality, produce or deliver new or significantly improved products. Production methods are the techniques, equipment and software used to produce products or services. Examples of new production methods are the implementation of new equipment to automate the production process within a production line or the implementation of computer-aided design for product design and development<sup>8</sup>.

A marketing innovation (marketing innovation) is the implementation of a new marketing method involving significant changes in product design / construction or packaging, distribution, promotion or pricing strategy. The aim of marketing innovation is to better meet customer needs, open new markets or reposition the company's product in the market to increase sales. The distinguishing feature of marketing innovation among other changes in a company's marketing instrumentation is that it involves the implementation of a marketing method not previously used by the company in question. It must be part of a new marketing concept or strategy representing a significant departure from the marketing methods used so far. The new marketing method can be developed by the innovative company in-house or assimilated from other companies or entities. New marketing methods can be implemented for both new and existing products<sup>9</sup>.

For example, a marketing innovation is the first use of significantly different media/media or techniques – such as product placement in films or television programmes, or the use of a famous person portrayed as a user of a product (celebrity endorsement). Another example is branding, i.e. the creation and introduction of a completely new brand symbol (as opposed to regular adjustments to the visual layer of the brand) to position a company's product in a new market or to give the product a new image. The introduction of a system of personalised information, e.g. obtained from loyalty cards, to tailor the presentation of products to specific customers can also be considered a marketing innovation. Pricing innovations consist of the application of new pricing strategies to sell a company's products or services on the market. Examples include the first use of a new method to adjust the price of a product or service according to demand (e.g. when demand is low, the price is also low) or the introduction of a new method to allow customers to select desired product features on a company's website and then check the price of the selected combination of features.

Organisational innovation (organisational innovation) is the implementation of a new organisational method in a company's adopted operating principles, in the

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<sup>7</sup> Podręcznik Oslo... op. cit, p. 50.

<sup>8</sup> Ibidem, p. 51.

<sup>9</sup> Ibidem, p. 52.



organisation of the workplace or in its relations with the environment. The purpose of organisational innovation can be to achieve better performance by reducing administrative or transaction costs, increasing job satisfaction (and thus productivity), gaining access to non-tradable assets (such as non-codified external knowledge) or reducing supply costs. A distinguishing feature of organisational innovation in comparison with other organisational changes in a company is the application of such an organisational method (in the operating principles adopted by the company, in the organisation of the workplace or in the relations with the environment), which has not been applied in a given company before and which results from strategic decisions taken by its management. Organisational innovation in terms of the company's business practices involves the implementation of new methods of organising the company's routines and procedures. This includes, for example, the implementation of new practical rules to improve learning and knowledge sharing within the company<sup>10</sup>.

An example would be the first implementation of practical rules to codify knowledge, e.g. creating a database of best practices, lessons learned and other knowledge in a way that makes it as easily accessible as possible to others. Another example would be the first implementation of practical rules to develop staff and improve staff retention (retention) rates, for example education and training systems. Still another example would be the first introduction of production or supply management systems, e.g. supply chain management systems, as well as the fundamental transformation of processes in a company (business reengineering) or lean production and quality management systems.

Workplace organisation (workplace organisation) innovation involves the implementation of new methods of distributing tasks and decision-making powers among employees in order to divide up work within divisions and between divisions (and organisational units). Such innovation is also the implementation of new concepts for structuring activities, such as the integration of different company activities. An example of organisational innovation in terms of workplace organisation is the first implementation of an organisational model that gives the company's employees more autonomy in decision-making and encourages them to contribute their ideas. This can be achieved through the decentralisation of group activities and management control, or the establishment of formal or informal work teams in which the job responsibilities of individual employees are defined more flexibly. Organisational innovation can also involve centralising activities and increasing accountability for decisions.

The introduction of build-to-order production systems for the first time can be cited as an example of organisational innovation in structuring company activities. Another example is the integration of sales and production or the integration of design and development work with production. New organisational methods in the field of external relations consist in the implementation of new ways of organising relations with other companies or public institutions, such as the establishment of new types of cooperation with research institutions or customers, new methods of integration with suppliers,

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<sup>10</sup> Ibidem, p. 53.

as well as the first outsourcing or subcontracting of elements of activity such as production, procurement, distribution, recruitment or support services. Organisational innovations are not such changes in the accepted principles of operation, organisation of the workplace or in relations with the environment that are based on organisational methods already used by the company before. Nor is the mere formulation of a management strategy an innovation. On the other hand, organisational changes implemented in response to a new management strategy constitute an innovation if it is the first implementation of a new organisational method in terms of operating principles, workplace organisation or relations with the environment.

For example, the introduction of a written strategy document to improve the efficiency of knowledge utilisation in a company is not in itself an innovation. Instead, an innovation takes place when this strategy is implemented by using new software and information documentation rules to stimulate knowledge sharing between different branches of the company. Mergers with other companies and acquisitions of other companies are not considered organisational innovations, even if the company is merging or acquiring for the first time. However, mergers and acquisitions may involve organisational innovation if, in the process, the company develops or introduces new organisational methods<sup>11</sup>.

An excellent example of organisational innovation in agriculture is the Short Food Supply Chain (SFSC), which shortens the distance between producer and consumer and minimises the number of intermediaries. The solution promotes understanding and communication between producer and consumer, which fosters loyalty and increases the value of agricultural products. Some of the divisions are only applicable under certain conditions. Thus, the competitiveness of food products depends, among other things, on the efficiency of supply chain management. This requires the company to apply modern management concepts that introduce a philosophy of partnership in supply chains and decisions made by market process participants. These imply innovative measures such as rapid chain rotation, efficient customer service (ECR), the QR concept or the supply chain reference model (SCOR).

Organisational innovations primarily concern people and the organisation of work. Examples of this type of innovation can be the implementation of a new organisational method in the principles of operation adopted by the entity and the implementation of new methods of organising routine activities and procedures governing work (e.g. improving the process of knowledge sharing / knowledge transfer within the organisation – company). The aim of organisational innovation is to achieve better performance by reducing administrative or transaction costs, increasing job satisfaction (and thus productivity), gaining access to non-tradable assets (such as non-codified external knowledge).

Absolute innovation. Among the many types of innovation, there is also the concept of absolute innovation, which boils down to the ability to create and then implement an absolute novelty (organisational, technological, product, etc.). Innovation of

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<sup>11</sup> Ibidem, p. 49-55.

this type is associated with a high degree of uncertainty and risk, but nevertheless, in the event of success, it provides the implementer with a “priority bonus”<sup>12</sup>.

Another type of innovation is relational innovation, which consists of the ability to implement specific solutions that are new only in a fixed context, place and time. An example of this type of innovation is, for example, the implementation in an organisation of procedures or technologies that are new to that organisation (see the example of the Kaizen ideology mentioned above or the ISO series of standards). Relational innovation is closely related to imitative modernisation.

Another type of innovation is disruptive innovation, otherwise known as radical innovation. Their characteristic feature is that they occur very rarely, but when they do, they completely change the market situation. These are products / services that are completely new, which have not been on the market before, or similar to existing products / services, but based on a completely new technology, allowing for new possibilities of operation. Examples of such innovations are, for example, mobile phones or 2D usg cameras. A breakthrough innovation that is “picked up” by the market is then refined in the form of further incremental innovations. Incremental innovations (incremental innovations) are the result of systematically modifying, improving an existing product/service so that it meets the needs of potential customers to an ever greater and better extent (e.g. 3D and 4D ultrasound machines). This type of innovation occurs much more frequently than breakthrough innovations, requires less money, shorter lead times and is a source of competitive advantage for many years.

A different type of innovation is open innovation, the essence of which is the use of valuable knowledge resources or technologies produced outside the organisation. This type of innovation allows the efforts of customers, consumers, researchers and others to be combined in a single innovation process. It creates the possibility for stakeholders to be more open to new, innovative ideas, facilitates access to complementary resources and the use of synergies, but also reduces the risk of action / Investment<sup>13</sup>.

Mix innovations are an alternative to open innovation. They are used to deftly combine opportunities to develop innovations within an organisation, while at the same time exploiting opportunities to collaborate with other external actors, they are used in open innovation. An organisation that intends to implement innovation can do so in two ways: take creative action and develop innovations in-house (either on its own or with external partners), adapt innovations produced by other companies or institutions to its own circumstances.

The first way focuses on the organisation’s research and development activities. It may conduct research in order to: acquire new knowledge, targeting specific inventions and aimed at modifying existing techniques.

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<sup>12</sup> R. Drozdowski, A. Zakrzewska, K. Puchalska, M. Morchat, D. Mroczkowska, Wspieranie postaw proinnowacyjnych przez wzmacnianie kreatywności jednostki, Polska Agencja Rozwoju Przedsiębiorczości, Warszawa 2010.

<sup>13</sup> Dobre praktyki innowacyjne. Podręcznik przedsiębiorcy, Urząd Marszałkowski Województwa Mazowieckiego, Warszawa 2010.

The second modality, referred to as other innovation activities, focuses on carrying out activities aimed at, among other things:

- obtaining a new product/service concept through the marketing activities of the entity/entities and its relationship with users,
- obtaining a new concept of products/services through the entities' ability to carry out design and development work,
- obtaining a new product concept by monitoring the competition,
- purchase of know-how,
- purchase of other consulting services, internal and/or external training of employees, which can result in the generation of innovations,
- reorganising the ways of functioning (management systems) of the company in order to generate innovation, developing new methods of marketing and/or selling its products / services.

Innovative activity can lead to both the generation and implementation of innovations in the short term and to the enhancement of the innovative capacity of an entity. By creating and implementing innovations, the entity learns, gains valuable insights from contacts and marketing activities, and improves its innovative capacity through organisational changes<sup>14</sup>.

Incremental innovations – are now becoming increasingly important (alongside radical innovations). They are also referred to by some authors as follow-on technologies and technologies that interrupt the course of development of some industry<sup>15</sup>. A radical innovation (radical innovation) or disruptive innovation (disruptive innovation) is an innovation that significantly affects the market and the companies operating in it. What is emphasised here, therefore, is not so much the novelty aspect as the impact of such an innovation<sup>16</sup>.

Pricing innovation involves the application of new pricing strategies for selling a company's products or services in the market. Examples include the first use of a new method to adjust the price of a product or service according to demand (e.g. when demand is low, the price is also low) or the introduction of a new method that allows customers to select the desired product features on a company's website and then check the price of the selected combination of features. New pricing methods whose sole purpose is to differentiate prices for particular segments of buyers are not considered innovations.

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<sup>14</sup> Przewodnik budowania lokalnej strategii innowacji opracowany w ramach projektu „Sieć Regionalnych Obserwatoriów Specjalistycznych”, Główny Instytut Górnictwa, Katowice 2015, p. 21-23.

<sup>15</sup> C. Christensen, *The Innovator's Dilemma. When New Technologies Cause Great Firms to Fail*, Harvard Business School Press, 1997.

<sup>16</sup> B. Dobiegała-Korona, *Wartość dla klientów generatorem wartości przedsiębiorstwa*, [in:] *Współczesne źródła wartości przedsiębiorstwa*, B. Dobiegała-Korona, A. Herman (ed.), Difin, Warszawa 2006.

## Conclusions

Business innovation activity is a very broad concept and refers to activities of a scientific, technical, organisational, financial and commercial nature that lead or are intended to lead to the implementation of innovations. Some of these activities are innovative in nature, while others are not novel, but are necessary for the implementation of innovation. Innovative activities also include research and development (R&D) activities that are not directly related to the creation of a specific innovation. The phenomenon referred to as innovation is constantly transforming and evolving.

The classic division of innovation distinguishes between four types of innovation:

1. product innovation – the introduction to the market of a product or service that is new or substantially improved in its characteristics or uses. This includes significant improvements in terms of technical specifications, components and materials, embedded software, ease of use or other functional characteristics. Product innovation can result from the application of new knowledge or technology or new applications or a combination of existing knowledge and technology;
2. process innovation – the implementation of new or significantly improved methods of producing, distributing and supporting products and services. Process innovations include new or significantly improved methods of creating and providing services. They may consist of significant changes to the hardware and software used for service activities or changes to the procedures and techniques used to provide services. Process innovations also include new or significantly improved techniques, equipment and software in support activities such as procurement, accounting, IT support;
3. marketing innovations – implementation of a new marketing concept or strategy significantly different from the marketing methods used so far in a given enterprise;
4. organisational innovation – implementation of a new organisational method in the principles of operation adopted by the enterprise (including knowledge management), in the organisation of the workplace or in its relations with the environment, which has not been applied so far in the given enterprise.

Among the main objectives of innovative activity indicated by Polish enterprises is improving the quality of products or services and increasing the range of products or services. In third place was the goal related to company expansion – entering new markets or increasing market share. For some Polish entrepreneurs, one of the most important objectives of innovative activity is to improve the health or safety of employees, as well as to reduce environmental damage. The average share of innovative enterprises in the total number of industrial and service sector enterprises in Poland in 2021 was 17,5%. For innovative enterprises, the most important among the indicated sources of information for innovation is the enterprise itself. For 47% of enterprises in Poland, the above-mentioned source of information is rated as high and this result is slightly below the average for EU countries (49%). In second place, suppliers are indicated and this result is below the average for EU countries, which was 27%. In Poland, in third place, according to frequency of indications, customers or

consumers are indicated as a significantly high source of information for innovation. Drawing knowledge from actual or potential buyers of products is very important from the point of view of sales strategies for innovative products.

Next in line as a potential source of information for innovation indicated by Polish companies was the activity of competitors, followed by information coming from scientific institutions (universities and research institutes). The introduction of innovations in enterprises is of particular importance in times of strong economic turbulence, whether in Europe or worldwide. An important role in leading economies out of recession and searching for new, sustainable sources of economic growth is played by dynamically developing enterprises through the introduction of innovations: new products, services, technologies, new organisational or marketing solutions.

The share of innovative enterprises (active in terms of product or service innovation and innovative in terms of marketing and organisational innovation) is one of the basic dimensions of innovative activity and determines the level of innovativeness of enterprises in a given country. The level of innovativeness of economic entities is a result of, among other things, the objectives adopted by enterprises, the areas of innovative activity of enterprises, the expenditures incurred for innovative activity, as well as the availability of public support for activity of an innovative nature.

There are very general criteria by which to assess whether a product/service is innovative. The most relevant starting point for this grade is the statement that “innovation in an organisation refers to planned changes in the activities of an organisation to improve its performance”. Thus, innovation will refer to changes characterised by the following features:

- Innovation involves uncertainty about the outcome of the innovation activity. It is not known in advance what the outcome of the innovation activity will be, e.g. whether the research and development work will lead to the successful development of a marketable product, or how much time and resources will be required to implement a new production process, marketing or organisational method and to what extent the effort will be successful.
- Innovation requires investment. The investment needed may relate to the acquisition of tangible or intangible assets and other activities (such as wages or the purchase of materials or services) that have the potential for future profits. Innovation involves transfer. The rights to the benefits of creative innovations are rarely fully exploited by the originating firm. Firms whose innovation activity involves the absorption of innovations from outside may benefit from knowledge transfer or from the use of original innovations. For some innovation activities, the costs of imitation are much lower than the costs of producing it in-house, so an effective mechanism for acquiring rights to innovations may need to be developed to provide an incentive to work on their creation.
- Innovation entails the use of new knowledge or a new application or combination of existing knowledge. New knowledge can be generated by the innovative firm in the course of its innovation activity (i.e. through internal R&D activities) or acquired externally through various channels (e.g. purchase of new technology).

The application of new knowledge or the combination of existing knowledge requires an innovative effort that can be distinguished from standard, routine ways of doing things.

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## INNOVATION ACTIVITY AS A PROCESS OF UNCERTAINTY

### *Działalność innowacyjna jak proces niepewności*

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#### **Streszczenie**

*Innowacyjność powinna być rozpatrywana szeroko, ponieważ jest to proces o dużym stopniu niepewności i złożoności. Jest on również mało uporządkowany i podlega wielu różnym zmianom, co przejawia się w trudności jej mierzenia. Według S. Kline'a i N. Rosenberga innowacyjność musi być uznawana za sekwencję zmian w systemie produkcyjnym, rynkowym i społecznym. Podstawowy problem, który związany jest z innowacyjnością dotyczy jej przyjęcia w środowisku, w którym funkcjonujemy. Powinna ona bowiem zostać zaakceptowana przez kulturę i społeczeństwo, w którym żyjemy. Należy tutaj również brać pod uwagę zdolności i motywację do ciągłego poszukiwania i wdrażania nowych idei i pomysłów, co z kolei prowadzi do wykazania na poziomie makroekonomicznym tzw. luki technologicznej, określającej różnice w zamożności poszczególnych krajów.*

**Słowa kluczowe:** *innowacje, proces innowacyjny, racjonalność, efektywność, ekonomika innowacji, zarządzanie procesowe*

#### **Summary**

Innovation should be considered broadly because it is a process with a high degree of uncertainty and complexity. It is also unstructured and subject to many different changes, which is reflected in the difficulty of measuring it. Innovation must be

considered as a sequence of changes in the production, market and social system. The basic problem associated with innovation concerns its acceptance in the environment in which we operate. It should be accepted by the culture and society in which we live. It should also take into account the ability and motivation to constantly search for and implement new ideas and concepts, which in turn leads to the demonstration, at a macroeconomic level, of the so-called “technology gap”, which determines the differences in wealth between countries.

**Key words:** innovation, innovation process, rationality, efficiency, economics of innovation, process management

## Introduction

Innovation should be considered broadly because it is a process with a high degree of uncertainty and complexity. It is also unstructured and subject to many different changes, which is reflected in the difficulty of measuring it. According to S. Kline and N. Rosenberg<sup>1</sup> Innovation must be considered as a sequence of changes in the production, market and social system. The fundamental problem with innovation concerns its acceptance in the environment in which we operate. It should be accepted by the culture and society in which we live. The ability and motivation to constantly search for and implement new ideas and concepts should also be taken into account here, which in turn leads to the demonstration, at a macroeconomic level, of the so-called “technology gap”<sup>2</sup>, determining differences in wealth between countries. The issue of innovation can be considered, like entrepreneurship, on a micro scale, i.e. at company level, and on a macro scale in relation to the whole economy, country or region. Economic innovativeness is defined as the ability and motivation of entrepreneurs to continuously search for and put into practice new ideas, concepts, inventions and the results of research and scientific work<sup>3,4</sup>. The condition for an economy to be innovative is for as many innovative enterprises as possible to operate in it. Innovation is the process of creating and implementing innovations under such conditions that allow innovative strategies to be pursued in enterprises. It can be interpreted as the enlargement or improvement of an enterprise’s product range and as the creation of new methods in management, production or other areas of

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<sup>1</sup> S. Kline, N. Rosenberg, An overview on Innovation, [in:] *The Positive Sum Strategy: Harnessing Technology for Economic Growth*, R. Landau, N. Rosenberg (ed.), National Academy Press, Washington 1986, p. 275-306.

<sup>2</sup> J. Bogdanienko, *Innowacje jako czynnik przewagi konkurencyjnej*, [in:] *Innowacyjność przedsiębiorstw*, J. Bogdanienko, M. Haffer, W. Popławski (ed.), Wyd. Uniwersytetu Mikołaja Kopernika, Toruń 2004, p. 7-62.

<sup>3</sup> W. Wiszniewski, *Innowacyjność polskich przedsiębiorstw przemysłowych*, Orgmasz, Warszawa 1999, p. 9.

<sup>4</sup> W. Janasz, K. Janasz, A. Świadek, J. Wiśniewska, *Strategie innowacyjne przedsiębiorstw*, Wyd. Uniwersytetu Szczecińskiego, Szczecin 2001, p. 299.

enterprise activity. Innovation at the microeconomic level, on the other hand, means distinguishing and specifying a specific, feedback-connected activity, which is the result of an intellectual network process and of subjective and institutional linkages evolving over time<sup>5</sup>.

In the literature on the subject, the interpretation of the concept of innovation is based on four approaches focused on:

- the individual and their characteristics influencing the creation of innovation (education, creativity, gender, etc.), structure, where the main emphasis is placed on the relationship between the organizational structure and innovation and between the enterprise and its environment;
- interactive links, answering the question: how a designated activity affects the innovation process and vice versa, systemic creation of innovations, the aim of which is to decide how national and regional innovation systems can influence the innovation activity of enterprises.

Definition of innovation it is very often referred to:

- technological changes, where innovation is defined as the predisposition to absorb new technological changes<sup>7</sup>, the possibility of developing new technologies or, as the ability to take action that goes beyond the current state of knowledge;
- behavioral changes, where innovation is identified with the speed of adaptation to changes and the ability to create new ideas and openness to changes;
- tendency to change in the area of production and creation of products or provision of services<sup>8</sup>.

## **Innovation in a multidimensional perspective**

It means predispositions and positive attitude towards creating and implementing changes in every area of socio-economic life of enterprises and the ability of the enterprise to deal with and enter into new ideas, concepts or inventions, the result of which are new products and services<sup>9</sup>. It applies to all economic entities that have the ability to conduct development research, effectively develop new ideas for manufacturing / improving processes, products or services and are able to apply these ideas in practice. In order for enterprises to effectively introduce and commercialize innovations on domestic and foreign markets, they must apply the principle of purposeful innovation and entrepreneurial management and strategies in their operations,

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<sup>5</sup> K. Janasz, Kapitał a decyzje innowacyjne w przedsiębiorstwie, „Przegląd Organizacji” 2009; 10: 35.

<sup>6</sup> J. Baruk, Zarządzanie wiedzą i innowacjami, A. Marszałek, Toruń 2006.

<sup>7</sup> S. Kitchell, Corporate Culture Environmental Adaptation, and Innovation Adoption: A Qualitative/Quantitative Approach, „Journal of the Academy of Marketing Science” 1995; 23(3): 195-205.

<sup>8</sup> G. Foxal, Corporate Innovation: Marketing and Strategy, St. Martin's Press, New York 1984, p. 35.

<sup>9</sup> G. T. Lumpkin, G. G. Dess, Clarifying the Entrepreneurial Orientation, Construct and Linking It to Performance, „Academy of Management Review” 1996; 21(1): 135-172.

because innovation is a tool for entrepreneurship<sup>10</sup>. Innovation must be a feature of every enterprise, because the competitive entities on the market are those that have a significant share in innovative activities and use all market mechanisms. It can also be viewed at the individual, organizational and macroeconomic levels<sup>11</sup>.

- At the individual level innovation is determined by innovation competence, which determines the characteristics of an individual that determine his or her attitude in the process of change.
- Organizational innovation is considered through the prism of its innovation potential, which is understood as the ability of an economic entity to develop projects, implement and disseminate innovations.
- In turn, the innovativeness of the economy / regions is characterized as the ability and willingness of entities of this economy / region to continuously search for and use in economic practice the results of scientific research and research and development work, new concepts, ideas, inventions, improvement and development of the technologies used for material and immaterial production (services), introduction of new methods and techniques in organization and management, improvement and development of infrastructure and knowledge resources<sup>12</sup>.

Therefore, innovation, which is by its nature based on novelty, is strongly linked to the supply of new knowledge. The demand for knowledge and, consequently, the use of knowledge in economic processes led to the formulation of the concept of a “knowledge-based economy (KBE)”. In this concept, modern strategies for economic growth, company development and, finally, the shaping of the prosperity of nations are created around innovation. As the authors of the dictionary “Innovations and technology transfer” write: there is a dynamic shift in the structures of developed economies towards knowledge-based industries and services<sup>13</sup>. Since this phenomenon has not only been observed in the most developed countries, but is also confirmed by the way developing economies function, we can no longer speak of individual events but of entire sectors and industries in which innovation and innovation are becoming a way of life.

Based on this trend, also in Poland, the most dynamic, competition-oriented companies create new products, patterns of conduct, technologies and finally services. It should be remembered that these processes very rarely take place in one, even the largest, company<sup>14</sup>. They usually take place in specific cooperative arrangements that include enterprises and their networks, scientific and research institutions, local government, public administration and government, as well as non-governmental

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<sup>10</sup> L. Kwieciński, K. Moszkowicz, J. Sroka, *Innowacyjność i internacjonalizacja dolnośląskich małych i średnich przedsiębiorstw*, Wyd. A. Marszałek, Toruń 2007, p. 11.

<sup>11</sup> K. B. Matusiak, *Innowacje i transfer technologii. Słownik pojęć*, Polska Agencja Rozwoju Przedsiębiorczości, Warszawa 2005, p. 74–77.

<sup>12</sup> A. Wasilewska, M. Wasilewski, Stan, kierunki i efektywność innowacji w przedsiębiorstwach przetwórstwa rolno-spożywczego, SGGW, Warszawa 2016, p. 31.

<sup>13</sup> K. B. Matusiak, *Innowacje i Transfer...* op. cit.

<sup>14</sup> We are then dealing with the phenomenon of closed innovation.

organizations and civic initiatives. In a knowledge-based economy, the responsibility for stimulating growth dynamics through support mechanisms, e.g. financial, increasingly falls on the regions. The interdependence of the effects obtained in the form of the pace of regional development and regional policies is becoming more and more visible<sup>15</sup>. Companies (organizations/institutions) that do not introduce innovations are threatened with stagnation and elimination from the market. Of course, innovation processes run with different intensity in different industries and different regions, which briefly reflects the size and nature of competitive pressure<sup>16</sup>. This distinction is not merely a formal matter, but has important substantive consequences.

- In the first meaning, innovation is treated as a result, the outcome of the application of progress in knowledge, invention.
- In the second sense, innovative phenomena include not only the final result of the implementation of a specific technical solution, but also the activities preceding its creation. Innovation in this approach is a process that includes in the broadest sense the creation of an idea, research and development and design work, production and dissemination. Treating innovation as a process is a consequence of changes observed in practice in the relationships and dependencies between science, technology and production, which take place in the modern economy and which are expressed by the convergence of these types of activities.

### **Innovation activity as an economic and social process**

Innovative activity – according to the Oslo Manual, these are all activities (undertakings) of a scientific (research), technical, organizational, financial and commercial (commercial) nature, the purpose of which is to develop and implement innovations. Some of these activities are innovative in themselves, while others may not contain an element of novelty, but are necessary for developing and implementing innovations.

Innovative activity may be conducted by the company itself on its own premises (in-house) or it may involve the acquisition of goods and services, including knowledge or consulting services, from external sources. This is sometimes referred to as the acquisition of external technology in a tangible (embodied) or intangible (disembodied) form. Innovative activity is a high-risk activity and not all innovative projects end in success, i.e. with the implementation of the innovation, but the very fact that the company undertakes such activity has great practical significance, contributing to the increase of its knowledge and skills, which may result in the implementation of innovation in the future. The Oslo Manual distinguishes three kinds of innovation activity conducted by an enterprise in a given, specific period of time:

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<sup>15</sup> A. Brzęska-Mikoda, *Innowacje w Firmie – Szanse dla Kreatywnych*, Chorzów 2009.

<sup>16</sup> Podręcznik Oslo. *Zasady gromadzenia i interpretacji danych dotyczących innowacji*. Wspólna publikacja OECD i Eurostatu, 2005. Wydanie trzecie w polskiej wersji: Ministerstwo nauki i Szkolnictwa Wyższego, 2008, p. 17.

- successful innovation activity, i.e. implementation of an innovation (irrespective of whether the implemented innovation was commercially successful or not);
- activity not yet completed by the implementation of the innovation, i.e. ongoing activity that is still in progress at a given time (ongoing innovation activity);
- innovation activity that was interrupted for some reason or abandoned before the innovation was implemented (abandoned innovation activity).

Therefore, innovation activities are the entire set of scientific, technical, organizational, financial, and commercial activities that actually lead to, or are intended to lead to, the implementation of innovations. Some of these activities are innovative in nature, while others are not new, but are necessary for the implementation of innovations. Innovation activities also include research and development (R&D) activities that are not directly related to the creation of a specific innovation. The common feature of innovations is that they have been implemented. A new or improved product is implemented when it is introduced to the market. New processes, marketing methods, or organizational methods are implemented when they are actually used in the company's operations. Innovation activities can have a very diverse nature, depending on the specifics of the company. Some companies conduct clearly defined innovation projects, for example, creating and introducing a new product, while others primarily make continuous improvements to their products, processes, and operations. Both types of companies can be considered innovative: innovation can consist of implementing one significant change or a series of smaller, incremental changes that together constitute a significant change. S. Christow sees three factors that determine innovation: innovation potential (generally knowledge), propensity to introduce innovations (generally invention), propensity to adopt innovations (generally openness).

We can imagine a situation in which companies operating in Poland are the authors of innovative ideas, but Polish consumers are not willing to buy them. Then the only solution is export. However, the Polish domestic market is large enough to allow for the development of less innovative businesses: many domestic companies are satisfied with lower turnover realized on the Polish market. This specific "lack of ambition" is a certain barrier to innovation<sup>17</sup>.

## **R&D as a specific type of innovative activity**

Specific innovation activities that can be used by organisations to create or acquire innovations<sup>18</sup>. R&D activities which include the following: the organisation may conduct basic and applied research to acquire new knowledge and research directly aimed at specific inventions or modifications of existing techniques, and the

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<sup>17</sup> S. Christow, *Czym jest dla mnie innowacyjność? Co intuicyjnie nazywamy innowacją?*, tekst niepublikowany. [za:] J. Fazlagić, *Czy Twoja firma jest innowacyjna? Jak poszukiwać innowacji w sektorze usług? Podpowiedzi dla MSP, PARP, Warszawa 2012*, p. 30-31.

<sup>18</sup> Por. Podręcznik Oslo, op. cit., p. 38-39.

organisation may develop new product or process concepts or other new methods to assess whether they are feasible and economically reasonable; at this stage, there may be: a) development and testing, and b) further research to modify designs or technical functions<sup>19</sup>. When it comes to innovation activities other than R&D, an organisation can undertake a number of activities that are not part of R&D but are part of innovation. These activities may enhance the organisation's ability to create innovations or its ability to successfully assimilate innovations developed by other companies or institutions. In addition, the organisation may acquire new product concepts, processes, marketing methods or organisational changes:

- through its marketing activities and relationships with users,
- through the identification of commercialisation opportunities arising from its own basic or strategic research or from such research conducted by others,
- by its design and development capabilities, or by monitoring its competitors, as well as by using consultants.

An organisation can purchase technical information:

- by paying royalties and fees for patented inventions (which usually requires R&D to adapt and modify the invention to its own needs) or buy know-how and skills in the form of engineering and construction or other consultancy services;
- human skills can be developed (through in-house training) or acquired (by hiring new people);
- tacit and experiential learning (learning by doing) can also come into play;
- the organisation may invest in equipment, software or inputs used indirectly in production, incorporating the results of the innovation activities of others;
- the organisation can reorganise its management systems and the whole system of its activities;
- a company may develop new methods of marketing and selling its products and services.

The ultimate goal of all these types of innovative activities is to improve the organisation's performance. The aim of the activities may be the development and implementation of new products and processes, new methods of promoting and selling products and/or changes in organisational practices and the organisational structure of the company<sup>20</sup>.

For example, innovative activity in agricultural services consists of the adoption of new technologies, while the agri-food industry is a developer of new technological solutions. These technologies originate from independently conducted development research. Service innovations, on the other hand, are mostly based on externally acquired knowledge. In order to show the difference in innovativeness between manufacturing and services, it can be stated that what patents are to the manufacturing sector, trademarks are to the service sector. This means greater competition in the

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<sup>19</sup> Por. Podręcznik Frascati. Pomiar działalności naukowo-badawczej. Proponowane procedury standardowe dla badań statystycznych w zakresie działalności badawczo-rozwojowej. OECD, Organizacja Współpracy Gospodarczej i Rozwoju. Ministerstwo Nauki i Szkolnictwa Wyższego, Warszawa 2010.

<sup>20</sup> Podręcznik Oslo... op. cit., p. 39.

service sector, as it is easier to enter a market, but at the same time more difficult to maintain that market and remain in a leading position<sup>21</sup>.

## **Types of innovation activity by time factor**

Innovation activity conducted in a given period may be of three types:

- the activity was completed successfully, i.e. with the successful implementation of the innovation (although there is no requirement that it also be a commercial success);
- ongoing activities, i.e. activities in progress that have not yet led to the implementation of the innovation;
- activities discontinued before the innovation was implemented.

The innovation process is internally diverse and multi-phase. The nature of the innovation process is not fully explained. This term should be understood as a creative activity consisting in creating, designing and implementing innovations. In other words, the innovation process can be defined as all activities necessary for the creation and practical application of new technical solutions, which include new or modified products, manufacturing processes and organizational changes. The concept of innovative activity has a similar meaning. However, when it comes to a specific technical solution and its application in the economy, then we can talk about an innovative undertaking.

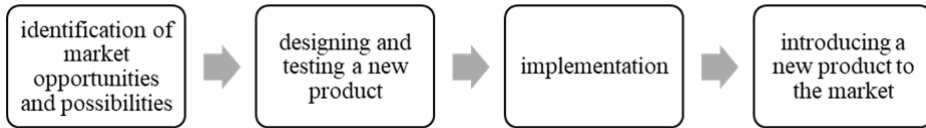
Linear models of innovation (linear model of innovation – “from research to production”). These are early models of the innovation process. According to contemporary theories, although R&D activity is a very important and unquestionable source of innovation, innovation and innovativeness are more complex and much broader concepts and phenomena than just R&D activity, with which they were identified until recently, as described by the aforementioned linear models of innovation (linear model of innovation – “from research to production”). These models dominated until the mid-1970s. They emphasized the causal role of scientific and technical achievements (discoveries, inventions). Here, we can list models referred to as: a simple linear model of “innovation pushed by science” (technology-push) or a model of “pulled by the market” (need-pull).

According to the first model, achievements in the sphere of basic research through applied research lead to the development of a new industrial technique (new products and technological processes), which are followed by various production phases, and finally by market activities. The last phase, i.e. diffusion, means the process of penetration (absorption) of innovations to subsequent enterprises, as well as the penetration of innovations on the scale of a single enterprise. An example illustrating innovations that actually proceed in a linear manner are programs for the development of a specific product, group of products or technology. In the second case, the innovation process is also multi-phase and usually includes:

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<sup>21</sup> K. Gula, Czy ktoś widział innowacje w usługach, „Innowacyjny Start” 2007; 2(5): 18.





**Figure 1.** Multi-phase innovation process

*Source: own work*

According to this model, technical innovations are the result of perceiving market or social needs. The market is seen as a source of ideas, inspiration for R&D. The success of the enterprise depends therefore on tracking mainly short-term market needs, searching for market opportunities for creating a set of modified products. In linear models we are dealing with a more or less passive role of the user of innovation and the market, who is simply a passive recipient of the results of scientific and technological progress or current market signals. Innovation Policy based on such models, the main emphasis is placed on supply factors (scientific and technical possibilities) or demand factors (market and social needs). However, most innovations do not proceed according to linear models. Their application in the practice of enterprise management was one of the reasons for many failures of innovative projects, mainly due to the long implementation period and numerous organizational barriers.

Dynamic interaction models of the innovation process already in the late 1970s they were replacing linear models. They are more complex and contain numerous interactions and feedbacks during the period of innovation creation and diffusion. They explain innovations both as the result of feedbacks between technical possibilities (generated by science and technology) and needs (generated by the market or production), and as a rich set of interactions between science, technology and implementation activities within the firm.

Their characteristic feature is the assumption that innovation processes can take place within a company, without referring to research and to the expert advice of other specialists outside the organization. However, at any point in the innovation process, it is possible to access, as needed, the accumulated knowledge created by science. Today, innovation is becoming more and more clearly a network and systemic process, in which innovations are the result of numerous complex interactions between individuals, organizations and the environment. This is evidenced by the rapidly growing number of both various types of horizontal agreements in the form of strategic alliances, cooperative relationships in the field of R&D and new product development, as well as vertical ties between enterprises. The role and significance of ties with suppliers in the product and technology development strategy of many enterprises has increased in particular. The share of small innovative companies is growing in these rapidly growing and increasingly complex external ties. The innovation process is characterized by specific features that allow it to be distinguished from regular industrial production. It is a particularly complex, complicated and difficult process. This is primarily due to the fact that innovations, by connecting four

spheres like clasps: science, technology, production and market, concentrate within themselves the features of all these spheres.

The basic features of the modernly understood innovation process are as follows<sup>22,23,24, 25,26,27,28,</sup>

1. Innovation is an interactive and multidisciplinary process.
2. Innovation only in exceptional cases depends solely on technological know-how. In most cases, in addition to R&D work, the source of innovation is also acquired specific experience and knowledge, including managerial and general level of education, contacts with users and suppliers, competitors, etc.
3. Innovation processes are localized. This means that the creation and diffusion of innovations takes place in a specific space, which is associated with the occurrence of high-quality development and other location factors resulting from agglomeration and urbanization processes.
4. Innovation is an integration process. This means that efficient and effective implementation of innovation requires high skills in the field of business management. This concerns the integration of goals, tasks and functions including marketing, research and development, design, supply and production.
5. Innovation is a learning process. This means that innovation is the result of accumulating specific knowledge and information useful for the company's activities. It is an interactive process that uses internal and external sources.
6. The innovation development cycle (research and implementation) is relatively long and difficult to define a priori.
7. Innovations are expensive and risky. Expenditures on innovations are characterized primarily by: uniqueness resulting from the nature of the innovation process itself, relatively long freezing period, unevenness.

Coupling model is one of the most commonly used models of the innovation process in developed economies. From the point of view of this model, innovation is a logically cyclical, although not always continuous process, which may consist of a series of functionally separate, but interconnected and interdependent phases. It is of little importance in which phase of the interconnected model the idea for a specific innovative undertaking appears. What is important is that the enterprise couples technological potential with market needs at the earliest possible stage of the innovation process. Polandeconomy is characterized by the fact that innovation processes currently take place in it according to the model of innovation "pushed" by science

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<sup>22</sup> Green Paper on Innovation, European Commission ECSC-EC-EAEC, Brussels/Luxembourg 1996.

<sup>23</sup> S. Kwiatkowski, Społeczeństwo innowacyjne, PWN, Warszawa 2000.

<sup>24</sup> S. J. Kline, N. Rosenberg, An Overview of Innovation [in:] The Positive Sum Strategy, R. Landau, N. Rosenberg (ed.), National Academy Press, Washington 1986.

<sup>25</sup> Technology and Economy. The Key Relationships, OECD, Paris 1992.

<sup>26</sup> M. Dodgson, R. Rothwell, The Handbook of Industrial Innovation, Edward Elgar Publishing Ltd, Aldershot-Brookfield 1994.

<sup>27</sup> J. Guinet, National Systems for Financing Innovation, OECD, Paris 1995.

<sup>28</sup> Oslo Manual. Guidelines for Collecting and Interpreting Innovation Data, Third Edition, OECD/Eurostat, Paris 2005.

and “pulled” by the market. However, the first model is most common. In a situation where the Polish economy achieves the status of a fully market economy, then the most frequently chosen model will be the feedback model of the innovation process.

## **Innovative company**

Innovative company is a company that has implemented an innovation in the period under consideration. Such a broad definition of an innovative company will not always meet the needs of public policy or research activities. In many cases, a narrower definition may be useful, especially when comparing innovations across sectors, company size categories, or countries. An example of a narrower definition is one that refers to companies that innovate in products or processes. Product / process innovative firm is a company that has implemented a new or significantly improved product or process during the period under review. This definition, which includes all companies that have implemented a product or process innovation, is similar to the definition of a “TPP innovative firm”<sup>29</sup>. Thus, the process of commercializing research results is accompanied by a chain of creating value for the customer in the university and the company.

A modern enterprise should be innovative, open to new things, able to search for market signals and ready to introduce innovative changes. This is inextricably linked to developing its innovativeness through professional and competent management and creating working conditions that will be interesting and attractive to people. With the emergence of innovativeness, the competitiveness of an enterprise increases, so it can be considered one of its features, characterized by: searching for, creating and implementing various types of innovations, the ability to make decisions in a situation of risk or uncertainty, the ability to constantly observe the market, capture signals from it and quickly respond to needs emerging on the market, the ability to observe and predict the actions of competitors, or to break innovation inertia. An innovative enterprise is one that is able to create, acquire and absorb innovations and gain information about innovative solutions. The innovativeness of an enterprise is the introduction of a new solution in the field of organization and management, technology or marketing. Here, we can also define the innovativeness of an enterprise as the improvement and development of operating and production technologies, concerning services, the sphere of organization and management, and the collection, processing and sharing of information<sup>30</sup>.

Innovative enterprise according to the OECD methodology, such an economic entity that has implemented at least one innovation (product or process) in a specified, usually three-year period, provided that it is new to it. An innovative enterprise is defined as an intelligent organization that permanently generates innovations and

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<sup>29</sup> Tamże, s. 48-49.

<sup>30</sup> S. Gopalakrishnan, Unraveling the Links Between Dimensions of Innovation and Organizational Performance, „The Journal of High Technology Management Research” 2000; 11(1): 137-153.

implements innovative projects to produce products and services that are appreciated by recipients due to their high level of modernity and competitiveness. It can be said that the concept of innovation defines the results of an enterprise's innovation activity at a given time and place.

According to another definition: an innovative enterprise is one that<sup>31</sup>:

- conducts research and development work on a large scale or purchases new product/technology projects, allocating relatively large financial outlays for this purpose,
  - systematically implements new scientific and technical solutions and introduces innovations to the market in a continuous and stable manner,
  - has a significant share of new products in the total number of products or services.
- Innovative companies are most often called<sup>32</sup>:
- innovators, i.e. individuals who are the first to adopt new ideas and regularly introduce innovations,
  - early adopters, more cautious in their actions than innovators, but characterized by a high propensity to introduce innovations,
  - late majority – they adopt innovations with a significant delay, usually under the influence of economic calculations or market pressure,
  - laggards, i.e. organizational units that are the last among the units of a given type of activity to introduce innovations.

The enterprise itself should develop a form and pattern of innovative behavior, both internally and in contacts with the environment.

The most important attributes of an innovative enterprise are:

- the ability to generate innovation,
- creativity,
- the ability to use innovation potential to maintain a competitive position,
- high competence,
- the ability to predict changes in the environment,
- the ability to recognize customer needs and meet them,
- having a team of innovators,
- flexibility and the ability to adapt to a changing and turbulent environment.

## **An innovation active company and the gradation of innovativeness**

Innovation-active company is a company that conducted innovation activity in the period under consideration, including ongoing and discontinued activity. In other words, innovation-active companies are companies that conducted innovation activity in the period under consideration, regardless of whether their activity led to the implementation of innovation or not. In the period covered by the statistical survey, new companies may be established, either created entirely from scratch or as

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<sup>31</sup> After: A. H. Jasiński, *Innovative enterprise*, KiW, Warsaw 1997, p. 25.

<sup>32</sup> After: J. Duraj, M. Papiernik-Wojdera, *Entrepreneurship and innovativeness*, Difin, Warsaw 2010, p. 88.

a result of mergers, divisions or other types of reorganization. The innovativeness of these companies (innovative company or innovation-active company) is determined in the same way as for all other companies.

Assessment of the company's level of innovation. It can be defined in several ways. The basic definition of an innovative company is that it is a company that has implemented at least one innovation, while a product or process innovator is defined as a company that has implemented a product innovation or a process innovation. There are also other ways of classifying innovative firms, depending on public policy and research needs. Such classifications can be used to determine what percentage of firms (by size class, sector, country, or other factor) introduce each of the four types of innovations, or implement a combination of several types of innovations (for example, product innovations together with marketing innovations, or process innovations together with organizational innovations). Classification by innovation criterion can also take into account other information (for example, data on the entity that created the innovation) that can be used to identify firms that are only engaged in adopting innovations in products and processes developed in other firms. It may happen that during the period under consideration, firms will conduct innovation activities but will not actually implement the innovation. All activities related to the development or implementation of innovations, including implementations planned for the future, are classified as innovation activities. Innovation of the agri-food enterprises is considered as a one-dimensional phenomenon, meaning the ability of a person / group to generate and effectively apply new ideas<sup>33</sup>, or as the ability of an enterprise to continuously search for, apply in practice and disseminate innovations, leading to an increase in its modernity and strengthening of its competitive position on the market<sup>34, 35</sup> and as a successful introduction to practice of a new thing or method<sup>36</sup>.

The minimum criterion for a change in a firm's products or functions to be considered an innovation is that it should represent something new (or a significant improvement) for the firm. All innovations must – by definition – contain an element of novelty. The value of understanding the novelty of innovation is: new to the company or market, a novelty on a global scale and so-called disruptive innovations. There are two main reasons for using the criterion of “new to the firm” (organization) as the minimum requirement for innovation.

- First, the introduction of innovations is important for the innovation system as a whole. It involves the flow of knowledge to firms adopting innovations. Moreo-

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<sup>33</sup> R.B. Bouncken, Cultural diversity in innovation teams: surface and deep level effects, „International Journal of Business Research” 2009; 4: 17-26.

<sup>34</sup> A. Pomykalski, Innovativeness of organizations, Wyd. Wyższa Szkoła Kupiecka, Łódź 2009, p. 8.

<sup>35</sup> E. Stawasz, The main areas of driving forces and tensions in the system of technology transfer and commercialization in Poland. Conditioning of the development of knowledge-based entrepreneurship, „Scientific Papers” 2011; 642: 13.

<sup>36</sup> R. Richard, R. Katz, Managing Creativity and Innovation, Harvard Business School Press, Boston 2003, p. 2.

ver, the learning process during the introduction of innovations can result in improvements of the innovation and the development of new products, processes, and other innovations.

- Second, the main impact of innovation on economic activity comes from the diffusion of initial innovations to other firms.

Data on the creator of the innovation also concern the element of novelty and diffusion, indicating whether the innovations are primarily created within the enterprise (organization), or in cooperation with other enterprises or public research institutions, or perhaps primarily created outside the enterprise (organization). New to the firm is the minimum criterion for the occurrence of an innovation. It may happen that a given product, process, marketing method or organizational method has already been implemented in other companies, but if they are new for the company considered in the study (and in the case of products and processes – if they are significantly improved), then we are dealing with an innovation in this company. New to the market and new to the world indicate whether a given innovation has already been implemented by other companies or whether the company in question was the first to implement a given innovation on a market, in a sector or worldwide. Companies that are the first creators of an innovation can be considered the engines of the innovation process. Many new ideas and new knowledge are created in these firms, but the economic impact of the innovation will depend on whether other firms also adopt the innovation. Information on the degree of novelty can be used to identify developers and adopters of innovations, to study diffusion patterns, and to identify market leaders and followers. An innovation is said to be new to a given market if a company is the first to introduce the innovation in its market. The market is defined in a simple way: it is a company and its competitors, and the market may include a geographic region or a product line. The territorial scope of the newness to the market therefore depends on how the company itself perceives its market of operation, which means that the market may include both domestic and foreign companies.

An innovation constitutes a global first when a company is the first to introduce the innovation in all markets and sectors, both domestically and internationally. Novelty on a global scale therefore means a qualitatively higher degree of novelty than in the case of novelty to the market. In many studies, questions about novelty to the market will provide sufficient data on the degree of novelty of an innovation. The question about novelty on a global scale, in turn, provides an additional opportunity to collect information in those statistical studies whose purpose is to examine in more depth the aspect of novelty of an innovation.

Radical innovation/ disruptive innovation-it can be defined as an innovation that has a significant impact on the market and on the economic activity of companies in that market. This concept focuses on the effects of the innovation, not on the aspect of novelty. These effects may, for example, consist in changing the market structure, creating new markets or leading to a situation in which existing products become obsolete. However, it may happen that the breakthrough of an innovation will not be visible for a long time after its implementation. This fact is an obstacle to collecting data on breakthrough innovations in the period covered by the statistical survey.

## **Diffusion of innovation and degree of novelty**

Innovations create new knowledge that then diffuses, expanding the economy's potential to create new products and more efficient methods of operation. Such beneficial phenomena depend not only on technical knowledge but also on other forms of knowledge that are used to create product and process innovations, as well as marketing and organizational innovations. There can be significant differences between specific types of information in terms of the impact they have on the efficiency of companies and on economic change. For this reason, it is important to be able to determine that an innovation has been implemented and what effects each type of innovation has had<sup>37</sup>.

An organization that wants to change its products/services has two options. It can invest in creative activities and develop innovations in-house – either alone or together with external partners – or it can adopt innovations developed by other companies or institutions through a diffusion process. It should be noted, however, that innovations do not necessarily have to be created by the firm itself, but that firms can acquire innovations from other firms or institutions through the process of diffusion. Diffusion refers to the way in which innovations are disseminated, through market and non-market channels, from initial implementation to contact with different consumers, to presence in different countries, regions, sectors, markets and firms. Without diffusion, innovations would not have economic significance.

Diffusion can be captured by including in the research innovations that are new to a given company. It should be noted that the handbook does not cover the diffusion of a new technology to other divisions or parts of the same company after its initial introduction or commercialization. For example, the first implementation of a new production technology in one of the five factories belonging to the same company is treated as an innovation, but the implementation of the same technology in the other four factories is not<sup>38</sup>.

## **Conclusions**

Innovation is an important driver of economic growth and international competitiveness. The question then arises how to stimulate innovation, in which sectors and with which instruments / methods? In the field of the agri-food economy, innovation is the development and implementation of new concepts and technologies that improve the quality of products and services or increase production efficiency. An example is information technology, which has changed the way goods and services are produced and sold, while creating new markets and business models. One of the most important effects of innovations is their impact on economic growth. In

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<sup>37</sup> Oslo Manual... op. cit., p. 35.

<sup>38</sup> OECD 2005, Oslo Manual... op. cit.

a nutshell, they can lead to increased productivity, i.e. achieving more output with the same inputs. Numerous innovations have been initiated precisely in Europe and it continues to be an innovative region; we undoubtedly have the potential to further strengthen our innovativeness.

According to the World Economic Forum's Global Competitiveness Report, there are only three Eurozone countries in the world's top ten. The gap in the amount of resources devoted to R&D by the euro area and other major developed economies has persisted for some time. On top of this, the diffusion of innovation in the euro area appears to be slow. Recent research by the ECB has shown that there is a large productivity gap between the highest and lowest performing companies in this area. This means that while well-performing, pioneering companies are highly innovative, the so-called "marauders" benefit only marginally from innovation. Structural measures to support innovation include increasing spending on research and development and investing in education, as well as making it easier for entrepreneurs to set up new companies and more quickly withdraw bankrupt entities from the market. Innovation can also be supported by companies themselves by investing in their employees and conducting their own research and development.

Regardless of the size of the business, effective management of innovation processes is a key element of a company's competitiveness. This is because the competitive advantage is determined by the susceptibility to implement any product and technological changes, changes in the management system or in communication with potential product users. In spite of many factors limiting the implementation of innovations in small and medium-sized agri-food enterprises, their implementation is essential, as it allows these (often family-owned) companies to further develop and adapt more effectively to changes in their environment, conquer new markets, and thus achieve competitive advantage. The need to meet the ever-increasing demands of customers and growing competition motivates small and medium-sized enterprises to introduce changes in various areas of their operation.

For the proper development of an enterprise, it is very important to develop a strategy to promote innovation, as its absence becomes the most common cause of a decline in competitiveness. The ability to create and make proper use of innovations is an important element determining the efficiency of an economic entity and the possibility of its further development in a competitive market. The aim of business development management should be to shape technical, organisational and economic progress, and organisational innovations relating to the management sphere, together with product innovations, are among the most important factors shaping the competitiveness of enterprises, including small and medium-sized business units.



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## CHANGE MANAGEMENT IN THE IMPLEMENTATION OF NEW PRODUCTS

### *Zarządzanie zmianą w procesie wdrażania nowych produktów*

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#### **Streszczenie**

*Zmiana to wszelkiego rodzaju przekształcenia zachodzące (wprowadzane) w różnych obszarach funkcjonalnych organizacji. To tak naprawdę rozwój i jednocześnie dostosowywanie, dokonujące się pod wpływem czynników wewnętrznych i zewnętrznych. Zmiana ma na celu zwiększenie efektywności funkcjonowania danej organizacji, często optymalizacji działań lub – co ma pejoratywny wydźwięk – reorganizacji. Zmiana jest więc uważana za synonim innowacji lub – co może lepiej brzmieć – dynamiki i dojrzałości organizacyjnej. Należy tu jednak pamiętać, że zmiana jest procesem ciągłym. Jej wprowadzenie powinno cechować się celowością, a więc założeniem wystąpienia czegoś pożądanego – jakiegoś celu.*

**Słowa kluczowe:** zarządzanie zmianą, zarządzanie procesem, efektywność organizacji, innowacje, dojrzałość organizacji, marketing

#### **Summary**

Change is any kind of transformation taking place (introduced) in the various functional areas of an organization. It is in fact, a development and, at the same time, an adjustment, following the influence of internal and external factors. Change is aimed at increasing the efficiency of an organization's functioning, often optimizing

operations or – with pejorative overtones – reorganizing. Change is therefore considered to be synonymous with innovation or, perhaps more appropriately, with organizational dynamism and maturity. However, it is important to remember that change is an ongoing process. Its introduction should be characterized by purposefulness, i.e. the assumption of the occurrence of something desirable – some kind of goal.

**Key words:** change management, process management, organizational effectiveness, innovation, organizational maturity, marketing

## **Introduction**

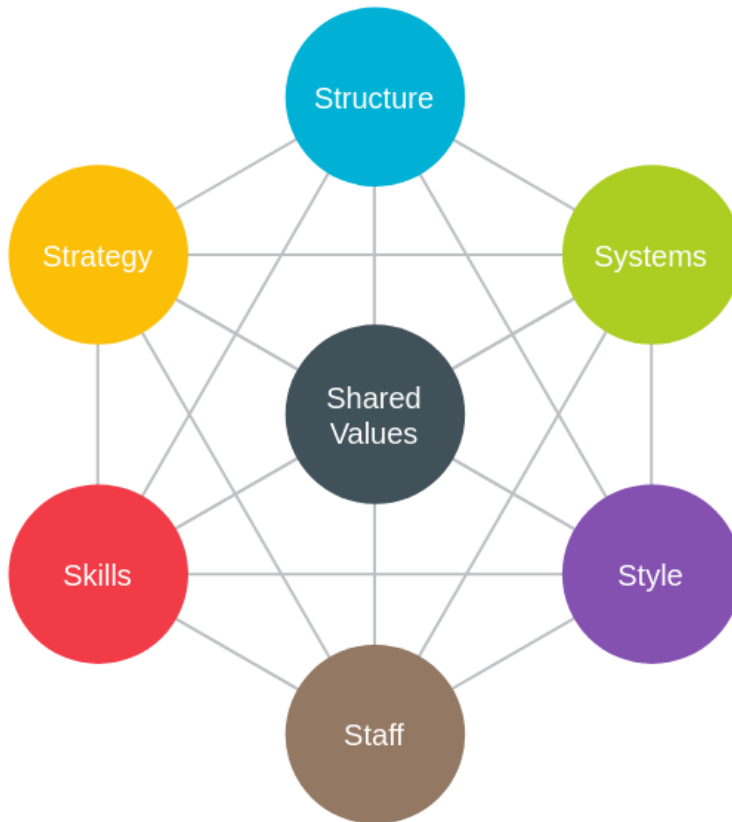
Change is all kinds of transformations taking place (introduced) in various functional areas of an organization. It is really development and at the same time adjustment, taking place under the influence of internal and external factors. The change is aimed at increasing the efficiency of the functioning of a given organization, often optimizing activities or – which has a pejorative connotation – reorganization. Change is therefore considered a synonym for innovation or – which may sound better – dynamics and organizational maturity. However, it should be remembered here that change is a continuous process. Its introduction should be characterized by purposefulness, i.e. the assumption of the occurrence of something desired – some goal. When do we identify change in an organization? When a significant external and/or internal factor appears, forcing the introduction of modifications. Such a factor is, for example, a change in regulations. We also deal with change when we want to obtain something new, different, changing the current order, which is tiring, disturbing or hindering our actions. We therefore deal with process management and their mapping, as well as reorganization.

Therefore:

- all change implementation models are similar to each other – they indicate almost the same dependencies and conditions (e.g. analysis, design and change control);
- the change process should be a step-by-step process, but tasks in a given step can be carried out in parallel;
- the process of introducing changes should be conscious, planned and effective in action;
- introducing change is not easy – it will always be associated with difficulty, effort and – for a shorter or longer period of time – a decrease in efficiency;
- the change should be well communicated (intra-organizational training);
- reorganization is not always synonymous with laying off employees – for example, it is the need for employees to acquire new knowledge, new skills, a change of position and scope of responsibility.

When designing a change, you should openly talk about a drop in quality and a slowdown in work for a certain period of time. It is worth considering the identification

of our change in terms of its impact on the organization. We can make a diagnosis of the organizational potential, based, for example, on the 7-S model<sup>1</sup>. It allows for a systemic approach to both factors – we ask ourselves a simple question, how, for example, a planned change in the area of strategy will affect the style of operation or employees and their skills. If we want to introduce, for example, a new system for managing an enterprise, we must analyze the remaining six “S”. We must consider how the change in systems will affect our organizational structure, the company’s strategy of operation, common values, the style of operation, the skills of employees and themselves. We do not skip any “S” – each area requires consideration. Only such an analysis allows us to find all possible dependencies and to a large extent prepare for the well effect.



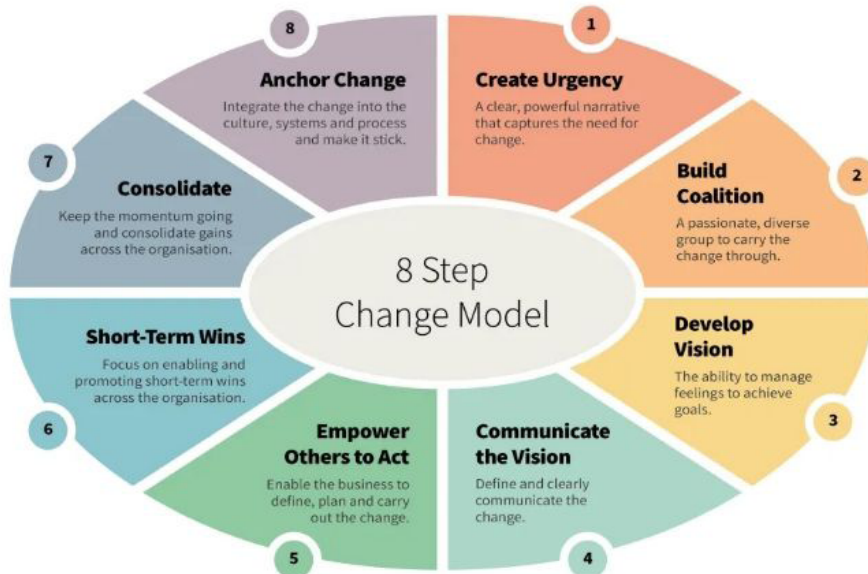
**Figure 1.** 7S Matrix

Source: McKinsey 7S Framework. Online: <https://online.visual-paradigm.com/diagrams/templates/mckinsey-7s-framework/>

People in the change process are the most important factor influencing the achievement of the goal. Firstly, employee behaviours determine success or failure

<sup>1</sup> R. H. Waterman, T. J. Peters, J. R. Phillips, Structure is not Organization, The Mckinsey Quarterly Summer 1980.

(resistance to change). Secondly, the great importance of the human factor stems from the fact that it is people who create an organisation, that it is thanks to them that it functions, acquires new customers, and develops. We must therefore remember that employees must understand and accept the change and accept new tasks and carry them out in accordance with the assumptions. Therefore, each change should be considered from the perspective of the employees who will be affected by it. We deal with change at every turn. Every organization is different – it has its own unique history, its own style of operation, knowledge and skills (know-how) and vision of the future. Therefore, there is no single, optimal method of implementing change. There are certain principles, models, tips, recommendations that we can use. This is possible through, among other things, understanding the way people work.



**Figure 2.** Kotter's 8-step approach to change management

Source: Kotter's 8 Step Change Model. Online: <https://mutomorro.com/kotters-8-step-change-model/>

## How to implement change – change management in practice

1. Communication about upcoming changes. How do we communicate change inside the company and outside? Through what channels? In what way? Do we reach everyone (especially employees)? What image of transformation do we create?
2. Justification for the change. Why do we want to introduce changes? What benefits do they bring to the entire organization and what to individual departments / teams / employees? What results can the company's environment (customers, contractors, partners) expect?
3. Informing about its progress. Are all employees familiar with the procedures? Do they know what the next stages of implementing reforms look like? Do they

- know how they can get support? Do they know what their role is in the context of change? Do employees feel they are participating in the change not only at the level of its implementation, but also in the process of its design?
4. Reporting on results. Do employees know how the technical implementation of changes ended? Have we provided them with the opportunity to evaluate and leave us comments on the changes so that they feel part of the process?

## Implementation of new services as a change in the organization

In order for the change to be properly designed and then implemented, its course must be taken into account. Lewin<sup>2</sup> proposed a three-step model for successful change. Success should be achieved when the individual steps are managed appropriately. The first phase is defrosting. This disrupts the stability of currently dominant attitudes and behaviors. At this stage, an attitude of readiness for change should be created, the need for it should be realized, and old habits should be questioned. This process must take into account the inherent threats inherent to change. The correct course of the cycle depends on the acceptance of the entire change. Therefore, it is necessary to “defrost” the currently prevailing norms, standards, habits, and only then implement the change itself. The level of readiness of an organization for change can be measured using the formula proposed by DB Gleicher<sup>3</sup>:  $C = (A \times B \times D) > X$

Where:

- C – readiness to change,
- A – level of dissatisfaction with the existing situation,
- B – clearly defined and sufficiently attractive desired state (goal, expected effects),
- D – first practical actions in the desired direction,
- X – costs of change (emotions, energy, effort, financial outlays).

Readiness to change will occur when the cost is not too high. The company is dealing with this situation when:

- Dissatisfaction with the status quo is strong enough.
- The future state is clearly defined and sufficiently attractive.
- Practical actions can be taken to achieve the desired state.

The second phase is the change itself. This stage consists of the implementation of the change process, which depends on, among other things, the structure of the organization, the dependencies and processes occurring within it.

The third phase is the so-called stabilization and freezing. This is the phase that ends the change process. It is expected that the changes will be “frozen” again so that they can be maintained for some time. Here, a process of normalization takes place, integrating many existing forms of behavior. They become new standards of employee work.

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<sup>2</sup> K. Lewin, Group decision and social change [in:] Reading in social psychology, T. Newcomb, E. Hartley (ed.), New York 1947.

<sup>3</sup> Cited after: J. Stoner, Ch. Wankel, Management, PWE, Warsaw 2007.

At the beginning of the implementation of each new method project or tool, employees can go through different phases. That is why it is so important to define the individual phases. Determining how and when we will present the implementation of a new tool depends on the phase in which employees from the covered area are. Providing appropriate support to the crew is an action that always brings success. Phases that employees may be in during change implementation: negation, anger, fear, resistance, deconcentration, adaptation, regaining balance, action and initiative. To provide support during the negation phase, you should: explain exactly what the changes are, pass on the facts and pass on the same to everyone information and distinguish between what is and what is not negotiable.

Recommendations for effective change management:

1. Let employees express their emotions.
2. Be open to their feelings.
3. Don't promise that everything will be fine.
4. Explain the benefits and next steps.
5. Don't let yourself be isolated.
6. Guide and affirm attitudes that support change.
7. Remind everyone what the goal is.
8. Emphasize and accept that some mistakes will occur.

More and more often, managers treat change not only as an opportunity, but also as a necessity. The contemporary functioning of an organization is shaped by the so-called triad: selection-compensation – Change. These elements form three basic pillars of the organization's existence. Organizational changes can be divided into quantitative and qualitative. The former indicate differences in the size of one or several parameters, while the latter indicate new behaviours, properties and reactions of the distinguished system. Development and is treated in terms of positive changes concerning a given goal that have been achieved. We speak of growth or degradation when we are dealing with quantitative changes. The ability to predict changes is a problem that their introduction creates. Due to this issue, changes can be divided into reactive and proactive. Reactive changes are carried out by analysis and diagnosis. In order to find the best solution, you must first recognize the existing state and possible weaknesses of the organization. Speed and relatively low costs, are the main advantages of reactive change. Unfortunately, it has been noticed that as the need for change becomes more obvious, the cost response. It is therefore worth taking care of the appropriate time to implement changes, because the longer you wait, the effectiveness changes decreases. In proactive changes, the search for the optimal solution precedes the construction of a model based on synthesis. It is created as a forecast, it is not a reflection of any specific object. This result creative thinking, research on development trends. This means that it can only be applied in the future. It is therefore a heuristic process. To a limited extent, it is possible to take as a basis already existing phenomena and objects.



There are usually five steps in change management<sup>4,5</sup>:

- identifying the cause indicating the need for change,
- specifying the end point or “where we want to be”,
- planning carrying out the change,
- implementation changes,
- ensuring that the changes will be permanent.

Effective change management includes changes at the personal level, such as changes in mood or procedures; hence, effective change requires skills personnel management such as motivating. Other factors that have an important influence on the success of change management are leadership style, communication and uniform positive attitude to changes among employees. Restructuring business process is one of the types of change management. It involves the transformation of processes within the organization in order to increase the effectiveness of functioning. Change promoters are those people in the organization who are leaders and champions of the change process<sup>6,7,8</sup>.

Resistance to change means emotional blockage. It is a certain mental state mental load, which is manifested by taking actions that make it difficult or impossible implementation and maintaining the changes or refraining from actions contributing to the introduction of the change when these depend on the employees themselves. In the case of obstacles we speak of active resistance, in the second case we speak of passive resistance.

Resistance is revealed in the area structures formal and informal (conflicts of interest, bureaucratic heaviness, conformity actions), also in the entire social system of the enterprise, and above all in the psychological attitudes of employees and their mutual interactions. Resistance can take the form of an individual, group or global (i.e. encompassing all employees). It can be imaginary or real, pathological or constructive. It can manifest itself, among others, in open criticism of superiors, the formation of resistance groups among employees, an increase in indicators fluctuation and absenteeism, or also efficiency work.

The main causes of resistance include:

- lack of perception of the meaning of change by employees,
- uncertainty regarding the effects and/or causes of changes,
- a fear of losing cherished values,
- awareness of the weaknesses of the proposed changes,
- a feeling of imposed change,
- decrease in ability adaptive and creativity of employees,

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<sup>4</sup> E. Rasięgel, P. Friga, *The McKinsey Mind*, KE Liber sc, Warsaw 2004.

<sup>5</sup> A. Stabryła, *Company development management*, AE Publishing House in Krakow, Krakow 1996.

<sup>6</sup> J. R. Turner, V. Kristoffer, L. Thurloway, *The project manager as change agent*. Proceedings of the 2002 Australian Institute of Project Management 2002.

<sup>7</sup> E. Wiącek-Janka, *Changes and conflicts in the organization*, Poznań University of Technology Publishing House, Poznań 2006.

<sup>8</sup> A. Zarębska, *Organizational changes in an enterprise: theory and practice*, Difin, Warsaw 2002.

- inertia of habits,
  - decreased sensitivity to stimulation,
  - lack of self-interest,
  - lawLe Chatelier's perversity,
  - the ethos of standing your ground,
  - cognitive dissonance.
- Four styles of resistance:
- Stuck in place – this is an entity behaving as if nothing has changed, as if no change has occurred.
  - Saboteur – an individual who opposes change but does not do so openly.
  - Zombie – this is an extreme case of a unit standing still.
  - Opponent – an entity that openly expresses resistance to change.

### **Stages of adaptation to change**

There are many models that deal with employee adaptation to change. C. Carnall seems to be quite general and illustrative. It distinguishes the following stages:

- Refusal – this is the initial situation when an employee learns of the intention to introduce a change. He then usually has a sincere and deep conviction that it is unnecessary. Usually, there is a consolidation team against change, and quality and efficiency work remains at the current level.
- Defense – when an individual realizes that change is inevitable, a defensive reaction occurs. Employees defend their positions and roles they have performed so far. Negative effects of such an attitude arise, i.e. a decrease in self-esteem or a decrease in motivation at work.
- Rejection – here a change of perspective occurs, because individuals begin to look to the future, realizing that change is necessary. At the same time, self-esteem increases, which leads directly to the next stage, which is acceptance of change.
- Acceptance – employees accept the change and its consequences. The more units take part, the greater the acceptance. Participation in the process of preparing and implementing the entire change.
- Internalization – employees find themselves in the situation "after" the change, and their motivation, and new ways of operating become natural behaviour for organisation members.

## Rules for making changes

- The most important rules for implementing changes<sup>9,10,11,12,13</sup>:
- Making changes is most effective when they are planned; there is so much time to organize them.
  - Once the change is announced, employees should be provided with as much information as possible.
  - Employees' input will bear fruit when they themselves can influence the way tasks are performed.
  - Those affected by the changes should, to the extent possible, plan the pace of their implementation themselves.
  - It is worth remembering that resistance occurs because of employees' fear of the unknown.
  - Resistance to change may also result from a lack of understanding of its purposes.
  - Employees are more willing to make changes if they see commitment from the organization's management.
  - Employees work better if they are rewarded for extra effort.
  - Most organizations must change over time to survive in a turbulent environment.

## Professional management of implementation of new products / services on an individual level

An effective system for managing the process of implementing new products/ services encourages cooperation between sales representatives and improves joint activities. Using a sales management system or CRM, you can improve the efficiency of the implementation process, the quality of the team's work, as well as automate some tedious tasks and achieve the set implementation and then sales goals<sup>14</sup>. Customer Relationship Management (CRM) that is, customer relationship management or customer contact management. When reading this name, the thought comes to mind that CRM systems are used solely to manage customer knowledge and the ability to monitor their behavior<sup>15</sup>. This is not true. One definition of CRM is: “the infrastructure to define and increase customer value and the appropriate means to motivate the best customers to be loyal—that is, to make repeat purchases”.

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<sup>9</sup> B. Kożusznik, *Human Behavior in an Organization*, PWE, Warsaw 2002, p. 220.

<sup>10</sup> B. R. Kuc, J. M. Moczyłowska, *Organizational Behavior*, Difin, Warsaw 2009, pp. 249-250, 256-257.

<sup>11</sup> A. Potocki, *Zachowania organizacyjne. Wybrane zagadnienia*, Difin, Warsaw 2005, pp. 288-301.

<sup>12</sup> S. P. Robbins, T. A. Judge, *Zachowania w organizacji*, PWE, Warsaw 2012, pp. 373-374, 376.

<sup>13</sup> J. M. Szaban, *Zachowania Organizacyjne. Aspekt międzykulturowy*, Wydawnictwo Adam Marszałek, Toruń 2012, p. 390-391.

<sup>14</sup> CRM-abc.pl Editorial Office - CRM-abc.pl - everything about CRM and Customer Relationship Management systems - CRM, <http://www.crm-abc.pl/> (including subpages).

<sup>15</sup> A. Dejnaka, *CRM - Customer Relationship Management*, Helion, Warsaw 2002.

Customer Relationship Management systems have a huge potential to increase the importance of the customer for the company by providing the appropriate infrastructure and IT tools. It allows for a change in the customer-company relationship, which in the future must result in increased profits. In other words, CRM is a business strategy, enriched with technological solutions and organizational infrastructure, consisting in such customer management that as a result achieves long-term benefits. CRM requires the introduction of a customer-oriented company method of operation, ensuring effective marketing, sales and service processes. The general goal of an organization using the CRM principles (strategy) is to take care of the satisfaction, trust and retention as well as loyalty of profitable customers and to make the best possible use of their purchasing potential by appropriately shaping products and offers, saving customers' time on searching and reducing the costs of promotion and advertising of the company<sup>16,17</sup>.

Sales management system or CRM (Customer Relationship Management) is a platform that can be used by sales managers to track data, reduce administrative tasks, and assign leads, and by salespeople to record daily activities and monitor goals. A huge advantage of this solution is that customer information is stored on the platform, which helps streamline sales and marketing collaboration. There are many CRM platforms available. An effective sales management system should help your company achieve or exceed long-term goals, especially when it is integrated with your communications system and allows you to seamlessly connect customer interaction information with the communications capabilities of your sales force.

Benefits of CRM system<sup>18</sup>:

1. Customer Data Management. CRM software makes the sales process easier by organizing all lead and customer information in one place and automating data entry.
2. Sales reporting. CRM tracks the value of potential and earned sales and monitors sales team activity such as emails sent, phone calls made, appointments booked, deals created and their status.
3. Accurate sales forecasting. The CRM system precisely displays the entire sales funnel, which facilitates sales revenue forecasting and increases the effectiveness of sales team management.
4. Customer segmentation. You can sort leads by parameters such as location, deal size, acquisition source, or deal close date to identify specific channels and activities that bring the most sales effectiveness.
5. Scaling the sales proces. A repeatable sales process is key to testing new sales activities and strategies. Without CRM information, you will always be shooting blindly. You need data to know what activities are effective and what trends are trending upwards.

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<sup>16</sup> E. Rudawska, *Lojalność klientów*, PWE, Warszawa 2005.

<sup>17</sup> P. R. Nulman, *Always say YES! - How to acquire and retain a customer*, Studio EMKA, Warsaw 2004.

<sup>18</sup> Quote from: <https://www.businessweb.pl/sprzedaz/co-to-jest-crm/>.

The most common objectives of CRM systems include:

- Gaining knowledge about the client, i.e. getting to know and understand the client. This is done through skillful processing of information;
- Customer management, i.e. their appropriate segmentation, defining preferences and the ability to propose appropriate products and services;
- Customer retention, i.e. appropriate actions and policies of individual company departments.

Dedicated subsystems have been developed to support the activities of individual company units, the most important of which are<sup>19</sup>:

- CRM customer service,
- CRM sales,
- CRM Marketing,
- CRM service,
- Internal CRM,
- CRM analysis,
- CRM customer service.

In one of the interviews with a leading manufacturer of CRM systems, we can read: “We deal with what we call “customer management”. We enable organizations to use information and communication technologies to establish and maintain contacts with customers – from identifying them as potential interested parties and establishing actual cooperation to managing the entire life cycle of our product”. Currently, there are dozens of companies operating on the CRM market that deal with writing applications for managing customer relationships. In the USA and in some countries of Western Europe, we can even talk about a kind of boom in Sales Force Automation (SFA) and Customer Relationship Management (CRM) software, which has grown up through the functional development of SFA. It is still a very young market, which does not have strict definitions and standards, such as MRP II or ERP. Even among software producers, there is no agreement on the scope of the term CRM<sup>20,21,22,23,24</sup>. SFA (Sales Force Automation) – using software to automate business sales tasks, including: order processing, contact/relationship management, information exchange, inventory control, order tracking, sales analysis and forecasting, sales team planning and control. Usually used in conjunction with CRM and ERP. SFA solutions support salespeople working remotely.

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<sup>19</sup> P. Kontyka, R. Kornaś, Internet portal for automatic customer service of a selected company enabling customer relationship management, master's thesis, AGH, Kraków 2006.

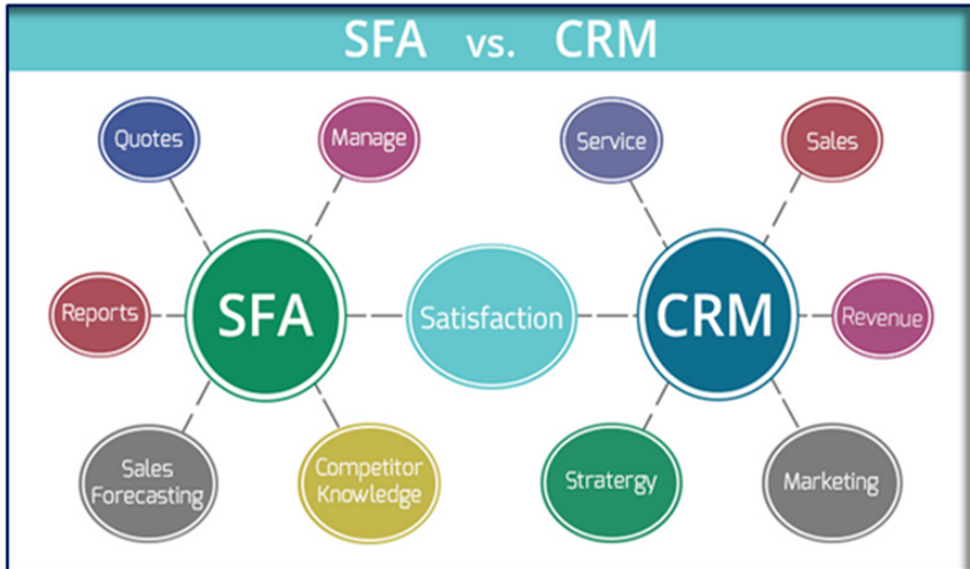
<sup>20</sup> A. Grześkowiak, K. Mazurek-Lopacińska, M. Sobocińska, A. Stanimir, Marketing research methods. Modeling, technology, visualization, Wrocław University Publishing House, Wrocław 2016.

<sup>21</sup> A. Lotko, Customer Relationship Management. Strategies and Systems, Radom University of Technology Publishing House, Radom 2006.

<sup>22</sup> D. H. Maister, C. H. Green, R. M. Galford, Zaufany doradca. Jak budować trwałe relacje z klientami, Onepress, Warsaw 2011.

<sup>23</sup> A. Parvatiyar, Customer Relationship Management: Emerging Practice, Process and Discipline, „Journal of Economic and Social Research” 2011; 3(2): 1-34.

<sup>24</sup> W. Wereda, Zarządzanie relacjami z klientem (CRM) a postępowanie nabywców na rynku usług, Difin, Warsaw 2009.



**Figure 3.** SFA vs. CRM

Source: <http://adtubeindia1.blogspot.com/2018/07/crm-vs-sales-force-automation.html>

Judging from the functions performed by the most popular CRM packages, also known as front office, it can be assumed that they usually enable the collection and processing of data concerning cooperation with the customer, sales conversations, orders, orders, activities of sales representatives and employees of departments in direct contact with the customer. These packages also include sales automation modules, order configuration and offer preparation systems, and finally marketing encyclopedias supporting sales representatives. These programs most often enable searching for relevant data, preparing sales analysis and forecasting, managing technical support departments and telephone customer service points, the so-called call centers<sup>25</sup>.

## Conclusions

The effects of using the CRM system in the process of managing product implementation and implementing the market expansion strategy:

- First: coordination of team activities. Sales management systems, especially those connected to a contact center system, coordinate the work and communication of departments throughout the company. All those involved have access to important customer information via the platform and can communicate directly

<sup>25</sup> Quoted from: <http://pracezzarzadzania.atSPACE.eu/klient-pod-kontrola-czyli-systemy-crm/>

with customers or use databases of potential customers. This eliminates the need for multiple meetings and promotes teamwork.

- Secondly: saving time. Using CRM, you can organize all your customer data so that it is easily accessible to every team member and streamline the sales process. A good platform will help you analyze the data by creating clear charts and reports.
- Third: automation and workflow. By working in the system, the sales team will be able to reduce many of the daily tedious tasks. Instead of entering data or sending more emails, the sales team can focus on selling, while the platform will automate these activities.
- Fourth: data monitoring. Without a system, managers may have difficulty tracking sales data. CRM provides up-to-date information on the status of each lead, so managers and team members can prioritize their activities and give each lead the attention it needs in a timely manner.
- Fifth: process optimization and more effective management of sales processes. A sales management system can help sales teams optimize their sales processes so that no prospect is missed and no sales opportunity is overlooked.

The CRM system therefore fulfills three basic functions:

- First: Building Customer Relationships – mainly consists of matching products and services to customers' needs, as well as acquiring knowledge about them, in order to provide customers with the greatest possible convenience when making purchases in a given company. This function also includes a quick response to signals from them.
- Second: maximizing customer relationships – is focused on increasing the value of sales per customer. The CRM system enables activities such as:
  - cross selling – this is cross-selling, which involves selling customers products that are logically related to those they have already purchased;
  - up selling – this is enriched sales, which involves selling or persuading customers to buy a more expensive version of the products they are interested in.
- Third: maintaining customer relationships – consists of acquiring further knowledge about customers, thanks to which the possibilities of serving them will be increased, as well as developing new products, adapted to the current needs of consumers. It is also important to motivate employees appropriately, so that they make an effort to retain the customer.

Additionally, CRM systems enable automation of activities such as:

- sales personalization;
- communication with the customer, e.g. encouraging conversation, etc.;
- developing and implementing personalised advertising campaigns;
- preparing discounts for individual products or customers;
- determining the customer's purchasing capacity;
- predicting future consumer behavior.

The CRM system operates on the basis of three basic subsystems:

- Operational CRM (front office) – this database contains information about transactions and contracts of the sales and order type. It concerns customers, products, employees of the company and main market competitors. This subsystem is used in such areas as: customer service, marketing, order management, issuing bills and invoices.
- Analytical CRM (back office) – is responsible for the analytical part, and therefore analyzes and processes data on customers and their purchasing behavior. It allows for understanding customer needs based on information collected from the operational subsystem.
- Interactive (communication) CRM – it enables direct contact with customers using traditional and modern technologies, including e-mail, discussion groups, websites, telephone communication, call center, fax, etc.

The benefits of implementing CRM in an enterprise (both the concept and the IT system) include:

- customer loyalty and increased customer satisfaction,
- increasing the effectiveness of customer contact,
- increase in company revenues,
- direct increase in productivity,
- increasing profitability while reducing costs,
- reducing the costs of customer service, sales and promotion,
- improving the customer service process,
- increasing the company's profits by reducing investments in customers who, according to the analysis, are unprofitable and focusing on those who generate profits,
- the ability to precisely define the target group,
- competitiveness in relation to companies that do not use this type of strategy,
- improvement of business processes based on customer data analysis.

### **Advantages of the customer relationship building process**

Accepting the theory of the need to establish relationships in business, one cannot ignore its sources. The idea of creating business relationships is to use the synergy effect between all groups of stakeholders in the sales process. Companies strive for a situation in which the result of cooperation will be greater than the sum of their individual actions using the same inputs. Close cooperation with partners aims to lead both parties to better results and a favorable return on investment in this relationship. Managers should remember that the company itself generates costs, and customers are a source of profit, which is why relationships with them are so important.

On the other hand, building lasting relationships requires additional effort and investment. At this point, we should return to questions about the essence of loyalty and consider what benefits flow to the seller from creating lasting relationships. Additionally, we should also consider what such cooperation would look like without



incurring additional costs for building loyal cooperation and leaving it in a purely transactional nature.

The basic premise that guides companies when establishing cooperation with each other is to gain a competitive advantage and a better position on the market<sup>26</sup>. It should be noted that building customer loyalty can sometimes not only be a factor in building a competitive advantage, but can also determine the survival of a company<sup>27</sup>. Winning together in the market is a general and broadly understood value for enterprises. It is realized through a number of benefits such as greater production and sales capabilities, as well as a wider scope of activities.

In the context of specific and measurable effects resulting from permanent cooperation, theories and models of measuring customer value are used, such as the Customer Lifetime Value indicator or the RFM model. The first one presents a model suitable for calculating nominal values and can support financial decisions, while the second one is a model based on the ranking method. Its name is an acronym derived from the words in English (Recency – “recentness”, referring to current practice, Frequency – frequency, Monetary value – monetary value) which are also parameters for measuring the attractiveness of relationships and building a customer ranking based on them.<sup>28</sup>

RFM Model is one of the marketing analysis tools used to segment customers based on their purchasing behavior in a given period. The RFM model includes the concepts<sup>29</sup>:

- Review – time elapsed since last purchase (e.g. short, medium, long);
- Frequency – frequency of purchases (e.g. occasional, regular, high);
- Monetary value – total value of purchases made (e.g. economical, average, high).

There are no strictly defined values in the RFM model. The manager decides what can be considered a high frequency of purchases, a high value of purchases or a short time since the last purchase. The RFM indicator will be the highest if a given customer often shops with us, the value of their transaction is high, and at the same time they made a purchase relatively recently (such people are often called Champions). In turn, people who use our offer very rarely and have not done so for a long time, and the value of their purchases is low, will be assigned a low RFM indicator. The greater your knowledge of the needs, behaviors and habits of customers, the more effectively you can reach them with your offer. Segmentation through the RFM model, i.e. assigning customers to appropriate groups based on an analysis of their shopping behavior, brings the company numerous benefits<sup>30</sup>.

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<sup>26</sup> D. Iacobucci, J. D. Hibbard, Toward an encompassing theory of business marketing relationships (BMRS) and interpersonal commercial relationships (ICRS): an empirical generalization, „Journal of Interactive Marketing” 1991; 13(3): 21.

<sup>27</sup> D. Stankiewicz, M. Juszczak, Shaping relationships with customers, „Scientific Papers” 2010; 608: 48.

<sup>28</sup> J. Novo, Drilling Down - Turning Customer Data into Profits with a Spreadsheet, Booklocker.com Inc., Saint Petersburg 2004.

<sup>29</sup> Quote from: <https://loyaltystarter.io/czym-jest-model-rfm/>

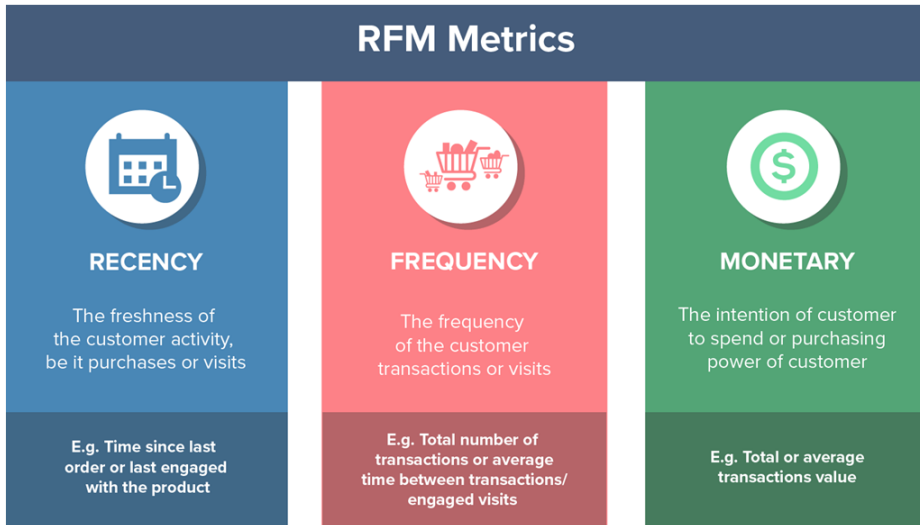
<sup>30</sup> S. Skrzypek-Ahmed, L. Antonov, M. Maciaszczyk, K. Kmiołek, Economic conditions of international entrepreneurship-globalization and global business, „Journal of Modern Science” 2023; 54(5).

It allows you to get answers to the following questions:

- Who are our best and most loyal customers?
- Who has the potential to join the group of the most valuable customers?
- Which customers should we fight for in particular so that they do not give up on our offer?
- Which customers can we reach with engagement marketing campaigns?
- What sales and marketing strategies should be used for specific customer groups to maximize sales?

Based on our own RFM model settings, we can segment our customers. Then, for each segment, we apply different sales and marketing strategies. Examples:

- Champions – these are the best customers (they buy the most, spend the most and have been active recently). They should be rewarded appropriately and communicated with appropriately. These are the customers who, because they are the first to purchase our new products or services.
- Loyal Customers – customers who buy regularly and spend a lot. We use an up-selling strategy for them, we ask for product reviews and recommendations, we send free gifts.
- Promising – potential customers who have been active recently. Loyalty programs, small, personalized gifts, and direct phone calls work well for them.
- New Customers – new customers who deserve high-quality after-sales service, building direct relationships with them and using special offers to increase the frequency and value of purchases.
- Cold Leads – customers who have shown low potential and have been inactive for some time. To revive interest, send them personalized emails and SMS messages. You should diagnose their needs and expectations, it is worth educating them and making the process of making purchases easier.
- Need Attention – customers who need attention from the seller. It is worth using time-limited offers and product recommendations based on previous purchases.
- Shouldn't Lose – these are customers with very high potential who were our customers in the past but are now close to giving up. We can recapture their interest through special offers, surveys and direct conversations.
- Sleepers – potential customers who have been inactive for a long time. Reconnect with them by sending personalized emails and text messages.
- Lost – customers who have not used our offer for a long time. It is worth winning them back through personalized e-mail campaigns. If this does not bring results, this group should be omitted from marketing communications.



**Figure 4.** RFM Model

Source: <https://clevertap.com/blog/rfm-analysis/>

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## EFFECT OF SOCIAL ENTREPRENEURSHIP ON COMMUNITY DEVELOPMENT IN PYAKASA SETTLEMENT ABUJA MUNICIPAL – AREA COUNCIL, FEDERAL CAPITAL, TERRITORY NIGERIA

### *Wpływ przedsiębiorczości społecznej na rozwój społeczności w osadzeniu Pyakasa – gminie Abuja, stolica federalna, Nigeria*

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#### **Streszczenie**

*W badaniu przeanalizowano wpływ przedsiębiorczości społecznej na rozwój społeczności w Pyakasa, AMAC, FCT, Nigeria. Za pomocą ustrukturyzowanej ankiety zebrano dane od 386 respondentów i przeanalizowano je za pomocą porządkowej regresji logistycznej w celu określenia znaczenia i siły wpływu każdego komponentu na rozwój społeczności. Wyniki wykazały, że tworzenie wartości miało pozytywny i znaczący wpływ na rozwój społeczności poprzez zwiększenie odporności społeczno-ekonomicznej i zmniejszenie poziomu ubóstwa. Rozwój infrastruktury miał również silny pozytywny wpływ, wskazując, że przedsiębiorstwa społeczne pomogły wypełnić luki infrastrukturalne, poprawiając w ten sposób jakość życia członków społeczności. Wykazano, że innowacje i technologia są istotnymi czynnikami umożliwiającymi przedsiębiorstwom społecznym skuteczniejsze radzenie sobie z lokalnymi wyzwaniem i promowanie skutecznego świadczenia usług. Stwierdzono, że inicjatywy na rzecz zrównoważonego rozwoju środowiska w znacznym stopniu przyczyniają się do zdrowia społeczności i ochrony środowiska, sprzyjając długoterminowemu dobrostanowi społeczności. Na podstawie tych ustaleń w badaniu zalecono, aby przedsiębiorcy społeczni współpracowali z lokalnymi władzami i organizacjami pozarządowymi w celu zwiększenia skali inicjatyw tworzenia wartości poprzez dostosowane programy rozwoju przedsiębiorczości i umiejętności. Zaproponowano również, aby projekty infrastrukturalne były realizowane poprzez partnerstwa z agencjami rozwoju w celu zabezpieczenia zasobów dla niezbędnych obiektów społeczności. Aby promować innowacje i wdrażanie technologii, zalecono utworzenie centrów innowacji i zapewnienie szkoleń technologicznych. Wreszcie, w badaniu zalecono wdrażanie ekologicznych inicjatyw kierowanych przez społeczność, takich jak recykling odpadów i przyjęcie energii odnawialnej w celu*

*zapewnienia zrównoważonych praktyk środowiskowych. Te możliwe do zastosowania zalecenia mają na celu optymalizację pozytywnego wpływu przedsiębiorczości społecznej na rozwój społeczności w Pyakasa.*

**Słowa kluczowe:** *przedsiębiorczość społeczna, rozwój społeczności, wpływ*

## **Summary**

The study examined the impact of social entrepreneurship on community development in Pyakasa, AMAC, FCT, Nigeria. Using a structured survey, data were collected from 386 respondents and analysed using ordinal logistic regression to determine the significance and strength of each component's influence on community development. The findings revealed that value creation had a positive and significant impact on community development by enhancing socio-economic resilience and reducing poverty levels. Infrastructure development also had a strong positive effect, indicating that social enterprises helped bridge infrastructural gaps, thereby improving the quality of life for community members. Innovation and technology were shown to be significant enablers, allowing social enterprises to address local challenges more effectively and promote efficient service delivery. Environmental sustainability initiatives were found to contribute significantly to community health and ecological conservation, fostering long-term community well-being. Based on these findings, the study recommended that social entrepreneurs collaborate with local governments and NGOs to scale up value creation initiatives through tailored entrepreneurship and skills development programs. It also suggested that infrastructure projects be implemented through partnerships with development agencies to secure resources for essential community facilities. To promote innovation and technology adoption, establishing innovation hubs and providing technology training was recommended. Lastly, the study advised implementing community-driven green initiatives like waste recycling and renewable energy adoption to ensure sustainable environmental practices. These actionable recommendations aim to optimize the positive impact of social entrepreneurship on community development in Pyakasa.

**Key words:** social entrepreneurship, community development, impact

## **Introduction**

Nigerian Rural communities are beset with myriads of challenges that impede growth and development. Unemployment and poverty are among the key challenges that rural communities face. Achieving community development has been arduous despite the various strategies adopted by the government, local agencies, and non-governmental organizations (NGOs). The high levels of unemployment, poverty, and the consequent effects they create inhibit social and economic development. Given this situation, the need to design and implement innovative projects that can provide

sustainable, long-term solutions to social problems. This need gave birth to community development of concerned with improvement in the quality of life and standard of living of a community.

Nigeria is predominantly rural with over 60 percent of people living in rural communities. For this reason, community development efforts ought to be geared towards improvement in the standard of living of the people and making the process of their development self-sustaining. This understanding informed the community development efforts of successive governments in Nigeria targeted in the rural communities<sup>1</sup>. Community development is a process in which members of a community band together to take collective action and find answers to challenges that they share. It's a broad term that refers to the efforts of civic leaders, activists, concerned individuals, and experts to improve many parts of communities, to make them stronger and more resilient.

Many socio-economic problems surround communities that are associated with community development. Social entrepreneurship has taken a pioneering role in tackling these problems in poor communities<sup>2</sup>. Whether they are individuals or charitable organisations, social entrepreneurs are recognized as powerful change agents for developing communities. Social entrepreneurship acts as a bridge between businesses and traditional business. Besides transforming the market, the influence of social entrepreneurs is important for the world to overcome social challenges and provide sustainable and effective social innovation solutions<sup>3</sup>. Stakeholders need to be fully aware of the impact of social entrepreneurs to appreciate the value of their contribution.

The Pyakasa community settlement AMAC Area presents a range of socio-economic problems in areas such as education, health, and housing, which social entrepreneurs are supposed to see as opportunities to initiate change. From the potential that social entrepreneurship presents for their activities to proliferate in the community, social entrepreneurs need to design programmes with clear objectives, implement them and assess their outcomes. Social entrepreneurship has been described as one of the defining trends of the 21st century. In the past two decades, it has become a stylish phenomenon often shown by success stories across the world in diverse fields such as education, health, culture and so on. The innovative actions of social entrepreneurs are important and is expected to serve as on the means to resolve social problems, since government and the charitable efforts of traditional organisations are falling short in alleviating the current social challenges surrounding societies<sup>4</sup>. Social

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<sup>1</sup> E. E. Ekong, *Rural Sociology*, Dove Educational Publishers, Uyo 2010, p. 380-382.

<sup>2</sup> E. Barki, G. Comini, A. L. Cunliffe, S. Hart, S. Rai, *Social Entrepreneurship and Social Business: Retrospective and Prospective Research*, "Rae-Revista De Administracao De Empresas" 2015; 55(4): 380-384.

<sup>3</sup> S. P. Sassmannshausen, C. Volkmann, *A bibliometric based review on social entrepreneurship and its establishment as a field of research*, "Schumpeter Discussion Papers" 2013; 003.

<sup>4</sup> G. C. Ihejiamazu, L. O. Udensi, *Social entrepreneurship: A new approach to community development in Nigeria*, "International Journal of Community Development Research" 2017; 5(4): 235-249.



entrepreneurial activities are the process by which the efforts of individuals are united with those of certain types of organisations to solve socio-economic problems of disadvantaged areas through value creation, infrastructure development, innovation and technology, innovation and technology and environmental sustainability<sup>5</sup>.

Therefore, value creation has to do with the process of generating benefits and positive outcomes for a community, its residents, and stakeholders. It encompasses various dimensions, including economic, social, environmental, and cultural aspects. Creating value in community development is crucial for fostering sustainable and thriving communities. One of the primary aspects of value creation in community development is economic growth. In a local context, a community garden project can be an excellent example of value creation. This initiative involves residents cultivating a shared garden space, promoting local agriculture, fostering a sense of community, and providing fresh, locally grown produce. On a global scale, a microfinance initiative targeted at women entrepreneurs in developing countries is an example of value creation with widespread impact. While, at a national level, a vocational training program designed to empower unemployed youth can be a valuable initiative. This involves attracting businesses, promoting entrepreneurship, and creating job opportunities for residents<sup>6</sup>.

Furthermore, Infrastructure development plays a crucial role in community development, as it involves the construction and maintenance of essential physical assets that support and enhance the quality of life for community members. These assets can include transportation networks, utilities, educational institutions, healthcare facilities, and more. Infrastructure development, particularly in transportation and utilities, has a direct impact on economic growth. It provides the necessary framework for businesses to operate efficiently and expand. At the local level, the construction of a community health clinic represents a significant infrastructural development. This project involves building a facility equipped to provide basic healthcare services to residents. The clinic not only improves local access to medical care but also enhances the overall health and well-being of the community. On a national scale, the construction and maintenance of road and establishment of a high-speed rail network are transformative infrastructural development. While, at the global level, the laying of undersea fiber-optic cables represents a crucial infrastructural development. Adequate infrastructure ensures that community members have access to basic services, such as basic education, clean water, sanitation, and healthcare<sup>7</sup>.

More so, Innovation and technology play a pivotal role in community development by driving progress, enhancing quality of life, and addressing various societal

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<sup>5</sup> R. Ngatse-Ipangui, M. O. Dassah, Impact of social entrepreneurs on community development in the Cape Town Metropolitan Municipality area, South Africa, "The Journal for Transdisciplinary Research in Southern Africa" 2019; 15(1): 1-10.

<sup>6</sup> A. Alireza, M. M. Kenarehfar, The impact of value creation practices on brand trust and loyalty in a Samsung Galaxy online brand community in Iran, "Journal of Marketing Research" 2018; 15(3): 211-230.

<sup>7</sup> C. G. Burton, A. W. Schraad, J. Goentzel, J. Linnerooth-Bayer, Infrastructure as a key to resilient livelihoods: Lessons from the 2010 floods in Pakistan, "Sustainability" 2018; 10(8): 2675.

challenges. Innovation and technology-driven sectors can stimulate economic growth and create employment opportunities within communities. Technological advancements can lead to increased productivity, attracting businesses, and generating jobs. Innovative healthcare technologies, such as telemedicine and wearable health devices, are enhancing access to healthcare services and improving healthcare outcomes in communities<sup>8</sup>.

Also, environmental sustainability is a critical component of community development that encompasses a range of practices, policies, and strategies aimed at preserving and enhancing the natural environment while promoting social and economic well-being. Recent academic research underscores the interconnectedness of environmental sustainability and community development, highlighting how sustainable practices can lead to more resilient, equitable, and thriving communities. Sustainable resource management is at the core of environmental sustainability and community development. Research shows that responsible land use, water management, and biodiversity conservation are fundamental to ensuring communities have access to essential resources. Sustainable agricultural practices, for instance, can boost food security and economic opportunities in rural areas<sup>9</sup>.

Therefore, components of social entrepreneurship such as value creation, infrastructure development, innovation and technology and environmental sustainability are dynamic and innovative approach to addressing societal challenges and fostering community development. It involves applying entrepreneurial principles to create and implement sustainable solutions for social, environmental, and economic problems. Social entrepreneurs are typically deeply embedded in their communities and are supposed to have a strong understanding of the specific challenges and opportunities within those communities. They should identify pressing issues and design solutions that are tailored to the needs and aspirations of the local population. Social entrepreneurship is a powerful and innovative approach to community development that leverages entrepreneurial skills, creativity, and a deep understanding of local needs to address pressing social and environmental challenges. By fostering economic empowerment, social innovation, inclusivity, and sustainable practices, social entrepreneurship should contribute to holistic community well-being and the long-term development of local communities<sup>10</sup>. It is against this background that this study seeks to investigate the effect social entrepreneurship on community development in Pyakasa AMAC, FCT Nigeria.

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<sup>8</sup> A. Nicholls, A. Murdock, *Social Innovation: Blurring Boundaries to Reconfigure Markets*, Palgrave Macmillan, Hampshire, UK & New York 2012.

<sup>9</sup> M. U. Khan, X. Li, M. A. Khan, Sustainable agriculture and its impact on rural community development: A review. "Sustainability" 2021; 13(13): 7008.

<sup>10</sup> M. P. Sauermaun, Social entrepreneurship as a tool for promoting sustainable development in low-income communities: An empirical analysis, "Journal of Sustainable Development Studies" 2023; 15(2): 203-215.

The paper addressed the following specific objectives:

- To examine the effect of value creation on community development in Pyakasa, AMAC, FCT, Nigeria.
- To assess the impact of infrastructure development on community development in Pyakasa, AMAC, FCT, Nigeria.
- To evaluate the influence of innovation and technology on community development in Pyakasa, AMAC, FCT, Nigeria.
- To investigate the effect of environmental sustainability on community development in Pyakasa, AMAC, FCT, Nigeria.

## **Literature review**

### **Conceptual review – social entrepreneurship concepts**

Social entrepreneurship is an emerging business field that is rapidly gaining popularity and relevance. Many people around the world are now realizing the role of social entrepreneurship. As opposed to normal businesses whose main focus is to make profits, social entrepreneurship enterprises aim to promote better social welfare and create social value for citizens<sup>11</sup>. Social entrepreneurship is a concept that uses the locally available resources to produce more locally desired goods and services; making it very relevant in addressing various challenges facing people in their natural environment or local settings<sup>12</sup>.

One of the earliest and most influential definitions of social entrepreneurship was put forward by Dees<sup>13</sup>, who defined it as the process of creating innovative solutions to social problems that are sustainable and create social value. This definition highlights the importance of innovation, sustainability, and social value creation as core components of social entrepreneurship. Similarly, Mair and Marti<sup>14</sup> emphasized the importance of social value creation, defining social entrepreneurship as a novel solution to a social problem that is more effective, efficient, sustainable, or just than existing solutions and for which the value created accrues primarily to society as a whole rather than private individuals. This definition emphasizes the unique contribution of social entrepreneurship in creating solutions that benefit society as a whole. Austin et al.<sup>15</sup> focus on the entrepreneurial aspects of social entrepreneur-

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<sup>11</sup> S. Teasdale, P. Dey, Neoliberal governing through social enterprise: Exploring the neglected roles of deviance and ignorance in public value creation, "Public Administration" 2019; 97(2): 325-338.

<sup>12</sup> A. Lombard, R. Strydom, Community development through social entrepreneurship, "The Social Work Practitioner-Researcher" 2011; 23(3): 327-344.

<sup>13</sup> J. G. Dees, The Meaning of Social Entrepreneurship. Online: [https://web.stanford.edu/group/e145/cgi-bin/spring/upload/handouts/dees\\_SE.pdf](https://web.stanford.edu/group/e145/cgi-bin/spring/upload/handouts/dees_SE.pdf).

<sup>14</sup> J. Mair, I. Marti, Social entrepreneurship research: A source of explanation, prediction, and deli-  
ght, "Journal of World Business" 2016; 41(1): 36-44.

<sup>15</sup> J. Austin, H. Stevenson, J. Wei-Skillern, Social and Commercial Entrepreneurship: Same, Different, or Both?, "Entrepreneurship Theory and Practice" 2006; 30(1): 1-22.

ship, defining it as a process of identifying, evaluating, and seizing an opportunity to create social value through the creation of a new venture or the transformation of an existing organization.

Infrastructural development – community infrastructure is defined as a complex system of facilities, programs, and social networks that aims to improve people's quality of life. Infrastructural development in developing countries has not been given adequate attention by successive government in Africa and Nigerian government cannot be exonerated for this. Some scholars have even acknowledged the important role of infrastructure in stimulating foreign direct investment, among them are Wheeler and Moody, these scholars argued that infrastructural development is a necessary condition for foreign investors to operate successfully as poor infrastructural development increase costs for firms. Infrastructure should therefore improve the investment climate for FDI by subsidizing the costs of investment by foreign investors and increase their (ROI) return on investment. As the availability of good infrastructures like roads, railways, highways, ports, communication networks and electricity with a stable polity would increase productivity and thereby attract higher levels of FDI. Wei<sup>16</sup> opined that, "location with good infrastructure is more attractive than the others". Infrastructure is a requirement for the growth of any economy. Transportations, energy, health, housing, and educational facilities have all become essential components of human life. It is crucial for a country to have these facilities since they are critical to home life as well as economic operations. Infrastructure is critical in supporting economy progress and, as a result, contributing to the elimination of economic inequality, poverty, and hardship in a society<sup>17</sup>.

Environmental sustainability has become a nexus for many disciplines seeking to examine issues of resource allocation, poverty, social justice, and globalization. These issues are often entangled with concepts of human relationships and the development of societies that depend on the reasonable use of an environment designed to be shared by many. Sustainability is important in a global context when attempting to reconcile the process of consumption and production<sup>18</sup> between groups of people with competing and complex values. In fact, the concept of sustainability explores the relationship among economic development, environmental quality, and social equity. This combination presents the opportunity for many disciplines to develop groundbreaking theoretical frameworks for research and problem solving in communities. Particular works from the areas of social work activism, social justice, international business, social entrepreneurship, and the natural sciences have brought about insightful observations about the dynamics of environmental sustainability and its

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<sup>16</sup> S. Wei, How taxing is corruption on international investors?, "Review of economics and statistics" 2000; 82(1): 1-11.

<sup>17</sup> B. Srinivasu, P. S. Rao, Infrastructure development and economic growth: Prospects and perspective, "Journal of Business Management and Social Sciences Research" 2013; 2(1): 56-64.

<sup>18</sup> A. Monaghan, Conceptual niche management of grassroots innovation for sustainability: The case for body disposal practices in the U.K., "Technological Forecasting and Social Change" 2019; 76(8): 1026-1043.

impact on individual decision-making, public policy formation, and economic development. New goals for environmental sustainability focus on creating alternative approaches to sustainability and seeing potential users of social innovations as a way to transform communities through environmental responsibility<sup>19</sup>. Research on innovation and sustainability suggests that community dynamics are central to creating the transformation needed to encourage personal responsibility for environmental issues<sup>20</sup>.

## **Empirical review**

Bosma, et al.<sup>21</sup> examined how social entrepreneurship contributes to value creation in marginalized communities across Europe. The authors employed a mixed-methods approach, combining survey data from 112 social enterprises with qualitative interviews. The study found that social enterprises that engage in value creation through employment generation, skill development, and social inclusion activities have a significant impact on the economic empowerment of marginalized groups. Furthermore, the study emphasized that social enterprises with a clear social mission and community-oriented strategies were more successful in achieving sustainable development outcomes. However, the study's focus on Europe limits its applicability to contexts outside the region, particularly in developing countries where the social entrepreneurship landscape is markedly different in terms of resource availability and institutional support.

Enyinna, et al.<sup>22</sup> investigated the role of social entrepreneurship in infrastructure development in rural Ghana. Using a survey-based methodology, they analyzed data from 200 respondents in four rural communities. The results indicated that social entrepreneurship initiatives have been pivotal in providing essential infrastructure such as boreholes, electricity, and educational facilities, which in turn enhanced overall community welfare. The authors highlighted that social enterprises were able to fill infrastructural gaps left by government and private sector actors, thereby contributing to local development. While the study provides valuable insights into the role of social entrepreneurship in infrastructure provision, the relatively small sample size and focus on only four communities may limit the generalizability of the findings to other regions of sub-Saharan Africa.

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<sup>19</sup> A. Monaghan, Conceptual niche... op. cit.

<sup>20</sup> L. Stocker, D. Kennedy, Cultural models of the coast of Australia: Toward sustainability, "Coastal Management" 2019; 37(5): 387-404.

<sup>21</sup> N. Bosma, S. Terjesen, J. E. Amorós, Social entrepreneurship and value creation: An empirical analysis of marginalized communities in Europe, "Small Business Economics" 2022; 59(1): 19-38.

<sup>22</sup> O. Enyinna, E. Akpan, A. Udoh, Social entrepreneurship and infrastructure development in sub-Saharan Africa: The case of rural communities in Ghana, "Journal of Developmental Studies" 2022; 48(2): 147-164.

Iwu, et al.<sup>23</sup> explored the impact of innovation on social entrepreneurship in South Africa, employing a quantitative survey method to collect data from 150 social entrepreneurs. Their findings indicated that social entrepreneurs who adopt innovative practices are more likely to achieve their social objectives, as innovation facilitates the development of unique solutions tailored to community needs. The study further suggested that innovation enhances the scalability and sustainability of social enterprises. Despite the robust findings, the study's exclusive focus on South Africa may not fully capture the diverse innovation dynamics present in other African countries with varying socio-economic conditions and entrepreneurial ecosystems.

Lindgren, et al.<sup>24</sup> analyzed the role of social entrepreneurship in reversing rural depopulation through infrastructure projects in Scandinavia. Utilizing a longitudinal case study approach, they examined community development outcomes in three rural municipalities over a period of ten years. Their findings indicated that social enterprises were key factors in developing local infrastructure, which helped attract new residents and stimulate economic activities. The authors noted that community-led social enterprises were particularly effective in maintaining social cohesion and ensuring that infrastructure projects met local needs. Nevertheless, the study's reliance on a few case studies limits its potential for broader application, and the unique socio-political context of Scandinavia may differ significantly from other regions where community dynamics and government support structures vary.

Nwankwo and Okeke<sup>25</sup> focused on the impact of value creation through social entrepreneurship on community resilience in sub-Saharan Africa. Using a comparative case study design, they analysed data from Nigeria and Cameroon. The findings suggested that social enterprises that engaged in value creation activities such as vocational training, health education, and agricultural development significantly enhanced community resilience by providing alternative livelihoods and reducing dependency on external aid. The study provides a unique understanding of how social entrepreneurship can contribute to community resilience; however, it does not account for the role of political and economic instability, which could affect the effectiveness of social enterprises in the region.

Sempels and Vandor<sup>26</sup> examined the role of social entrepreneurship in promoting environmental sustainability in European communities. Using a survey of 80 social enterprises, the authors found that environmentally-focused social enterprises not

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<sup>23</sup> C. G. Iwu, I. C. Iwu, O. Onuoha, The role of innovation in social entrepreneurship: Evidence from South Africa, "African Journal of Business and Economic Research" 2020; 15(1): 59-75.

<sup>24</sup> M. Lindgren, T. Ljungkvist, K. Berglund, Social entrepreneurship and rural development: The role of infrastructure projects in reversing rural depopulation in Scandinavia, "European Journal of Social Sciences" 2023; 36(2): 233-251.

<sup>25</sup> F. Nwankwo, C. Okeke, Value creation and social entrepreneurship: The impact on community resilience in sub-Saharan Africa, "African Journal of Economic and Management Studies" 2021; 12(4): 455-472.

<sup>26</sup> C. Sempels, P. Vandor, Social entrepreneurship and environmental sustainability: A European perspective on local economic development, "International Journal of Entrepreneurship and Small Business" 2023; 40(1): 112-127.

only contribute to environmental conservation but also create economic opportunities through green jobs and sustainable business practices. The study concluded that social enterprises are uniquely positioned to address environmental challenges at the local level. However, the study's emphasis on Europe limits its relevance to other regions with different environmental and socio-economic conditions.

Singh and Mishra<sup>27</sup> investigated the impact of environmental sustainability initiatives by social entrepreneurs on community development in rural India. Using a mixed-methods approach, the authors combined survey data from 150 respondents with case studies of social enterprises. Their findings showed that environmental sustainability efforts, such as water conservation and organic farming, led to improved agricultural productivity and community health outcomes. The study highlighted that these initiatives not only address environmental challenges but also empower local communities. However, the study's focus on rural India may not reflect the complexities faced by social enterprises in urban or peri-urban contexts, where environmental challenges and community needs differ significantly.

## **Theoretical review**

The theoretical underpinning for this study is the Community Development Theory (CDT), which was propounded by Arthur Dunham in 1958. CDT emphasizes the participatory approach to development, wherein local communities play a central role in identifying and addressing their own social, economic, and infrastructural challenges. The theory suggests that sustainable community development can only be achieved through collective action, where communities leverage their internal resources and capacities while also integrating external support. CDT views development as a process that empowers community members to take ownership of projects, thereby fostering social cohesion and self-reliance. This aligns with the core components of social entrepreneurship, such as value creation, infrastructure development, innovation and technology adoption, and environmental sustainability, all of which are geared toward improving community well-being.

The strength of CDT lies in its emphasis on bottom-up development, which promotes inclusivity and ensures that development initiatives are tailored to the unique needs and context of each community. This participatory nature of CDT is particularly relevant to the present study as it explains how social entrepreneurship initiatives can contribute to community development by actively involving local stakeholders in decision-making and project implementation.

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<sup>27</sup> K. Singh, A. Mishra, Environmental sustainability and social entrepreneurship: Impacts on community development in rural India, "Journal of Environmental Management" 2022; 301: 113793.

## **Methodology**

This study adopted a survey research design. The justification for choosing this research design will be based on the fact that the research objectives will require the use of primary data. The population of this study comprised of all literate community leaders and youth in Pyakasa AMAC, FCT Nigeria. The justification for choosing this location was based on a high concentration of business activities in the area despite facing a lot of social challenges. There is no official published document to obtain the comprehensive list of only community leaders and youth in Pyakasa AMAC, FCT Nigeria, as such it becomes difficult to obtain the exact number of only community leaders and youth in Pyakasa AMAC, FCT Nigeria. Although, the population for this study was supposed to be known but the data for such did not exist, therefore, this study decided to define the population as unknown. The justification for focusing on only community leaders and youth in Pyakasa AMAC, FCT Nigeria was based on the fact that they are more suitable category of people in that community to respond to questions regarding community development through the activities of social entrepreneurs.

Since the population of this study was defined unknown, therefore to determine the sample size for this study, Cochran's (1977) sample size determination formula for calculating infinite or unknown population was adopted. Cochran (1977) developed the equation for a population that is infinite or too large or unknown, to yield a representative sample for proportions.

The Cochran (1977) sample size formula is given below:

$$n = \frac{Z^2 \times P(1-P)}{(e)^2} \quad (1)$$

Where:

- n – sample size,
- Z<sub>2</sub> – abscissa of the normal curve that cuts off an area  $\alpha$  at the tails ( $1 - \alpha$  equals the desired confidence level, e.g., 95%),
- e – desired level of precision,
- p – estimated proportion of an attribute that is present in the population,
- q – 1-p.

The value for Z is found in statistical tables which contain the area under the normal curve.



Therefore, for the purpose of this study, Z2 is the Z value at 95% confidence interval, e = 5%, P is the proportion of the population 0,5 and q = 1-p = 1- 0,5 = 0,5

$$n = \frac{Z^2 \times P(1-P)}{(e)^2}$$

Where:

- n – sample size for the study,
- Z<sup>2</sup> – Z value at 95% confidence interval (1,962),
- e – desired level of precision = 5%,
- P – proportion of the population 0,5,
- Q – 1-p = 0,5.

$$n = \frac{Z^2 \times P(1-P)}{(e)^2} = \frac{1.96^2 \times 0.5(1-0.5)}{(0.05)^2} \approx 384$$

From the above computation, the sample size determined for this study using Cochran's (1977) sample size formula was three hundred and eighty-four (384). However, twenty percent (20%) of the sample size determined (20% of 384 = 77) was added to make a provision for the case of un-responded and/or In-returned questionnaires and also to increase the sample size as suggested by Singh and Masuku<sup>28</sup>. In other words, the attrition rate of 20% will be added to the sample size; hence, the result of the addition produced a new sample size of four hundred and sixty-one (461) this is in line with the opinion of Singh and Masuku<sup>29</sup>, Muritala and Ajetunmobi<sup>30</sup>. Therefore, the sample size for this study comprised of four hundred and sixty-one (461) community leaders and youth in in Pyakasa AMAC, FCT Nigeria. 386 sample were however filled correctly and returned.

In addition, the convenience sampling technique was adopted to select the respondents for this study. Also, the targeted respondents for this study were literate community leaders and youth in in Pyakasa AMAC, FCT Nigeria. The justification for using the convenience sampling technique will be based on the fact that not every employee will be willing or chance to respond to the questionnaire at the required time.

For purpose of this study, data was obtained from the primary source of data collection. The justification for using a primary source of data collection is based on the fact that the research objectives seek the opinion of the target respondents to obtain the required data for the study. A questionnaire was used as the method of data collection. In other words, this study used questionnaire to collect data from the respondents using the five (5) point Likert scale.

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<sup>28</sup> K. Singh, A. Mishra, Environmental sustainability... op. cit.

<sup>29</sup> K. Singh, A. Mishra, Environmental sustainability... op. cit.

<sup>30</sup> A. S. Muritala, O. A Ajetunmobi, Competitive Intelligence and Sustainable Competitive Advantage of Selected Insurance Companies in Nigeria, "International Journal of Advanced Research in Statistics Management and Finance" 2019; 7(1): 214-224.

The core techniques of analysis in our study include descriptive analysis and ordinal logistic regression analysis. Descriptive analysis furnished the study with a basic understanding of the data, outlining measures of central tendency and dispersion such as mean, median, mode, and standard deviations. This offered preliminary insight into the distribution and general patterns within our dataset.

Ordinal Logistic Regression (OLR), also known as proportional odds logistic regression, was the principal method for our inferential statistics, given the categorical and ordered nature of our dependent variables.

The model specifications here are formulated and was used to address the four objectives and they are as follows:

$$OLR_j = CMD = \ln \left( \frac{Cp_j}{1 - Cp_j} \right) = \alpha_j + \beta_1 VC + \beta_2 INFD + \beta_3 INVT + \beta_4 EVS \quad (2)$$

Where:

- VC – value creation,
- INFD – infrastructure development,
- INVT – innovation and technology (innovation and technology),
- ES – environmental sustainability,
- CMD – community development.

## **Results and discussion**

### **Descriptive statistics**

Descriptive statistics provide a summary of data characteristics such as central tendency (mean), variability (standard deviation), and the distribution shape (skewness and kurtosis). By understanding these metrics, researchers can interpret the general behaviour and nature of the data. For this study, the descriptive statistics of social entrepreneurship components – value creation (VC), infrastructure development (INFD), innovation and technology (INVT), and environmental sustainability (ES) – are analysed to understand their impact on community development (CMD) in Pyakasa, AMAC, FCT, Nigeria.

**Table 1.** Descriptive analysis

|                     | <b>CMD</b> | <b>VC</b> | <b>INFD</b> | <b>INVT</b> | <b>EVS</b> |
|---------------------|------------|-----------|-------------|-------------|------------|
| <b>Mean</b>         | 4,365239   | 4,087154  | 4,401511    | 3,903526    | 4,270529   |
| <b>Std. Dev.</b>    | 0,840935   | 0,814119  | 0,798039    | 0,760175    | 0,826862   |
| <b>Skewness</b>     | -0,6173    | -0,06147  | -0,58369    | -0,3561     | -0,31001   |
| <b>Kurtosis</b>     | 3,290026   | 2,268552  | 3,191022    | 3,001533    | 2,563461   |
| <b>Jarque-Bera</b>  | 26,60474   | 9,100107  | 23,14592    | 8,390375    | 9,511184   |
| <b>Probability</b>  | 0,000002   | 0,010567  | 0,000009    | 0,015068    | 0,008603   |
| <b>Observations</b> | 386        | 386       | 386         | 386         | 386        |

*Source: Researcher's Computation, 2024*

The mean value for community development (CMD) is 4,365, which indicates that the general perception of community development in Pyakasa is relatively high. This suggests that respondents believe community development initiatives have a strong presence and positive impact in the area. The standard deviation is 0,841, showing moderate variability in responses, meaning that there is some variation in how people perceive the level of community development.

The skewness for CMD is -0,617, suggesting a slight negative skew, where most values are concentrated on the higher end of the scale, indicating that most respondents have a positive view of community development. The kurtosis of 3,290 implies a distribution slightly more peaked than a normal distribution, indicating that extreme values (either very high or very low) are a little more frequent. The Jarque-Bera statistic is significant with a probability of 0,000002, which suggests that the CMD data distribution deviates from a normal distribution, pointing to non-symmetrical characteristics in responses.

The mean for value creation (VC) is 4,087, indicating a high level of perceived value creation through social entrepreneurship activities in the community. The standard deviation of 0,814 shows some variability, indicating that respondents' views on value creation differ to some extent. The skewness is very close to zero (-0,061), indicating a near-symmetrical distribution of perceptions regarding value creation. The kurtosis of 2,269 is slightly lower than 3, suggesting a flatter distribution, implying less frequent extreme values compared to a normal distribution. The Jarque-Bera test has a probability of 0,0106, showing slight deviation from normality.

With a mean of 4,402, infrastructure development (INFD) is the highest among all variables, reflecting a strong positive perception of infrastructure improvements through social entrepreneurship. The standard deviation is 0,798, indicating moderate

variability. The skewness is -0,584, showing a moderate negative skew, which means responses are skewed towards higher values, indicating that many respondents view infrastructure development as highly beneficial. The kurtosis is 3,191, indicating a distribution that is slightly more peaked than normal, with the Jarque-Bera statistic having a probability of 0,000009, confirming non-normality in the distribution of responses.

Innovation and technology (INVT) has a mean of 3,904, which is the lowest among all the variables, indicating that respondents perceive innovation and technology to be less impactful compared to other components of social entrepreneurship. The standard deviation is 0,760, showing that there is moderate variability in opinions about innovation and technology's role in community development. The skewness is -0,356, showing a slight negative skewness, meaning responses are more inclined towards higher values but with a lesser extent than other variables. The kurtosis is 3,002, nearly matching that of a normal distribution. The Jarque-Bera statistical probability of 0,0151 indicates a slight departure from normality.

The mean for environmental sustainability (ES) is 4,271, indicating a high level of agreement among respondents that social entrepreneurship has positively contributed to environmental sustainability in the community. The standard deviation of 0,827 indicates some variability in responses. The skewness is -0,310, suggesting a slight negative skewness, meaning that most responses are clustered around the higher end of the scale. The kurtosis is 2,563, which indicates a slightly flatter distribution, meaning there are fewer extreme values compared to a normal distribution. The Jarque-Bera probability of 0,0086 shows that the distribution deviates from normality.

## **Ordinal regression results**

Ordinal logistic regression is a statistical technique used to model relationships between an ordinal dependent variable and one or more independent variables. In this study, the model examines how components of social entrepreneurship – value creation (VC), infrastructure development (INFD), innovation and technology (INVT), and environmental sustainability (ES) – influence community development (CMD) in Pyakasa, AMAC, FCT, Nigeria. The coefficients, odd ratios, z-statistics, and probability values from the regression results provide insights into the strength and direction of these relationships.

**Table 2.** Ordinal regression parameter estimate

| Variable                   | Coefficient | Odds Ratio | z-Statistic | Prob.  |
|----------------------------|-------------|------------|-------------|--------|
| VC                         | 0,3561      | 1,4277     | 2,5452      | 0,0109 |
| INFD                       | 0,1505      | 1,1624     | 5,8339      | 0,0000 |
| INVT                       | 0,2918      | 1,3388     | 2,0504      | 0,0403 |
| EVS                        | 0,1418      | 1,1523     | 6,1586      | 0,0000 |
| <b>Model Fit</b>           |             |            |             |        |
| <b>Pseudo R-squared</b>    | 0,548825    |            |             |        |
| <b>LR statistic</b>        | 142,5177    |            |             |        |
| <b>Prob (LR statistic)</b> | 0,00000     |            |             |        |

*Method: ML – Ordered Logit (Newton-Raphson / Marquardt steps)*

*Dependent Variable: Community development (CMD)*

*Source: Researcher’s Computation, 2024*

The coefficient for value creation (VC) is 0,3561, and the corresponding odds ratio is 1,4277. This means that for every unit increase in value creation, the odds of a higher level of community development increase by 42,77%. The positive coefficient suggests that value creation through social entrepreneurship has a favourable impact on community development. The z-statistic of 2,5452 and probability value of 0,0109 indicate that this effect is statistically significant at the 5% significance level. This finding aligns with the high mean value for VC in the descriptive statistics, confirming that value creation is indeed perceived as an important contributor to community development in Pyakasa.

The coefficient for infrastructure development (INFD) is 0,1505, with an odds ratio of 1,1624. This indicates that a one-unit increase in infrastructure development increases the odds of improved community development by 16,24%. The z-statistic of 5,8339 and probability value of 0,0000 show that this relationship is highly significant. Infrastructure development had the highest mean score in the descriptive analysis, and its strong influence is further confirmed by the regression results. This suggests that social entrepreneurship’s role in developing physical infrastructure such as roads, utilities, and community facilities is critical in enhancing community development outcomes in the area.

The coefficient for innovation and technology (INVT) is 0,2918, and the odds ratio is 1,3388. This implies that each additional unit increase in innovation and technology activities leads to a 33,88% increase in the odds of enhanced community development. The z-statistic of 2,0504 and probability value of 0,0403 indicate that the relationship is statistically significant at the 5% level. Although INVT had the lowest mean among the independent variables in the descriptive statistics, the regression

results show that it still has a meaningful impact on community development. This suggests that while innovation and technology may not be as dominant as other components, they still contribute significantly to community development.

The coefficient for environmental sustainability (ES) is 0,1418, with an odds ratio of 1,1523, indicating that for each unit increase in environmental sustainability efforts, the odds of higher community development increase by 15,23%. The z-statistic of 6,1586 and a probability value of 0,0000 demonstrate a highly significant relationship. The high mean value for ES in the descriptive statistics reflects a strong perception of its positive impact, and the regression results confirm its role in fostering sustainable community development. This suggests that social entrepreneurship's focus on environmental sustainability is a key contributor to overall community well-being.

### **Model fit for ordinal logistics regression analysis**

Model fit statistics provide a measure of how well the ordinal logistic regression model explains the variability in the dependent variable, which in this case is community development (CMD). The model fit is assessed using the Pseudo R-squared, Likelihood Ratio (LR) statistic, and its associated probability value. These indicators help us determine the overall strength and explanatory power of the regression model in capturing the relationship between social entrepreneurship components and community development.

The Pseudo R-squared value for the model is 0,5488. This indicates that approximately 54,88% of the variability in community development (CMD) is explained by the independent variables – value creation (VC), infrastructure development (INFD), innovation and technology (INVT), and environmental sustainability (ES). While Pseudo R-squared values in logistic regression models are generally lower than R-squared values in linear regression, a value above 0,50 suggests a good fit, indicating that the model has a strong ability to capture the influence of social entrepreneurship on community development. This high explanatory power aligns with the earlier findings from the descriptive statistics and regression coefficients, further confirming that these social entrepreneurship components are significant predictors of community development in Pyakasa.

The LR statistic is 142,5177, which measures the overall significance of the model by comparing it to a model with no independent variables. A higher LR statistic indicates that the independent variables collectively contribute to the model's predictive capability. In this study, the high LR value suggests that the inclusion of value creation, infrastructure development, innovation and technology, and environmental sustainability significantly improves the model's ability to predict community development outcomes. The probability value associated with the LR statistic is 0.0000, indicating that the model is statistically significant at any conventional significance level (e.g., 1%, 5%, or 10%).

## **Discussion of findings**

Findings from the study demonstrated that value creation has a positive and significant effect on community development in Pyakasa, AMAC, FCT, Nigeria. This indicates that social entrepreneurship initiatives focused on creating value – such as generating economic benefits, fostering social cohesion, and enhancing human capital – play a crucial role in improving community well-being. The implication is that as social entrepreneurs provide goods and services that directly address community needs, it results in enhanced social and economic outcomes. This finding aligns with Nwankwo and Okeke<sup>31</sup>, who also found that value creation through social entrepreneurship contributed significantly to community resilience and poverty reduction in underdeveloped regions in sub-Saharan Africa. Similarly, Bosma et al.<sup>32</sup> reported that value creation in social enterprises is a key driver for enhancing quality of life and economic development in marginalized European communities. The results of this study further reinforce the global narrative that value creation through social entrepreneurship is instrumental in fostering sustainable community development, regardless of geographical context.

Moreover, the study revealed that infrastructure development has a positive and significant effect on community development in Pyakasa. This suggests that social entrepreneurship efforts aimed at enhancing local infrastructure – such as building schools, health centers, roads, and utilities – are instrumental in elevating the living standards of community members. The positive relationship indicates that such investments not only provide immediate access to essential services but also create a conducive environment for economic activities, thereby accelerating local development. This finding corroborates the conclusions drawn by Enyinna et al.<sup>33</sup>, who observed that improved infrastructure facilitated by social entrepreneurs led to increased educational and health outcomes in rural communities in Ghana. Similarly, Lindgren et al. found that community-based infrastructure projects in Scandinavia, often initiated by social entrepreneurs, were pivotal in reversing rural depopulation and promoting sustainable growth. Thus, the present study's outcomes are consistent with the broader literature on the critical role of infrastructure in driving community development through social entrepreneurship.

Additionally, the study established that innovation and technology have a positive and significant impact on community development in Pyakasa. This finding suggests that the application of innovative practices and technology by social entrepreneurs significantly enhances community development outcomes. Technological advancements – such as digital literacy programs, renewable energy solutions, and innovative agricultural practices – promote efficiency, reduce costs, and improve the overall quality of life. This result is in agreement with earlier study by Iwu et al.<sup>34</sup>,

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<sup>31</sup> F. Nwankwo, C. Okeke, Value creation and social... op. cit.

<sup>32</sup> N. Bosma, S. Terjesen, J. E. Amorós, Social entrepreneurship... op. cit.

<sup>33</sup> O. Enyinna, E. Akpan, A. Udoh, Social entrepreneurship... op. cit.

<sup>34</sup> C. G. Iwu, I. C. Iwu, O. Onuoha, The role of innovation in... op. cit.

who found that technology-driven social enterprises significantly improved educational and health outcomes in South African and Kenyan communities, respectively. These authors noted that social entrepreneurs who leveraged technological solutions were able to achieve greater scalability and sustainability in their impact. Thus, the present study adds to the growing body of evidence supporting the positive contribution of innovation and technology to community development through social entrepreneurship.

Finally, the study findings demonstrated that environmental sustainability has a positive and significant effect on community development in Pyakasa. This implies that social entrepreneurship activities aimed at promoting environmental conservation and sustainable practices – such as waste management, renewable energy adoption, and reforestation – are effective in fostering community development. Such initiatives not only protect natural resources but also generate employment and promote social inclusion, thereby enhancing overall community welfare. These findings are consistent with those of Singh and Mishra<sup>35</sup>, who reported that environmentally sustainable practices adopted by social enterprises in India led to improved health and economic outcomes for rural communities. Similarly, Sempels and Vandor found that European social enterprises focused on environmental sustainability were key in driving local economic development and community empowerment. Thus, the present study's results align with global trends and underscore the importance of environmental sustainability in community development through social entrepreneurship.

## **Conclusion and recommendations**

The study concludes that social entrepreneurship significantly influences community development in Pyakasa, AMAC, FCT, Nigeria. The main objective was to assess the effect of value creation, infrastructure development, innovation and technology, and environmental sustainability on community development, and the findings confirm that each of these factors plays a vital role. Firstly, value creation was shown to positively impact community development by enhancing social and economic outcomes, thereby promoting community resilience and reducing socio-economic disparities. Secondly, infrastructure development had a pronounced effect, indicating that social enterprises contribute significantly to improving essential services and physical amenities, which directly benefit community welfare. Thirdly, innovation and technology were found to be critical enablers of development, allowing for more effective problem-solving and service delivery within the community. Lastly, environmental sustainability efforts by social entrepreneurs were shown to foster long-term community health and environmental quality, reinforcing sustainable development practices at the grassroots level.

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<sup>35</sup> K. Singh, A. Mishra, Environmental sustainability... op. cit.



The following recommendations were made:

- To enhance the impact of value creation on community development, social entrepreneurs should establish partnerships with local governments and NGOs to scale economic initiatives. This can include training programs for entrepreneurship and vocational skills tailored to community needs.
- Social entrepreneurs should focus on infrastructure projects by collaborating with development agencies to secure funding and resources for building essential community facilities such as health centres and schools. Implementing community-led infrastructure projects can ensure sustainability and long-term benefits.
- To promote innovation and technology adoption, social entrepreneurs should invest in digital literacy and technology training programs within the community. Establishing innovation hubs and providing access to affordable technology will empower community members to leverage new tools for problem-solving.
- Environmental sustainability can be strengthened by implementing community-driven green initiatives like waste recycling, renewable energy adoption, and reforestation projects. Social entrepreneurs should engage local stakeholders to ensure widespread participation and establish environmental stewardship practices that promote long-term ecological health.

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## WYKORZYSTANIE NARZĘDZI AI W PROCESIE BUDOWANIA MARKI OSOBISTEJ – SZANSA DLA TWÓRCÓW CZY DROGA DO REDUKCJI AUTENTYCZNOŚCI?

### *The use of AI tools in the process of building a personal brand – an opportunity for creators or a way to reduce authenticity?*

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#### **Summary**

*The advent of tools based on generative artificial intelligence and no-code/low-code solutions has greatly decreased the barrier to entry into the process of intensive content creation. This could potentially lead to the motivation to produce content for the purpose of building a personal brand with the support or even delegation of generative artificial intelligence, and this may result in a decrease in authenticity (assuming, for example, a low level of awareness, ethics of use, and functionality of specific IT tools). The objective of the article is to conduct a simplified systematic review of the literature and to start a scientific discourse on the chosen topic.*

**Key words:** *generative artificial intelligence, personal branding, branding, marketing, social communication, media communication*

#### **Streszczenie**

W związku z dynamicznym rozwojem narzędzi opartych na generatywnej sztucznej inteligencji oraz rozwiązaniach no-code / low-code wydaje się, że bariera wejścia w proces intensywnej kreacji różnorodnych treści znacznie zmalała. To z kolei może doprowadzić do motywacji produkowania treści na potrzeby budowania marki osobistej przy wsparciu bądź wręcz delegowaniu generatywnej sztucznej inteligencji, a to może skutkować spadkiem autentyczności (przy założeniu np. niskiego poziomu świadomości, etyki wykorzystania i funkcjonalności konkretnych narzędzi IT). Celem artykułu było przeprowadzenie uproszczonego systematycznego przeglądu literatury i rozpoczęcie dyskursu naukowego w obranej tematyce.

**Słowa kluczowe:** generatywna sztuczna inteligencja, marka osobista, branding, marketing, komunikacja społeczna, komunikacja medialna

## Wprowadzenie

Dynamiczny rozwój technologiczny, którego tempo rozpatrywane jest przez niektórych badaczy jako rozwój wykładniczy<sup>1</sup>, zwłaszcza w obszarze (generatywnej i predyktywnej) sztucznej inteligencji (generative artificial intelligence, predictive artificial intelligence) oraz technologii no-code (tj. niewymagających od użytkownika wiedzy programistycznej w tworzeniu różnego rodzaju treści) bądź technologii low-code (a więc technologii, które wymagają od użytkownika w niewielkim stopniu posiadania wiedzy o programowaniu), wywiera coraz głębszy wpływ na coraz więcej obszarów aktywności człowieka, jako istoty społecznej i ekonomicznej (*homo oeconomicus*)<sup>2</sup>. Wyniki badań takich instytucji, jak Boston Consulting Group<sup>3</sup> (wskazujące, że wykorzystując narzędzia generatywnej sztucznej inteligencji człowiek jest w stanie wykonywać 12,2% więcej zadań, 25,1% szybciej i nawet 40% wyższej jakości), czy Nielsen Norman Group<sup>4</sup> (ukazujące, iż pracownicy korzystający na co dzień z rozwiązań opartych na AI są o 66% bardziej produktywni) mogą zachęcać coraz więcej osób pracujących w różnych obszarach nie tylko do eksperymentowania z narzędziami generatywnej sztucznej inteligencji, no-code czy low code, ale również systematycznego wykorzystywania ich w procesie realizacji codziennych zadań. Wykorzystywania, a nawet do delegowania zadań różnego rodzaju narzędziom (bądź tzw. agentom AI, a więc najczęściej *quasi*-autonomicznym systemom realizacji zadań wyartykułowanych najczęściej na podstawie tzw. prompta (komendy, polecenia) i realizujących te zadania samodzielnie poprzez szereg licznych procesów, imitujących proces realizacji tożsamego zadania przez człowieka). Jednak delegowanie AI może skutkować zmniejszeniem poziomu akceptowalności jakości wygenerowanego rezultatu, a to w konsekwencji prowadzić do spadku konkretnego parametru (konwersji, sprzedaży, zysku, autentyczności, itp., itd.). Oczywiście, może również znacznie zoptymalizować czas wykonania zadania i wręcz zwiększyć jakość jego rezultatu, jednak wydaje się, iż kluczowym czynnikiem jest tutaj podejście osoby, która wspomniane narzędzia wykorzystuje (a więc aspekt świadomego, etycznego i wysoce specjalistycznego wykorzystywania narzędzi technologicznych w ogóle, w tym szczególnie rozumienia funkcjonalności danego narzędzia oraz możliwości ich standardowej i niestandardowej implementacji).

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<sup>1</sup> J. Wiśniewska, Strategia technologiczna w rozwoju współczesnych organizacji, „Studia i Prace Wydziału Nauk Ekonomicznych i Zarządzania” 2015; 39(1): 102.

<sup>2</sup> C. Campbell, S. Sands, C. Ferraro, H-Y J. Tsao, A. Mavrommatis, From data to action: How marketers can leverage AI, “Business Horizons” 2020; 63(2): 227–243.

<sup>3</sup> F. Dell’Acqua, E. McFowland III, E. R. Mollick, H. Lifshitz-Assaf, et al, Navigating the Jagged Technological Frontier: Field Experimental Evidence of the Effects of AI on Knowledge Worker Productivity and Quality, “Harvard Business School Working Paper” 2023; 24–013: 1–58.

<sup>4</sup> <https://www.nngroup.com/articles/ai-tools-productivity-gains/> [01.08.2024].

Dodatkowo, biorąc pod uwagę coraz większe zainteresowanie pojęciem (budowania) marki osobistej (personal brand) zarówno po stronie nauki, jak i biznesu, wydaje się, że narzędzia wykorzystujące technologie AI oraz no-code mogą znacznie zmniejszyć tzw. próg wejścia w profesjonalne i świadome budowanie marki osobistej, szczególnie w obszarze *stricte* biznesowym, jednocześnie może spowodować tzw. nadprodukcję generatywnych treści i w dłuższej perspektywie zmniejszyć postrzeganie danej marki osobistej, jako autentycznej, a to wydaje się kluczowym elementem w tym procesie<sup>5, 6, 7, 8</sup>.

## **Dynamiczny rozwój rozwiązań opartych na generatywnej sztucznej inteligencji wspomagającej tworzenie multimodalnych treści (w tym treści wzmacniających proces budowania marki osobistej) – przegląd literatury**

Rozwiązania oparte na generatywnej sztucznej inteligencji doprowadzają do zmiany paradygmatu kreacji treści i realizacji różnego rodzaju zadań. Dynamiczny rozwój dużych modeli językowych (LLM, large language models), zarówno pod kątem ich jakości, jak i ilości (od GPT, przez Claude, LLaMa, Sonar, Mistral, aż po Bielik), jak i dostęp do tzw. multimodalności na poziomie „input” oraz „output” (tj. możliwość zarówno przesyłania treści w różnym formacie (tekst, obraz, wideo, dźwięk, kod, itp.), jak generowania treści w różnym formacie) może znacząco przyczynić się do wzrostu kreacji treści cyfrowych, a w konsekwencji do zjawiska tzw. nadprodukcji treści (szczególnie treści o niskiej jakości oraz tych, których zakładanym odbiorcą nie są żywe jednostki, a algorytmy pozycjonujące lub uczące się)<sup>9, 10, 11</sup>.

Analizując zagraniczne repozytoria wiedzy (SCOPUS, Web of Science (ELSEVIER)) przez pryzmat (uproszczonego) procesu systematycznego przeglądu

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<sup>5</sup> L. Levine, URA brand! How smart people brand themselves for business success, “Career Planning and Adult Development Journal” 2006; 22(4): 133.

<sup>6</sup> R. Ahmad, L. Hashim, N. Harun, Criteria for effective authentic personal branding for academic librarians in Universiti Sains Malaysia libraries, “Procedia/Social and Behavioral Sciences” 2016; 224: 452-458.

<sup>7</sup> D. Chakrabarti, Awareness and importance of ‘personal branding’ phenomenon among post/graduate management students: An empirical enquiry, “International Journal of Research and Development in Technology and Management Science” 2014; 21(4): 88-101.

<sup>8</sup> F. Shaker, R. Hafiz, Personal branding in online platform, “Global disclosure of economics and business” 2014; 3(3): 7-17.

<sup>9</sup> E. Osadchaya, B. Marder, J. A. Yule, A. Yau et al, To ChatGPT or not to ChatGPT: Navigating the paradoxes of generative AI in the advertising industry, “Business Horizons” 2024; 67(5): 571-581.

<sup>10</sup> D. Castillo, A. I. Canhoto, E. Said, The dark side of AI-powered service interactions: Exploring the process of codestruction from the customer perspective, “Service Industries Journal” 2021; 41(13/14): 900-925.

<sup>11</sup> D. Bock, J. Wolter, O.C. Ferrell, Artificial intelligence: Disrupting what we know about services, “Journal of Services Marketing” 2020; 34(3): 317-334.

literatury<sup>12,13</sup> oraz badań bibliometrycznych<sup>14,15,16</sup> można dostrzec, iż przynajmniej przez pryzmat liczby publikacji naukowych, zagadnienie generatywnej sztucznej inteligencji stało się niejako punktem wyjścia do rozważań badawczych nie tylko w dziedzinie nauk inżynieryjno-technicznych, ale również dziedzinie nauk społecznych (0 publikacji w roku 2016 i 1675 publikacji w pierwszej połowie 2024 roku), co ilustruje tabela 1.

**Tabela 1.** Liczba publikacji naukowych w repozytorium SCOPUS, posiadających w tytule „generative artificial intelligence” i opublikowanych na przestrzeni lat 2016-2024

| <b>Rok</b> | <b>Liczba publikacji</b> |
|------------|--------------------------|
| 2016       | 0                        |
| 2017       | 0                        |
| 2018       | 2                        |
| 2019       | 0                        |
| 2020       | 1                        |
| 2021       | 7                        |
| 2022       | 15                       |
| 2023       | 679                      |
| 2024       | 1675                     |

*Źródło: opracowanie własne na podstawie danych SCOPUS*

Jednak zauważalne jest, iż przez pryzmat dziedziny nauk społecznych badacze skupiają się przede wszystkim na badaniu aspektów (wzrostu) produktywności (wydajności), wynikającego z wykorzystywania narzędzi opartych na generatywnej sztucznej inteligencji, aspektach technicznych związanych z dużymi modelami językowymi (szczególnie: prompt design, prompt crafting, prompt engineering, czyli procesem projektowania poleceń/komend do narzędzi generujących treści w oparciu

<sup>12</sup> D. Tranfield, D. Denyer, P. Smart, Towards a methodology for developing evidence-informed management knowledge by means of systematic review, “British Journal of Management” 2003; 14(3): 207–222.

<sup>13</sup> D. Denyer, A. Neely, Introduction to special issue: innovation and productivity performance in the UK, “International Journal of Management Reviews” 2005; 5(3-4): 131–135.

<sup>14</sup> F. Osareh, Bibliometrics, citation analysis and co-citation analysis: A review of literature, “Libri” 1996; 46(3): 149–158.

<sup>15</sup> T. van Leeuwen, The application of bibliometric analyses in the evaluation of social science research. Who benefits from it, and why it is still feasible, “Scientometrics” 2006; 66: 133-154.

<sup>16</sup> M. Norris, C. Oppenheim, Comparing alternatives to the Web of Science for coverage of the social sciences’ literature, “Journal of Informetrics” 2007; 1(2): 161–169.

o LLM); aspektach prawnych a AI; optymalizacji procesów (zarówno w skali makro (tj. całej organizacji czy grupy organizacji), jak i mikro (tj. na poziomie pracownika). Jednak w opinii autorów niniejszej publikacji, wciąż brak jest wystarczającej liczby publikacji naukowych (tj. pokrywającej obszary i zjawiska, które mogą ulec znacznej zmianie za przyczyną wzrostu tempa implementacji AI w coraz większej liczbie obszarów życia człowieka).

Rozwiązania oparte na AI mogą tworzyć już nie tylko treści tekstowe, ale również treści graficzne, które np. uzyskują lepsze wyniki konwersji, niż treści stworzone w 100% przez człowieka<sup>17</sup>, co jest zjawiskiem dość bezprecedensowym. Trzeba mieć na uwadze, iż zaledwie w ciągu jednego roku kalendarzowego rozwiązanie pokroju Midjourney rozwinęło się od generatora zdjęć i grafik, które były dostrzegalne dla przeciętnego człowieka jako wygenerowane przez AI, do (np. w wersji 6.1) hiperrealistycznych zdjęć (hyperrealism), których ludzie w zasadzie nie są w stanie odróżnić od tych faktycznie zrobionych aparatem cyfrowym. Podobnie jest w przypadku głosu i rozwiązań pokroju ElevenLabs, które są w stanie generować głos, duplikować (klonować) głos a nawet tworzyć efekty dźwiękowe. Wszystko, przy zachowaniu emocjonalnego aspektu treści audio.

Tym samym już w roku 2024 istnieje techniczna możliwość do:

- Pełnej automatyzacji kreacji treści tekstowych, graficznych, audio i (prostego i krótkiego) wideo.
- Naśladowania stylu autora (pod warunkiem „nakarmienia” LLM i nauczania go swoich treści, charakteru i stylu twórczego, itp.).
- Tworzenia trudnych do odróżnienia od prawdziwych „deep fake” na poziomie audio i wideo, które mogą zastępować realną osobę.

A to z kolei może doprowadzić (i już doprowadza, co zostało zaobserwowane na podstawie obserwacji uczestniczącej i analizy kilkuset profili osobowych na platformie LinkedIn przez autorów i rozpoczęto szeroko zakrojone badania triangulacyjne w tym zakresie, które mają być rozwinięciem niniejszej publikacji) do sytuacji, w której wyznacznikiem budowania marki osobistej jest ilość treści, a nie ich jakość, a rozwiązaniem, które pozwala na zachowanie ilości produkowanych/kreowanych treści przy zachowaniu balansu życia zawodowego i osobistego (należy pamiętać, iż proces budowania marki osobistej jest kolejnym zadaniem, które najczęściej jest wykonywane poza granicami pracy) są rozwiązania oparte na AI, które często stają się nie tyle asystentem w kreowaniu treści, co delegowanym. A moment, w którym podmiot deleguje kreowanie jakichkolwiek treści bez refleksji i kontroli, może być momentem, w którym oddeleguje proces myślowy, pokładając w AI wielkie nadzieje bez kontroli, a to może (przynajmniej na obecnym etapie rozwoju genAI i świadomości ich ograniczeń) doprowadzić do spadku jakości treści w sieci, spadku autentyczności i zaufania do medium, jakim jest Internet w ogóle.

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<sup>17</sup> H. Yang, J. Yuan, S. Yang, L. Xu, S. Yuan, Y. Zeng, A New Creative Generation Pipeline for Click-Through Rate with Stable Diffusion Model, WWW '24: Companion Proceedings of the ACM Web Conference 2024.



Ponadto, analizując liczbę publikacji w bazie SCOPUS w tematyce budowania marki osobistej, zauważalny jest raczej wolny rozwój zainteresowania tym zjawiskiem (co ilustruje tabela 2), zaś łącząc pojęcia generatywnej sztucznej inteligencji, budowania marki osobistej i autentyczności, można zaobserwować lukę badawczą i wciąż niewielkie zainteresowanie badaczy tym zjawiskiem i potencjalnymi konsekwencjami tzw. rewolucji sztucznej inteligencji dla procesu budowania autentycznej marki osobistej (i etycznego wykorzystywania przy tym AI i no-code).

**Tabela 2.** Liczba publikacji naukowych w repozytorium SCOPUS, posiadających w tytule „personal branding”, opublikowanych na przestrzeni lat 2016–2024 i ograniczonych do takich obszarów jak: business, management and accounting; social science, computer science, economics, econometry and finance; arts and humanities; engineering; psychology; decision science

| Rok  | Liczba publikacji |
|------|-------------------|
| 2016 | 16                |
| 2017 | 24                |
| 2018 | 42                |
| 2019 | 38                |
| 2020 | 42                |
| 2021 | 41                |
| 2022 | 36                |
| 2023 | 39                |
| 2024 | 53                |

*Źródło: opracowanie własne na podstawie danych SCOPUS*

Niemniej kluczowe jest, iż zjawisko wykorzystania mediów społecznościowych do wzmacniania (lub osłabiania) relacji międzyludzkich (online i offline) zostało na przestrzeni ostatnich dekad mocno eksplorowane badawczo. Można więc dedukować, iż opierając się na koncepcji siły więzi w sieciach komunikacyjnych opracowanej przez M. Granovettera<sup>18</sup> i teorii multipleksowości mediów, można stwierdzić, że w relacjach interpersonalnych siła więzi (np. częstotliwość interakcji i bliskość emocjonalna) jest pozytywnie powiązana z multipleksowością mediów (tj. liczbą mediów używanych z inną osobą w interakcji społecznej)<sup>19</sup>. A więc im więcej źródeł, przez które druga osoba bądź grupa osób (kierunek komunikacji „jeden do jednego” i „jeden do wielu”), tym mocniejsze relacje. A im mocniejsze relacje, tym łatwiej wywołać

<sup>18</sup> M. Granovetter, The strength of weak ties, “American Journal of Sociology” 1973; 78(6): 1360–1380.

<sup>19</sup> C. Haythornthwaite, Social networks and Internet connectivity effects. Information, “Communication & Society” 2005; 8(2): 125–147.

dany efekt (wybudować/wzmocnić wizerunek, sprzedać produkt bądź usługę, wywrzeć wpływ). A to z kolei może prowadzić do większej presji w kreacji treści w różnych mediach społecznościowych, ale i tradycyjnych i w konsekwencji do wybrania drogi, która pozwala na ich kreowanie w sposób najszybszy, najtańszy i niewymagający wiedzy specjalistycznej. Andrew Ledbettera i Colten Meisner<sup>20</sup> wnioskuje, że te same procesy multipleksowości mediów w relacjach interpersonalnych mogą również kształtować relacje paraspołeczne, w taki sposób, że zwiększone kanały połączenia ze znaną marką osobistą (np. celebrytą) są powiązane z większą interakcją paraspołeczną. A w czasach, w których możliwości multiplatformowe skłaniają użytkowników do śledzenia marki (osobistej) za pośrednictwem dodatkowych kanałów, osoby obserwujące często decydują się na taki krok (śledzenie podmiotu w większej liczbie źródeł/platform) w celu zwiększenia poziomu intymności/bliskości relacji z danym twórcą.

W sektorze mediów cyfrowych i tradycyjnych coraz więcej firm (w tym Forbes, „New York Times” i „Washington Post”) wdraża generatywną sztuczną inteligencję zarówno na poziomie makro (całej organizacji), jak i mikro (dostępu do narzędzi AI dla pracowników) do tworzenia od podstaw całych artykułów informacyjnych i popularnonaukowych, które dotyczą różnych tematów, w tym polityki, spraw zagranicznych, rynków finansowych, rozrywki, wydarzeń sportowych i przestępstw<sup>21, 22, 23</sup>. Podobnie jest w sektorze transmisji medialnych, gdzie coraz więcej firm zaczyna produkować bądź całkowicie wykreowane awatary bądź tzw. deep fake zatrudnionych prezenterów w celu optymalizacji kosztów i uproszczenia procesu kreacji treści<sup>24</sup>, jak i sektorze marketingu<sup>25</sup> czy IT.

Dlatego naturalne jest, iż w ujęciu samodzielnego kreowania treści, które mają wzmocnić markę osobistą (często ekspercką), budowaną w różnych mediach społecznościowych (w tym szczególnie na platformie LinkedIn) coraz więcej osób będzie sięgać po rozwiązania, które taki proces mogą przyspieszyć. Choćby korzystając z takich rozwiązań niewymagających wiedzy specjalistycznej (AI, czy programistycznej), jak:

- Taplio,
- Canva (AI),

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<sup>20</sup> A. Ledbettera, C. Meisner, Extending the personal branding affordances typology to parasocial interaction with public figures on social media: Social presence and media multiplexity as mediators, „Computers in Human Behavior” 2021; 115: 1-11.

<sup>21</sup> N. Dorr, Mapping the field of algorithmic journalism, „Digital Journalism” 2015; 4(6): 700-722.

<sup>22</sup> C. Longoni et al, News from generative artificial intelligence is believed less. 2022 ACM Conference on Fairness, Accountability, and Transparency, 2022, p. 97-106.

<sup>23</sup> M. Mariani, I. Machado, V. Magrelli, Y. K. Dwivedi, Artificial intelligence in innovation research: A systematic review, conceptual framework, and future research directions, „Technovation” 2023; 122(C).

<sup>24</sup> D. Merk, F. Grisoni, L. Friedrich, Tuning artificial intelligence on the de novo design of natural-product-inspired retinoid X receptor modulators, „Communications Chemistry” 2018; 1(1):1-9.

<sup>25</sup> D. Gursoy, Y. Li, H. Song, ChatGPT and the hospitality and tourism industry: An overview of current trends and future research directions, „Journal of Hospitality Marketing & Management” 2023; 32(5): 579-592.

- inVideo,
- Figma (AI),

a nawet specjalistyczne narzędzia dedykowane konkretnym platformom, jak easy-Gen<sup>26</sup> (w aspekcie LinkedIn).

Kluczowym aspektem w tym procesie jest zachowanie spójności z zaplanowaną personalną strategią treści (jeśli taka została stworzona), jak również poziomem autentyczności, tj. spójności z naszym stylem, charakterem, poglądami, częstotliwością kreacji i innymi aspektami, które na poziomie zarówno subiektywnym, jak i obiektywnym są składowymi pojęcia, którym jest autentyczność.

## **Rekomendacje do dalszych badań i dyskusji**

Systematyczny przegląd literatury i uproszczone badania bibliometryczne stanowią punkt wyjścia dla badania zjawiska wpływu wykorzystywania treści wytworzonych przez generatywną sztuczną inteligencję bądź przy współpracy z narzędziami gen-AI i no-code na postrzeganie marki osobistej, szczególnie przez pryzmat jej autentyczności. Biorąc pod uwagę, iż postrzeganie autentyczności jest zjawiskiem wysoce subiektywnym, rekomenduje się, aby w dalszych pracach badawczych podjąć strategię sekwencji eksploracyjnej, składającej się z pierwszej fazy, w której gromadzone i analizowane są dane jakościowe i drugiej, w której gromadzi się i analizuje dane ilościowe, które podbudowane są wynikami fazy pierwszej<sup>27</sup>. Tego typu strategia powinna ograniczyć rozstrzał pojmowania autentyczności i pozwolić na bardziej precyzyjną odpowiedź na pytania:

- Czy treści tworzone przez generatywną sztuczną inteligencję wpływają na spadek czy wzrost autentyczności w ujęciu marki osobistej?
- Od czego zależy spadek/wzrost? Czy tylko od umiejętności wykorzystywania narzędzi AI (poziomu edukacji, przeszkolenia i świadomości funkcjonalności, czy innych aspektów)?
- Jeżeli obserwowany będzie spadek autentyczności (postrzegany przez podmioty zewnętrzne), to jakie działania można podjąć w celu jego redukcji.

Odpowiedź na powyższe pytania pozwoli na jednoznaczne wskazanie, jakie działania powinny być podejmowane na poziomie organizacji i społeczeństwa w celu budowania rozumienia znaczenia etycznego wykorzystania narzędzi IT (w tym szczególnie generatywnej sztucznej inteligencji, no-code oraz low-code), w celu zachowania prawdopodobieństwa autentyczności na płaszczyźnie budowania marki osobistej przy wsparciu różnorodnych narzędzi. Ponadto, odpowiedzi pozwolą na wskazanie, czy istnieją techniki takiego wykorzystywania narzędzi (genAI) w procesie budowania marki osobistej, które w żaden sposób (z punktu widzenia odbiorcy kreowanych treści) nie budzą wątpliwości co do ich autentyczności.

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<sup>26</sup> <https://www.easygen.io>

<sup>27</sup> J. Creswell, Projektowanie badań naukowych, Wydawnictwo Uniwersytetu Jagiellońskiego, Kraków 2013, p. 226-227.

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<https://www.nngroup.com/articles/ai-tools-productivity-gains/>

<https://www.easygen.io>

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## THE CONCEPT OF NANOECOMIC KNOWLEDGE IMPACT ON BUSINESS ENVIRONMENT IN UKRAINE

### *Koncepcja wpływu wiedzy nanoeconomicznej na środowisko biznesowe w Ukrainie*

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#### **Streszczenie**

Artykuł porusza problematykę rozwoju nanogospodarczego na Ukrainie. W analizie zbadano korelację wskaźników ekonomicznych z edukacją, przedsiębiorczością i rozwojem badań. Istnieje wysoka odwrotna korelacja (0,844) pomiędzy nominalnym PKB a liczbą studentów, co sugeruje, że wraz ze wzrostem PKB spada liczba studentów na studiach ze względu na mniejszą liczbę uczelni. Bezpośrednia korelacja (0,702) pomiędzy PKB na mieszkańca a liczbą indywidualnych przedsiębiorców wskazuje, że wzrost przedsiębiorczości stymuluje wzrost gospodarczy. Nakłady na badania i rozwój (B+R) wykazują także umiarkowaną korelację (0,423) z wartością świadczonych usług, silną korelację (0,945) z produkcją przemysłową oraz istotną korelację (0,861) z produkcją rolną. Siła robocza, jako nośnik umiejętności ekonomicznych, odgrywa kluczową rolę w łączeniu nanoeconomii z szerszym wzrostem gospodarczym. Wzrost endogeniczny, napędzany działalnością indywidualną i małych przedsiębiorstw, jest niezbędny dla pozytywnego rozwoju gospodarki kraju.

**Słowa kluczowe:** wiedza, nanoeconomia, Ukraina, otoczenie biznesowe, edukacja

#### **Summary**

The article deals with the problem of nano-economic development in Ukraine. The analysis explores the correlation between the economic indicators and education, entrepreneurship, and research development. A high inverse correlation (0,844) exists between nominal GDP and the number of university students, suggesting that as GDP

grows, university enrollment declines due to the reduced numbers of institutions. A direct correlation (0,702) between GDP per capita and the number of individual entrepreneurs indicates that increased entrepreneurship stimulates economic growth. Research and development (R&D) expenditures also show a moderate correlation (0,423) with the value of services provided, a strong correlation (0,945) with industrial production, and a significant correlation (0,861) with agricultural output. The labor force, as a carrier of economic skills, plays a critical role in linking nano-economics with broader economic growth. Endogenous growth, driven by individual and small business activities, is essential for the positive development of a country's economy.

**Key words:** knowledge, nano-economics, Ukraine, business environment, education

## Introduction

The agenda and the actualization of individual macro- and microeconomic processes often take place under the influence of a subjective personal factor. The leader of such a rise is “nano-economy”, which is understood as an integral part of the economy in general, the productive force of which are individuals who, in the process of learning and activity, acquire skills of economic behavior, make optimal management decisions and, through the use of nanotechnology, ensure the achievement of high levels of competitiveness and spreading the experience of its acquisition in the economic environment<sup>1,2,3</sup>.

The macroeconomic environment is characterized by economic growth and the process of social reproduction, which are the factors of macroeconomic dynamics<sup>4,5</sup>. The impact of the nano-economy at various levels of the economy occurs mainly through the impact on consumption, savings, and investment<sup>6,7,8</sup>. Economic

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<sup>1</sup> T. Ostapenko, *Nano-economics: dominants and development dynamics in a global environment: monograph*, Autograph, Kyiv 2019.

<sup>2</sup> T. Ostapenko, *Nano-innovative processes in modern social and economic systems. Actual issues of modern development of socio-economic systems in terms of the COVID-19 pandemic: scientific monograph*, VUZF University of Finance, Business and Entrepreneurship, VUZF Publishing House St. Grigorii Bogoslov, Sofia 2021.

<sup>3</sup> T. Ostapenko, M. Kolesnyk, *Nano-economics and innovative marketing as factors of sustainable development in global environment*, “Baltic Journal of Economic Studies” 2021; 7(3): 159-167.

<sup>4</sup> K. Pavlov et al, *Economic Diagnostics and Management of Eco-Innovations: Conceptual Model of Taxonomic Analysis*, “Intelligent Human Systems Integration” 2021; 573–579.

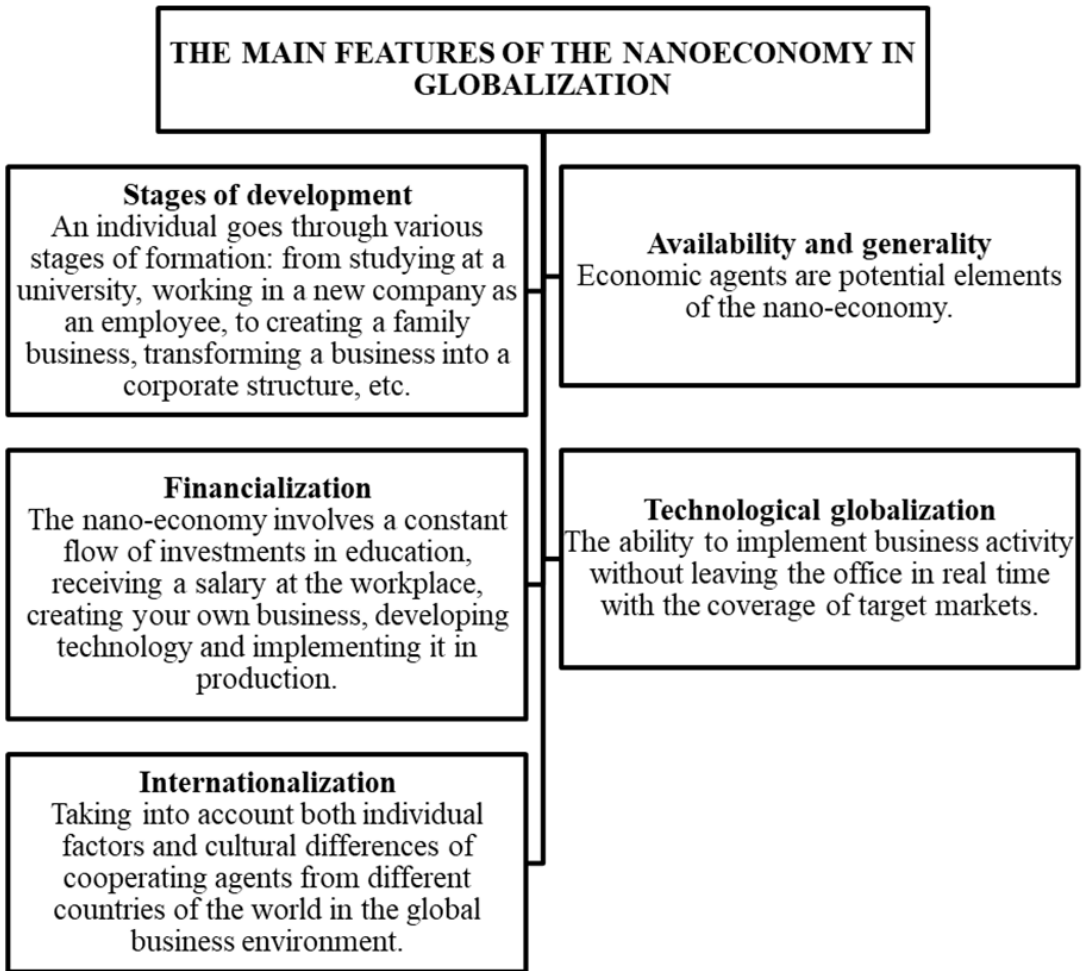
<sup>5</sup> O. Pavlova, Yu. Nahaichuk, *Decentralization reform in Ukraine*, “Economic Journal of Lesya Ukrainka Volyn National University” 2020; 3(23): 23-31.

<sup>6</sup> Deloitte Global, *Deloitte Review*. Online: [www.deloitte.com/global/on/pages](http://www.deloitte.com/global/on/pages).

<sup>7</sup> T. Ostapenko, I. Britchenko, V. Marchenko, *Definition of conceptual basics of nano-economics of inclusive society environment*, “Eastern-European Journal of Enterprise Technologies” 2021; 5/13(113): 34-43.

<sup>8</sup> M. Kichurchak, *Evaluation of cultural sphere development in the European Union countries as a factor of forming social capital and creative industries: experience for Ukraine*, “Economic Annals-XXI” 2020; 184(7-8): 68-78.

equilibrium is ensured through the ratio of supply and demand, production, and consumption. Thus, by influencing the supply, the nano-economy becomes a determinant of the labor force as a factor of production, and by influencing the demand, the nano-economy becomes an expression of the consumer function for which households are responsible<sup>9</sup>. The nano-economy also consistently affects various sectors of the national economy (agriculture, industry, services, etc.) due to the tendency of individuals to find those areas where the income is higher, and the return on investment is the greatest.



**Figure 1.** Characteristic features of the nano-economy under the conditions of globalization

*Source: compiled by the authors*

<sup>9</sup> T. Ostapenko, M. Kolesnyk, *Nanoeconomics...* op. cit.



## Literature review

The question of the influence of nano-economics on the macroeconomic development has practically not been addressed in the scientific literature. It is evident that a considerable corpus of literature exists on the subject of qualitative changes in the national economy, particularly in relation to the influence of human capital. Thus, some authors analyze the development of the national economy in the context of the COVID-19 pandemic and claim that the crisis should become a new platform for the evolution of both developed and developing economies<sup>10</sup>. In this context, the individual factor of development acquires special importance, appealing to the influence of individual policymakers on how different countries of the world overcome the consequences of the pandemic.

Some scientists note that the socio-economic development depends on the formation of a certain management mechanism within households<sup>11</sup>, which affect the intensification and optimization of economic relations in different countries. The household economy is gradually becoming the center and source of growth in national economic systems.

The advancement of the national economy is also significantly influenced by the cultural factor of the nano-economy. Scientists<sup>12</sup> prove that the economy, as a cultural phenomenon, has a synergistic effect on the advancement of the national economies to the highly developed stages of industrial development (Industry 4.0-5.0) and on the development of the noosphere in general. Intellectual capital becomes a guarantee of the intensification of cultural phenomena at various levels of the economic system.

Economic growth in developed and developing economies under the influence of export concentration and diversification is analyzed in the works of various scientists<sup>13</sup>. Today, the circumstances of export concentration and diversification affect the exit of developing countries from the crisis state. Developed countries should operate in these categories in order to improve their own economic condition (the influence of nano-economics on international trade conditions of development).

The educational factor in the progress of the information economy is also of particular importance for the development of economic systems<sup>14,15,16</sup>.

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<sup>10</sup> O. Chirva, A. Chirva, N. Malyarchuk, Formation of the mechanism of socio-economic development in Ukraine, "Baltic Journal of Economic Studies" 2021; 7(5): 213-220.

<sup>11</sup> P. Kutsyk, B. Shevchyk, O. Perepolkina, Economies as culture: synergy of advanced development, "Baltic Journal of Economic Studies" 2021; 7(1): 243-249.

<sup>12</sup> V. Dergachova, A. Dunska, V. Holiuk, I. Lutsenko, M. Pichugina, Export concentration and diversification: impact on economic growth in the developed and developing countries of the world, "Economic Annals-XXI" 2021; 192(21): 26-37.

<sup>13</sup> A. Djakona, N. Kholiavko, M. Dubyna, A. Zhavoronok, M. Fedyshyn, Educational dominant of the information economy development: a case of Latvia for Ukraine, "Economic Annals-XXI" 2021; 192(2): 108-124.

<sup>14</sup> M. Malnyk, S. Shcheliuk, I. Leshchukh, O. Litorovych, Digitalization of the economies of Ukraine and Poland: national and local dimensions, "Economic Annals-XXI" 2021; 191(1): 30-42.

<sup>15</sup> O. Sazonets, V. Nykonchuk, A. Kozakevych, The influence of intellectual capital and innovations of the economic development of the world and national economy, "Economic Annals - XXI" 2021; 190(2): 23-32.

<sup>16</sup> L. Syhyda, L. Saher, M. Gąsior, N. Sygyda, N. Artyukhova, S. Skrzypek-Ahmed, O. Dluhopolskyi, R. Rehak, Investigating the Role of Innovation in Inclusive and Sustainable Development in Ukraine and South Korea, "Sustainability" 2023; 15: 11195.

The digitalization of diverse services also represents a source of economic progress<sup>17,18</sup>.

## Methods

The purpose of this study is to determine the conceptual foundations of the impact of nano-economic knowledge on the business environment in Ukraine.

Correlation analysis is applied in the article to determine the vectors of influence of nano-economics on various spheres of socio-economic development. All calculations of correlation coefficients are performed using the Stats package.

## Results

First, there is the correlation between the GDP indicator and the number of university students. Such an indicator reflects the state of development of the baby-economy in the country, which is an integral component of the nano-economy. Table 1 shows the data used to calculate the correlation between nominal GDP and the number of university students in Ukraine.

**Table 1.** Nominal GDP and the number of students of higher education institutions in Ukraine

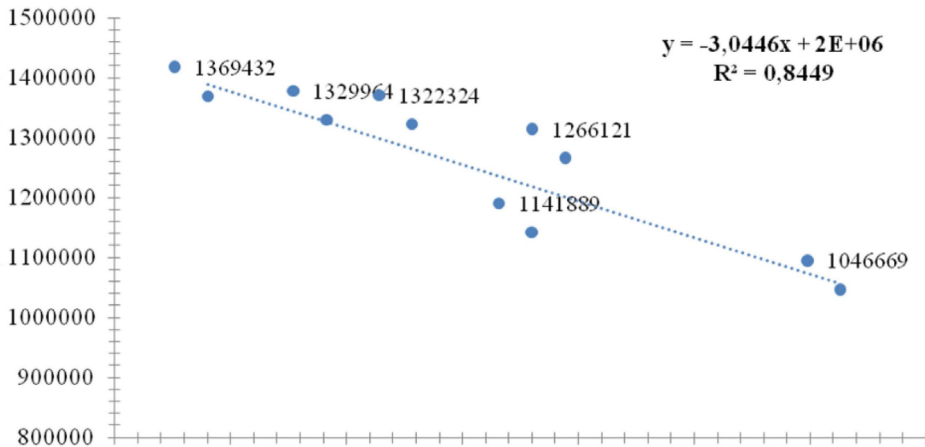
| Indicator                            | Year    |         |         |         |         |         |
|--------------------------------------|---------|---------|---------|---------|---------|---------|
|                                      | 2017    | 2018    | 2019    | 2020    | 2021    | 2022    |
| Nominal GDP (million USD)            | 96096   | 116520  | 131318  | 157721  | 151960  | 205247  |
| Number of students of HEIs (persons) | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 |
|                                      | 1369432 | 1329964 | 1322324 | 1266121 | 1141889 | 1046669 |

Source: systematized by the authors based on (State Statistics Service of Ukraine, 2023)

Figure 2 illustrates the correlation between the data presented in table 1, which is represented by a descending straight line. This demonstrates the inverse relationship between the data.

<sup>17</sup> T. Ostapenko, I. Britchenko, P. Lošonczy, S. Matveiev, Identification of regularities in the development of the babyeconomy as a component of the nanolevel of economic system, "Eastern-European Journal of Enterprise Technologies" 2022; 13(115): 92-102.

<sup>18</sup> V. Okulich-Kazarin, A. Artyukhov, Ł. Skowron, N. Artyukhova, O. Dłuhopolskyi, W. Cwynar, Sustainability of Higher Education: Study of Student Opinions about the Possibility of Replacing Teachers with AI Technologies, "Sustainability" 2024; 16(55).



**Figure 2.** Correlation between nominal GDP and the number of students of higher education institutions in Ukraine

Source: compiled by the authors

\*Vertical: number of students in higher education institutions, persons; Horizontal: number of students: Nominal GDP, million USD

The correlation coefficient is equal to 0,844, which indicates a close relationship between the values, however, there is an inverse relationship between the growth of GDP and the number of university students, with the latter decreasing as the former increases. The obtained data can be explained by the fact that the number of universities is decreasing compared to the 1990s and the beginning of the 2000s. Accordingly, the number of students decreases, as the universities which cannot withstand competition on the education market cease to exist.

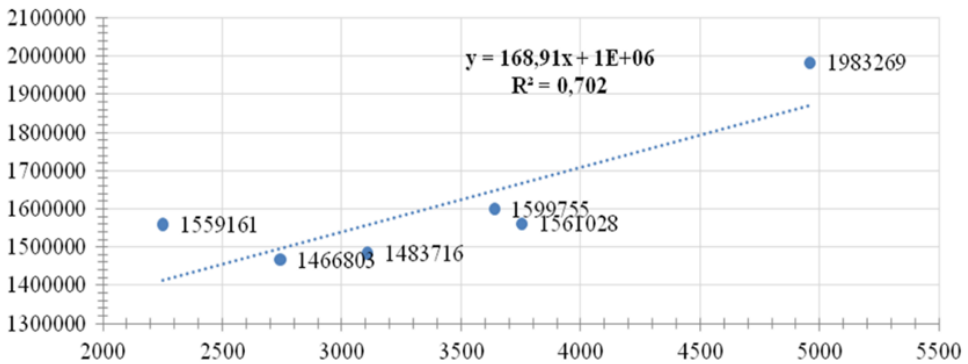
Let us calculate the correlation coefficient between the GDP per capita indicator and the number of individual entrepreneurs. This will provide insight into the relationship between the macroeconomic state of the economy and its individual development indicator. The initial data for calculating the correlation coefficient are given in the table 2.

**Table 2.** GDP per person and the number of individual entrepreneurs

| Indicator                                  | Year    |         |         |         |         |         |
|--|---------|---------|---------|---------|---------|---------|
|  | 2017    | 2018    | 2019    | 2020    | 2021    | 2022    |
| GDP per capita (million USD)               | 2251    | 2743    | 3107    | 3754    | 3639    | 4959    |
| Number of individual entrepreneurs (units) | 2016    | 2017    | 2018    | 2019    | 2020    | 2021    |
|  | 1559161 | 1466803 | 1483716 | 1561028 | 1599755 | 1983269 |

Source: systematized by the authors based on (State Statistics Service of Ukraine, 2023)

The graph of the dependence of the determined indicators is depicted in fig. 3. The correlation coefficient between GDP per capita and the number of individual entrepreneurs is 0,702. This indicates that the correlation between the analyzed data is rather dense and direct because the greater the number of individual entrepreneurs is, the more intensively the GDP per capita grows. Thus, it can be stated that the nano-economy actively affects the development of macroeconomic development and the formation of market equilibrium.



**Figure 3.** Correlation between GDP per capita and the number of individual entrepreneurs in Ukraine

Source: compiled by the authors

\*Vertical: number of individual entrepreneurs, units; Horizontal: GDP per capita, million USD

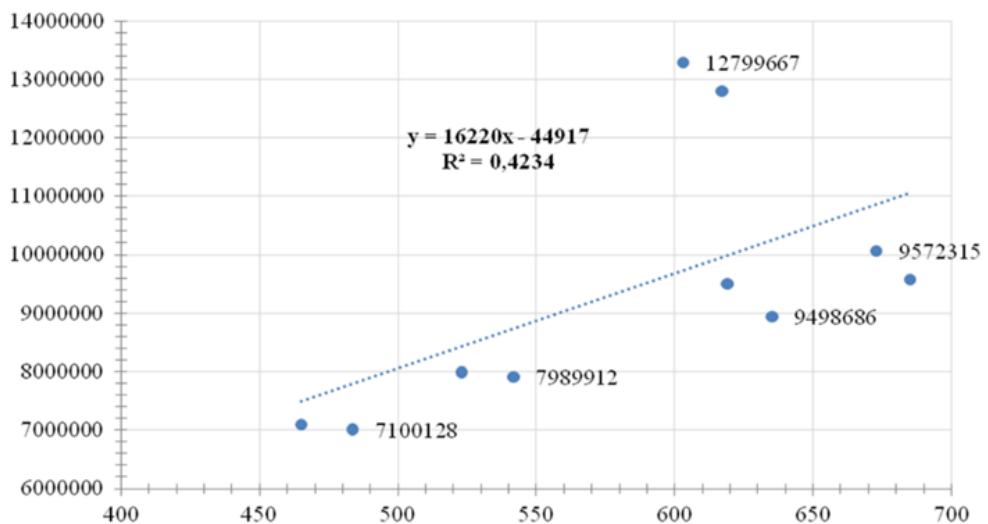
An illustration of the impact of the innovation system on the volume of services provided is given in the table 3 and fig. 4. Table 3 shows the volumes of services provided and the associated costs for research and development (R&D). The data demonstrates that the moderately growing dynamics are reflected.

**Table 3.** The value of the services provided and the amount of R&D expenses

| Indicator  | Year         |         |         |         |         |              |
|--|--------------|---------|---------|---------|---------|--------------|
|  | 2017         | 2018    | 2019    | 2020    | 2021    | 2022         |
| <b>Value of provided services (thousands USD)</b>    | Lack of data | 7100128 | 7989912 | 9498686 | 9572315 | 12799667     |
| <b>Volumes of R&amp;D expenditures (million USD)</b> | 2016         | 2017    | 2018    | 2019    | 2020    | 2021         |
|  | 465          | 523     | 619     | 685     | 617     | Lack of data |

Source: systematized by the authors based on (State Statistics Service of Ukraine, 2023)

The correlation coefficient between the volumes of implemented services and the costs of the scientific research and development is 0,423. This is a moderate direct dependence that shows that with the increase in spending on science, the amount of services provided increases.



**Figure 4.** Correlation between the volume of implemented services and the costs of scientific research & development

Source: compiled by the authors

\*Vertical: value of services rendered, thousand USD; Horizontal: volume of research and development expenses, million USD

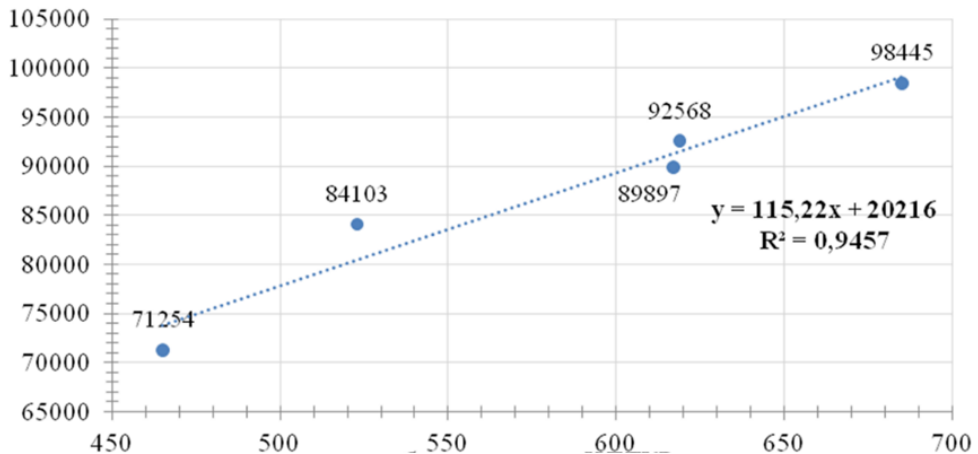
The correlation coefficient between the volume of industrial production and the costs of scientific research and development in Ukraine are also to be calculated (the initial data are presented in table 4).

**Table 4.** The volumes of industrial production and expenditures on scientific research & development

| Indicator  | Year  |       |       |       |       |               |
|--|-------|-------|-------|-------|-------|---------------|
|  | 2017  | 2018  | 2019  | 2020  | 2021  | 2022          |
| Volume of sold industrial products (million USD) | 71254 | 84103 | 92568 | 98445 | 89897 | 134939        |
| R&D expenditures (million USD)                   | 2016  | 2017  | 2018  | 2019  | 2020  | 2021          |
|  | 465   | 523   | 619   | 685   | 617   | Lack of data. |

Source: systematized by the authors based on (State Statistics Service of Ukraine, 2023)

From the table 4, one can observe that the volumes of industrial production and research and development costs are increasing from year to year, and the correlation coefficient is 0,945 (fig. 5). Such a high correlation coefficient indicates that the influence of nano-economics on macroeconomics is significant and direct.



**Figure 5.** Correlational between the volumes of realized industrial products and expenditures on scientific research & development

Source: compiled by the authors

\*Vertical: volumes of industrial products sold, million USD; Horizontal: volume of research and development expenses, million USD

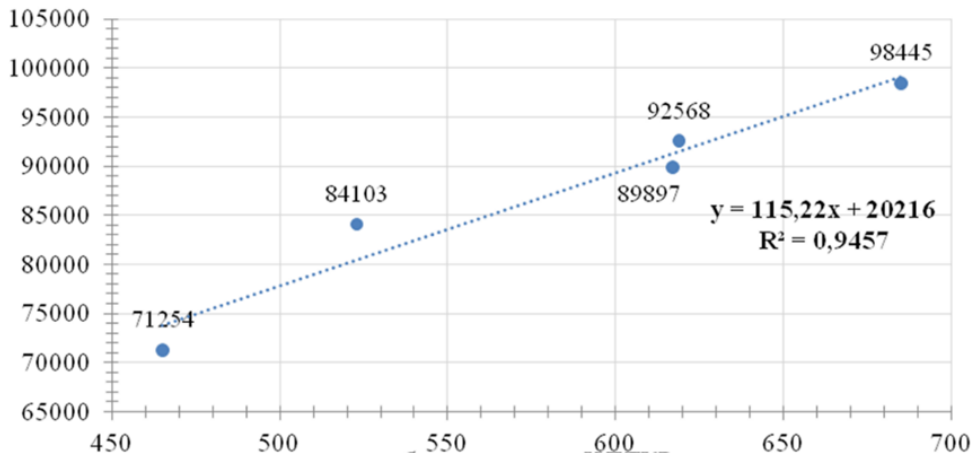
Table 5 provides the initial data for the analysis of the impact of the scientific and technological progress on the development of the agricultural sector in Ukraine.

**Table 5.** The volumes of agricultural products and expenditures on scientific research and development

| Indicator  | Year     |          |          |          |          |              |
|--|----------|----------|----------|----------|----------|--------------|
|  | 2017     | 2018     | 2019     | 2020     | 2021     | 2022         |
| <b>Volume of agricultural, forest and fishery products sold (thousands of USD)</b> | 16725803 | 18267037 | 19944995 | 22728106 | 22611237 | 26839708     |
| <b>R&amp;D expenditures (million USD)</b>  | 2016     | 2017     | 2018     | 2019     | 2020     | 2021         |
|  | 465      | 523      | 619      | 685      | 617      | Lack of data |

Source: systematized by the authors based on (State Statistics Service of Ukraine, 2023)

The indicators given in table 5 testify to the growing dynamics and the correlation coefficient shows a close relationship (fig. 6). The correlation coefficient is 0,861. Thus, with the growth of scientific expenses, the production and sale of agricultural goods increases. Nano-economy as an innovative economy also affects the formation of the agricultural sector in different countries of the world.



**Figure 6.** Correlational between the indicators of the volume of agricultural, forestry and fishery products sold and expenditures on scientific research & development

Source: compiled by the authors

\*Vertical: volume of agricultural, forestry and fishery products sold, thousand USD; Horizontal: volume of research and development expenses, million USD

The obtained results regarding the impact of nano-economics on the macroeconomic environment can be explained by the following:

- the impact of nano-economics on the process of the economic growth is determined by the gradual impact on the process of social extended reproduction. The scheme “production – distribution – exchange – consumption” is complemented by the innovative component “idea – research – implementation” and the component of technological knowledge;
- the influence of nano-economics on the macroeconomic level of management and economic balance occurs through the influence on the market mechanism of the ratio of supply and demand, production and consumption;
- the impact of the nano-economy on the service, industrial and agricultural sectors is a result of the recent trend towards individualizing production and management processes within the economic system;
- the correlation analysis made it possible to determine mathematically how the nano-economy affects the development of the national economic system.

## **Discussion**

The factor connecting the nano-economy with social reproduction is the labor force because the main subject of the nano-economy is an individual. The reproduction of the labor force is related to the restoration of the workers' capacity to perform their jobs. The labor force is a carrier of economic skills and competences, which its representatives exchange for wages that are spent on a decent existence. Labor is the supply side of the nano-economy.

Within the framework of the nano-economy, there is an exchange of activity results whereby some specialists complement the actions of the others. It is not viable in today's business environment for different departments to operate in isolation, each performing its own specific functions. Engineers should link their work with economists and psychologists to obtain a synergistic effect from such joint activity. The exchange stage of the production process is where goods and services are exchanged based on the division of labor. Through exchange, participants in the production process receive their share of national wealth due to distribution. As a result of the exchange, a single person participates in the formation of GDP<sup>19,20,21</sup>.

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<sup>19</sup> D.M. Kreps, *Course in Microeconomic Theory*, Princeton University Press, Princeton, New Jersey 1990.

<sup>20</sup> J. Tinbergen, A. Dolman, J. van Ettinger, RIO, *Reshaping the International Order: A Report to the Club of Rome*. Dutton, New-York 1976.

<sup>21</sup> R.J. Shiller, *Do Stock Prices Move Too Much to be Justified by Subsequent Changes in Dividends?*, “*American Economic Review*” 1981; 71: 421-436.



For the positive development of the country's economy, there must be endogenous growth<sup>22</sup>. The internal impetus for the development of the economic system at the macro level arises as a consequence of the development of the nano-economy. A country with a strong family business system (for example, Italy) develops the household as an impetus to the formation of industry-territorial clusters within the national economy. Countries such as the United States and the United Kingdom have an individualistic approach to business, where it is more probable that the formation of well-being and its growth depends on the individual employee rather than on their immediate group.

## **Conclusions**

The household economy represents the primary link in the nano-economy and serves as the main conduit for the country's economic activity. Individual consumption, which originates within households, is the fundamental driver of this economy. In modern conditions, households largely shape the macroeconomic indicators of business. It is in this nano-economic component that dependence on indicators of the development of the national economy is formed. As the correlation analysis shows, the relationship between GDP per capita and the number of individuals is strong, which confirms the opinion about the active influence of the nano-economy on macroeconomic management. Furthermore, the significant relationship between the indicators of the sales of industrial and agricultural products and expenditures on R&D suggest the potential for an innovator to influence the development of various sectors of the national economy.

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<sup>22</sup> O. Skrynnyk, Prediction of Convergent and Divergent Determinants of Organisational Development, "Business Ethics and Leadership" 2023; 7(1): 74-81.

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## THE ESSENCE OF STRATEGIC MANAGEMENT FOR TOURISM ENTERPRISES

### *Istota zarządzania strategicznego w przedsiębiorstwach turystycznych*

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#### **Streszczenie**

*Artykuł analizuje strategiczne podejście do rozwoju biznesu turystycznego na okupowanych terytoriach Ukrainy w obliczu trwającego konfliktu zbrojnego. Omówiono kluczowe aspekty wpływające na odbudowę infrastruktury turystycznej, w tym potencjał i zagrożenia, infrastrukturę i usługi, marketing i promocję, współpracę ze społecznościami lokalnymi, zrównoważony rozwój ekologiczny, specyfikę turystyki w czasie wojny oraz wsparcie dla innowacji. Szczególną uwagę zwraca się na potrzebę dostosowania mechanizmów ekonomicznych i strategii zarządzania do wyjątkowych warunków konfliktu. Proponowane strategie obejmują kampanie informacyjne, partnerstwa, wsparcie infrastrukturalne, działania marketingowe i lobbing. W artykule podkreślono również znaczenie angażowania interesariuszy i opracowywania długoterminowych planów działania na rzecz ożywienia i rozwoju sektora turystycznego. Podkreślono, że skuteczne zarządzanie i wdrażanie innowacji mają kluczowe znaczenie dla zapewnienia odporności i ekspansji branży turystycznej w warunkach konfliktu.*

**Słowa kluczowe:** *podejścia strategiczne, biznes turystyczny, terytoria okupowane, konflikt zbrojny, odbudowa infrastruktury*

#### **Summary**

The article examines the strategic approaches to developing the tourism business in deoccupied territories of Ukraine amidst the ongoing military conflict. It discusses the key aspects which influence the recovery of the tourism infrastructure, including potential and risks, infrastructure and services, marketing and promotion, collaboration with local communities, ecological sustainability, the specifics of tourism during wartime, and support for innovations. Special attention is given to the need for adapting economic mechanisms and management strategies to the unique conditions of the conflict. The proposed strategies include information campaigns, partnerships, infrastructure support, marketing activities, and lobbying. The article also highlights the importance of engaging with stakeholders and developing long-term action plans

for the recovery and growth of the tourism sector. It emphasizes that effective management and the implementation of innovations are crucial for ensuring the resilience and expansion of the tourism industry in conflict conditions.

**Key words:** Strategic approaches, tourism business, deoccupied territories, military conflict, infrastructure recovery

The processes of global political, economic, and cultural transformations, associated with the transition to a new economic paradigm, have a significant impact on the enterprise management systems during the armed conflicts. The current state of the economy is characterized by such intense dynamics that strategic management becomes a necessary tool for the formal analysis of future threats and opportunities, as well as for ensuring the survival and competitiveness of enterprises across all sectors, including tourism.

In times of crisis, strategic thinking and effective management become crucial for maintaining organizational efficiency. In particular, it is of the utmost importance to achieve high results through the effective implementation of principles, rules, and methods in the formulation of management and development strategies, considering the specificities of operating in the tourism market. Amid increasing conflict tension, declining living standards, and heightened competition on the market, it becomes critically necessary to have an operational and flexible management decision-making system adapted to wartime conditions. Such a system should be robust enough to serve as a foundation for organizational development during the conflicts and to enable managers to make rational and timely decisions.

The term “strategic management” emerged in the late 1960s and early 1970s to differentiate between current management at the production level and higher-level management. The need to formalize this distinction arose primarily due to the changes in business conditions. The key idea reflecting the essence of the shift from operational to strategic management was the concept of shifting the focus of top management to the external environment to respond adequately and promptly to its changes.

There are numerous definitions of the term “strategic management”. They all converge on the understanding that strategic management is a multifaceted management process aimed at formulating and implementing effective strategies that facilitate an organization’s interaction with its environment to achieve the long-term goals.

The objective of strategic management is to define the mission, goals, and strategies, as well as to develop and ensure the implementation of a system of plans that serve as tools for realizing strategic orientations to improve the enterprise and its subsystems. This forms the basis for its long-term competitiveness. In the context of armed conflict, strategic management becomes of critical importance for the successful functioning of business entities and for adapting to unpredictable changes in the strategic environment.

Strategic management was first implemented in the management practices of American companies in the late 1960s. At that time, its main task was the diversification of enterprise activities, with each department serving a specific group of markets. Since the 1970s, strategic management has undergone certain changes, and by the 1980s, it evolved into the foundation of strategic planning, which is focused on evaluating the feasibility of developing specific areas of enterprise activity. Here, the emphasis is placed not only on current efficiency but also on future prospects.

The transition of the national economy to market principles has led to challenges and increased instability in the environment for all enterprises, regardless of ownership type or organizational-economic structure. This shift also prompted a revision of management systems, including the abandonment of mandatory long-term planning and the simplification of annual planning procedures in favor of market self-regulation. However, in the context of the uncertainty of a market economy, the effective functioning of organizations depends on their ability to anticipate changes and adapt to them in a timely manner.

Ensuring the stable and effective operation of tourism business entities over the long term in conditions of constant instability requires original approaches to their management<sup>1</sup>. Unfortunately, in Ukraine, the theory and practice of strategic management have not gained widespread recognition yet.

The absence of clear guidelines, missions, and targeted development goals for tourism enterprises limits the ability to assess the impact of the external environment and to respond correctly to any changes within it. This makes them more vulnerable and less competitive. It is important to consider that strategic management cannot be confined to standard schemes and procedures; this process requires a creative and individualized approach during implementation. Another obstacle to the implementation of strategic management systems in Ukrainian businesses is the lack of a unified standard for optimal long-term management.

Despite all of the aforementioned challenges, a small number of domestic entities in the tourism sector attempts to adhere to the principles of strategic management. However, these efforts are largely ineffective due to the following reasons<sup>2</sup>:

1. Rigidity of organizational structures – existing enterprise structures are insufficiently flexible and struggle to adapt to strategic changes. The ability to make necessary changes in accordance with the strategy is limited.
2. Insufficient understanding of tasks and deadlines – managers do not always have a clear understanding of the specific tasks and timelines for achieving strategic goals. This lack of clarity contributes to uncertainty and inefficiency.
3. Low effectiveness of monitoring and adjustment – mechanisms for monitoring the effectiveness of strategies are ineffective, making it difficult to promptly identify deviations and make necessary corrections.

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<sup>1</sup> F. Kotler, N. Li, *Korporativna sotsial'na vidpovidal'nist'* [Corporate social responsibility], Standard, Kyiv 2005, p. 199-202.

<sup>2</sup> P. Kotler, G. Armstrong, *Osnovy marketynhu* [Basics of marketing], Dialektyka, Kyiv 2020.

4. Problems with resource allocation – inadequate attention to the identification, provision, and allocation of necessary resources (financial, informational, human) complicates the implementation of strategies.
5. Lack of a collective decision-making system – the absence of a system where strategic development decisions are made collectively results in a lack of responsibility and a readiness among leaders to overcome resistance to change.

Other factors that make strategy implementation in the tourism sector challenging include the high differentiation of psychological types of consumers, the complexity of the tourism product and its dependence on the reputation of numerous service providers, excessive costs of production reorientation, and more.

It is important to note that the fundamental principles of strategic management in Ukraine are mainly borrowed from international experience due to the limited domestic expertise in this field<sup>3</sup>.

In the context of martial law, one can identify the following key aspects of strategic management for tourism business entities:

1. Crisis Management – the strategic issues faced by tourism enterprises are primarily related to crisis management. Considering economic instability and developing strategies to overcome crisis situations during wartime becomes an extremely critical issue.
2. Functioning in Crisis Conditions and Economic Instability – the current operating conditions are characterized by economic instability, where risk management and adaptation to changes become crucial for tourism enterprises.
3. Market Positioning – one of the effective strategies for tourism sector entities is the differentiation of tourism products and services. This can include creating unique offers that provide a market advantage and ensure competitiveness.
4. Utilizing Foreign Experience – leveraging foreign experience and adapting it to the conditions of the Ukrainian market can help enterprises create more competitive strategies.
5. Number of Tourism Operators – the considerable number of tourism operators creates competitive pressure. However, this also opens up opportunities for the development of differentiation and innovation strategies.

These aspects can serve as a foundation for developing strategies aimed at enhancing the competitiveness of tourism enterprises in Ukraine under the challenging economic conditions.

Strategic management of tourism enterprises is a systematic and purposeful approach to formulating, implementing, and controlling strategies and plans aimed at achieving long-term goals and competitive advantages in the tourism industry. This management area includes defining the mission, setting strategic goals, analyzing the external environment and internal resources, developing strategies and action plans, as well as their implementation and monitoring<sup>4</sup>.

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<sup>3</sup> Yu. Ye. Kyrylov, V. M. Krykunova, H. V. Zhosan, Corporate social responsibility in the entrepreneurial activity system: transformation of approaches and evaluation directions, "Ekonomichni innovatsii: Zbirnyk naukovykh prats" 2019; 21(1): 51-62.

<sup>4</sup> S. Yu. Bolila, Marketing aspects of enterprise activities in the retail industry in modern realities, "Tavrijs'kyj naukovyj visnyk" 2023; 16: 100-107.

Let us consider the examples of strategic management elements in a tourism enterprise in more detail:

1. Defining the Mission and Strategic Goals – a tourism enterprise might define its mission as “Providing unparalleled and unforgettable travel experiences to its customers” and set a strategic goal to increase its market share by 20% over the next five years.
2. Analyzing the External Environment – studying market trends, competitors, recent technologies, and changes in legislation that may affect the tourism business.
3. Assessing Internal Resources and Competitiveness – analyzing the company’s capabilities, opportunities, and threats, including evaluating the quality of service, infrastructure, and staff qualifications.
4. Developing Strategies and Action Plans – developing a strategy to expand the range of services, improve marketing campaigns, and enhance service quality to attract new customers and retain existing ones.
5. Implementation and Monitoring of Strategies – introducing new booking technologies, organizing staff training, systematically analyzing financial performance, and regularly updating strategies considering the market changes.

Strategic management in the tourism sector is a key element for achieving sustainable competitive functioning and ensuring successful operations in a rapidly changing environment. In the context of wartime and post-war periods, the relevance of studying strategic management in tourism enterprises is highlighted by several key aspects, as tourism can play a crucial role in the recovery and the development of affected regions. Let us examine these detailed aspects of relevance:

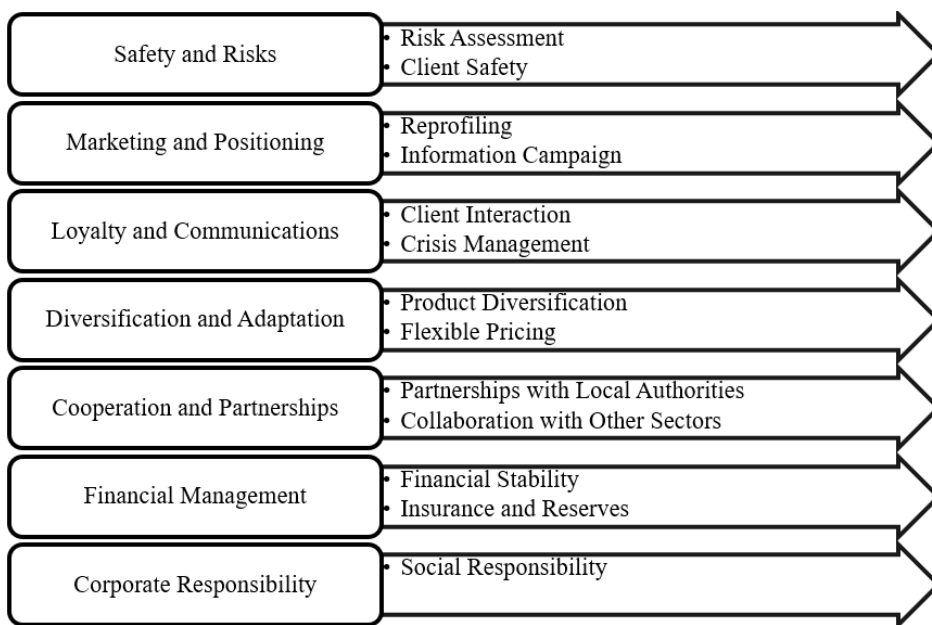
1. Economic Recovery – the strategic management of tourism enterprises can be a vital tool for stimulating economic recovery after the war conflict in Ukraine. Developing and implementing effective marketing and advertising strategies will attract tourists and investors, helping to revive the businesses and to boost the employment growth.
2. Job Creation and Development of Local Industries – properly structured industry development strategies will promote the growth of local sectors, such as the hotel business, restaurants, transportation services, and more.
3. International Image and Attracting Investments – tourism can be a powerful tool for improving the country’s international image. Strategic management of the enterprises in the tourism sector, which is carefully planned and clearly focused, can attract investors and enhance the overall attractiveness of the region.
4. Socio-cultural Recovery and Community Support – the strategic management of the industry will aid the socio-cultural recovery through the interaction of tourists with the local population and the support of cultural initiatives. Tourism enterprise strategies can include targeted use of profits to support the projects aimed at rebuilding the infrastructure and preserving cultural heritage.
5. Stabilization and Conflict Resolution – the strategic management of tourism enterprises will contribute to the stabilization of de-occupied regions by focusing attention and resources on stabilizing economic and socio-cultural processes.



The research in this context is crucial for identifying the optimal strategies that address the unique challenges which arise during wartime and post-war periods and promote the sustainable development of the tourism industry amid the recovery and transformation of regions.

Wartime and post-war periods significantly impact the tourism sector, transforming the industry's landscape and presenting both challenges and opportunities. They can lead to the destruction of the infrastructure, the loss of cultural heritage sites, security concerns, and threats to life<sup>5</sup>.

While this crisis period opens the opportunities for recovery and development, it also presents challenges such as rebuilding the destroyed infrastructure, dealing with psychological trauma, and coping with instability. Tourism should serve as a tool for recovery and international reconciliation. For businesses to remain competitive, it is advisable to adhere to certain aspects of management during these activities (figure 1).



**Figure 1.** Key Aspects of Strategic Management in the Tourism Business in the Context of Armed Conflict

*Source: own study*

Let us examine each point in order to gain a comprehensive understanding of the challenges facing the industry. Firstly, the security and risk management is crucial. This involves assessing potential threats to the tourism business, i.e. terrorist attacks,

<sup>5</sup> V. S. Petrenko, A. S. Karnaushenko, Mel'nykova K. V., Concepts, principles and basic concepts of marketing entrepreneurship [in:] *Marketynh u pidpriemnytstvi, birzhovij diial'nosti ta torhivli v smart suspil'stvi: upravlin's'kyj, innovatsijnyj ta metodychnyj vymiry*, Vydavets' Koshovij B. P.O., Lviv 2023, p. 5-29.

conflicts, and instability. Implementing effective security measures to protect tourists is also essential to ensure their safety. Next, marketing and positioning must be adapted. This includes redefining the marketing strategies and positioning in order to address security concerns and meet the needs of tourists during conflicts. Developing informative campaigns to explain safety measures and changes in conditions to tourists is also vital. Customer loyalty and communication are the key areas of focus. Maintaining customer loyalty through high-quality service and effective communication is important. Additionally, having crisis management plans and ensuring effective communication during unforeseen events are necessary for managing crises. Diversification and adaptation play a significant role in navigating challenges. This involves expanding the range of services and products to align with the changing demand and implementing flexible pricing and booking conditions to mitigate financial risks. It is similarly important to recognize the value of collaboration and partnerships. Engaging with local authorities and security agencies ensures the highest level of safety. Additionally, finding opportunities for collaboration with other industries can provide mutual support and resilience during crises. Financial management is another critical aspect. Maintaining financial stability through cost rationalization and effective accounting is essential. Employing insurance strategies and creating financial reserves can help reduce financial risks. Lastly, corporate responsibility involves a commitment to social responsibility principles, particularly in relations with the local population and the ecosystem<sup>6</sup>.

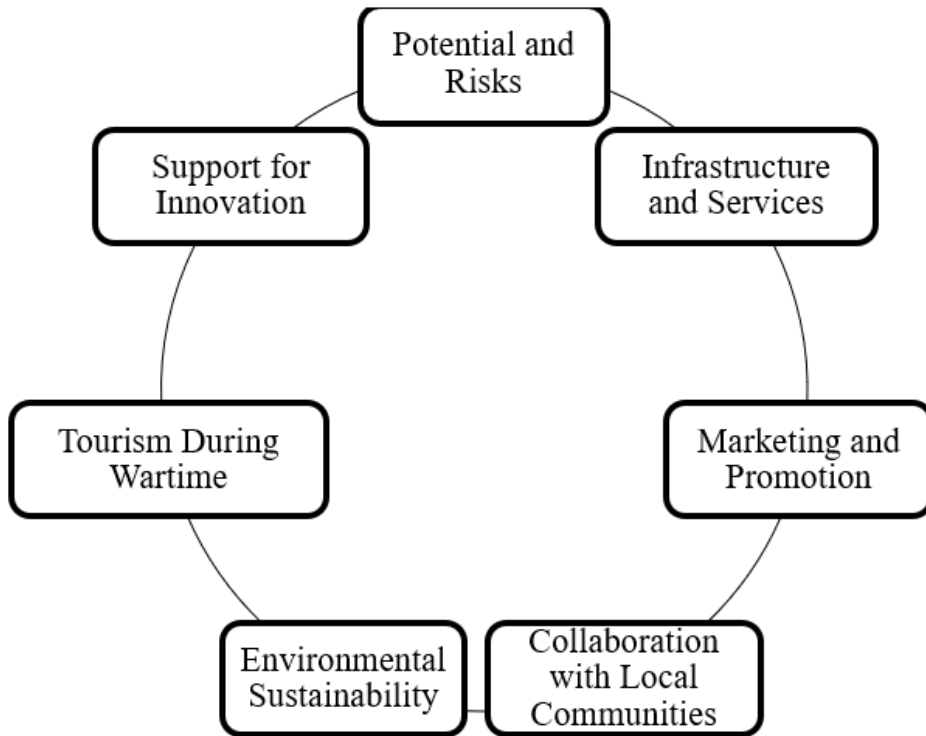
The coordinated and thoroughly considered strategic management allows the tourism business to adapt to changes during the armed conflicts, ensuring both safety and satisfaction for clients. When analyzing the problems faced by tourism businesses in liberated territories, the following issues can be identified:

1. Changes in Tourist Flow – the situation has significantly influenced the number of tourists visiting the liberated region. It is typical for such areas to remain sources of instability and danger, which ultimately leads to a reluctance on the part of tourists to travel to these regions.
2. Shift in Tourist Preferences – the current conditions have forced tourists to reconsider their plans and choose alternative destinations. There is an emerging demand for the tourist routes that were not previously popular.
3. Impact on Infrastructure and Services – the occupation and the process of liberating territories have resulted in the destruction of infrastructure such as hotels, airports, and transportation means. This significantly affects the region's ability to provide tourism services.
4. Impact on the Local Economy – tourism is often a profitable sector for regional economies, meaning that its absence leads to the reduced revenues and a negative impact on the development of other sectors.
5. Damage to the Local Population – the occupation and associated processes cause severe social and cultural consequences for the local population. These affect the hospitality and attitudes towards tourists.

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<sup>6</sup> N. Kyrychenko, H. Zhosan, Characteristics of the enterprise marketing environment, "Ekonomika ta suspil'stvo" 2021; 33: 1-5.

Analyzing these aspects helps to understand the extent of the impact of the military actions on the tourism business in liberated territories and to develop the strategies for recovery and further development of industry (figure 2).



**Figure 2.** Strategies for Developing the Tourism Business in Liberated Territories  
*Source: own study*

To understand the benefits and potential challenges of each proposed strategy, a closer inspection is required:

1. Potential and Risks – implementing this strategy requires analyzing the tourism potential of the region by identifying key attractions, natural resources, and cultural values that have survived. It is essential to study and assess risks related to health, safety, and other factors that might affect the development of tourism.
2. Infrastructure and Services – at this stage, investment in the reconstruction and development of tourism infrastructure is crucial. This includes hotels, restaurants, museums, tourist centers, and the assurance of high standards of service and visitor safety.
3. Marketing and Promotion – the development of marketing campaigns to attract tourists is necessary, with the use of Internet marketing, social media and other channels. Collaborating with travel agencies and media to raise awareness about new tourism opportunities is also relevant.

4. Collaboration with Local Communities – it is important to involve local communities in tourism development through special rehabilitation programs. Ensuring a fair distribution of profits from business operations to local residents is also critical.
5. Environmental Sustainability – efforts should be made to restore the damaged ecosystems, taking environmental aspects into account in tourism development. Implementing ecological standards for tourism businesses is essential.
6. Tourism During Wartime – to make the tourism sector profitable and begin its revival now, developing routes and tours that allow visitors to learn about the history of the conflict and recovery is advisable. It is also effective to work with historical experts to provide accurate and objective information.
7. Support for Innovation – the use of innovative technologies, such as virtual reality and interactive exhibits, to recreate historical and natural sites that are being rebuilt or cannot be rebuilt is of great importance. Additionally, fostering the development of technological startups that can enhance and improve tourism services is necessary.

The above-mentioned strategies should be tailored to the specific conditions and contexts of the liberated territories. Additionally, it is crucial to ensure a broad dialogue with the stakeholders and to develop a long-term action plan to achieve success in the recovery and the development of tourism.

Another significant challenge for the recovery of the tourism sector is to attract entrepreneurs back to the liberated territories. It is therefore essential to develop a range of tools and measures to support these efforts in a comprehensive manner. In order to assess the effectiveness of the proposed measures, let us look at each of them individually:

1. Information Campaign – develop and disseminate informational materials that highlight the benefits and opportunities for tourism in the liberated territories. Organize press tours for representatives from the travel companies and media to highlight positive changes in these areas.
2. Partnerships – establish partnerships with the travel agencies and companies to expand the marketing opportunities. Conduct joint events and campaigns with tourism businesses to draw attention to the liberated regions.
3. Infrastructure Support – attract investments for the development of tourism infrastructure in the liberated territories. Collaborate with government and local authorities to create a favorable environment for tourism business development.
4. Marketing Activities – implement advertising campaigns and marketing activities to raise awareness of the tourism potential in liberated territories. Use social media and online platforms for advertising and promoting tourism opportunities.
5. Lobbying – engage in lobbying efforts to support tourism development in liberated territories at the level of government and non-governmental organizations.

These tools can interact and complement each other to achieve the maximum effect in attracting tourism business entities to the liberated territories.

Optimizing the economic mechanism for the development of entrepreneurship in the tourism sector in Ukraine during wartime is based on comprehensive measures aimed at adapting and improving economic reforms. A key priority is the integration of the national economy into the global context, which requires not only maintaining competitiveness but also considering the unique aspects of military conflict<sup>7</sup>.

Attention must be focused on selecting the adapted economic management models that account for the dynamics of changes in the market environment and the unpredictable factors of military activity. The application of innovative mechanisms and methods becomes critical for the effective management of the tourism entities in unstable conditions<sup>8</sup>.

At the current stage, given the extensive reform of the economic system, it is necessary to reassess the management system for the tourism business. The adaptation of management functions and tasks should be based on making effective and actionable decisions that correspond to the specifics of the conflict conditions. This will not only help maintain the industry resilience but also accelerate the pace of the economic growth needed to overcome the challenges of wartime.

In the context of the current development of tourism in Ukraine, several methodological aspects must be considered for effective industry management:

1. Evolution of Strategic Management Concepts – reviewing the concept of strategic management and its systematic tools is crucial for identifying the patterns at each stage of the development of management systems for tourism businesses. This allows for forecasting the changes and adapting strategies to current challenges.
2. New Conditions, Factors, and Features of Strategic Management – the study of new conditions and factors influencing the theory and practice of strategic management is the key to understanding the specifics of its development in the domestic economy. This enables the development of recommendations for the systematic use of both traditional and innovative tools.

Such an approach not only helps to adapt management strategies to changes in the tourism industry, but also ensures the ability to analyze and address innovations and challenges in the economy, thus supporting the sustainable development of the tourism sector in Ukraine<sup>9</sup>.

Strategic management for tourism enterprises is a multifaceted process which is crucial for navigating the complexities of the tourism sector. It involves setting a clear vision and mission, analyzing both internal and external environments, and formulating strategies that align with long-term goals. Effective resource allocation and strategy implementation are essential for achieving competitive advantage and operational efficiency. Continuous monitoring and evaluation, coupled with adaptability and innovation, ensure that tourism enterprises can respond to dynamic

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<sup>7</sup> N. Kyrychenko, L. Alieshchenko, Current state and prospects of internet marketing development in the age of the COVID-19 pandemic, "Efektyvna ekonomika" 2021; 12: 1-6.

<sup>8</sup> A. Zh. Sakun, I. P. Pantiuk, Implementation of marketing activities at enterprises producing fruit and berry products, "Tavrijs'kyj naukovyj visnyk. Seriya: Ekonomika" 2020; 1: 154-161.

<sup>9</sup> A. Kaplina, Youth entrepreneurship: problems and solutions, "Efektyvna ekonomika" 2020; 11: 1-5.

market conditions and emerging trends. Engaging with stakeholders is also vital for aligning the organization's objectives with the needs and expectations of its broader community. By integrating these elements, tourism enterprises can build resilience, drive growth, and maintain their competitive edge in an ever-evolving industry.

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## DIGITAL MARKETING - ANALYSIS OF CURRENT TRENDS IN UKRAINE AND WORLDWIDE

### *Marketing cyfrowy - analiza współczesnych trendów w Ukrainie i na świecie*

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#### **Streszczenie**

Artykuł przedstawia kompleksowy przegląd współczesnych trendów w marketingu cyfrowym. Badane są ogólne trendy w tej dziedzinie, obejmujące zarówno globalne praktyki, jak i specyfikę rynku ukraińskiego. Szczególną uwagę poświęcono marketingowi w mediach społecznościowych, gdzie analizowane są nowe platformy i innowacyjne metody angażowania odbiorców, a także identyfikowane są najnowsze trendy SMM. Znaczna część badań koncentruje się na rozwoju marketingu influencerów na poziomie międzynarodowym, podkreślając kluczowe czynniki sukcesu oraz główne wyzwania, przed którymi stoją marki współpracujące z influencerami. Artykuł analizuje także współczesne trendy w email marketingu, w tym nowe podejścia do automatyzacji i personalizacji komunikacji, które zwiększają efektywność kampanii. Artykuł kładzie nacisk na przyszłe perspektywy rozwoju marketingu cyfrowego, zwłaszcza na wschodzące technologie, takie jak sztuczna inteligencja i analiza dużych zbiorów danych. Stwierdzono, że skuteczne wdrażanie strategii marketingowych wymaga stałej adaptacji do zmieniających się warunków rynkowych i postępu technologicznego w dziedzinie cyfryzacji.

**Słowa kluczowe:** marketing cyfrowy, internet, marketing mediów społecznościowych, marketing influencerów, email marketing, analiza, trendy

#### **Summary**

The article provides a comprehensive overview of contemporary trends in digital marketing. It examines general trends in digital marketing, encompassing both global practices and the specifics of the Ukrainian market. Special attention is given to

social media marketing, where new platforms and innovative audience engagement methods are analyzed, and the latest SMM trends are identified. A significant amount of the research addresses the international development of influencer marketing, highlighting key success factors and the main challenges brands encounter when working with influencers. The study also analyzes and discusses current trends in email marketing, including innovative approaches to automation and personalization of communications, which enhance campaign effectiveness. The article emphasizes the future prospects of digital marketing, particularly on emerging technologies such as artificial intelligence and big data analytics. It is established that successful implementation of marketing strategies requires constant adaptation to changing market conditions and technological advancements in digitalization.

**Key words:** digital marketing, internet, social media marketing, influencer marketing, email marketing, analysis, trends

## **Introduction**

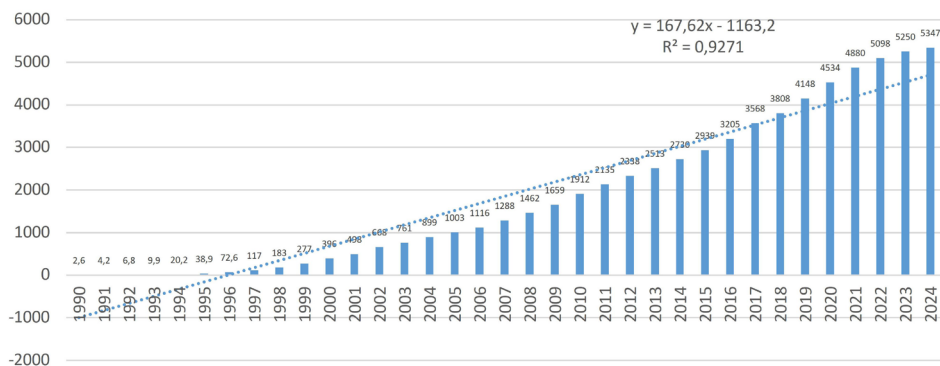
In the context of rapid advancements in digital and information technologies, and the transition of modern organizations and business structures to the digital economy, there is a growing need to explore digital marketing tools in greater detail. New consumer interaction technologies are replacing traditional marketing approaches, which in the current environment are unable to deliver the expected high results for businesses. Today's customer is the one who controls interactive online media, content, and communication processes. Technologies are altering the context and practice of marketing: marketers are required to work in a complex and dynamic environment where they no longer have full control over messaging. Customer behavior is also changing: customers are losing trust and becoming more critical, well-informed, and proactive. New knowledge, skills, and approaches are needed by today's and future marketers not only to understand the changing marketing environment supported by technology but also to understand and communicate with the new customer. Digital marketing serves as a fast tool for bridging the gap and achieving understanding between the brands and their audiences.

Digital marketing is becoming an integral part of the modern business environment both in Ukraine and worldwide. Amid the rapid development of technology and changes in consumer behavior, digital marketing offers unique opportunities for promoting products and services, enhancing campaign effectiveness, and creating competitive advantages.



## Analysis of digital marketing in the world and Ukraine

Contemporary trends indicate the rapid growth of the digital component in every individual's life. According to the United Nations, the Earth's population currently stands at 8,08 billion people. Since last year, the global population has increased by 74 million, which corresponds to an annual growth rate of 0,9 percent. Over 66 percent of all people on Earth now use the Internet, with the latest data showing a total of 5,35 billion users worldwide. Over the past 12 months, the number of Internet users has increased by 1,8 percent, due to 97 million new users appearing since the beginning of 2023.



**Figure 1.** Number of Internet users, in millions

Source: compiled based on K. Simon, *Digital 2024: Global Digital Overview*. Online: <https://datareportal.com/reports/digital-2024-global-overview-report>

The number of active social media users has surpassed 5 billion, accounting for 62,3 percent of the global population. Over the past year, the total number increased by 266 million, resulting in an annual growth rate of 5,6 percent<sup>1</sup>.

As of early 2024, the number of unique mobile phone users stands at 5,61 billion. Recent data from GSMA Intelligence shows that 69,4 percent of the global population now uses mobile devices, with the global total increasing by 138 million (+2,5 percent) since the beginning of 2023.

Kepios analysis indicates that active social media users have exceeded 5 billion, with this number representing 62,3 percent of the world's population. Over the past year, the total number increased by 266 million, leading to an annual growth rate of 5,6 percent<sup>2</sup>.

At the beginning of 2023, it was established that over 62% of people worldwide have access to the Internet, which is 1,8% more than at the beginning of 2022 (table 1).

<sup>1</sup> Digital Economy Compass, Statista, 2024, p. 246.

<sup>2</sup> K. Simon, *Digital 2024: Global Digital Overview*. Online: <https://datareportal.com/reports/digital-2024-global-overview-report>.

**Table 1.** Overview of the number of Internet users

| Year  | 2020  | 2021  | 2022  | 2023  |
|---|-------|-------|-------|-------|
| <b>World</b>                                    |       |       |       |       |
| <b>Total population, billion people</b>         | 7,75  | 7,83  | 7,91  | 8,08  |
| <b>Share of people aged 16 to 64, %</b>         | 64,90 | 64,87 | 64,88 | 64,89 |
| <b>Number of Internet users, billion people</b> | 4,57  | 4,66  | 4,94  | 5,35  |
| <b>Share of Internet users, %</b>               | 59    | 59,5  | 62,5  | 66,2  |
| <b>Growth rate of Internet users, %</b>         | -     | +0,5  | +3    | +1,8  |
| <b>Ukraine</b>                                  |       |       |       |       |
| <b>Total population, million people</b>         | 43,9  | 43,6  | 43,3  | 36,07 |
| <b>Number of people aged 16 to 64, %</b>        | 66    | 65,9  | 64,5  | 62,1  |
| <b>Number of Internet users, million people</b> | 27,66 | 29,47 | 31,1  | 28,57 |
| <b>Number of Internet users, %</b>              | 63    | 67,6  | 71,8  | 79,2  |
| <b>Growth rate of Internet users, %</b>         | -     | 2     | 1,6   | -16,8 |

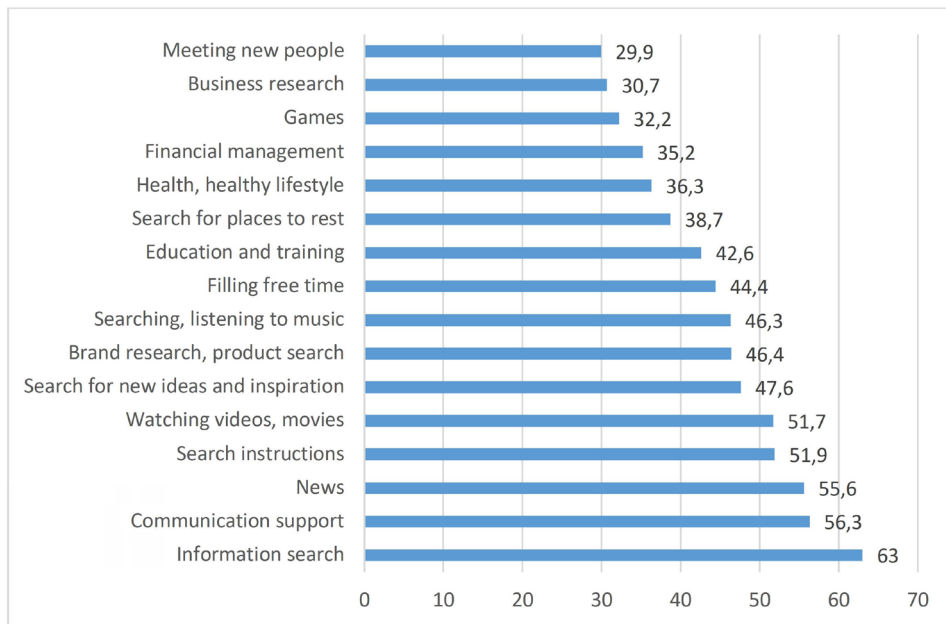
Source: calculated by the authors based on data from *Digital Economy Compass... op. cit.*; K. Simon, *Digital 2023: Ukraine*. Online: <https://datareportal.com/reports/digital-2023-ukraine>; K. Simon, *Digital 2024... op. cit.*

In January 2023, there were 28,57 million internet users in Ukraine. The Internet coverage rate in Ukraine at the beginning of 2023 was 79,2% of the total population<sup>3</sup>. From 2022 to 2023, the number of the Internet users in Ukraine decreased by 5,8 million (-16,8 percent). In Ukraine, the percentage of people with the Internet access is 71,8%, which is higher than the global average. However, this figure is lower than that in the European countries, where it exceeds 85%<sup>4</sup>. Based on this, it can be said that Ukraine is actively developing in the direction of digitalization, but the challenges of digitalizing economic and management processes remain relevant. Recent

<sup>3</sup> K. Simon, *Digital 2023: Ukraine*. Online: <https://datareportal.com/reports/digital-2023-ukraine>.

<sup>4</sup> S. S. Poliakh, *The Essence, Tools, and Methods of Digital Marketing in Modern Business, „Strategy of Economic Development of Ukraine” 2020*; 46: 55-65.

data shows that in 2023, Internet adoption continued to grow, although the pace was somewhat slower than what we have seen in recent years. The real growth of the Internet users in 2024 is expected to be higher than 1,8 percent<sup>5</sup>. It is also important to note that among the reasons for using the Internet, 46,4% of people indicated that it is a means of searching for new products and learning about the latest brands. Therefore, it is necessary to consider digital marketing when developing a strategy for promoting new products and brands (figure 2).



**Figure 2.** Main reasons for using the Internet by people aged 16 to 64

Source: systematized by the authors based on data from S. Solntsev, Z. Zhigalkevich, R. Zalutsky, *Trends in Digital Marketing Development*, "Journal of Strategic Economic Studies" 2022; 6(11): 131-141

The growth of digital technologies has significantly influenced how modern consumers discover the latest brands. According to a survey conducted among the Internet users aged 16 to 64, several key communication channels stand out through which they learn about the new brands (table 2). Search engines are ranked first among the sources of information about the new brands, with a rate of 31,7%. This indicates that users actively search for information online before making a purchase decision. Television advertising takes the second place with a slight lag, at 31,1%. While television remains an important source for brand discovery, its influence

<sup>5</sup> K. Simon, *Digital 2024...* op. cit.

increasingly competes with digital channels. Recommendations from friends and family are the third most popular source at 28,1%. This emphasizes the importance of “word of mouth” in building brand trust. Other channels include social media advertising (27,6%), brand websites (25,9%), retail websites (23,9%), and online advertising (23,8%). These channels highlight the importance of a brand’s online presence and the active use of digital platforms to attract consumer attention. Recommendations or comments on social media (22,8%) and consumer review sites (22,5%) also play a significant role, indicating the substantial impact of social proof and reviews in the purchasing decision process. Other less popular channels include phone or tablet advertising (21,5%), websites for comparing products from varied brands (19,7%), advertising before online video clips (18,3%), free product trials (17,3%), and brand social media news (16,5%).

**Table 2.** Ways of discovering new brands among the Internet users aged 16 to 64

| <b>Communication channel</b>                                 | <b>%</b> |
|--|----------|
| <b>Search Engines</b>  | 31,7     |
| <b>Television Advertising</b>                                | 31,1     |
| <b>Recommendations from Friends and Family</b>               | 28,1     |
| <b>Social Media Advertising</b>                              | 27,6     |
| <b>Brand Websites</b>  | 25,9     |
| <b>Retail Websites</b>                                       | 23,9     |
| <b>Website Advertising</b>                                   | 23,8     |
| <b>TV Shows and Movies</b>                                   | 23,6     |
| <b>Recommendations or Comments on Social Media</b>           | 22,8     |
| <b>Consumer Review Sites</b>                                 | 22,5     |
| <b>Phone or Tablet Advertising</b>                           | 21,5     |
| <b>Websites for Comparing Products from Different Brands</b> | 19,7     |
| <b>Pre-Roll Online Video Advertising</b>                     | 18,3     |
| <b>Free Product Trials</b>                                   | 17,3     |
| <b>Brand Social Media News</b>                               | 16,5     |

*Source: compiled by the authors based on data from Digital Economy Compass... op. cit.; S. Solntsev, Z. Zhigalkevich, R. Zalutsky, Trends in... op. cit.*

From the presented data, several key conclusions can be drawn:

1. Digital communication channels dominate the brand discovery process. Internet users actively search for information through search engines and use various online resources, highlighting the importance of a brand's digital presence.
2. Television remains an important marketing communication tool, although its influence is gradually decreasing in favor of digital media.
3. The power of personal recommendations and user reviews should not be underestimated as they play a crucial role in building trust in brands.
4. Social media is becoming an increasingly important channel for brand discovery, both through official pages and through user comments and recommendations.

Today, search engines are already a more popular tool for finding and discovering new brands than television advertising. It is important to highlight the development of tools such as the voice search. According to the research group GlobalWebIndex, more than 25% of the Internet users worldwide now use voice search functions, and this percentage is increasing every year. Social media advertising ranks fourth, with 27,6% of the Internet users finding information about new products through social media advertising, indicating the effectiveness of tools like SMM.

## **Diagnosis and current trends in social media marketing**

Social media marketing (SMM) is a set of specific online marketing activities aimed at influencing a target audience through social platforms to achieve marketing goals, such as increasing the quality or quantity of the target audience, changing consumer habits, promoting a brand, product, or company, and attracting new customers. In recent years, SMM has become one of the most popular and successful forms of digital marketing, which can be explained by the enormous user base of social networks like Facebook and Instagram.

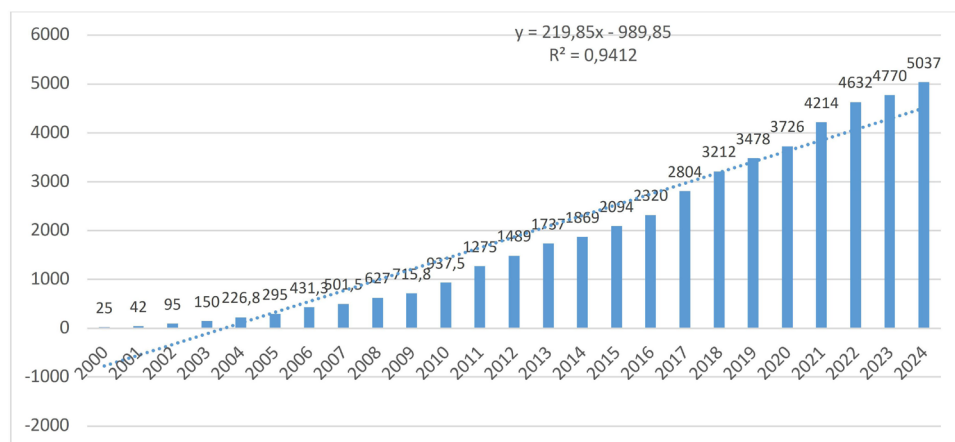
These platforms allow advertisers to reach billions of potential customers, contributing to the increased popularity of brands and products as well as the traffic growth on websites. In Ukraine, over 28 million users, accounting for more than 64% of the population, actively use social networks in their daily lives. This creates significant opportunities for the advertisers to find their target audience through SMM.

Social media has made it easier to obtain the information about the customers and their preferences, but it has also introduced new challenges, including the need to process substantial amounts of data and ensure privacy. In response to these challenges, tools like artificial intelligence (AI) and machine learning (ML) have been actively developed. AI and ML are being used to optimize and personalize digital marketing strategies, particularly in search engine optimization (SEO), content creation, and advertising, enabling companies to achieve their marketing goals more effectively.

Social media channels are no longer just a means of communication. On these platforms, users maintain accounts to express their views, actively comment on posts,

and share opinions on global events. Additionally, a new group of people known as “influencers” has emerged, who, through their statements, can influence the opinions of others, i.e. their audience. Social networks have evolved from merely being a space for personal communication to becoming a powerful tool for business development and product promotion.

The number of active social media users surpassed 5 billion at the beginning of 2024, representing 62,3% of the world’s population. In 2023, the total number of users increased by 266 million, resulting in an annual growth rate of 5,6% (figure 3).



**Figure 3.** Social media users, millions of people

Source: compiled based on Digital Economy Compass... op. cit.; K. Simon, Digital 2024... op. cit.

In 2023, Internet coverage continued to grow, although at a slightly slower pace than in previous years. Over the past 12 months, the number of the Internet users increased by 1,8 percent, with 97 million new users bringing the total to 5,35 billion at the beginning of 2024. The number of social media users grew by 5,6 percent over the past year, adding 266 million new users who started using the social media for the first time. On average, there were 8,4 new social media users per second globally in 2023<sup>6</sup>.

<sup>6</sup> Digital Economy Compass... op. cit.

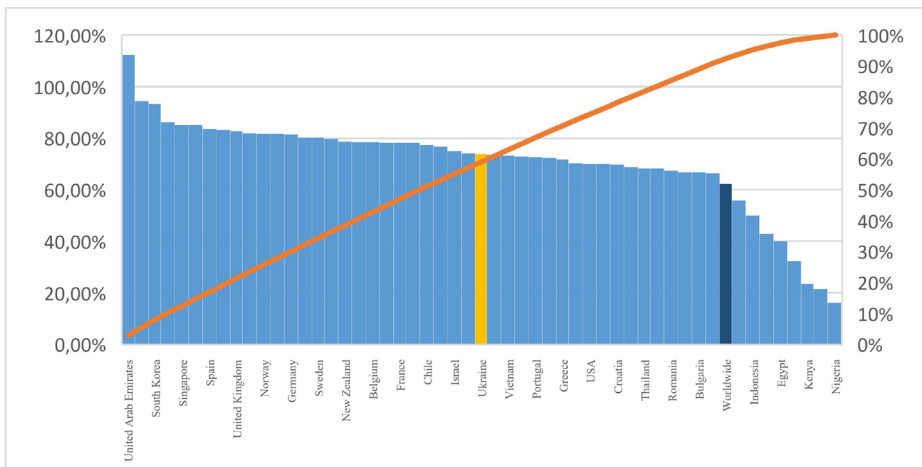
**Table 3.** Overview of social media users

| Year   | 2020 | 2021 | 2022 | 2023  |
|--|------|------|------|-------|
| <b>Global</b>  |      |      |      |       |
| <b>Number of social media users, billion people*</b>             | 3,80 | 4,20 | 4,62 | 5,04  |
| <b>Growth compared to the previous year, %</b>                   | -    | 10,5 | 10   | 9,1   |
| <b>Social media users as a percentage of total population, %</b> | 49   | 53,6 | 58,4 | 62,4  |
| <b>Ukraine</b>   |      |      |      |       |
| <b>Number of social media users, million people*</b>             | 19   | 25,7 | 28   | 26,7  |
| <b>Growth compared to the previous year, %</b>                   | -    | 35,2 | 8,9  | -4,64 |
| <b>Social media users as a percentage of total population, %</b> | 43   | 58,9 | 64,6 | 74%   |

\*The number of users may not reflect the number of unique individuals

Source: calculated by the authors based on data from *Digital Economy Compass... op. cit.*; K. Simon, *Digital 2023... op. cit.*; K. Simon, *Digital 2024... op. cit.*

However, the adoption and usage of social media still vary significantly depending on the country (figure 4).



**Figure 4.** Social media usage by country

Source: compiled based on *Digital Economy Compass... op. cit.*; K. Simon, *Digital 2024... op. cit.*; *The Statistical Portal, Social Media Advertising Spend Worldwide 2019-2029. Online: <https://www.statista.com/forecasts/1418549/social-media-ad-spend-worldwide>.*

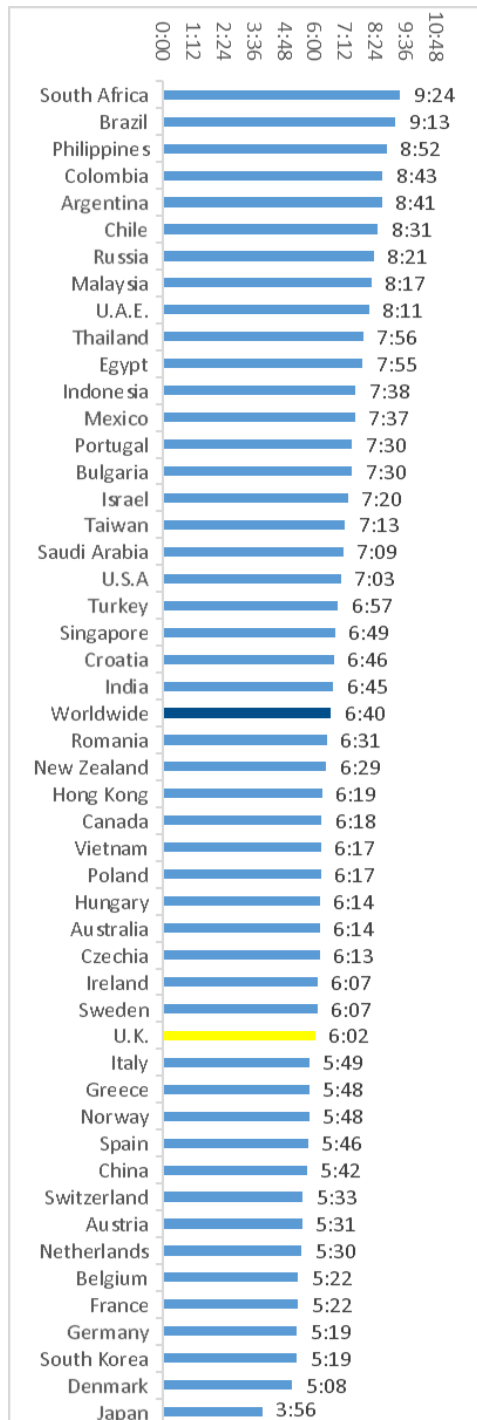
Based on the data on social media usage by country presented in Figure 4, several key conclusions can be drawn:

1. Regional Differences – in Arab countries, such as the United Arab Emirates (112,3%) and Saudi Arabia (94,3%), the highest levels of social media coverage are observed. This may be attributed to the high level of digitalization and the popularity of mobile technologies in these regions.
2. High Usage in Asia – Asian countries like South Korea (93,4%), Hong Kong (86,2%), and Singapore (85%) demonstrate elevated levels of social media activity. This indicates the importance of social media as a key channel for communication and entertainment in this region.
3. Europe and the Americas – in the European countries such as the Netherlands (85%), Spain (83,6%), and the United Kingdom (82,8%), social media is also actively employed, highlighting its significance for both personal and professional communication. In the United States (70,1%), social media usage is also high but falls behind many other countries.
4. Lower Coverage in African and Asian Countries – in African countries such as Nigeria (16,2%) and Kenya (23,5%), as well as in India (32,2%), the level of social media coverage is significantly lower. This could be due to the economic factors, Internet access, and the level of infrastructure development.

On average, the global level of social media usage is 62,3%, reflecting the global importance of this communication channel, though there are significant regional differences.

Another crucial factor influencing the development of marketing strategies in SMM is the amount of time people spend on the Internet and social media daily (figure 5).





**Figure 5.** Average time users from different countries spend online and on social media daily

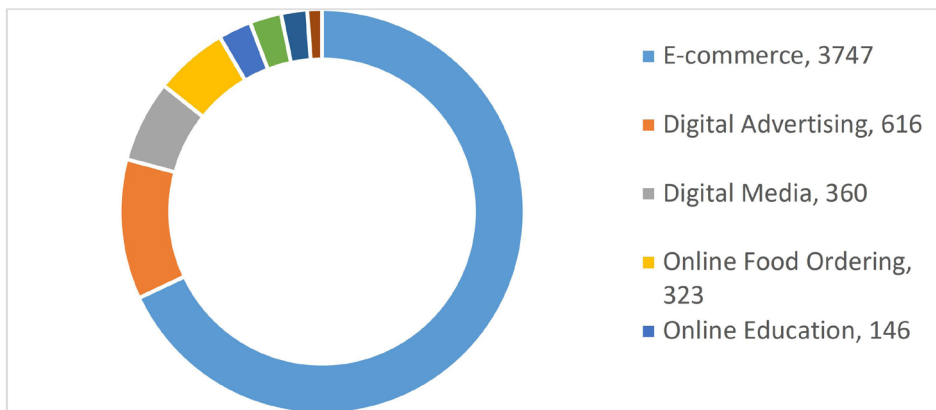
Source: compiled from K. Simon, *Digital 2024... op. cit.*

At the beginning of 2024, people spent an average of about 6 hours and 40 minutes online each day, with approximately 35% of this time devoted to social media use. During this relatively extended period, individuals can consume a significant amount of content and, consequently, encounter multiple advertisements.

In 2023, the “typical” social media user spent 2 hours and 23 minutes per day on social networks.

The time spent online varies by country. South African users spend the most time online, with a typical user reporting an average of 9 hours and 24 minutes per day. Brazilians rank second for daily Internet usage, with network users spending an average of 9 hours and 13 minutes per day online. Japanese users spend the least amount of time online, averaging less than 4 hours a day, which is one hour less than the global average<sup>7</sup>.

Despite the turbulent global events of 2023, e-commerce still accounts for the largest share of the digital economy (over 67%). The structure of the major markets of the digital economy by revenue in 2023 is presented in figure 6.



**Figure 6.** Revenues of selected digital economy markets in 2023, billion US dollars

Source: compiled from *Digital Economy Compass... op. cit.*

Digital advertising constitutes 11% of the economic structure, and its share continues to grow annually. The marketing and advertising sectors have always supported each other. Market analysis indicates that the global advertising industry will grow by 5,3% in 2024, showing resilience despite the current economic slowdown. As of 2023, companies spent 9,5% of their revenue on marketing, nearly matching pre-pandemic expenditure levels.

Online advertising expenses have already surpassed those of other media, including television advertising. According to market forecasts, online investment will

<sup>7</sup> The Statistical Portal. The Most Popular Social Networks Worldwide as of July 2023 by Monthly Active Users. Online: <https://www.statista.com/statistics/272014/global-social-networks-ranked-by-number-of-users/>.

continue to increase, a trend further amplified by changes in consumer behavior following the coronavirus pandemic.

Over the past seven years, the online marketing market has grown several times – global spending on online marketing increased approximately 2,8 times in 2023 compared to 2017<sup>8</sup>.

Further growth in online marketing expenditure is anticipated, reflecting the overall development of the online marketing market. As illustrated, the largest share of expenditure is allocated to search advertising (306,7 billion USD in 2024), with spending on search advertising expected to rise to 389,8 billion USD by 2027, an increase of over 27%. Significant expenditures are also seen in banner and video advertising (174,4 and 191,3 billion USD respectively in 2024). Expenditures on these online marketing tools are expected to increase by over 18% and over 20% respectively in three years<sup>9</sup>.

With the large number of social media users, various applications are developing (table 3): Facebook and Telegram as platforms for convenient and fast communication; Instagram and TikTok as options for viewing media content; LinkedIn as a channel for connecting potential employees with employers; Twitter as a platform for exchanging thoughts with a broad public through text posts, and so on.

**Table 3.** List of the most popular social networks in the world at the beginning of 2024

| Platform Name       | Main Characteristic                                  | Monthly Active Users (millions) | Country of Origin |
|---------------------|--|---------------------------------|-------------------|
| <b>Facebook</b>     | Social network for communication and content sharing | 3049                            | USA               |
| <b>YouTube</b>      | Platform for video sharing and viewing               | 2491                            | USA               |
| <b>WhatsApp</b>     | Messenger for messaging and calls                    | 2000                            | USA               |
| <b>Instagram</b>    | Social network for sharing photos                    | 2000                            | USA               |
| <b>TikTok</b>       | Platform for short videos                            | 1562                            | China             |
| <b>WeChat</b>       | Messenger and social network with payment features   | 1336                            | China             |
| <b>FB Messenger</b> | Messenger for messaging and calls                    | 979                             | USA               |
| <b>Telegram</b>     | Messenger with secure messaging                      | 800                             | Russia (UK)       |

<sup>8</sup> The Statistical Portal, The Most Popular Social Networks... op. cit.

<sup>9</sup> Ibidem.

|                    |   |     |       |
|--------------------|---|-----|-------|
| <b>Douyin</b>      | Application for creating and sharing video files and live streaming | 752 | China |
| <b>Snapchat</b>    | Social network for sharing disappearing images                      | 750 | USA   |
| <b>Kuaishou</b>    | Platform for short videos   | 685 | China |
| <b>X (Twitter)</b> | Social network for short text messages                              | 619 | USA   |
| <b>Sina Weibo</b>  | Social network for microblogging                                    | 605 | China |
| <b>QQ</b>          | Messenger and content-sharing platform                              | 558 | China |
| <b>Pinterest</b>   | Platform for saving ideas through images                            | 482 | USA   |

Source: compiled by the authors based on *The Statistical Portal. The Most Popular Social Networks Worldwide as of July 2023 by Monthly Active Users*. Online: <https://www.statista.com/statistics/272014/global-social-networks-ranked-by-number-of-users/>

The list presented in Table 3 is not universal for all countries, as preferences for social networks vary by region. The main factor influencing the popularity of a social network, primarily for communication, is its place of origin. For example, in America and Canada, the most popular app is Facebook. In Japan, it is Line; in European countries, it is WhatsApp; and in China, it is TikTok and WeChat.

Facebook remains the most popular social network with 3.049 billion active users per month. This indicates its global dominance despite competition from other platforms. YouTube ranks second with 2,491 billion users, confirming the high demand for video content and its position as a leader in this field. WhatsApp and Instagram each have 2,000 billion active users. This shows that both platforms have a stable user base and are popular for both communication and visual content consumption. TikTok, with 1,562 billion active users per month, continues to grow rapidly and maintain its position among the leaders due to the popularity of short-form video content. FB Messenger and Telegram hold their positions as major messaging platforms, with 979 million and 800 million users, respectively. WeChat (1,336 billion), Douyin (752 million), Kuaishou (685 million), Sina Weibo (605 million), and QQ (558 million) are Chinese platforms that show significant influence within their country and demonstrate that domestic platforms can compete with international giants, reflecting the substantial impact of Chinese platforms on the global market.

Advertising spending on social media continues to rise as brands and companies increasingly invest in this channel to reach their audience. Statista reports that social media ad spending increased by 9,3% in 2023 compared to 2022, reaching \$207 billion<sup>10</sup>. This growth is driven by both the increasing number of social media users and the rising demand for targeted advertising.

The largest share of spending goes to platforms like Facebook (Meta), Instagram, YouTube, TikTok, Twitter (X), LinkedIn, and Snapchat. Facebook and Instagram

<sup>10</sup> Ibidem.

(under Meta) remain the leaders in advertising spending due to their broad audience and targeting capabilities.

Key types of advertising include display ads, video ads, stories, and feed ads. Video advertising is becoming increasingly popular, especially on platforms such as YouTube and TikTok, where video content is the primary format. TikTok has become one of the biggest new players in advertising, offering innovative formats like ad challenges and sponsored hashtags. This attracts a particularly younger audience, making TikTok appealing to brands targeting Generation Z.

Social networks offer brands the unique opportunities for targeted advertising based on user behavior data, interests, and demographics. Personalized ads have significantly higher effectiveness compared to the traditional formats.

Advertising expenses vary significantly by market. For instance, the USA and China are two of the largest markets, but rapid growth is also observed in regions like India and Southeast Asia. Advertising spending on social media is expected to continue to grow as digital transformation and business digitization intensify, with more companies moving to online marketing to attract customers. Between 2024 and 2029, global spending on social media advertising is projected to grow continuously by \$111,6 billion (+47,66%)<sup>11</sup>.

In addition to social media advertising, companies also need to maintain their own social media accounts and post information about their updates<sup>12</sup>. According to the data in table 2, 16,5% of the Internet users reported discovering new brands through the presence of such pages and relevant content.

## **The development of influencer marketing worldwide**

The popularity of social media has laid the foundation for the emergence of a highly innovative marketing approach: “influencer marketing”.

Influencer marketing involves partnering with influential individuals on social media to promote products or services to their followers<sup>13</sup>. In 2022, influencer marketing grew to \$16,4 billion. Businesses achieve a return on investment of \$5,20 for every \$1 spent on influencer marketing. Since 2016, the searches for the term “influencer marketing” on Google alone have increased by 465%. 90% of respondents consider influencer marketing to be an effective form of marketing. 67% of brands use Instagram for influencer marketing<sup>14</sup>.

Influencer marketing has become one of the most popular and effective forms of online marketing. Given that millions of the Internet users browse social media

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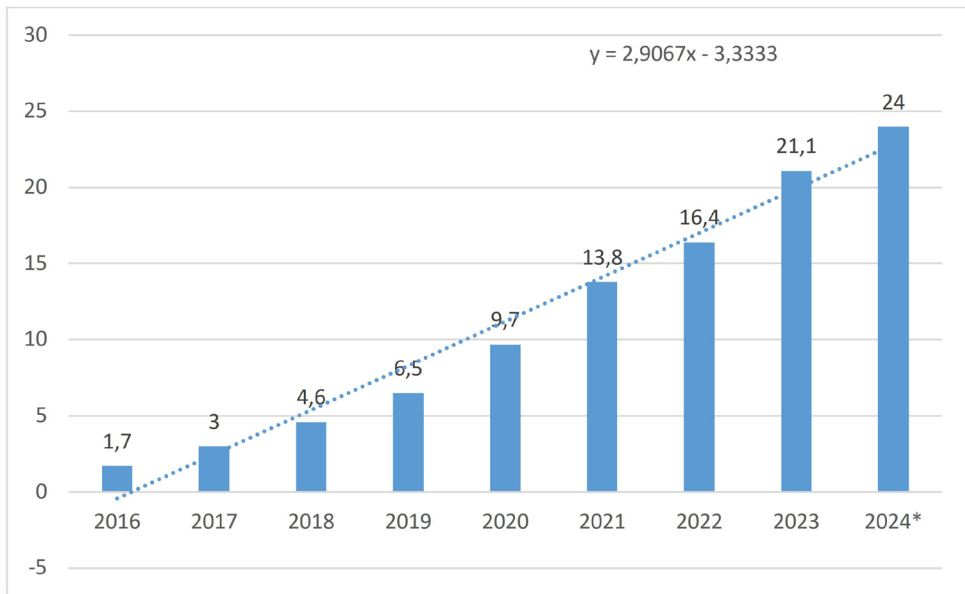
<sup>11</sup> Ibidem.

<sup>12</sup> S. Solntsev, Z. Zhigalkevich, R. Zalutsky, Trends in Digital Marketing Development, “Journal of Strategic Economic Studies” 2022; 6(11): 131-141.

<sup>13</sup> A. M. Yakivchenko, The mechanism of innovative marketing of an industrial enterprise in the post-war period, „Entrepreneurship and Innovation” 2023; 26: 63-69.

<sup>14</sup> Influencer Marketing Hub. Online: <https://influencermarketinghub.com/influencer-marketing/>.

platforms daily for entertainment, inspiration, and product recommendations, it is no surprise that marketers harness the power of the most recognizable social media persons for promotion. As of 2023, the global market value of influencer marketing stood at \$21,1 billion, more than tripling since 2019. As influencer endorsements continue to evolve as an industry, the size and value of influencer marketing platforms also continue to grow each year, making collaborations between brands and creators more advantageous than ever<sup>15</sup>.



**Figure 7.** Global Influencer marketing market size in 2016–2024 (in billions of USD)  
Source: created by the authors based on The Statistical Portal. Influencer Marketing Worldwide - Statistics and Facts. Online: <https://www.statista.com/topics/2496/influence-marketing/>

The popularity of influencer marketing continues to rise as brands collaborate with the influencers on social media platforms such as Instagram, TikTok, and YouTube to promote their products or services. Influencers, through their online presence, enhance public awareness on various issues related to health and the environment. As consumer awareness of environmental sustainability increases, companies are compelled to incorporate sustainable practices into their digital marketing strategies.

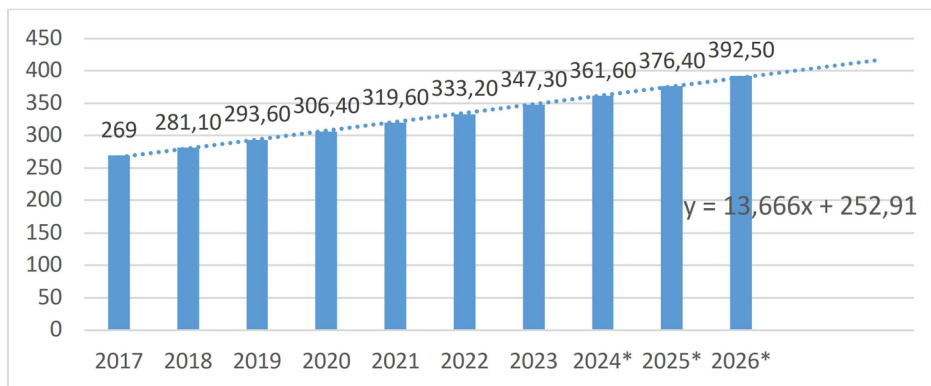
## Analysis and current trends in email marketing

Email marketing remains one of the most popular channels of digital marketing worldwide. Over 80% of industry experts reported using email newsletters as part of

<sup>15</sup> The Statistical Portal. Influencer Marketing Worldwide - Statistics and Facts. Online: <https://www.statista.com/topics/2496/influence-marketing/>.

their marketing strategies in 2023, and they employed various metrics to assess the campaign success.

According to 2023 data, over 347 billion emails were sent globally in a single day (figure 8). As the number of email users continues to grow each year, email has become a primary format for digital marketing for companies around the world. In 2023, revenue from email marketing was estimated at over \$10 billion USD<sup>16</sup>.



**Figure 8.** Number of sent and received emails per day worldwide from 2017 to 2026 (in billions)

Source: created by the authors based on *The Statistical Portal. Number of E-Mails per Day Worldwide 2017-2026*. Online: <https://www.statista.com/statistics/255080/number-of-e-mail-users-worldwide/>

Despite the rise and popularity of mobile messengers and chat apps, email remains an integral part of daily online life. In 2022, the number of email users worldwide was 4,26 billion, and it is expected to grow to 4,73 billion users by 2026.

With the increasing availability of the Internet, the number of emails sent and received worldwide has been growing annually since 2017. In 2022, approximately 333 billion emails were sent and received globally each day. This figure is expected to rise to 392,5 billion emails per day by 2026<sup>17</sup>.

Despite the growing popularity of messengers, chat apps, and social networks, email remains an essential element of digital communication and continues to gain popularity. By 2025, the number of email users worldwide is expected to reach 4,6 billion, which is about 600,000 more than the 4 billion in 2020. Moreover, email advertising has higher click-through rates compared to the social networks. In Belgium

<sup>16</sup> The Statistical Portal. Number of E-Mails per Day Worldwide 2017-2026. Online: <https://www.statista.com/statistics/255080/number-of-e-mail-users-worldwide/>.

<sup>17</sup> T. Sak, *Startup Marketing: Features, Digital Tools, and Promotion Channels*, „Marketing and Digital Technologies” 2023; 7(1): 107-119.

and Germany, these rates were 5,5% and 4,3%, respectively, compared to the global average CTR for social networks of 1,3% during the same period<sup>18</sup>.

Launched in April 2004, Gmail by Google has become one of the most popular free email services worldwide. According to a 2019 survey, its popularity worldwide was only slightly less than Apple's built-in Mail app, with 26% of all email openings occurring on this platform. The youth in the UK listed Gmail among the top five most important mobile apps, and a similar survey in Sweden showed that Gmail matched WhatsApp in popularity among mobile apps across the country.

Current trends in email marketing include:

1. Personalization and Segmentation – personalization is becoming crucial for achieving high results in email marketing. It is important not only to use the recipient's name but also to provide content that matches their interests and behavior. Segmenting mailing lists based on demographics, purchase history, and user behavior allows for more relevant and effective campaigns.
2. Automation – automated campaigns ensure emails are sent at specific times based on certain triggers, such as user behavior or events (e.g. abandoned carts, birthdays, thank-yous for purchases). This helps reduce campaign management costs and increase effectiveness.
3. Mobile Optimization – with the growing use of mobile devices, mobile optimization has become a necessity. This includes creating responsive templates that display correctly on all devices, as well as a simple and user-friendly interface for mobile phone users.
4. Interactive Content – including interactive content such as surveys, quizzes, and interactive buttons helps increase engagement and interaction with emails. This can boost click rates and time spent on content.
5. AI and Machine Learning – artificial intelligence and machine learning are used to predict user behavior, optimize send times, create personalized content, and automate processes. AI helps improve targeting strategies and analyze large volumes of data.
6. Privacy Protection – with new regulations like GDPR, data and privacy protection are becoming critical aspects. Companies need to be transparent about data collection and provide recipients with a straightforward way to unsubscribe.
7. Analysis and Tracking of Results – analyzing campaign results is becoming increasingly important. It is essential to track key performance indicators (KPIs) such as email open rates, click-through rates, conversions, and feedback for continuous improvement of strategies.
8. Cross-Channel Integration – integration with other marketing channels, such as social networks and websites, ensures a more consistent message and a seamless user experience. This helps create a unified strategy for audience engagement.

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<sup>18</sup> The Statistical Portal. Daily Number of Emails Sent Worldwide as of April 2023, by Country. Online: <https://www.statista.com/statistics/1270459/daily-emails-sent-by-country/>.



## **Directions of digital marketing development**

Based on the analysis of digital marketing trends, 10 key trends have been identified that need to be considered when managing digital marketing at a company:

1. Artificial Intelligence (AI) and Machine Learning (ML) – AI and ML are increasingly used to optimize and personalize digital marketing efforts, including areas such as search engine optimization (SEO), content creation, and advertising.
2. Voice Search Optimization – with the rise of smart speakers and voice assistants, optimizing for voice search has become an important trend in digital marketing. This involves optimizing content and keywords to achieve higher rankings in voice search results.
3. Influencer Marketing – the popularity of influencer marketing continues to grow as brands collaborate with influential figures on social media platforms like Instagram, TikTok, and YouTube to promote their products or services.
4. Social Media Stories – stories on social media, which allow users to post temporary content that disappears after 24 hours, have become an important part of digital marketing strategies, especially on platforms like Instagram and Snapchat.
5. Interactive Content – interactive content such as quizzes, polls, and interactive videos is becoming increasingly popular as a way to engage with audiences and provide a more immersive digital marketing experience.
6. Privacy and Data Protection – with the growing volume of data, the importance of privacy and data protection has also increased. Brands are focusing more on obtaining clear consent from users and ensuring the security of their data.
7. Video Marketing – video marketing remains a significant trend due to the rise of platforms like TikTok and the increasing popularity of live streaming on platforms like Facebook and Instagram.
8. E-Commerce – the COVID-19 pandemic and other factors have driven more consumers to shop online, making e-commerce an increasingly important part of digital marketing strategies. Brands are focusing on creating seamless e-commerce experiences, including personalized recommendations and streamlined checkout processes.
9. Personalization – personalization is becoming more critical in digital marketing, with brands using data and AI to create personalized experiences for their customers, from tailored content to personalized product recommendations.
10. Sustainability – as consumer awareness of environmental sustainability and climate change grows, brands are placing greater emphasis on their sustainability efforts and incorporating messages about sustainable practices into their digital marketing campaigns.

To enhance the effectiveness of digital marketing, it is essential to create high-quality content that provides genuine value to your audience. The content should be relevant, useful, and aligned with consumer interests. Personalizing messages is also crucial to create a more targeted and engaging experience. It is important to consider individual interests, behaviors, and preferences to increase interaction levels. Utilizing

emerging technologies, such as Artificial Intelligence, virtual and augmented reality, and voice search, aids to stay ahead of competitors by offering innovative solutions and keeping up with the latest technological trends. Investing in developing a social media presence is necessary to effectively engage with the target audience. Social media platforms allow brands to share their stories in a compelling and authentic way, strengthening connections with customers. Using data for informed marketing decisions and optimizing campaigns is vital. Data analysis enables better understanding of the audience and to refine the strategies for improved results. Building genuine relationships with customers and fostering a culture of trust and transparency within the organization is important. Authentic interactions with customers contribute to creating loyalty and a positive brand image. Ensuring integration across various marketing channels is essential to deliver a cohesive and consistent message to users. Coordinating campaigns through websites, social media, email marketing, and other platforms facilitates in achieving better results.

## **Conclusions**

In light of the current digital marketing trends, it can be concluded that digital marketing is becoming increasingly integrated and essential to company strategies worldwide. Global trends indicate a growing emphasis on personalization and analytics, which help companies better understand and meet customer needs. In Ukraine, as in many other countries, there is heightened attention to the new communication channels and innovative approaches such as video marketing and marketing automation.

Social media continues to play a key role in brand image formation and audience engagement. Successful campaigns are increasingly focused on native advertising and interactive content, allowing for deeper and more lasting connections with users. The growth of influencer marketing also shows significant potential for enhancing brand trust and visibility in the market.

Email marketing remains a vital tool for maintaining customer relationships; however, achieving optimal results requires implementing innovative technologies and approaches such as segmentation and automation.

The future of digital marketing promises even greater integration with modern technologies, such as AI and machine learning, opening the new horizons for companies striving to maintain competitiveness in the global market.

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Larysa Yushchyshyna\*

## ENERGY MANAGEMENT - ITS STATE AND PROSPECTS OF DEVELOPMENT IN UKRAINE

### *Zarządzanie energią – stan i perspektywy rozwoju na Ukrainie*

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#### **Streszczenie**

Artykuł poświęcony jest badaniu stanu i perspektyw rozwoju zarządzania energetycznego w Ukrainie, której system energetyczny od dłuższego czasu znajduje się pod zmasowanym atakiem ze strony Rosji. Przeanalizowano straty poniesione przez sektor energetyczny Ukrainy w wyniku rosyjskiej inwazji na pełną skalę. Ustalono, że w obecnych warunkach system energetyczny Ukrainy nie jest w stanie funkcjonować tak stabilnie, jak przed wojną. Omówiono rolę, znaczenie i zadania zarządzania energetycznego w odbudowie i rozwoju sektora energetycznego kraju. Uzasadniono stopniowe tworzenie systemu zarządzania energetycznego na trzech poziomach rozwoju. Zbadano aktualny stan zarządzania energetycznego w ukraińskich miastach i zjednoczonych wspólnotach terytorialnych. W artykule przedstawiono wyzwania i możliwości, z jakimi borykają się organizacje podczas wdrażania systemu zarządzania energetycznego. Przedstawiono propozycje możliwych rozwiązań problemów wskazanych w analizie. Podkreślono znaczenie strategicznych inwestycji w energetykę odnawialną i współpracę międzynarodową na rzecz wsparcia bezpieczeństwa energetycznego i wzrostu gospodarczego Ukrainy. Zwrócono uwagę na konieczność reformy polityki energetycznej, aby dostosować ją do nowych wyzwań, co przyczyni się do zrównoważonego rozwoju infrastruktury i wzmocnienia relacji partnerskich z międzynarodowymi darczyńcami i inwestorami.

**Słowa kluczowe:** zarządzanie energetyczne, system zarządzania energetycznego, monitoring energetyczny, efektywność energetyczna

#### **Summary**

The article is dedicated to the research of the current state and development prospects of energy management in Ukraine, whose energy system has been subjected to massive attack by the Russian Federation for an extended period. It analyzes the damage inflicted on Ukraine's energy sector by the Russian full-scale invasion. It has been established that, in the context of the ongoing conflict, Ukraine's energy system

is unable to operate at the same level of stability as it did prior to the war. The role, its significance, and the tasks of energy management in the recovery and development of the country's energy sector are elucidated. The article justifies a step-by-step approach to forming the energy management system across three levels of development. It examines the current state of energy management in Ukrainian cities and amalgamated territorial communities. The article highlights the challenges and opportunities the organizations face when implementing energy management systems. It offers suggestions for potential solutions to the problems identified in the analysis. The importance of strategic investments in the renewable energy and international cooperation for the purpose of supporting energy security and economic growth in Ukraine is emphasized. The necessity of reforming the energy policy to accommodate the emerging challenges is highlighted, which will contribute to sustainable infrastructure development and strengthen the partnerships with international donors and investors.

**Key words:** energy management, energy management system, energy monitoring, energy efficiency

## **Introduction**

In the context of Russia's military aggression, the energy management system in Ukraine is a crucial aspect for ensuring the stability and the effectiveness of the country's energy sector.

Its functioning, development, and improvement require a comprehensive approach and coordinated efforts from all stakeholders, including government bodies, businesses, non-governmental organizations, and citizens. To achieve success in this area, it is essential to implement modern technologies and energy management practices, promote the development of the renewable energy sources, reduce the energy losses, and enhance energy efficiency. Furthermore, it is important to ensure transparency and openness in decision-making and create favorable conditions for investment in the energy sector.

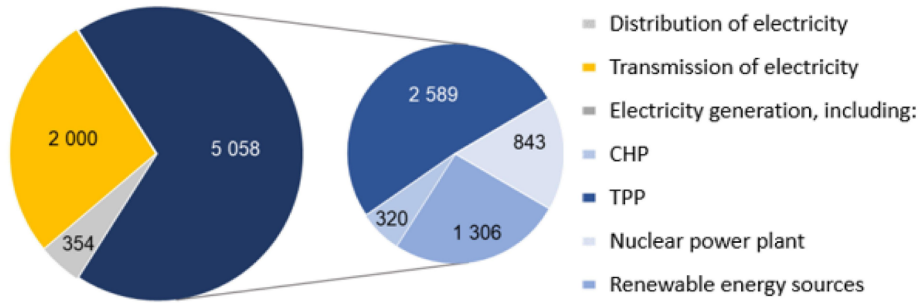
## **Analysis of the damage from Russian aggression in Ukraine's energy sector**

Energy efficiency and a resource-conserving approach have always been crucial for Ukrainians, and they are particularly significant during the ongoing war. The energy infrastructure in Ukraine has been under targeted attack from the enemy for an extended period of time. As a result of these strikes, a significant portion of the power generating facilities have been rendered inoperative. Over 50% of Ukraine's energy infrastructure has been affected by Russian shelling.

According to the KSE Institute, the analytical center at the Kyiv School of Economics, as of early 2024, the direct damages inflicted on Ukraine's energy sector

amounted to \$9 billion<sup>1</sup>. Following the public statements made by the Prime Minister of Ukraine after the massive attack in March 2024, 80% of thermal power plant units were damaged. The total damages to the energy sector reached \$12,5 billion<sup>2</sup>.

The sector suffering the most is the electricity generation and transmission (figure 1). The estimated total damages for these assets exceed \$7,4 billion<sup>3</sup>.



**Figure 1.** Direct infrastructure damage to power generation facilities, million USD

Source: data from the Ministry of Energy of Ukraine, Official portal of the Ministry of Energy of Ukraine. Online: <https://mev.gov.ua/>

A significant portion of the damage has affected large power generation facilities. During one of the massive missile strikes in the 2022-2023 heating season, according to the Prime Minister of Ukraine, 9 thermal power plant units were damaged, and at least one was completely destroyed due to a direct missile hit<sup>4</sup>. Overall, current direct damages to thermal power generation are estimated at \$2,6 billion for thermal power plants (TPP) and \$320 million for combined heat and power plants (CHP). Direct damages to hydroelectric power plants and pumped storage power plants (PSPP) are estimated at \$1,1 billion<sup>5</sup>.

Producers of renewable energy (RES) have also suffered significant losses. According to the Energy Charter Secretariat, 13% of solar generation capacity is located in occupied territories, and 8% has been damaged or destroyed; approximately 80% of wind generation is situated in areas under occupation, with part of it damaged due to shelling; 2% of bioenergy facilities are under occupation, and at least 4 biogas plants are known to have been destroyed (figure 2)<sup>6</sup>.

<sup>1</sup> KSE Institute, Report on Direct Infrastructure Damage Due to the Russian Military Aggression Against Ukraine as of Early 2024. Online: [https://kse.ua/wp-content/uploads/2024/04/01.01.24\\_Damages\\_Report.pdf](https://kse.ua/wp-content/uploads/2024/04/01.01.24_Damages_Report.pdf).

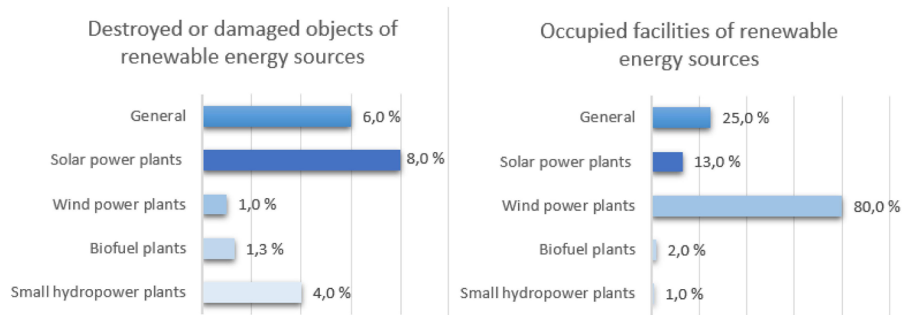
<sup>2</sup> Russian Attacks Destroyed 80% of Thermal Generation in Ukraine, Radio Svoboda, April 5, 2024. Online: <https://www.radiosvoboda.org/a/news-enerhetyka-shmyhal-udary-rosiyi/32892560.html>.

<sup>3</sup> Official portal of the Ministry of Energy of Ukraine. Online: <https://mev.gov.ua/>.

<sup>4</sup> Russian Attacks Destroyed 80% of Thermal Generation in Ukraine... op. cit.

<sup>5</sup> Official portal of the Ministry of Energy... op. cit.

<sup>6</sup> KSE Institute, Report on Direct Infrastructure Damage... op. cit.



**Figure 2.** Destroyed, damaged and occupied renewable energy facilities as of January 2024

Source: Energy Charter International based on KSE Institute, Report on Direct Infrastructure Damage Due to the Russian Military Aggression Against Ukraine as of Early 2024.

Online: [https://kse.ua/wp-content/uploads/2024/04/01.01.24\\_Damages\\_Report.pdf](https://kse.ua/wp-content/uploads/2024/04/01.01.24_Damages_Report.pdf)

The KSE Institute team estimates the direct damages to the renewable energy producers (excluding large hydropower plants and pumped storage plants) at \$220 million<sup>7</sup>. This sector is also experiencing significant indirect financial losses (table 1).

**Table 1.** The assessment of direct losses to Ukraine's energy sector due to the war as of January 2024

| Sector                                     | Assessment of losses, \$ billion |
|--|----------------------------------|
| <b>Electric Power Industry, including:</b> | 7,41                             |
| Electricity Generation, including:         | 5,06                             |
| TPP  | 2,59                             |
| CHP  | 0,32                             |
| NPP  | 0,84                             |
| RES  | 1,31                             |
| Electricity Transmission                   | 2,00                             |
| Electricity Distribution                   | 0,35                             |
| Oil and Gas Sector, including:             | 1,20                             |
| Gas Transportation                         | 0,78                             |
| Gas Distribution                           | 0,15                             |
| Oil and Petroleum Storage                  | 0,27                             |
| Coal Mining Industry                       | 0,41                             |
| <b>Total Direct Infrastructure Damage</b>  | <b>9,0</b>                       |

Source: Kyiv School of Economics, based on data from the Ministry of Energy of Ukraine, energy companies, and open data KSE Institute, Report on Direct Infrastructure Damage... op. cit.

<sup>7</sup> Ibidem.

The ongoing active hostilities across a considerable portion of Ukraine, coupled with the targeted extensive shelling by the Russian Federation, have resulted in significant damage and destruction to the country's electricity transmission and distribution infrastructure. Preliminary estimates indicate that the direct damages to the electricity transmission system operator amount to over \$2 billion, while the distribution system operators have incurred damages exceeding \$350 million<sup>8</sup>.

Since the first days of the full-scale Russian invasion, targeted attacks have been directed at oil and petroleum storage and processing facilities. Since February 24, 2022, at least thirty-two oil depots of various sizes and modernization levels, as well as the fuel stored at these facilities, have been damaged or completely destroyed. Current estimates indicate that the direct damages to the fuel storage sector amount to nearly \$266 million<sup>9</sup>.

Assessing the current situation is challenging due to the lack of precise information on damage to facilities that are under occupation or inaccessible due to the ongoing shelling and the risks of landmines.

Under these conditions, Ukraine's energy system is unable to maintain the same degree of stability as it did before the war. Therefore, all consumers, including both the public and the businesses, must adopt a conscious approach to energy consumption. The energy war that Russia is waging against Ukraine has highlighted the urgent need to accelerate the implementation of an energy management system for the restoration and economic development of Ukraine.

## **Implementation of energy management systems in Ukraine**

The path to energy efficiency begins with energy management, i.e. a practice aimed at ensuring the rational use of fuel and energy resources within an enterprise or municipality, which significantly optimizes the energy consumption.

The energy management system (EMS) is a part of a broader management system that includes a set of measures designed to conserve the energy resources. This primarily concerns the public sector and the municipal utilities where the financial resources are limited and the material and technical base is outdated both morally and physically.

Implementing the energy management system involves monitoring energy consumption, developing an energy policy, planning new energy-efficient measures, calculating baseline energy consumption levels, identifying energy savings potential, and more<sup>10</sup>. However, an EMS is not merely a tool for reducing energy consumption; it is a strategic initiative aimed at creating a sustainable, competitive, and responsible energy system for any facility. The energy management system is a set of management

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<sup>8</sup> Official portal of the Ministry of Energy... op. cit.

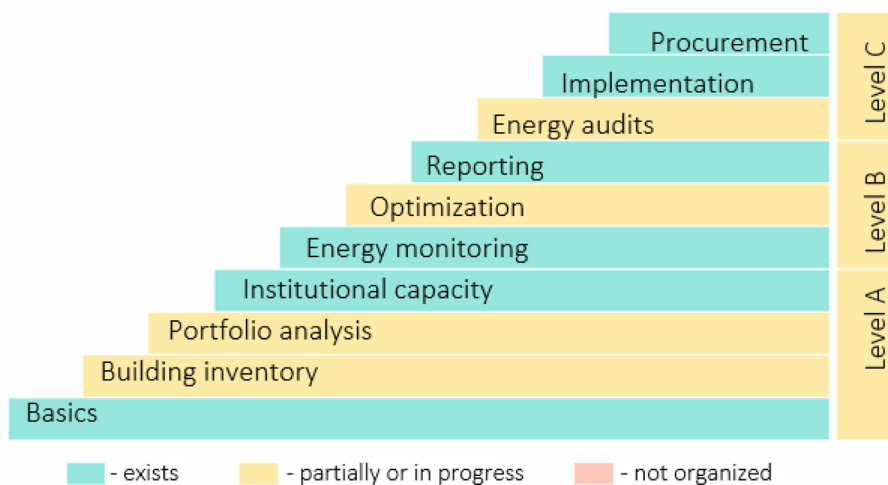
<sup>9</sup> KSE Institute, Report on Direct Infrastructure Damage... op. cit.

<sup>10</sup> State Agency on Energy Efficiency and Energy Saving of Ukraine, Energy Audit and Management. Online: <https://sae.gov.ua/uk/business/energy-audit-and-management>.



decisions that defines the energy policy and goals, sets the energy tasks, and ensures the achievement of these goals and tasks<sup>11</sup>.

The energy management system can be illustrated as a series of steps forming three levels of development. Research has shown that the level of municipal energy management in cities and united territorial communities (UTC) is in the development stage (figure 3).



**Figure 3.** The level of municipal energy management in cities and united territorial communities in Ukraine

Source: according to our own research *Municipal Energy Management Levels, City EM*. Online: <https://misto-em.org.ua/alc/lutska-otg/>

Level A serves as the foundation upon which the further efficiency of the energy management system is built. This requires addressing a range of administrative and organizational tasks, primarily the appointment of a responsible person to perform the energy management tasks. One option is to assign these duties to an employee who is willing and able to take on the role of the energy manager. Another approach is to create a new position and hire a new specialist. Ideally, the candidate should have technical or construction experience, although this is not essential. The most important qualities are communication skills and motivation to work in this field. It is also necessary to develop a job description for the energy manager and allocate time resources and a budget<sup>12</sup>.

<sup>11</sup> H. Zamazaieva, *Energy Management: Where to Start on the Path to Energy Efficiency*, „Ekonomichna Pravda”. Online: <https://www.epravda.com.ua/columns/2023/12/22/708004/>.

<sup>12</sup> *Municipal Energy Management in Territorial Communities, A Guide to Implementing Basic Level A*, GIZ Ukraine, Kyiv 2022, p. 57.

To determine the potential for improving the energy efficiency and implementing modern technologies, a building inventory is required. The main task of the inventory is to define the scope of work for the energy manager. A tool for identifying the buildings with the greatest savings potential is the portfolio analysis. It is conducted to achieve the maximum savings and further assess modernization measures. The development of institutional capacity is a constant need for the energy manager to improve their skills and competencies in their energy management.

Level B requires thorough monitoring of the energy consumption of facilities to accurately identify and correct problems. This involves scaling data, tracking changes in consumer behavior, planning energy resource purchases, creating reports, and building a foundation for further optimization<sup>13</sup>.

Global practice shows that improving energy efficiency is largely achieved through organizational changes in the energy management system of an enterprise or city<sup>14</sup>. By implementing an energy management system, significant energy savings of 3-5% can be achieved over 1-2 years without substantial financial losses<sup>15</sup>.

Level C includes the key components that ensure a comprehensive approach to energy management. This level covers regular, comprehensive energy audits of the condition of engineering systems and building elements, in addition to the analysis of energy consumption by consumers<sup>16</sup>.

The results of the energy audits are applied to develop the detailed energy-saving plans and to improve the infrastructure. Comprehensive programs are implemented in order to support environmental and energy standards, ensuring compliance with international energy regulations and standards. Additionally, sustainable procurement practices are introduced, which involve selecting energy-efficient equipment and technologies during tenders and purchases<sup>17</sup>.

Energy management ensures a high degree of transparency and accountability in energy management processes, including the detailed reporting and monitoring of results.

To assess the current state of the energy management in Ukrainian urban and municipal areas, energy monitoring, data analysis, and planning are carried out on an ongoing basis. A study conducted among AEMU members and signatories of the Covenant of Mayors, through an electronic survey of officials responsible for the

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<sup>13</sup> E. Inshekov, E. Nikitin, M. Tarnovsky, A. Chernyavsky, Guide to Municipal Energy Management, Poligraph Plus, Kyiv 2014, p. 238.

<sup>14</sup> Association Energy Efficient Cities of Ukraine, Summary of the Round Table on Implementing Energy Management and Energy Monitoring in Communities. Online: <https://enefcities.org.ua/novyny/pidsumky-kruglogo-stolu-schodo-zaprovadjennya-energomenedjmentu-ta-energomonitoryngu-v-gromadah/>.

<sup>15</sup> USAID HOVERLA Project, Action Plan for Local Government Bodies on Implementing an Energy Management System. Online: <https://decentralization.ua/uploads/attachment/document/1074/>.

<sup>16</sup> State Agency on Energy Efficiency and Energy... op. cit.

<sup>17</sup> Association Energy Efficient Cities of Ukraine, Review of Automated Information Systems for Energy Monitoring 2020. Online: [https://enefcities.org.ua/upload/files/Publications/Analytics/Expert\\_review\\_2020.pdf](https://enefcities.org.ua/upload/files/Publications/Analytics/Expert_review_2020.pdf).

municipal energy sector, showed that 88% of the cities surveyed assign a decisive role to the energy sector for the normal functioning of urban infrastructure and, in one form or another, set the corresponding goals and monitor their achievement<sup>18</sup>.

68% of the surveyed cities have programs supporting energy efficiency in the residential sector, but one in five lacks the appropriate financial support. In cases where budgetary funds are allocated, the effectiveness of these programs is primarily assessed formally, based on the amount of funding and the number of beneficiaries, rather than on the actual savings achieved.

Only 50% of cities have a dedicated energy manager position or an energy management department, and in 30% of these, energy management has been added to the responsibilities of officials responsible for other matters. However, 85% of cities expressed support for the mandatory introduction of a dedicated energy manager position within local government bodies and the need for legislative regulation of this issue.

93% of the cities surveyed conduct energy monitoring, while the remaining 7% are in the process of preparing for its implementation. Monitoring mainly focuses on energy consumption based on meter readings, rather than the microclimate within buildings. Only one-third of cities have a basic set of equipment for conducting rapid building inspections. In 83% of cities, energy audits are conducted for public buildings, and 50% have initiated the energy certification of public buildings<sup>19</sup>.

Projects and programs, while beneficial to specific communities, must also be supported by a long-term and systematic vision of the energy efficiency development on a national scale.

## **Energy management in the restoration and development of Ukraine's energy sector**

Energy management is the first essential step towards smart energy consumption management. Government authorities, communities, and enterprises that aspire to be prepared for any energy challenges, stop wasting energy and money, and become more energy efficient and competitive should start their work with energy management<sup>20</sup>.

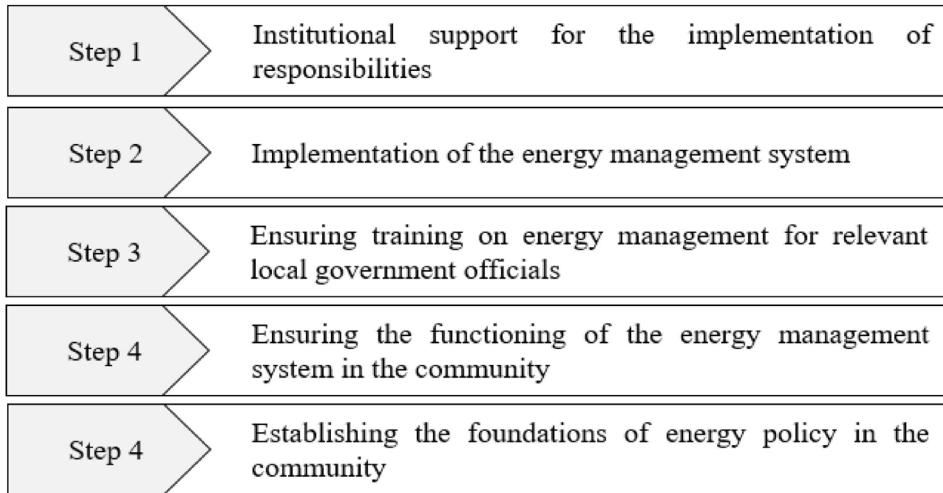
In the USAID project “Improving the Efficiency and Accountability of Local Government Bodies”, a systematic algorithm for implementing an energy management system is recommended (figure 4).

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<sup>18</sup> Association Energy Efficient Cities of Ukraine, Research on the State of Energy Management in Ukrainian Cities. Online: <https://enefcities.org.ua/upload/files/Publications/Analytics/Doslidzhennya.pdf>.

<sup>19</sup> Ibidem.

<sup>20</sup> State Agency on Energy Efficiency and Energy... op. cit.



**Figure 4.** Algorithm for implementing an energy management system

Source: according to the USAID HOVERLA Project, Action Plan for Local Government Bodies on Implementing an Energy Management System. Online: <https://decentralization.ua/uploads/attachment/document/1074/>

This approach will ensure a systematic and comprehensive approach to the implementation of the energy-saving measures within the community. At each stage of implementation, a foundation is created for the effective management of the energy resources, which, in turn, will contribute to improving energy efficiency and reducing energy resource costs. Moreover, the involvement of the specialists and the training of officials will ensure the sustainable operation of the energy management system at the local level, while the formation of the community's energy policy will promote long-term energy stability and sustainable development.

Energy management allows for the consideration of various energy efficiency measures and the selection of those that will be most appropriate and bring the greatest effect. These measures do not necessarily have to be expensive. Even without significant financial investments, simply by setting up an energy management system, energy consumption can be reduced by 5-15%<sup>21</sup>.

As of today, several important steps have been taken in Ukraine to implement energy management systems, particularly in the context of enhancing energy efficiency and energy independence:

1. Legislative foundation established – a number of laws have been adopted, including the Law of Ukraine “On Energy Efficiency”<sup>22</sup> and the CMU Resolution “On

<sup>21</sup> State Agency on Energy Efficiency and Energy... op. cit.

<sup>22</sup> Law of Ukraine of October 21, 2021. No. 1818-IX On Energy Efficiency, „Bulletin of the Verkhovna Rada of Ukraine” 2022; 2(article 8).

the Implementation of Energy Management Systems”<sup>23</sup>. They provide the legal basis for energy-saving measures at the local and national levels.

2. State programs – the programs supporting energy conservation have been introduced, such as the Government’s “Warm Loans” program for homeowner associations, private households, and businesses. Additionally, EU and USAID programs aimed at improving energy efficiency are actively operating. In line with the EU Directive on Energy Efficiency of Buildings, long-term plans are being developed to promote the concept of zero-emission buildings. These buildings will require minimal energy, and all of it will be produced from renewable energy sources. While this involves a significant investment, it is expected to save about 50% of energy costs in the long term<sup>24</sup>.

According to the Law of Ukraine “On Energy Efficiency”<sup>25</sup>, the Ministry of Regional Development has developed the Building Thermal Modernization Strategy through 2050<sup>26</sup>. It outlines the country’s goals for building modernization and how that can be achieved. In the coming years, an action plan will also be developed as a part of this strategy.

To enhance energy efficiency, Ukraine plans to implement the construction of nearly zero-energy buildings<sup>27</sup>. Additionally, most of this energy should come from renewable sources, ideally generated directly on or near the buildings.

The National Recovery Plan of Ukraine, developed by the Ukrainian government in collaboration with hundreds of experts, already includes housing modernization projects. These projects cover energy efficient reconstruction of housing, the introduction of heat pumps, and even pilot construction of nearly zero-energy buildings<sup>28</sup>:

3. Energy management system established. To ensure compliance with item 5 of the Resolution, the State Energy Efficiency Agency has mandated that government authorities and local self-governance bodies provide information on the status and results of their energy management systems to the agency. Many communities are already implementing the energy management systems. Local

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<sup>23</sup> Resolution of the Cabinet of Ministers of Ukraine of May 10, 2024. No. 540 On Amending the Resolution of the Cabinet of Ministers of Ukraine of December 23, 2021, No. 1460. Online: <https://zakon.rada.gov.ua/laws/show/540-2024-%D0%BF#Text>.

<sup>24</sup> EcoAction, What is energy efficiency and how to implement it? Online: <https://ecoaction.org.ua/>.

<sup>25</sup> Law of Ukraine of October 21, 2021. No. 1818-IX On Energy Efficiency... op. cit.

<sup>26</sup> Operational Plan for Implementing the Long-Term Strategy for Building Thermo-Modernization for the Period 2024-2026, up to 2050. Online: <https://zakon.rada.gov.ua/laws/show/1228-2023-%D1%80#n16>.

<sup>27</sup> Association Energy Efficient Cities of Ukraine, Green Book on Energy Efficiency at the Municipal Level. Online: [https://cdn.regulation.gov.ua/3b/d3/cb/a5/regulation.gov.ua\\_File\\_185.pdf](https://cdn.regulation.gov.ua/3b/d3/cb/a5/regulation.gov.ua_File_185.pdf).

<sup>28</sup> Resolution of the Cabinet of Ministers of Ukraine of October 17, 2011. No. 1056 Certain Issues of Fund Utilization in the Field of Energy Efficiency and Energy Conservation. Online: <https://zakon.rada.gov.ua/laws/show/1056-2011-%D0%BF/paran17#n17>.

governments, with the support of international programs, are learning to implement tools for monitoring and managing energy consumption<sup>29,30</sup>.

4. Partnership with international organizations. With the involvement of organizations such as GIZ, USAID, and the European Bank for Reconstruction and Development (EBRD), projects are being implemented to modernize the infrastructure and train the specialists in energy efficiency.

As a potential EU member, Ukraine aligns its goals with the European standards. Within the framework of the European Green Deal, the EU aims to achieve full decarbonization (i.e. reducing greenhouse gas emissions to levels that can be fully absorbed by the ecosystems or other methods) of the building sector by 2050<sup>31</sup>.

5. Information and awareness-raising activities. Training sessions, seminars, and consultations are conducted for local government and business representatives on energy management and efficiency<sup>32</sup>.
6. Energy efficiency in the public sector. Projects are being implemented to modernize public facilities, such as schools, hospitals, and kindergartens. Local governments are increasingly introducing systems for accounting and optimizing energy consumption.

Energy management plays a critically important role in the recovery and development of Ukraine's energy sector, ensuring efficiency, sustainability, and the optimal use of energy resources.

## **Conclusions**

Overall, Ukraine is gradually moving towards increased energy efficiency, but full implementation of the energy management systems still requires more active support at all levels, as well as additional investments and technical resources.

In wartime conditions, the energy management in Ukraine becomes critically important, as the country faces infrastructure destruction, disruptions in energy resource supply, and a growing threat of an energy crisis. Military actions significantly complicate the effective management of energy systems while increasing dependence on external energy sources. This presents Ukraine with the challenge not only of maintaining the operation of the energy sector under emergency conditions but also of finding ways to optimize and develop it.

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<sup>29</sup> Resolution of the Cabinet of Ministers of Ukraine of July 14, 2023. No. 720 On Establishing the Fee for Independent Verification of the Energy Audit Report at the Request of the Energy Audit Customer. Online: <https://zakon.rada.gov.ua/laws/show/720-2023-%D0%BF#Text>.

<sup>30</sup> Resolution of the Cabinet of Ministers of Ukraine of May 10, 2024... op. cit.

<sup>31</sup> Communication from the European Commission, The European Green Deal. Brussels. December 11, 2019. Online: <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:52019DC0640>.

<sup>32</sup> Association Energy Efficient Cities of Ukraine, Summary of the Round... op. cit.

We believe that the primary tasks of the energy management in wartime should be:

- increasing security measures for energy infrastructure objects;
- transitioning to more resilient and renewable energy sources, which will reduce the country's vulnerability to external threats and ensure energy independence;
- reducing energy costs and ensuring the uninterrupted operation of energy infrastructure in crisis situations, maximizing efficient and rational energy consumption is an additional weapon in countering the energy terror perpetrated by Russia;
- meeting the energy needs of the civilian population during the armed conflict;
- collaborating with international partners to secure support and assistance in the energy sector.

Future reconstruction of Ukraine must be based on energy management, as the sustainable development of the country after the war requires the effective use of energy resources and a shift to more ecological and modern technologies. Implementing energy management will allow for optimized energy consumption, reduced dependence on fossil fuels, and enhanced energy independence.

Specifically, focusing on the renewable energy sources such as solar, wind, and bioenergy will help reduce the carbon emissions, which are a key factor in combating climate change. Energy efficiency across all sectors, from construction and infrastructure to industry, will result in cost reductions and increased competitiveness on the international market.

Investments in modernizing the country's energy system will not only drive the economic growth but they will also improve the quality of life for its population. Utilizing modern monitoring and energy management technologies will ensure stability and security of the energy system amid a volatile global economy and potential new challenges.

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## WYKORZYSTANIE NOWYCH TECHNOLOGII W OPIECE PIELEŃNIARSKIEJ

### *The use of new technologies in nursing care*

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#### **Summary**

*New technologies are one of the main drivers of change in healthcare. Advanced technological solutions have found their way not only into medicine but also into nursing, which plays a fundamental role in the healthcare system. This improves the quality of services provided, the efficiency of the nurse and patient satisfaction. Modern technologies in nursing cover a wide range of tools, from medical information management systems to robotics and telemedicine. They should be implemented into the daily work of the nurse as the use of modern solutions benefits not only the medical personnel by improving the quality of services provided and the efficiency of the nurse's work, but most importantly the patients by increasing their satisfaction with nursing care. This paper will discuss the most important technological innovations in nursing and their impact on nursing practice, especially in diabetes care and in life-threatening situations.*

**Key words:** *healthcare, telemedicine, teleconsultation, e-health, tele-nursing*

#### **Streszczenie**

Jednym z głównych czynników napędzających zmiany w ochronie zdrowia są nowe technologie. Zaawansowane rozwiązania technologiczne znalazły zastosowanie nie tylko w medycynie, ale także w pielęgniarstwie, które odgrywa fundamentalną rolę w systemie ochrony zdrowia. Wpływa to na poprawę jakości świadczonych usług, efektywność pracy pielęgniarki oraz zadowolenie pacjentów. Nowoczesne technologie w pielęgniarstwie obejmują szeroki zakres narzędzi, od systemów zarządzania informacjami medycznymi po robotykę i telemedycynę. Powinny być implementowane do codziennej pracy pielęgniarki, ponieważ wykorzystanie nowoczesnych rozwiązań przynosi korzyści nie tylko personelowi medycznemu poprawiając jakość świadczonych usług i efektywność pracy pielęgniarki, ale przede wszystkim pacjentom, zwiększając zadowolenie z opieki pielęgniarskiej. W niniejszym referacie omówione zostaną najważniejsze innowacje technologiczne w pielęgniarstwie oraz ich wpływ na praktykę pielęgniarską, szczególnie w opiece diabetologicznej oraz w sytuacjach zagrożenia życia.

**Słowa kluczowe:** opieka zdrowotna, telemedycyna, telekonsultacja, e-zdrowie, telepielęgniarstwo

## Telemedycyna i telepielęgniarstwo

Jednym z głównych celów gospodarki jest rozwój oparty na nowoczesnych technologiach informatycznych. Dotyczy to również ochrony zdrowia, gdzie wykorzystanie nowoczesnych rozwiązań zwiększa efektywność i jakość świadczeń zdrowotnych. Rozwój e-zdrowia w Polsce to wykorzystanie technologii informatycznych i telekomunikacyjnych do wspierania działań w ochronie zdrowia, wdrożenie Elektronicznej Dokumentacji Medycznej (EDM), e-recepty, e-skierowania, rozwój telemedycyny. Telemedycyna to forma świadczenia usług medycznych na odległość za pomocą technologii informacyjnych i komunikacyjnych. Pojęcie „telemedycyna” powstało z połączenia łacińskiego słowa *medicus* i greckiego *tele*<sup>1</sup>. Zgodnie z definicją WHO przez to pojęcie rozumie się „(...) świadczenie usług opieki zdrowotnej, w której kluczową rolę odgrywa rozłączność miejsca, przez wszystkie osoby wykonujące zawody medyczne, przy wykorzystaniu ICT służących wymianie istotnych informacji w celach diagnostycznych, leczniczych oraz zapobiegania chorobom i urazom, prowadzenia badań i ich oceny, zapewnienia, kontynuacji kształcenia pracowników służby zdrowia, czyli w celu poprawy zdrowia jednostek oraz tworzonych przez nie społeczności”<sup>2</sup>. Pozwalają one na usprawnienie opieki nad pacjentem, lepszy obieg dokumentacji oraz wymianę informacji o pacjencie<sup>3</sup>. Dane medyczne mogą być gromadzone w postaci cyfrowej w formie zdjęć, plików wideo, a następnie przesyłane do analizy za pomocą zabezpieczonego łącza (store and forward). Usługi telemedyczne mogą być świadczone w drodze komunikacji w czasie rzeczywistym (real time) – jako wideokonferencje (w Polsce jako teleporady), a także realizowane w formie zdalnego monitoringu (remote monitoring)<sup>4</sup>. W kontekście pielęgniarstwa, telemedycyna umożliwia pielęgniarkom monitorowanie stanu zdrowia pacjentów, prowadzenie konsultacji oraz edukację zdrowotną bez konieczności fizycznej obecności. Dzięki wykorzystaniu platform telemedycznych, pielęgniarki mogą szybciej reagować na zmiany w stanie pacjenta, co poprawia dostępność opieki zdrowotnej, zwłaszcza w regionach trudno dostępnych. Według Międzynarodowej Rady Pielęgniarek telepielęgniarstwo

<sup>1</sup> K. Paśnik, Regulacje dotyczące telemedycyny w prawie polskim, „Przegląd Legislacyjny” 2023; 3(125): 114-150.

<sup>2</sup> WHO, Telemedicine. Opportunities and developments in Member States. Report on the secondo global survey on e-Health, 2010, s. 9.

<sup>3</sup> I. Czerska, A. Trojanowska, T. Korpak, Przyszłość opieki zdrowotnej w Polsce – nowe horyzonty [w:] Zdrowie i style życia. Wyzwania ekonomiczne i społeczne, W. Nowak, K. Szalonka (red.), E-Wydawnictwo. Prawnicza i Ekonomiczna Biblioteka Cyfrowa. Wydział Prawa, Administracji i Ekonomii Uniwersytetu Wrocławskiego, Wrocław 2019, s. 197-214.

<sup>4</sup> A. Nowak, Telemedycyna transgraniczna – problematyka prawa właściwego dla przypadków odpowiedzialności cywilnej podmiotów medycznych na gruncie prawodawstwa unijnego, „Prawo Mediów Elektronicznych” 2018; 1: 38.

jest „(...) wykorzystaniem technologii telekomunikacyjnych w pielęgniarstwie w celu poprawy opieki nad pacjentem”. Jest to rozwijająca się dziedzina, która wykorzystuje innowacyjne technologie w celu poprawy standardów opieki pielęgniarskiej. Nie zmienia jednak charakteru pracy i funkcji zawodowych pielęgniarki. Taka forma udzielania świadczeń możliwa jest dzięki samodzielności zawodu pielęgniarki<sup>5</sup>, która daje możliwość samodzielnego udzielania świadczeń zapobiegawczych, diagnostycznych, leczniczych i rehabilitacyjnych. Uprawnienia do udzielania samodzielnych świadczeń zdrowotnych obejmują między innymi edukację pacjentów, wykonywanie badania fizykalnego i oceny stanu zdrowia pacjenta, zlecenia, wykonywania i pobierania materiału do badań diagnostycznych, wykonywanie procedur medycznych, podawanie bez zlecenia lekarskiego określonych leków i materiałów medycznych, wypisywanie recept w ramach kontynuacji zleconej terapii, monitorowania stanu zdrowia chorych i wydolności poszczególnych układów, prowadzenie resuscytacji krążeniowo-oddechowej, zarządzania i koordynowania środowiskiem terapeutycznym<sup>6</sup>. Przykładem technologii wspierającej pracę pielęgniarek jest tzw. telemonitoring, który pozwala na zdalne śledzenie parametrów życiowych pacjenta, takich jak ciśnienie tętnicze krwi, poziom cukru we krwi, puls, pulsoksymetria, spirometria, masa ciała. Sprawdza się szczególnie w przypadku pacjentów cierpiących na choroby przewlekłe, tj. cukrzyca czy przewlekłe choroby układu krążenia i oddechowego. Monitorowanie postępów terapeutycznych chorych na cukrzycę realizowane jest za pomocą nowoczesnych urządzeń – sensorów do pomiaru stężenia glukozy we krwi i aplikacji na telefon. Z kolei systemy wideokonsultacji, czyli komunikacji w czasie rzeczywistym, umożliwiają pielęgniarkom przeprowadzanie kontroli stanu zdrowia pacjentów m.in. po zabiegach czy operacjach, co zmniejsza potrzebę bezpośrednich wizyt w placówkach medycznych<sup>7</sup>. Zaletami tej metody są: łatwiejsza identyfikacja pacjenta; możliwość obserwacji pacjenta i rozpoznawania zmian w stanie zdrowia. Problemy pielęgnacyjne można omówić z pacjentem lub jego opiekunem. Możliwa jest teleedukacja zarówno pacjenta, jak i rodziny czy opiekunów. Wraz z rozwojem telemedycyny rola pielęgniarek staje się bardziej zróżnicowana, a ich umiejętności cyfrowe nabierają kluczowego znaczenia. Do beneficjentów rozwiązań telemedycznych należą zatem zarówno pacjenci, jak i osoby wykonujące zawody medyczne<sup>8</sup>. Telemedycyna pozwala na oszczędność czasu, łatwiejszy dostęp do świadczeń medycznych a przede wszystkim może pokonać bariery geograficzne<sup>9</sup>. Pomimo wielu

<sup>5</sup> Ustawa z dnia 15 lipca 2011 r. o zawodach pielęgniarki i położnej (Dz.U. z 2016 r., poz. 1251, 1579 i 2020).

<sup>6</sup> Rozporządzenie Ministra Zdrowia z dnia 28 lutego 2017 r. w sprawie rodzaju i zakresu świadczeń zapobiegawczych, diagnostycznych, leczniczych i rehabilitacyjnych udzielanych przez pielęgniarkę albo położną samodzielnie bez zlecenia lekarskiego (Dz.U. z dnia 8.03.2017, poz. 497).

<sup>7</sup> A. Nowak, Telemedycyna transgraniczna – problematyka prawa właściwego dla przypadków odpowiedzialności cywilnej podmiotów medycznych na gruncie prawodawstwa unijnego, „Repozytorium Uniwersytetu Wrocławskiego” 2018; 1: 38.

<sup>8</sup> M. Drake, J. E. Ritchie, The Surgeon Will Skype You Now: Advancements in E-clinic, “Annals of Surgery” 2016; 263: 63.

<sup>9</sup> M. Czarnuch, M. Grabowski, P. Najbuk, Ł. Kołtowski (red.), Otoczenie regulacyjne telemedycyny w Polsce – stan obecny i nowe otwarcie, Telemedyczna Grupa Robocza, Warszawa 2015.

korzyści, telemedycyna niesie za sobą również wyzwania. Główne problemy to kwestie bezpieczeństwa danych. Pielęgniarki muszą być odpowiednio przeszkolone, aby mieć świadomość, jak chronić dane pacjentów w środowisku cyfrowym. Dodatkowo, barierą może być brak dostępu do nowoczesnych technologii lub trudności w korzystaniu z nich przez osoby starsze. Zagadnienia związane z telemedycyną wymagają także unormowań prawno-legislacyjnych. W Polsce organizację i zasady działania systemu informacji w ochronie zdrowia, zwanego dalej „systemem informacji”, określa Ustawa z dnia 28 kwietnia 2011 r. o systemie informacji w ochronie zdrowia<sup>10</sup>. Nie wolno zapominać o ogólnych zasadach podczas udzielania świadczeń medycznych, w tym także z wykorzystaniem technologii teleinformatycznych. Istotnym problemem w rozwoju telemedycyny są kwestie odpowiedzialności<sup>11</sup>. Pielęgniarka ponosi odpowiedzialność zawodową za opiekę i edukację terapeutyczną, którą świadczy metodą telepielęgniarstwa<sup>12</sup>. Podczas gromadzenia i przetwarzania danych, zwłaszcza tych dotyczących zdrowia, konieczne jest zagwarantowanie poszanowania prawa do prywatności i ochrona danych osobowych<sup>13,14</sup>. Ochrona prywatności i bezpieczeństwo danych stanowią ważne elementy budujące zaufanie do rozwiązań telemedycznych wszystkich beneficjentów ochrony zdrowia.

## **Elektroniczna dokumentacja medyczna (EDM)**

Elektroniczna dokumentacja medyczna (EDM) to jedno z najważniejszych narzędzi technologicznych w nowoczesnym pielęgniarstwie<sup>15</sup>. Pozwala ona na efektywne zarządzanie danymi pacjentów, co skraca czas potrzebny na analizę dokumentacji i minimalizuje ryzyko błędów. Pielęgniarki mają szybki dostęp do historii choroby, wyników badań czy zaleceń lekarskich, a przez to mogą szybciej reagować na potrzeby pacjenta. Nowoczesne systemy informatyczne wspierają również zarządzanie pracą pielęgniarską. Dzięki takim systemom możliwe jest planowanie i monitorowanie zadań, takich jak podawanie leków, zmiana opatrunków czy monitorowanie parametrów życiowych. Automatyczne przypomnienia i alerty ułatwiają pielęgniarkom organizację pracy, co prowadzi do większej efektywności i poprawy jakości opieki nad pacjentem. Wyzwania związane z elektroniczną dokumentacją medyczną to przede wszystkim kwestie możliwości różnych systemów informatycznych do wymiany

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<sup>10</sup> Ustawa z dnia 28 kwietnia 2011 r. o systemie informacji w ochronie zdrowia (Dz.U. z 2011 r. nr 113, poz. 657).

<sup>11</sup> J. Kaczmarek-Krawczak, Benefits of using Telemedicine in the health care system, „Zeszyty Naukowe Wyższej Szkoły Humanitas Zarządzanie” 2024; 25(1): 9-23.

<sup>12</sup> Ustawa z dnia 1 lipca 2011 r. o samorządzie pielęgniarek i położnych (Dz.U.2021.0.628 t.j.).

<sup>13</sup> Ustawa z dnia 6 listopada 2008 r. o prawach pacjenta i Rzeczniku Praw Pacjenta (Dz.U. 2009 nr 52, poz. 417).

<sup>14</sup> Kodeks etyki zawodowej dla pielęgniarki i położnej Rzeczypospolitej Polskiej uchwała nr 9 IV Krajowego Zjazdu Pielęgniarek i Położnych w dniu 9 grudnia 2003 r.

<sup>15</sup> Ustawa z dnia 28 kwietnia 2011 r. o systemie informacji w ochronie zdrowia (Dz.U. z 2011 r. nr 113, poz. 657).

danych. Pielęgniarki często muszą pracować z różnymi systemami w zależności od placówki medycznej, co może prowadzić do problemów z dostępem do pełnej dokumentacji pacjenta. Dlatego coraz więcej systemów medycznych dąży do standaryzacji, aby ułatwić wymianę informacji między różnymi instytucjami opieki zdrowotnej.

## Robotyka w pielęgniarstwie

Robotyka staje się coraz bardziej obecna w różnych dziedzinach medycyny. Według WHO do roku 2050 odsetek populacji w wieku 60 lat i starszej ulegnie podwojeniu<sup>16</sup>. Dane te pokazują, że nasze społeczeństwo starzeje się i musimy przygotować system ochrony zdrowia na problemy zdrowotne osób starszych. Opieka nad osobami starszymi i niepełnosprawnymi to także problem społeczny<sup>17</sup>. Z tego powodu niektóre kraje opracowały technologie do interakcji z ludźmi, takie jak roboty ze sztuczną inteligencją (AI)<sup>18</sup>. W pielęgniarstwie roboty zostały zdefiniowane przez von Gerich et zgodnie z definicją Międzynarodowej Organizacji Normalizacyjnej jako „(...) systemy mechanicznych, elektrycznych i sterujących mechanizmy używane przez przeszkolonych operatorów w profesjonalnej opiece zdrowotnej, które wykonują zadania w bezpośredniej interakcji z pacjentami, pielęgniarkami, lekarzami i innymi pracownikami służby zdrowia i które mogą modyfikować swoje zachowanie na podstawie tego, co wyczuwają w swoim otoczeniu”<sup>19</sup>. Roboty mogą wspierać pielęgniarki w codziennych obowiązkach, takich jak podnoszenie pacjentów, transport materiałów czy podawanie leków. Staje się to szczególnie ważne w kontekście poważnego problemu niedoborów pielęgniarek, które stanowią niemalże połowę wszystkich pracowników ochrony zdrowia<sup>20</sup>. Problemy braków kadrowych dostrzega Amerykańskie Towarzystwo Pielęgniarskie, które także w robotyce widzi możliwość rozwiązania problemów związanych z niedoborem pielęgniarek<sup>21</sup>. W związku z tym stosowanie i wdrażanie złożonych technologii jako systemów opieki, takich

<sup>16</sup> WHO, Ageing and Health. 2021. Online: <https://www.who.int/news-room/fact-sheets/detail/ageing-and-health>.

<sup>17</sup> Z. Peng, J. Huang, Soft Rehabilitation and Nursing-Care Robots: A Review and Future Outlook, “Applied Sciences” 2019; 9(15): 3102.

<sup>18</sup> A. Oksanen, N. Savela, R. Latikka, A. Koivula, Trust Toward Robots and Artificial Intelligence: An Experimental Approach to Human – Technology Interactions Online, “Frontiers in Psychology” 2020; 11: 568256.

<sup>19</sup> H. Von Gerich, H. Moen, L. J. Block i wsp., Artificial Intelligence -based technologies in nursing: A scoping literature review of the evidence, “International Journal of Nursing Studies Advances” 2021; 127: 104153.

<sup>20</sup> R. M. Frazier, H. Carter-Templeton, T. H. Wyatt, L. Wu, Current Trends in Robotics in Nursing Patents – A Glimpse Into Emerging Innovations, “CIN” 2019; 37: 290-297.

<sup>21</sup> American Nurses Association. Risk and Responsibility in Providing Nursing Care. 2006. Online: <https://www.nursingworld.org/practice-policy/nursing-excellence/official-position-statements/id/risk-and-responsibility-in-providing-nursing-care/>.

jak roboty medyczne, stają się coraz ważniejsze<sup>22</sup>. Ułatwiają one pracę pielęgniarek, szczególnie w kontekście opieki nad pacjentami o ograniczonej mobilności, co ma szczególne znaczenie także jako profilaktyka urazów u personelu medycznego<sup>23</sup>. Innym przykładem zastosowania robotyki w pielęgniarstwie są roboty rehabilitacyjne, wykorzystywane do wspomagania pacjentów w ćwiczeniach fizycznych po urazach lub operacjach. Roboty mogą dostosowywać intensywność ćwiczeń do możliwości pacjenta, umożliwiając personelowi monitorowanie postępów rehabilitacji i dostosowanie planu opieki pielęgniarstwiej do stanu pacjenta. Technologie robotyczne obejmują również zautomatyzowane systemy podawania leków, które eliminują ryzyko błędów w podawaniu dawek. Pielęgniarki mogą programować systemy, które precyzyjnie dostarczają leki zgodnie z harmonogramem, co zwiększa bezpieczeństwo pacjentów i odciąża personel medyczny od części rutynowych zadań<sup>24</sup>.

## **Noszone technologie medyczne – Wearable**

Technologie ubieralne, takie jak inteligentne zegarki i bransoletki, smartwatche, opaski fitness, aplikacje mobilne zyskują coraz większą popularność zarówno w opiece nad pacjentami, jak i w pracy pielęgniarek. Urządzenia te mogą monitorować podstawowe parametry życiowe pacjentów w czasie rzeczywistym, nie tylko podstawowe parametry życiowe, tj. tętno czy pulsoksymetrię, ale np. jakość snu. Dane te są następnie przesyłane bezpośrednio do systemów zarządzania zdrowiem, co umożliwia pielęgniarce szybką analizę i reagowanie na zmiany w stanie zdrowia pacjenta<sup>25</sup>. Technologie noszone są szczególnie przydatne w opiece nad pacjentami przewlekle chorymi, cierpiącymi na cukrzycę czy nadciśnienie. Stałe monitorowanie stanu zdrowia pacjentów pozwala pielęgniarce lepiej zarządzać terapią i dostosowywać plan leczenia do aktualnych potrzeb pacjenta, umożliwia wczesne rozpoznanie i zmniejszenie powikłań oraz obniżenie śmiertelności pacjentów<sup>26</sup>. Wprowadzenie technologii noszonych w pielęgniarstwie przynosi również korzyści dla samych pielęgniarek, które mogą lepiej monitorować swoje zdrowie i kondycję fizyczną, co jest szczególnie ważne w tak wymagającej fizycznie i psychicznie pracy. Dzięki takim technologiom pielęgniarce mogą uniknąć wypalenia zawodowego i dłużej utrzymać wysoką jakość świadczonych usług.

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<sup>22</sup> J.-Y. Lee, Y.A. Song, J.Y. Jung i wsp., Nurses' needs for care robots in integrated nursing care services, "Journal of Advanced Nursing" 2018; 74: 2094-2105.

<sup>23</sup> American Nurses Association... op. cit.

<sup>24</sup> K. Uemura, A. Kamiya, I. Hidaka i wsp., Automated drug delivery system to control systemic arterial pressure, cardiac output, and left heart filling pressure in acute decompensated heart failure, "Journal of Applied Physiology" 2006; 100: 1278-1286.

<sup>25</sup> H. Lewy, Wearable technologies – future challenges for implementation in healthcare services, "Healthcare Technology Letters" 2015; 2: 2-5.

<sup>26</sup> K. Pannase, M. M. Mahakalkar, K. Gomase, Review of Article: Benefits of Wearable Technology to Provide Efficient Nursing Care, 2022 3rd International Conference on Electronics and Sustainable Communication Systems (ICESC), Coimbatore, India 2022, s. 24-27.

## Sztuczna inteligencja w pielęgniarstwie

Wszystkie nowe rozwiązania technologiczne możliwe są dzięki wykorzystaniu sztucznej inteligencji w diagnostyce i opiece pielęgniarstwie. Sztuczna inteligencja (AI) odnosi się do symulacji ludzkiej inteligencji w maszynach zaprojektowanych do wykonywania tych zadań, które w typowych warunkach są realizowane przez człowieka, takich jak rozwiązywanie problemów, podejmowanie decyzji i rozpoznawanie wzorców. Znajduje coraz szersze zastosowanie w pielęgniarstwie, wspierając personel medyczny w diagnostyce i podejmowaniu decyzji terapeutycznych<sup>27</sup>. Algorytmy AI mogą analizować ogromne ilości danych medycznych, co pozwala na szybkie wykrywanie nieprawidłowości i prognozowanie stanu zdrowia pacjenta. W pielęgniarstwie AI może wspierać pielęgniarki w zarządzaniu pacjentami o wysokim ryzyku oraz optymalizować procesy opieki. Przykładem zastosowania sztucznej inteligencji w pielęgniarstwie są systemy do analizy wyników badań, które wspomagają pielęgniarki w ocenie stanu zdrowia pacjenta. AI może także analizować dane z noszonych urządzeń medycznych i generować alerty, gdy parametry zdrowotne pacjenta wykraczają poza normy.

## Nowe technologie w sytuacjach zagrożenia życia

Zastosowanie nowych rozwiązań technologicznych oraz AI nabiera szczególnego znaczenia w ratowaniu pacjentów w stanach zagrożenia życia. Reanimacja, czyli proces przywracania funkcji życiowych u osób, które doznały zatrzymania krążenia, jest kluczowym elementem medycyny ratunkowej. W ciągu ostatnich kilku dekad, rozwój technologii znacząco wpłynął na skuteczność i bezpieczeństwo działań ratunkowych. Wykorzystanie sztucznej inteligencji w reanimacji<sup>28</sup> otwiera nowe możliwości w diagnozie i terapii w sytuacjach szczególnych. Dzięki szybkiej diagnozie i automatycznemu dostosowaniu terapii, nowe technologie skracają czas potrzebny do rozpoczęcia reanimacji. Algorytmy AI potrafią analizować dane z urządzeń monitorujących parametry pacjenta oraz rozpoznawać potencjalne zagrożenia i wskazywać optymalne strategie reanimacyjne. Zaawansowane narzędzia monitorowania oraz wsparcie sztucznej inteligencji poprawiają skuteczność prowadzonej reanimacji, zmniejszając ryzyko powikłań i poprawiając szanse przeżycia pacjenta na przeżycie. Sztuczna inteligencja pomaga efektywnie szkolić personel medyczny poprzez symulacje wirtualne oraz analizę przypadków i przygotować do reakcji w sytuacjach nagłych. Nowe technologie oferują szereg narzędzi monitorowania parametrów życiowych pacjenta podczas reanimacji. Automatyczne defibrylatory zewnętrzne (AED) to urządzenia, które mogą być używane przez osoby bez

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<sup>27</sup> A. Martinez-Ortigosa, A. Martinez-Granados, A. Gil-Hernández i wsp., Applications of Artificial Intelligence in Nursing Care: A Systematic Review, "Journal of Nursing Management" 2023; e3219127.

<sup>28</sup> Polska Rada Resuscytacji. Wytyczne resuscytacji 2021 na podst. wytycznych Europejskiej Rady Resuscytacji 2021.



specjalistycznego szkolenia w zakresie medycyny ratunkowej. Nowoczesne AED są zaprojektowane tak, aby były łatwe w użyciu przez nieprzeszkolone osoby, automatycznie analizując rytm serca pacjenta i oceniając, czy należy wykonać defibrylację. Współczesne AED często zawierają funkcje głosowe i wizualne, które prowadzą użytkownika przez proces resuscytacji. Aby w pełni wykorzystać możliwości AED należy umożliwić większy dostęp do urządzeń poprzez program publicznego dostępu do AED<sup>29</sup>. Niezwykle istotne jest zachęcanie społeczeństwa poprzez edukację do podejmowania RKO i wczesnego użycia AED. Zwiększenie dostępu do AED możliwe jest dzięki telefonom komórkowym, mobilnym aplikacjom, mediom społecznościowym. W celu transportu AED do miejsc trudno dostępnych zwraca się uwagę na rolę bezzałogowych statków powietrznych – dronów<sup>30</sup>. Innowacyjne technologie zaprojektowane do automatycznych kompresji klatki piersiowej podczas resuscytacji, dzięki precyzyjnemu dostosowaniu głębokości i częstotliwości kompresji zwiększają efektywność prowadzonych działań i redukują zmęczenie ratowników. Nowe systemy nadzoru i analizy danych, wspomagające kompresję klatki piersiowej, monitorują efektywność resuscytacji w czasie rzeczywistym, pomagając w dostosowaniu technik ratunkowych do sytuacji i stanu pacjenta<sup>31</sup>.

## **Podsumowanie**

Nowe technologie w pielęgniarstwie przynoszą ogromne korzyści zarówno dla pacjentów, jak i dla personelu medycznego. Telemedycyna, systemy zarządzania informacją, robotyka, technologie noszone oraz sztuczna inteligencja rewolucjonizują sposób, w jaki pielęgniarki sprawują opiekę nad pacjentami. Jednak wdrażanie tych technologii wymaga odpowiedniego przeszkolenia personelu oraz zrozumienia wyzwań związanych z ich użytkowaniem. W przyszłości możemy spodziewać się jeszcze większej integracji technologii z codzienną praktyką pielęgniarstwa, co przyczyni się do dalszej poprawy jakości świadczeń pielęgniarstwa. Wraz z wprowadzeniem sztucznej inteligencji pojawiają się jednak pytania i dylematy etyczne. Kluczowym zagadnieniem jest odpowiedzialność za decyzje podejmowane przez maszyny i systemy AI oraz zapewnienie, że personel medyczny będzie w stanie nadzorować i kontrolować algorytmy, aby zagwarantować bezpieczeństwo pacjenta.

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<sup>29</sup> Ibidem.

<sup>30</sup> J.C.L. Lim, N. Loh, H.H. Lam i wsp., The Role of Drones in Out-of-Hospital Cardiac Arrest: A Scoping Review, "JCM" 2022; 11(19): 5744.

<sup>31</sup> J. L. Oscar, M. D. Mitchell, S. Xinyi i wsp., Mechanical Cardiopulmonary Resuscitation During In Hospital Cardiac Arrest, "Journal of the American Heart Association" 2023; 12(7): e027726.

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## INTERNATIONALISATION AND GLOBALISATION OF BUSINESS AND THE INTERNATIONAL ENVIRONMENT OF THE COMPANY IN THE CONTEXT OF GLOBAL MARKETING

### *Internacjonalizacja i globalizacja biznesu a otoczenie międzynarodowe przedsiębiorstwa w kontekście marketingu globalnego*

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#### **Streszczenie**

Cele strategiczne operacji marketingowych na rynku zewnętrznym, forma umiędzynarodowienia marketingu czy alokacja środków firmy uwarunkowane są w dużej mierze orientacją międzynarodową zarządu (znaną też jako predyspozycje strategiczne), oznaczającą stanowisko kierownictwa co do prowadzenia działań na rynkach zewnętrznych i jego skłonność do podejmowania ryzyka wiążącego się z internacjonalizacją. Nadto z dużą dozą prawdopodobieństwa stwierdzić można, iż w najbliższych latach coraz bardziej uzasadnione będzie regiocentryczne podejście do klientów. Owszem, z powodzeniem działają na światowym rynku korporacje transnarodowe o ugruntowanej od lat pozycji i wizerunku, a także licznie pojawiają się w ostatnich latach firmy zwane „born globals”, których rozwój nie przebiega wedle typowej drogi internacjonalizacji. Mowa tu głównie o podmiotach z branży nowoczesnych technologii, oferujących wyspecjalizowane, unikatowe usługi i produkty – mimo iż są to firmy niewielkie, to jednak wysoce konkurencyjne w skali międzynarodowej ze względu na innowacyjność asortymentu. Jednak wszystko wskazuje na to, że gigantyczne korporacje, standaryzujące swe marki i produkty dla wszystkich rynków docelowych, mają już swój złoty wiek za sobą. W dzisiejszych czasach konsument pragnie w coraz większym stopniu być nie tylko biernym odbiorcą oferty, lecz również aktywnie ją kształtować, a więc staje się prosumentem, tym samym komplikując producentom możliwości standaryzacji w marketingu.

**Słowa kluczowe:** *internacjonalizacja, globalizacja, marketing międzynarodowy, korporacje transnarodowe, born global*

## **Summary**

The strategic aims of marketing operations on the external market, the form of internationalisation of marketing or the allocation of the company's resources are largely determined by the international orientation of the management (also known as strategic predisposition), denoting the management's stance on the conduct of activities on external markets and its willingness to take the risks associated with internationalisation. In addition, it is very likely that a region-centric approach to customers will become more and more justified in the coming years. It is true that transnational corporations with a long-established position and image have been successfully operating on the global market, and there have also been a number of so-called "born globals", which have not developed along the typical path of internationalisation in recent years. These are mainly high-tech companies with specialised, unique services and products – although small in size, they are highly competitive internationally due to their innovative product ranges. However, all indications are that the giant corporations, standardising their brands and products for all target markets, are past their golden age. Nowadays, the consumer increasingly wants not only to be a passive recipient of an offer, but also to actively shape it, and so is becoming a prosumer, thus complicating the opportunities for manufacturers to standardise in marketing.

**Key words:** internationalisation, globalisation, international marketing, transnational corporations, born global

## **Introduction**

International marketing refers to all the marketing operations of a company in the context of its economic activities carried out outside its own country. Therefore, it does not refer exclusively to exports, but also to other forms of internationalisation (establishment of foreign branches, conclusion of commercial contracts with contractors outside the country in the form of joint-ventures, franchising, etc.). The term 'international marketing' coincides with the term 'marketing in foreign markets' and they are used interchangeably. At the same time, it represents the opposite concept to marketing in the local market. The term 'foreign marketing' is also used to cover all marketing operations carried out in a given external market by a company's subsidiaries. A similar term is multinational marketing, which exposes the characteristics of individual foreign markets, which is of key importance for a company with a polycentric orientation. The term 'export marketing', on the other hand, has a much narrower meaning, as it refers to marketing undertakings related to export, i.e. the sale of goods or services in markets other than the domestic one; also when the company selects a foreign sales market on its own and modifies the strategy with respect to its

specificity. Meanwhile, the last term – global marketing – refers to enterprises that operate in a global (world) market environment, although not always standardising all activities. This term is used primarily in relation to transnational corporations.

The strategic aims of marketing operations on the external market, the form of internationalisation of marketing or the allocation of the company's resources are largely determined by the international orientation of the management (also known as strategic predisposition), denoting the management's stance on the conduct of activities on external markets and its willingness to take the risks associated with internationalisation. In addition, it is very likely that a region-centric approach to customers will become more and more justified in the coming years. It is true that transnational corporations with a long-established position and image have been successfully operating on the global market, and there have also been a number of so-called 'born globals', which have not developed along the typical path of internationalisation in recent years. These are mainly high-tech companies with specialised, unique services and products – although small in size, they are highly competitive internationally due to their innovative product ranges. However, all indications are that the giant corporations, standardising their brands and products for all target markets, are past their golden age. Nowadays, the consumer increasingly wants not only to be a passive recipient of an offer, but also to actively shape it, and so is becoming a prosumer, thus complicating the opportunities for manufacturers to standardise in marketing.

## **International business**

Currently, activity on international markets is no longer the domain of large corporations. For years, smaller companies have focused their activities on local markets, and if they have entered foreign markets, they have done so very cautiously, mainly as subcontractors or in cooperation with large corporations. Meanwhile, the changes that occurred at the turn of the 20th and 21st centuries as a result of the development of information and communication technologies have proven to be very friendly to start-up small companies, also in the sphere of international operations. A new phenomenon is undoubtedly the emergence of a group of young, dynamic companies that are actively entering international markets, practically from the moment they start their operations (born global). Therefore, we currently have a large group of enterprising early exporters on the market, who sell goods and services abroad irregularly and on a small scale. This segment can be described as an export small business<sup>1</sup>. A dynamically developing segment, especially in the era of technological change and strong emphasis on process and project management in building and maintaining business relationships.

The development of companies and their expansion will be based to a large extent on knowledge, skills and digital competences, including modern marketing tools. Online tools are increasingly used in running and developing businesses – it also indicates the

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<sup>1</sup> J. Cieślak, *Entrepreneurship, politics, development*, Academic Publishing House SEDNO, Warsaw 2014.

still untapped potential of Polish entrepreneurs, especially in the case of SMEs. The presence of a company's online business can no longer be limited to having a website, e-mail box or a profile on a social networking site. In the face of advancing digitization and on the threshold of the so-called „Internet of all things”, digital marketing education of companies is therefore becoming a key and most important need, correlated with modern process and project management, based on sophisticated IT tools.

A new trend in business development and its competitiveness is mmarketing automation to segment of IT systems for marketing and sales management. This system streamlines, automates and measures all marketing and sales activities, while simultaneously connecting them with the individual recipient and their effect. The digital revolution will significantly shape modern business, its models and the way a company is managed.

International business is characterized by a multi-level approach to empirical phenomena. The basic levels of analysis here are: the activities of individual managers, enterprises, the sector and the entire environment. Each of them is characterized by great diversity Nowakowski defines that international business includes transactions that are designed and carried out across national and cultural boundaries in order to meet the needs of individual buyers, enterprises and organizations<sup>2</sup>. It can be presented as a field in which several disciplines are outlined, partly overlapping and partly complementary. These are: international management, international marketing, global marketing (as a subsystem of international marketing) and international finance.

Shenkar defines international business as an area where general knowledge about how to do business in the international market is combined with regional know-how. Both components create a kind of „knowledge platform” based on theoretical foundations and difficult to imitate. General knowledge refers to such fundamental issues as international institutions, trade agreements, regional organizations, etc. As for regional know-how, it refers to the cultural, religious, political and economic conditions of individual countries and regions. International business explains the behavior of companies in local markets, taking into account the aforementioned conditions - which is an extremely important ability.

Griffin and Pustay point out that international business includes economic transactions between entities from more than one country<sup>3</sup>. Examples include purchasing materials and delivering them to a foreign recipient for use in production processes, shipping finished products from one country to another for wholesale, launching a business abroad due to lower labor costs, etc. The entities involved in such transactions may be individuals, private companies, groups of companies, or government agencies.

Ball and McCulloch draw attention to an important circumstance accompanying international business<sup>4</sup>. Namely, they emphasize that a company operating across

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<sup>2</sup> M. Nowakowski, *International business. From internationalization to globalization*, SGH, Warsaw 2015, p. 19.

<sup>3</sup> R. W. Griffin, M. W. Pustay, *International Business. A Managerial Perspective*, Pearson Prentice Hall, New Jersey 2007, p. 5.

<sup>4</sup> D. Ball, W. H. McCulloch, *International Business – Introduction and Essentials*, Addison-Wesley Publishing Company, New York 1991, p. 13-14.

borders must cope and be able to move in three environments - in the domestic environment of the country of origin, in the foreign environment of the country of expansion and in the international environment. Gorynia proposes that the concept of international business in the broad sense of the word should be defined as all types of economic activity, provided that they take place between countries, regardless of whether the relations concern countries as a whole, industries, sectors, regions, consumers, entrepreneurs and regardless of whether these are real or regulatory relations.<sup>5</sup> Based on the cited definition, he states that the distinguishing feature of international business in the context of all economic activity is the presence of an „international element”. The definition proposed by Gorynia seems to be the broadest of those cited above. Its advantage is that it draws attention to both the real and regulatory aspects of the activity that creates international business.

It is important to remember the scale and course of globalization processes and the planes on which these processes take place. The first plane is globalization, and the second is the strong, tense and diverse development of regional integration processes. The processes mentioned above also constitute fundamental challenges for international business, because entities operating in its environment must cope with phenomena such as continuous technical and technological progress, shortening of the product life cycle, the growing importance of the scale of production and sales, the intensification and emergence of new forms of competition, the huge increase in the importance of research and development and innovation, the virtualization of many areas of business activity and business communication<sup>6</sup>.

## **Globalization of the enterprise**

Globalization of the enterprise is a multi-threaded and complex phenomenon, which is why there are many definitions of this concept. Most authors use it in relation to three elements, such as: – worldwide scope – geographical meaning, means an enterprise covering the entire world with its operations, as opposed to enterprises with a local (national) or regional (several countries) scope; – worldwide homogeneity – disappearance of international diversity, means an enterprise selling the same product in all geographical markets it serves, as opposed to a product tailored to local specifics; – worldwide integration – category of dependence and tightening of international links, means an enterprise that clearly feels the effects of events taking place in other countries, as opposed to the local market, where the foreign situation has a negligible impact on the level of prices, dynamics of competition, demand and prevailing fashions<sup>7</sup>. Internationalization and globalization require companies

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<sup>5</sup> M. Gorynia, On the classification of sciences dealing with international economic activity, [in:] Globalization and regionalization in the world economy. Jubilee book of Professor Jan Rymarczyk, B. Skulska, M. Domiter, Warsaw 2012, p. 45.

<sup>6</sup> J. Rymarczyk, International Business, Polish Economic Publishing House, Warsaw 2012, p. 25.

<sup>7</sup> B. De Wit, R. Meyer, Strategy Synthesis, PWE, Warsaw 2007, p. 311.



to apply different strategies, which depend on the company's structure, the form of business, and the geographical structure. However, it seems that these processes encourage companies to choose a strategy based more often on mergers, acquisitions, and building strategic alliances with competitors, i.e. choosing an external path of growth and development. Different approaches to strategy most often used by international and global companies are presented in table 1<sup>8</sup>.

**Table 1.** Specification of selected strategic orientations of international enterprises

| Strategy Name  | Characteristic  |
|--|---|
| <b>Strategic orientation – strategies for operating on international markets</b> |   |
| international  | It involves using a competitive advantage gained on the domestic market abroad. It is characterized by a limited share in the world market, a limited geographical scope of operations and a high degree of centralization of operational and strategic decisions. It is used by companies with a low degree of internationalization of their operations.   |
| multinational  | It consists in adapting its products to the diverse requirements of foreign markets. The activities of the company's foreign branches are based on their independent use of key competences, capabilities and resources transferred from the parent company. It provides a competitive advantage in such factors as: local adaptation to the tastes and desires of customers, sales and distribution methods, loyalty to the company's country of origin and the time of response to changes in demand. |
| global   | It consists of delivering the same product to all markets, treated as one identical market. It is based on the pursuit of minimizing production costs by achieving scale effects. It provides a competitive advantage in such factors as: price, modernity and quality of the product, intensity and quality of promotion, scale of presence on the market, product brand and company reputation.   |
| transnational  | It consists of an attempt to simultaneously achieve benefits from the globalization of operations and adapt to local conditions. The company delocalizes a large part of decisions and activities to individual markets, but some activities remain centralized. The market share is global, and the distribution of shares in the markets of individual countries is relatively even.  |
| <b>Enterprise internationalization strategies</b>                                |   |
| market   | It involves achieving economies of scale by conquering new foreign markets.   |
| financial  | It involves obtaining finance for the company's operations through foreign capital markets by issuing bonds on foreign financial markets and by taking out loans from foreign banks.  |

<sup>8</sup> A. Zakrzewska-Bielawska, Internationalization and globalization and enterprise development strategies, [in:] Instruments and areas of organizational transformations and changes in the conditions of globalization, A. Potocki (ed.), Difin, Warsaw 2009, p. 339-348.

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| coalition   | It involves continuous cooperation with a foreign partner, coordination of activities and implementation of common goals. It can take various forms, e.g. joint marketing and sales of joint products, joint research and development, etc.  |
| proprietary   | It can have a variety of nature depending on the purpose of the company. For example, large state-owned companies look for foreign investors for restructuring and modernization; foreign corporations look for companies that have well-known brands on the local market and have high future profitability, but are unable to make investments that would allow them to achieve international competitiveness; companies look for foreign investors to improve and recapitalize their operations; companies also often invest abroad in search of access to attractive markets, natural resources, cheap labor, qualified staff and modern technologies. |
| <b>Strategies for developing the company's international position</b> |  |
| growth and expansion  | It aims to achieve market leadership, applied to products and markets of countries with predicted high and medium market attractiveness.   |
| consolidation and securing positions                                  | Its aim is to generate a surplus of funds to finance growth strategies and create a market position, which is beneficial for companies with a market leadership position.  |
| creating a market position  | It aims to improve the position and increase the market share, used by companies new to a given market or introducing a new product.   |
| withdrawal and reduction of investment processes                      | Means withdrawal from the market or withdrawal of a product, applies to products or markets of countries generating permanent or periodic losses and negative cash flow.   |
| <b>Global strategies</b>  |  |
| global cost leadership  | It is based on differences in expenditure in individual countries and economies of scale.  |
| concentration on a global scale                                       | It is based on the markets of selected countries, segments, and market niches.   |
| global diversification  | It is a combination of geographical and production diversification.  |

Source: own study based on: A. Zakrzewska-Bielawska, *Internationalization and Globalization and Enterprise Development Strategies, [in:] Instruments and Areas of Organizational Transformations and Changes in the Conditions of Globalization*, A. Potocki (ed.), Difin, Warsaw 2009; J. Rymarczyk, *Internationalization and Globalization of an Enterprise*, PWE, Warsaw 2004; A. K. Koźmiński, *International Management*, PWE, Warsaw 1999; B. Liberska, *Globalization. Mechanisms and Challenges*, PWE, Warsaw 2002; M. Moszkowicz, *Strategic Management. Systemic Concept of Business*, PWE, Warsaw 2005; Z. PierścioneK, *Competition and Enterprise Development Strategies*, PWN Scientific Publishing House, Warsaw 2003

Globalization is a feature of the contemporary stage of development of the world economy, which is less and less reminiscent of the traditional economy, based on the sum of national economies. It is a completely new quality. The globalization of the world economy means not only a complex and multidimensional process, but also a very complex and variable structure, as a result of which a “uniform” – in the spatial and economic dimension – world market is created, integrating many, if not all countries and regions. Globalization is a sequential process with various forms that can be considered at specific scales, depending primarily on the territorial scope. On a macro scale – it expresses a global perspective and dimension, but also refers to continents, countries and regions, on a meso scale – it concerns economic branches and industries, while on a micro scale – enterprises<sup>9</sup>. The process of globalization in almost all areas of life – in economics, law, education, science, politics, culture, tourism or consumption patterns – has made national economies more interdependent than before. It leads to qualitatively new economic links between individual continents, countries and their regional groupings, as well as markets and enterprises. Globalization is one of the most significant phenomena and processes of our times, creating new opportunities, but also threats. This results from its very wide scope and the multithreading, multidimensionality and complexity of economic, technical, social, cultural and political phenomena covered by this term<sup>10</sup>.

The term globalization also encompasses a new process of strategic thinking and management in line with the characteristics and nature of the information society as well as entrepreneurial and innovative cross-border business. The process in question is based on a global perspective focusing on:

- development of an intelligent knowledge economy focused on the full fulfilment of the needs and requirements (satisfaction) of both global and local customers,
- shaping research, development and transfer of knowledge and technologies, especially advanced ones and at a growing level of education,
- information civilization based on knowledge and its diffusion,
- shaping the global economic order and the activities of transnational corporations,
- standardization of resource- and labor-saving products and services,
- the internationalization of enterprises and the links between them and the growth of international trade, including the improvement of global logistics processes,
- globalization and liberalization of financial markets and flows and their instability (reduced risk sensitivity),
- a free global market with a high level of competitive forces and increasingly fierce rivalry,
- internal integration of the world economy, alliances of organizational networks, interdependence of the needs of cooperation and coordination,

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<sup>9</sup> J. Rymarczyk, *Internationalization and Globalization of Enterprises*, PWE, Warsaw 2004, p. 6-7.

<sup>10</sup> J. Walas-Trębacz, *Globalization - premises and challenges for enterprises operating on international markets [in:] Management of an international enterprise. Integration of Diversity*, J. W. Wiktor (ed.), CH Beck Publishing House, Warsaw 2017, p. 11.

- localization of foreign investments and striving to maximize added value and minimize costs,
- the growing importance of the requirements of sustainable development of the world, including environmental protection problems (saving resources, energy, preventing pollution, recycling resources, etc.)<sup>11,12</sup>.

Global business means the scope of all activities and their ability to participate in the global market. It includes all commercial, borderless activities of enterprises, including the flow of resources (raw materials, capital, people, technology), goods (semi-finished and finished products), services (financial, commercial, communication, information and education) and skills (managerial and technical). Global business operates with almost complete freedom of movement of goods, services and capital, with full openness to external competition, which is growing not only in scope but also in quality. It contributes to a fundamental raising of the bar of competition in the global market. In the conditions of globalization, the nature and quality of all competitive forces are also changing. The position of domestic recipients and suppliers is decreasing, because in the conditions of market liberalization and internationalization, a domestic recipient can be replaced by a foreign (external) recipient, and a domestic supplier by a foreign (external) supplier. The number of substitutes for goods and services is also growing, and consequently the power of the global customer<sup>13,14</sup>.

A feature of contemporary business conditions in the global conditions and functioning of transnational enterprises is the constant geographical, economic and social expansion of their activities. This is an inspiration for creating new strategic forms of enterprise activity in the global environment and building new models of business organizations that facilitate rapid cooperation, coordination and establishing relationships across organizational boundaries. These processes are expressed by the emergence of various networks of organizations with high interdependence and internal solid but at the same time open and flexible connections. This is about creating the potential to maximize value for the buyer by building a network of abilities, skills and resources. The functioning of such networks allows for connecting within the framework of joint initiatives and innovative activity, using various unique skills and creating specialist configurations and competences distributed in many network organizations. The network creates more potential opportunities for the development of innovative activities and innovative activity linking the economic sphere with the logistics sphere<sup>15</sup>.

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<sup>11</sup> C. L. Pearce, J. A. Maciariello, H. Yamawaki, *Drucker's Legacy*, Wolters Kluwer, Warsaw 2013.

<sup>12</sup> G. Stonehouse, J. Hamill, D. Campbell, T. Purdie, *Globalization. Strategy and Management*, Felberg SJA, Warsaw 2001.

<sup>13</sup> W. Szymański, *Globalization, challenges and threats*, Diffin, Warsaw 2001.

<sup>14</sup> A. Tubielewicz, *The concept of creating a network organization* [in:] *Innovations in production management and engineering*, R. Knosali (ed.), Publishing House of the Polish Society for Production Management, Opole 2013.

<sup>15</sup> A. Tubielewicz, *The concept of creating a network organization* [in:] *Innovations in production management and engineering*, R. Knosali (ed.), Publishing House of the Polish Society for Production Management, Opole 2013.

Networked international, inter-organizational and inter-functional global dimension changes management concepts, marketing concepts, and techniques and methods used to manage research and development, operations, production, logistics, and distribution and customer services. Vertical and horizontal integration, configuration, cooperation, and coordination of transnational network enterprises require the introduction of interfunctional management on a global scale, which consists in coordinating and coordinating resources and activities located in different countries to perform the functions of research and development, product manufacturing, marketing, and logistics. At the same time, it requires cross-cultural management focusing on organizational behavior in international settings and on the interactions of people from more than one culture<sup>16</sup>.

### **Globalization of the economy and marketing operations and internationalization of marketing**

Among factors, influencing the internationalization of enterprises, it should be pointed out that their increasing focus on marketing activities, which are addressed to consumers around the world. Marketing operations conducted on foreign markets create a system of mutually dependent, differentiated and transformable elements, constituting the so-called marketing mix, which refers to determining specific product properties, price, promotion and distribution. From the company's perspective, these components are controlled variables, conditioned by, among other things, the funds at its disposal, the implemented marketing strategy or the company's management methods.

The starting point for marketing activities organization (which are part of its market strategy) is the strategy of entering the foreign market, determined by the management assumptions and the appropriate allocation of resources. The strategies for expansion into international markets are diversified in terms of: the location of production facilities, the scope of supervision over marketing operations, the scale of resource involvement and their individual types, as well as the degree of risk taken, flexibility (including the possibility of withdrawal from the market) and the time horizon considered by the company.

The overall strategy of a business entity and its marketing strategy share a number of common aspects, such as the concentration of both the mission, goals, and marketing operations on the requirements of target customers and the possibilities of meeting them. Most of the issues related to the preparation of a strategic plan concern marketing variables, so separating marketing planning from strategic planning may pose some difficulties. The role of marketing in creating a strategy is to provide a guiding philosophy, according to which the functioning of the company should be based on meeting consumer needs, providing input data that allows for

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<sup>16</sup> A. K. Koźmiński, *International Management*, Polish Economic Publishing House, Warsaw 1999.

the recognition of market opportunities and indicating the possibilities of their use, and developing methods for implementing the tasks set for individual departments or branches.

The search for sales opportunities among foreign buyers by companies is usually associated with the simultaneous internationalization of marketing. Globalization of activities does not always mean increasing the scale of export of one's own production, because it often means undertaking international marketing activities, which involve the company's resources to a greater extent than is the case with a simple export strategy (indirect or even direct). These activities include, among others: increased supervision over foreign marketing ventures, a longer planning perspective, intensification of the company's international operations in the context of its development strategy. When considering the issue of internationalization, it is worth considering elements of internationalization, based on the company's activities in the field of import of raw materials or technology, as well as other types of meeting production and trade needs on external markets and international cooperation in the field of production or marketing.

The gradual development of a company towards its internationalization begins when the management becomes aware of the prospects that open up for companies operating on the global market. The next step towards internationalization is the analysis of the management's ability to use these prospects, and in the next phase, the assessment of the possibilities of competing in the international environment, related to the assortment or production potential of the company, as well as in the scope of marketing activities. It is also necessary to consider whether the company has sufficient resources of financial, human and knowledge capital to be able to effectively compete with foreign competitors. This process ultimately leads to the decision to start internationalization.

Internationalization marketing and the internationalization of the entire business activity are the result of the influence of various factors related to the benefits planned or obtained as a result of this process. These benefits, resulting from the presence on external markets and connected with the profits resulting from conducting marketing operations on these markets, are defined by two groups of reasons. The first one includes market motives, i.e. existing and forecasted differences in the conditions of the company's operation in the country and abroad – when the aforementioned differences indicate greater profitability of conducting business on the foreign market. The second type of determinants are cost motives, meaning, among other things, the possibility of obtaining economies of scale when the company is present on the domestic and foreign markets at the same time. The benefits may refer to issues related to production, marketing or supply and should cover additional costs incurred due to customs, transport, insurance, etc., and related to expanding the business outside the domestic market. In addition, the so-called experience curve effect is observed. The components of the above-mentioned categories of motives are also present in another group of internationalization factors, called import (supply). The driving force of the company's internationalization process may also be the economic policy

tools of the home country's government, e.g. export-stimulating measures: trade contracts concluded at the intergovernmental level, tax relief for companies producing for export (not constituting export subsidies in the light of European Union regulations), export credit guarantees, promoting the country's image abroad or disseminating the results of market analyses. In addition, the reasons for internationalization may lie in the instruments of the economic policy of foreign countries and be related to increasing the attractiveness of their markets for foreign investors. The presented tools, related to the actions of the authorities of individual countries, are referred to as political motives.

Among the reasons that guide companies in engaging in international activities, market factors seem to have the strongest influence. Companies often begin exploring external markets when the local market is saturated or stagnating, while the international environment is experiencing an increase in demand for a given product or service. A change in the market realities in a given country implies the need to redefine the company's marketing strategy used there, or the need to seek alternative solutions in terms of new sales opportunities.

Another division of the determinants of internationalization of enterprises consists in distinguishing them as proactive and reactive, also defined as push and pull factors. This classification is based on the relationship between the internal and external conditions of the company. Proactive factors of internationalization are motives based on: knowledge of the management, its inventiveness and understanding of the market environment and its dynamics, and therefore knowledge of the external market or characteristics of target customers, conviction about the uniqueness of one's offer, orientation on the profits resulting from participation in the international market, scale and tax advantages, having technological advantages. The expectation of the management is usually to obtain higher income from foreign sales than from domestic sales. Reactive factors of internationalization, on the other hand, have their source in the conditions and modifications of the local and foreign environment of the company, and at the same time concern the actions of the management in response to external stimuli. This group of causes includes: production surpluses, reaching a saturation point on the domestic market, competition activities (e.g. its internationalization), close proximity to external markets, a significant decline in sales results on the domestic market and the internationalization of local partners.

Marketing research allow us to state that companies that conduct the internationalization process based on proactive reasons gain greater benefits than those guided by reactive factors, because they are more clearly focused on meeting the needs of external buyers and develop long-term marketing strategies on foreign markets. On the other hand, companies whose operations are keyly influenced by reactive factors are more strongly involved in current operational activities and ad hoc projects, while being less oriented towards creating long-term plans.

Internationalization of marketing is associated with risks and threats, which are much greater and more diverse than in the case of functioning in the home market. Intensification of the involvement of the company's resources abroad is usually

associated with an increase in the resulting degree of uncertainty, but the scale of the risk is largely dependent on the specifics of the target market. Diversification of this risk becomes a complementary factor of internationalization for companies, because it contributes to initiating activity in new markets, thus constituting a motive for moving to the next stage of internationalization.

## **The process of business internationalization**

The decision to start operations on foreign markets means moving to competing in completely new conditions. An appropriate analysis of the environment in which the company will have to compete is a necessary condition for making decisions about internalizing operations. The company's environment consists of those that are not part of the company, but are directly or indirectly related to it:

- phenomena,
- processes,
- entities.

When entering a new market, especially a foreign market, a company must deal with a number of barriers, any of which can lead to the failure of the entire venture<sup>17</sup>.

Particular attention should be paid to:

- the need to obtain access to distribution channels – when entering a new market, a company must ensure access to customers through appropriate distribution channels; in a situation where these channels are limited or competitors have largely taken over them, it is necessary to offer distribution companies better terms of distributing products than those offered by companies operating in the sector so far; in the case of limited access to distribution channels, it is true that it is possible to create your own, independent channel to reach the customer, but for small companies this is usually too expensive a solution; both entering existing distribution channels and attempting to reach customers independently require additional expenditure;
- expected retaliatory actions – companies newly entering the sector should estimate how strong the reaction of competitors seeking to defend their own interests may be; although the reaction to the entry of small companies to the market is relatively small – due to the marginal impact of the introduced products on the entire sector – it is worth analysing certain factors that indicate this strength in order to minimise the risk; in this context, it is advisable to analyse:
  - past behaviors used towards new competitors,
  - the level of consolidation of companies operating on the market so far, their taking of solidarity actions towards new competitors,
  - resources of existing companies allowing for the introduction of retaliatory measures,

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<sup>17</sup> S. Skrzypek-Ahmed, K. Ćwik, W. Cwynar, S. Skowron, B. Mróz-Gorgoń, Optimisation models and the economics of managerial decision-making, „Journal of Modern Science” 2023; 54(5).



- the level of involvement of companies in the sector (specialist companies take more decisive retaliatory action than companies operating in many different markets),
- liquidity of resources invested by companies operating on the market so far – if the resources of these companies cannot be used in other types of activities, then radical retaliatory actions can be expected from them,
- the pace of growth of the sector – in sectors where demand is zero or very limited, the emergence of another competitor is met with a solidary reaction from the companies operating so far, which do not agree to lose demand to the new company. The existing network of cooperation, the strength of the relationships between suppliers and recipients may also play a role here, which may block access of new companies to distribution channels and sources of supply;
- scale of capital needs – entering the sector usually requires incurring certain capital outlays related to expenditure on production, advertising, research and development, loans for customers, inventories, covering potential losses; in this case, companies entering the sector are in a much more difficult situation than companies operating in the sector; moreover, in the case of operations on foreign markets, there is a need to incur extraordinary expenditure on:
  - transportation of products,
  - delegations,
  - communication,
  - translations,
  - legal and other analyses,
  - maintaining representation;
- state policy – the state may create entry barriers through requirements for obtaining a license to conduct business or a concession for the exploitation of raw materials; standard instruments of economic policy (including environmental standards, safety regulations) will have a milder effect. The entry barriers presented are not permanent. They change over time as a result of both external conditions (changes in state policy, expiration of patents, etc.) and internal conditions (the company pursuing an energetic promotional policy, incurring high expenditures on research and development). Foundations of establishing a company's strategy  
For every company, but especially for a small company, it is important to precisely define the pillars on which the company's future will be based. There are three main sources of the company's strategic position, which are based on:
  - specific products or services,
  - precisely defined customer expectations,
  - established ways of reaching customers.

## **International marketing in the context of export internationalization**

The goals set in the export marketing strategy must relate to expansion into a precisely defined foreign market. There are five basic strategic goals in export, which can be the main ones for the other goals:

1. Profit – setting a target in the form of export profit can be expressed as a sum or a percentage.
2. Market share – the percentage share of exports of a specific product in total sales in a given market.
3. Sales volume – can be expressed in value or quantity, treated as a goal and at the same time a measure of control over the implementation of the adopted marketing strategy (it allows determining the amount of profit and the exporter's share in the market).
4. Growth – may concern various aspects of export activities such as profit, sales, employment, etc. (the objective may be defined as e.g. increase in export profit, increase in employment, etc.).
5. Creating an export product – a qualitative goal, difficult to translate into a numerical value. When creating an export product, we strive to ensure that competitive products are not perceived as substitutes that can satisfy the customer.

The degree of precision of export goals depends on the level of the strategic document, which is the export marketing strategy. The larger the company, the less precise the goals are and cover a larger area and broader target groups. Correctly identified export goals should meet the criterion referred to as the SMART acronym:

- Specific – should be specific;
- Measurable – should be measurable;
- Acceptable/ambitious – should be acceptable, achievable, ambitious;
- Relevant/realistic – they should be real and achievable;
- Time-bound – should be achievable within a specified time period.

Exporter's guides recommended by international organizations such as OECD or the World Bank<sup>18</sup>, recommend specifying the objectives based on an analysis of the answers to the following questions:

- What we offer, for whom, for which group (age criteria, wealth criteria, etc.).
- Where, in what area, in what territory (country, region, subregion).
- How much, what will be the value of exports (quarterly, annual sales).
- From and until when (start of export sales, assumed period of export activity in a given market).

Adoption of export targets should be preceded by an analysis of the possibilities of achieving them with the available human, financial and production resources and specific external and internal conditions. Fulfilling this condition requires using the

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<sup>18</sup> J. Z. Kusek, R. C. Rist, Ten Steps to a Results-Based Monitoring and Evaluation System. A Handbook for Development Practitioners, The International Bank for Reconstruction and Development / The World Bank, Washington 2004.

experience and knowledge of those planning export in the scope of cause-and-effect relationships between the undertaken pro-export activities and the implementation of the assumed goals. This is about the so-called theory of change, which can be described as follows: „if we use the available inputs, implementing specific activities, we will achieve specific products and thanks to this the desired change will occur”<sup>19</sup>. After correctly identifying export goals, you can move on to the next stage – selecting indicators. Indicators at the level of goals should be result indicators, i.e. they should reflect the direct effects of implementing the export development strategy consisting in the increase in export volume, value of trade, change in customer attitudes towards the goods and services offered, etc. In the export development strategy document, in addition to result indicators, you can also present product indicators, which usually refer to the amount of goods and services produced and sold<sup>20</sup>. As in the case of the principles of constructing goals, the evaluation criteria for indicators are often referred to by acronyms (e.g. SMART). Target values of result and product indicators (targets) are quantitative export goals expected to be achieved within a specified time frame using existing resources. Their establishment not only allows monitoring of the timeliness of achieving the intended goals, but also motivates action and ensures control of responsibility and transparency of the actions taken. Reliable setting of target values in export is one of the most difficult tasks in the process of creating the logic of the system for monitoring the achievement of goals. This fact is caused by both objective issues related to the imperfection of scientific methods, as well as subjective ones. Sometimes, in order to obtain immediate profits, in the process of estimating target values, there is a temptation to set easy-to-achieve goals or invent unrealistic values. There is a whole range of variables of a different nature that affect the setting of target values in export. Awareness of this fact and their reliable analysis is the basic condition for correct estimation.

Factors influencing the setting of planned export targets include in particular:

- precise goal setting / definition;
- market trends (impact indicators);
- stability of unit costs (impact on the product indicator);
- the level and structure of financial outlays, including the cost of material and personal resources (real cost of the intervention);
- type of indicator (product indicators are easier to estimate than result indicators);
- duration of the action – the shorter it is, the easier it is to make estimates, the lower the risk of the impact of unforeseen factors;
- the type, size and degree of complexity of the activity – for example, it is easier to estimate the products and results of a simple intervention consisting in increasing the volume of exports than an intervention aimed at improving the position of the company/product on a given market;
- consumer expectations, social expectations;

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<sup>19</sup> T. Kot, A. Weremiuk, *Indicators in strategic management*, MRR, Warsaw 2012.

<sup>20</sup> Ex-post evaluation. *Research theory and practice*, Polish Agency for Enterprise Development, Warsaw 2007.

- external factors that may influence the actions taken, e.g. unforeseen economic turmoil in the world.

In practice, setting planned export targets is used to:

- result and impact indicators – at the strategic and program level, a method of extrapolating market trends adjusted for the impact of the intervention estimated on the basis of benchmarking and expert assessments resulting from market research;
- product indicators – in addition to expert assessments and the results obtained by similar companies (benchmarking), it is helpful to calculate the so-called unit product costs, i.e. the average cost of producing a given product.

Practice shows that these costs often differ significantly, so it is recommended to verify them in more detail, taking into account all conditions (e.g. labor costs, raw material costs, transportation and customs costs, advertising costs, costs of adaptation to the conditions and expectations of customers on a given market, etc.). The criteria related to methodological correctness require that the indicators:

- limited the possibility of presenting apparent effects;
- limited the possibility of distortion;
- enabled unambiguous and intuitive interpretation of the scale and direction of changes;
- were methodologically sound and statistically reliable.

An example of showing illusory effects may be presenting only the product indicator without taking into account the result indicator in the form of the value of exported goods. On the other hand, an example of an indicator that is difficult to interpret is the percentage of use of manufactured goods in export. A high share of export in the total value of production may indicate a high level of export as well as a low volume of goods production. On the other hand, a low level of export may indicate overinvestment in the production of non-exportable goods. Before making a decision to start exporting, an entrepreneur should answer the question of whether the company is prepared to start this type of activity and whether it has sufficient knowledge, skills and staff necessary to carry it out.

The potential exporter must therefore obtain confirmation that:

- has a strong position on the domestic market – it is a good measure of the company's characteristics, e.g. management effectiveness;
- has competences in the field of export (it employs people educated in the field of foreign trade, with experience in cooperation with foreign companies and knowledge of foreign languages);
- customers are satisfied with the products he offers;
- customers are served quickly and competently, which proves that the company structure is adequate to the tasks and that the staff is properly selected;
- customers recommend its products to their friends, which may indicate good PR and effective advertising;
- his company respects its obligations – responsible treatment of clients and business partners is the key to obtaining good contracts abroad;

- his company has excess production capacity, which means it can meet the demand of a new market and often decides to establish cooperation with a foreign partner;
- his company has access to raw materials and free financial resources;
- the profitability of another market is higher than that of the primary market;
- knows the markets where the product is attractive (in terms of price, quality, technology);
- noticed an opportunity in the market that will be or is in a phase of dynamic growth in a given industry;
- the impact of direct competition on the target foreign market is not too strong and does not prevent export;
- increasing the scale of production will significantly improve the efficiency of the enterprise, e.g. the unit cost of production will decrease;
- export will increase the company's prestige in current markets;
- entering new markets will increase sales stability;
- the life cycle of the company's products, which are in a phase of decline on the main market, will be extended.

Distribution is the distribution of products from the producer to the final buyers. Organizing distribution involves selecting and motivating sales intermediaries, maintaining inventories, organizing transportation, and storing products. A distribution channel is a group of interconnected companies, institutions, and agencies that direct the flow of products from producers to buyers. Distribution channels for industrial products are usually shorter than distribution channels for consumer products and therefore less costly. The process of creating a distribution channel involves selecting intermediaries and defining the scope of their authority and responsibility. Creating a distribution channel for goods and services involves considering two issues: choosing the location of the intermediary and choosing the form and scope of service provision.

Direct channel consists of two levels – the manufacturer and the final buyers. In such a channel there are no intermediary entities, the manufacturer reaches the final buyers with the goods at its own cost and risk, establishes trade relations with them directly (e.g. through a network of its own stores, online sales). The organization of a direct distribution channel requires the manufacturer to invest in a second, different type of activity. In practice, it may consist in the development of its own trade network or the capital integration of the manufacturer with companies operating in the trade sphere through their purchase, merger, establishment of a company, etc. Direct channels dominate the market for capital goods and raw materials. Machines, devices, tools, often non-standard and customized to individual needs, are used for a long period of time and have high prices. Sometimes the lack or reluctance of intermediaries to take on the risk associated with introducing industrial goods to the market and selling them forces their producers to use direct distribution channels, especially when these goods have innovative features.

The advantages of these channels are that they provide:

- full manufacturer control over the sale of manufactured products, prices, and the level of services provided to final buyers;
- fast, direct, two-way flow of market information between the manufacturer and customers;
- the ability to quickly adapt the offer to changes in demand in the market segment served;
- the possibility of shortening the flow time of products from manufacturers to final buyers;
- relatively faster flow of payments for purchased products;
- the possibility for the manufacturer to achieve higher profits from direct sales of products;
- the ability to establish direct and lasting relationships with customers, building a group of loyal buyers;
- greater opportunities for branding and testing new products.

The disadvantages of using direct channels by manufacturers include:

- the need to bear distribution costs and sales risk;
- limiting the scope of market penetration to the capacity of one's own distribution network (sales agents, branches);
- the need to expand the structures of the production enterprise to include a commercial segment;
- delayed effects of building cost – and time-consuming relationships with customers (costs of leasing or purchasing retail space, sales staff costs, training, business trips, telephones, commissions, advertising, stock storage, etc.). The evaluation of direct distribution channels shows that they are not always a cheaper solution, because the integration of production and distribution in one company generates additional costs.

Intermediate channel consists of the manufacturer, intermediaries and final buyers. An intermediary in the distribution channel is a natural or legal person who helps transfer the ownership of the product to the final buyer. Intermediaries, according to the criterion of their participation in the flow of ownership, are divided into:

- intermediary merchants who take over ownership of the products (importers, wholesalers, retailers);
- intermediaries-agents who do not buy products but try to link purchase and sale transactions (agents, brokers).

The share of individual intermediaries in the distribution of export products depends on the sum of the benefits they provide to suppliers and recipients. Intermediaries in the distribution channel perform the following functions:

- transactional – they deal with negotiating the terms of export contracts, concluding sale and purchase transactions, and transferring ownership title;
- logistics – deal with ordering products, organizing deliveries, storage, sorting, transport, customs clearance;
- auxiliary – collect market information, examine demand, settle and credit export transactions.

Indirect distribution channels dominate consumer product markets, especially the food market. The tasks of intermediaries in these channels include transforming the production assortment into a commercial assortment, ensuring continuity of sales and freedom of choice of goods to buyers, offering them products in conveniently located outlets. Indirect channels also occur in the service market. This is determined by their immaterial nature, lack of storage and transport requirements, poor susceptibility to standardization and the personal nature of their provision. Indirect channels occur to a lesser extent in the industrial product market. Intermediaries are primarily agents and wholesalers called distributors. The advantages of indirect distribution channels can be identified by determining the benefits that the exporter gains from the involvement of intermediaries. Using intermediaries in export:

- increases market penetration and potential product sales;
- facilitates the exporter's expansion into new, previously unserved markets;
- reduces the number of transactions with end buyers, which lowers distribution costs;
- allows you to benefit from the intermediary's specialization;
- it frees the exporter from incurring costs related to finding buyers, building its own sales network, employing sales staff, and maintaining inventories;
- reduces the exporter's risk by part of the liabilities transferred to the intermediary;
- releases the exporter from performing activities aimed at adapting the products to the needs of the final buyer (e.g. packaging).

The disadvantages of indirect distribution channels in export include:

- partial or complete loss of direct control over the selection of final buyers, prices, promotions, after-sales service, quality of customer service;
- extended payment period, which means crediting the intermediary;
- greater possibility of conflicts arising;
- negative consequences resulting from the intermediary's failure to fulfil its obligations, ignoring the exporter's expectations, low qualifications of sellers, etc.

## **Conclusions**

At the company level, export marketing strategies are most often described as forms of entry into a foreign market in a marketing context, conditioning the long-term activity of the company in a given market. Export marketing strategies are also defined as „ways of fulfilling the company's market intentions in the target market, which should ensure effective allocation of resources and implementation of coherent marketing activities in order to achieve the goals of the company as a whole in a given market or in the context of a specific product". The chosen export marketing strategy determines the methods and possibilities of controlling the company's marketing operations conducted outside the country's borders. In practice, we understand the export marketing strategy as a carefully selected set of activities by which the company wants to achieve its strategic goals in new markets. The goals may concern introducing goods or services to them, increasing the company's share in a given market, increasing profits and/or

building a positive image of the company. Considering the attractiveness of the market and their competitive position, companies adopt one of three export marketing strategies: expansion, selective development or exploitation and withdrawal. The choice of the right export strategy will determine the market success and the long-term development prospects of the company. The key issue is not whether the company should enter foreign markets, but how and when to take the first step. As the Chinese proverb says: Even the longest journey begins with a single step.

Context Marketing – providing content tailored to the expectations of potential buyers at the right time, through the right channel. Export marketing strategy – the process of defining long-term goals and intentions of the organization and adopting directions of action, as well as allocating resources necessary to achieve these goals. Export marketing strategy should be an element of the company's development strategy describing the goals, position and capabilities of the company on the domestic and foreign markets, each of the company's goals is related to gaining an advantage over the competition. The more advantages, the greater the chance of implementing the strategy and export success. Export marketing strategy is a catalog of activities that condition and make export success probable, it describes the process of gaining an advantage over the competition consisting in offering contractors more favorable conditions for purchasing goods and services. Advantages over competitors are primarily related to price, quality, delivery terms and conditions, guarantees, service, etc. Export marketing strategy is also a set of professionally selected tools and methods for gaining competitive advantage in a given period, taking into account the potential and market phenomena, facilitates the optimization and monitoring of managerial decisions, enables monitoring and evaluation of processes related to the implementation of export. Export marketing strategies based on contracts do not require a large involvement of capital resources, because they are based on long-term agreements with foreign partners, covering various forms of cooperation. It is worth remembering that contract strategies also include the possibility of selling licenses and management contracts. Export marketing strategies requiring capital involvement include:

- organization of own sales network on the foreign market;
- merging enterprises into mixed companies (joint ventures) with the intention of conducting joint operations;
- foreign direct investment (FDI).

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## ECONOMIC DETERMINANTS OF INTERNATIONAL ENTREPRENEURSHIP – GLOBALISATION AND GLOBAL BUSINESS

### *Ekonomiczne uwarunkowania przedsiębiorczości międzynarodowej – globalizacja i biznes międzynarodowy*

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#### **Streszczenie**

*Przedsiębiorczość to określona cecha działania zmierzającego do zapewnienia racjonalnej i efektywnej koordynacji zasobów gospodarczych firmy. W praktyce pojęcie przedsiębiorczości należy rozumieć jako formę pracy lub jako dodatkowy czynnik produkcji. Główne cechy działania przedsiębiorczego to skłonność do ryzyka i umiejętność dostrzegania nisz rynkowych i zaspokajania popytu, a także zdolność do wykorzystywania nadarzających się okazji. W tym kontekście przedsiębiorczość należy traktować w ujęciu innowacyjnym. Innowacje w przedsiębiorczości to istotny czynnik sukcesu rynkowego, szczególnie w warunkach globalizacji internacjonalizacji procesów biznesowych. O przedsiębiorczości można mówić w wymiarze zarówno procesu działań ukierunkowanych na tworzenie czegoś nowego (modyfikowanie, zmiana itp.) poprzez podjęcie określonego ryzyka oraz zdolność do wykorzystywania pomysłów (okazji itp.), jak i pewnego zespołu cech osobowych (dynamika w działaniu, aktywność, innowacyjność, skłonność do ryzyka itp.).*

**Słowa kluczowe:** ekonomia międzynarodowa, globalizacja, przedsiębiorczość międzynarodowa, biznes międzynarodowy efektywność, procesy biznesowe

## **Summary**

Entrepreneurship is a certain feature of activity aimed at ensuring rational and effective coordination of economic resources of the company. In practice, the concept of entrepreneurship should be understood as a form of work or as an additional factor of production. The main features of entrepreneurial action are a willingness to take risks and the ability to see market niches and meet demand, as well as the ability to take advantage of opportunities. In this context, entrepreneurship should be treated in terms of innovation. Innovation in entrepreneurship is an important factor of market success, especially in conditions of globalization and internationalization of business processes. Entrepreneurship can be talked about in terms of both a process of actions aimed at creating something new (modifying, changing, etc.).

**Key words:** international economics, globalisation, international entrepreneurship, international business, efficiency, business processes

## **Introduction: International trade - globalization and the entrepreneurial process**

The issue of international trade is undoubtedly one of the most important foundations of contemporary internationalization and globalization processes. However, before they appeared, other events had to take place, the cumulative effects of which led to the formation of today's structure of the world economy understood as a specific system of connections between the main actors of international economic relations, i.e. international organizations, states and enterprises / corporations. Therefore, before starting the analysis of current problems, it is worth making a synthetic indication of the most important issues in modern economic history related to the issues of international trade. Man as an economic being, motivated to act by his needs, constantly strives to satisfy them. According to the concept of homo oeconomicus, which is fundamental to microeconomics, people rationally strive to maximize their own satisfaction (also recognized in terms of utility) and achieve it using solutions that are optimal from the point of view of rationality. Exchange (however it took place – on the basis of barter or through money) made it possible to obtain the desired goods. At the same time, it became a factor stimulating specialization, without which it would not be possible to increase production and, consequently, also the number of purchase and sale transactions. Thus, the larger and more diversified supply of new goods created new needs, which translated into a steadily growing demand, which stimulated further growth in production and the exchange itself. Exchange (however it took place - on the basis of barter or through money) made it possible to obtain the desired goods. At the same time, it became a factor stimulating specialization, without which it would not be possible to increase production and, consequently, also the number of purchase and sale transactions. Thus, the larger and more diversified supply of new goods created new needs, which translated into a steadily growing

demand, which stimulated further growth in production and the exchange itself. Exchange (however it took place – on the basis of barter or through money) made it possible to obtain the desired goods. At the same time, it became a factor stimulating specialization, without which it would not be possible to increase production and, consequently, also the number of purchase and sale transactions. Thus, the larger and more diversified supply of new goods created new needs, which translated into a steadily growing demand, which stimulated further growth in production and the exchange itself<sup>1,2,3,4,5,6</sup>.

Any country with a market economy cannot pursue a closed economy without participating in the international division of labor (without international specialization and cooperation). The most essential element of the international division of labor is foreign trade, i.e. international national exchange. Trade in goods and services between countries has a major impact on the health of the world economy. It is the situation on the global market that determines the wealth or poverty of many millions of people. international is the total value of exports and imports to individual countries, often the term is used interchangeably with the term: foreign trade. International trade is an important factor dynamizing the overall economic development, it ensures a constant supply of the necessary raw materials, agricultural produce, cooperative goods and technology. The basic forms of cooperation with foreign countries are trade in goods (import, export, re-export) and the so-called “Invisible turnover” (tourism, transport services, postal and telecommunications services, loans). The comparison of the value of exports and imports is the country’s trade balance. The balance sheet with the invisible turnover is the country’s balance of payments.

## **International trade**

International trade despite the progressing globalization, it is still one of the main links between the economies of individual countries and the world economy. Therefore, the knowledge of the laws and rules in force in this trade over the centuries is of great importance for understanding the mechanisms that encourage growth and stimulate economic development today. International trade makes it possible to use more factors of production and to produce and consume more goods and services. Why do countries trade with each other? The answer seems to be real! Countries trade to obtain products and inputs that they themselves cannot and cannot produce.

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<sup>1</sup> P. Czubik, *Free trade in goods. International law foundations of commercial regionalism*, Kantor Wydawniczy Zakamycze, Kraków 2002.

<sup>2</sup> A. Gwiazda, *Globalization and regionalization of the world economy*, Adam Marszałek Publishing House, Toruń 2000.

<sup>3</sup> C. Jean, *Geopolitics*, Zakład im. Ossolińskich, Wrocław 2003.

<sup>4</sup> J. Sołdaczuk, *History of international trade*. Zarys, Private University of Economics, Warsaw 1995.

<sup>5</sup> J. Rymarczyk, M. Wróblewski, *Non-European integration groups*, Oficyna Wydawnicza Arboretum, Wrocław 2006.

<sup>6</sup> W. Malendowski, C. Mojsiewicz, *International Relations*, Atla 2 Publishing House, Wrocław 1998.

But this answer only reveals a glimmer of reality! Of course, some goods and production factors are physically unattainable, e.g. in Poland we do not have conditions for growing coffee or tea. If we want this good, we have to import them. The absolute benefits are that a country is more efficient at producing a given good than another country. The comparative advantage is that one country can produce a given good at a lower opportunity cost than another country. Countries that trade with each other export those goods in the production of which they have comparative benefits and thus gain benefits. Each country makes purchases at a lower price than what it would have to pay if it produced the good itself. Countries have more products due to international trade than if they produced both at home. International trade therefore benefits both sides that one country can produce a given good at a lower opportunity cost than another country. Countries that trade with each other export those goods in the production of which they have comparative benefits and thus gain benefits. Each country makes purchases at a lower price than what it would have to pay if it produced the good itself. Countries have more products due to international trade than if they produced both at home. International trade therefore benefits both sides that one country can produce a given good at a lower opportunity cost than another country. Countries that trade with each other export those goods in the production of which they have comparative benefits and thus gain benefits. Each country makes purchases at a lower price than what it would have to pay if it produced the good itself. Countries have more products due to international trade than if they produced both at home. International trade therefore benefits both sides Countries have more products due to international trade than if they produced both at home. International trade therefore benefits both sides Countries have more products due to international trade than if they produced both at home. International trade therefore benefits both sides<sup>7,8,9,10,11,12</sup>.

Until recently, it was traditionally perceived as the domain of large corporations. It is the international expansions of American, European and Japanese giants that have led to the incredible concentration of global economic potential. A global enterprise is one that sells its products and services worldwide, has an international sales network and production equipment that enables it to gain a competitive advantage through the use of operational scale and technology across the globe. Today, the 800 largest non-financial companies in the world make up approx. 50 percent. world

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<sup>7</sup> D. R. Kamerschen, R. B. McKenzie, C. N. Nardinelli, *Ekonomia*, Economic Foundation of NSZZ "Solidarność", Gdańsk 1991, p. 853-876.

<sup>8</sup> D. Begg, S. Fischer, R. Dornbusch, *Ekonomia*, PWE, Warsaw 1992, p. 382-412.

<sup>9</sup> S. Duda, J. Kuśpit, H. Mamcarz, A. Pakauła, H. Żukowska, M. Żukowski, *Outline of Economics*, UMCS, Lublin 2003, p. 313-332.

<sup>10</sup> R. McConnell, *Economics*, McGraw-Hill Book Company, New York 2000, p. 831-893.

<sup>11</sup> P. A. Samuelson, W. D. Nordhaus, *Economics*, McGraw-Hill Book Company, New York 2000, p. 831-856.

<sup>12</sup> M. Rynarzewski, A. Zielińska-Głębocka, *International economic relations, Theory of exchange and foreign trade policy*, PWN, Warsaw 2006, p. 231-257.

GDP. They account for 60 percent. global stock market capitalization<sup>13</sup>. The revenues of the 500 largest companies have fluctuated around 40 percent in recent years (2017-2019). the production value of the entire global economy. The development of a free market economy, capital markets and the gradual removal of barriers to international trade helped the companies to build a global power. After the collapse of the Soviet bloc, the pro-market transformation of China and the end of many undemocratic regimes from the Third World, the free market became the basic models for the functioning of countries in the world. When looking for money for investments, both for acquisitions of competitors and innovations, companies went to the stock exchanges. The basic goal of the company's operation, generating profit, has been multiplied in this way – investors in the capital markets expect a constant, long-term improvement of the condition of the company in which they invest. So, above all, growing revenues and stable profits. This prompted companies to look for, inter alia, ways to reduce costs, and free trade enabled them to search for them on a global scale (relocation of production, global logistics, tax optimization, etc.). The larger the scale of operations, the greater the chances of maintaining stable profits. International corporations continue to develop dynamically, constantly taking over smaller competitors. The number of companies listed on Wall Street has been declining for 20-30 years, while average stock market capitalization has been growing faster than the economy.

For example, there is a consolidation of companies from the same industry or related industries (e.g. in the pharmaceutical industry Ciba-Geigy and Sandoz, GlaxoWellcome and SmithKline Beecham, food – Bestfoods and Unilever, telecommunications – Ameritech and SBC), but intersectoral connections with with the goal of creating global multimedia companies (combining “classic” media and the Internet, such as America OnLine and Time Warner or Vodafone Air Touch and Mannesman). The success of the merged companies is primarily determined by technological competences, the level of innovation and management. Therefore, one may be tempted to say that the contemporary processes of internationalization and globalization of the economy are guided by the largest corporations.

There is no relief, therefore, of the doubts that globalization leads to the realization, for the first time in the history of mankind, of the principle of economic liberalism, which states that everything can be produced and sold anywhere in the world, and that it is possible to perform every component and every activity in a place on the globe where you can do it the cheapest, and you can also sell it where the price and profit are highest. This leads to a progressive internationalization of production and service capital and the expansion of cross-border enterprises, especially transnational corporations. This process takes place in conditions of fierce competition for the location of management, capital and production centers<sup>14</sup>. There is also a lack of a world center of power that could regulate and influence both the management of corporations and the social and economic activity of states. Hence the awareness that

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<sup>13</sup> <https://www.rp.pl/Plus-Minus/303029949-Koncerny-silne-jak-panstwa-Kto-rzadzi-swiatem.html>.

<sup>14</sup> G. Stonehouse, J. Hamill, D. Campbell, T. Purdie, *Globalization. Strategy and Management*, Felberg SJA Publishing House, Warsaw 2001.

corporations should take greater responsibility for the social and economic effects of their activities<sup>15</sup>. At the same time, the long-term process of regional and global economic integration as well as the requirements of contemporary competition on international (global) markets force companies to establish various forms of international cooperation based on common goals and to create 206 international teams. The aforementioned integration processes occur most often in horizontal and vertical relations between enterprises. The horizontal integration contributes to the achievement of the economies of scale of market power, and the vertical integration increases the security of supply with production factors and sale of products<sup>16</sup>.

State management in modern times is a constant struggle to balance revenues and expenses. Education, healthcare, police, army – everything costs dearly. Virtually every country in the world has to deal with a budget deficit from time to time.

For most countries, it is a permanent state. Even in affluent Europe, a surplus is rare – last year only Germany, Luxembourg and Estonia were positive among the EU countries. However, the surpluses of the latter two small countries were symbolic. Germany, considered to be the Croesus of Europe, has been down by 2.1 percent on average over the last 20 years. GDP<sup>17</sup>. The 3% deficit threshold is considered critical for the long-term sustainability of public finances. GDP, and enshrined in EU treaties as the maximum, is regularly exceeded by a group of six to eight countries, including Poland. We are in good company – with France, Great Britain and Spain. In other words, states still need money to meet their obligations to their citizens. The situation is completely different in the case of companies that do not have social obligations. The world's 500 largest companies had \$ 1,5 trillion in 2015. profit. Almost 250 times more than Berlin's budget surplus last year. Their revenues were almost 20 times higher than the revenues to the German state treasury. To finance deficits, states get into debt. Various estimates show that approx. 30-40 percent. from \$ 60 trillion the debts of all countries in the world are in private hands, mainly financial institutions. So, in a sense, states have become permanently dependent on corporate money.

Concerns are able to use their economic advantage in contacts with states. Their investments usually mean thousands of jobs. Politicians who sit down with them to negotiate are well aware that attracting a wealthy investor will be treated as their success. After all, the families of those who found work are potential voters. A politician has to be popular. Corporations have soft blackmail. Building a factory in a given country often depends on meeting certain conditions. It is most clearly visible in automotive investments. For over a dozen years, the Czech Republic, Poland, Slovakia and Hungary have been competing for money from investors in this industry. In each case, national governments and local authorities bore the costs of building infrastructure, long-term tax breaks, and even direct state aid. A spectacular example from recent years is the investment of Tata Motors, which is building a factory in

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<sup>15</sup> C. L. Pearce, J. A. Maciariello, H. Yamawaki, Drucker Heritage, Wolters Kluwer Publishing House, Warsaw 2013.

<sup>16</sup> A. K. Koźmiński, International Management, Polish Economic Publishing House, Warsaw 1999.

<sup>17</sup> World Investment Report, 2001-2018, UNCTAD, United Nations, New York and Geneva.

Slovakia. Its value is about PLN 7 billion. During the negotiations, Poland reportedly offered around PLN 350 million in support. However, it turned out to be too little and the Indians chose the Slovak Nitra. The pinnacle of how the corporate world can influence the state was the collapse of Berlusconi's government in Italy. It was widely believed that it was due to a vote of no confidence in the financial markets. One of the most serious confrontations between corporations and states is taking place right before our eyes. The announcements of the imposition of punitive duties on the goods of American companies manufactured outside the US, Washington's withdrawal from the signed free trade agreements, and the controversial ban on the entry of citizens of seven countries to the United States arouse business concern overseas. Donald Trump exerts direct pressure on corporations, forcing them to change their business strategies, or face rather vague consequences.

Five global tech companies – Google, Apple, Facebook, Twitter and Microsoft – even sent a letter to Trump in which they suggested finding a way to deal with the influx of potential terrorists other than banning all nationals of the countries from entering the US. Uber CEO Travis Kalanick, one of Trump's advisers, even had an interview with him on the subject. However, the president's idea was also criticized by the presidents of Tesla, Amazon and Adobe. Many of them emphasized that America is a country built by immigrants, who were also their ancestors. Regardless of who is right in this dispute, such a collective protest of companies against immigration policy, which is, after all, the domain of states, is a rarity. Especially that the most frequently used form of pressure is various types of lobbying. It is sanctioned in the USA and the European Union. Last year, over 11,000 were registered in Washington. lobbyists. In the peak year of 2007, just before the outbreak of the financial crisis, there were 14,8 thousand of them. Officially recorded lobbying expenditure is over \$ 3 billion. annually. In Brussels, they are estimated at around EUR 1 billion a year. Open and hidden lobbying is possible thanks to the increasing interpenetration of business and politics. A certain level of competence regarding the functioning of the economy and the world of finance is impossible to achieve without business experience. The more that it means extensive contacts, currently popular networking, so important in today's career-oriented times. The positions of economic and financial ministers in developed countries are usually occupied by people who have had a successful career in large corporations. The most spectacular example is the function of the American secretary of the treasury, which for decades has not been performed by anyone who has not worked for financial institutions. In her case, the Goldman Sachs investment bank is the source of human resources for the White House. This bank contributed significantly to the recent financial crisis in the US, as evidenced by, for example, last year's agreement with the Department of Justice worth \$ 5,6 billion. Paradoxically, the former president, Henry Paulson, who worked for 30 years for Goldman, as the secretary of the treasury, had to extinguish the fire caused by his institution. And the fire was extinguished mainly by "printing dollars", that is, at the expense of the federal government. However, this did not prevent Trump from appointing another former Goldman banker – Steve Mnuchin.



There are visible attempts by corporations to insert their representatives into the democratic system. Sooner or later, such a man will represent the corporation, he emphasizes, and points out that the United States is no exception. Similar pathologies are seen in various European countries. In Europe, the most famous of them was the fact that Gerhard Schroeder took up a high position in the council of Nord Stream, controlled by Gazprom, years ago. Until the end of his term of office, the former German chancellor lobbied for the construction of the Nord Stream gas pipeline, an investment for which his government provided a EUR 1 billion guarantee. Former European Commission president Jose Manuel Barroso joined Goldman Sachs International's board last year, just two months after his 18-month ban on corporate positions ended. Mario Monti, former EU internal market and competition commissioner and former Italian prime minister, has already been an official advisor to both Goldman Sachs and Coca Cola. He is also a member of the Bilderberg Group, considered by fans of conspiracy theories as an institution unofficially governing the world. His successor as the EU commissioner, Neelie Kroes, worked, among others for Merrill Lynch, McDonald's and Lucent telecommunications concern. Last year, the International Consortium of Journalists revealed the so-called Panama Papers, which showed that, simultaneously with serving in the European Commission, Kroes was the president of Mint Holdings, a company registered in a tax haven in the Bahamas. EU law prohibits combining the function of a commissioner with any other director position. Kroes explained that she was "overlooked". It is more and more difficult to imagine someone who has been a politician throughout his career. This is due to, among other things, the dictate of money, manifested in the domination of large companies on the labor market. It is international corporations that extract the strongest brains from universities. they are only economists and lawyers.

The scale of the corporation's operation, the costs they are willing to incur in the name of future profits, make them able to guarantee high earnings and career paths leading to life well-being for the best. In the long run, states are unable to compete with them. Concerns are also able to pay enormous money for names, often made in the political arena. It has been accepted that politicians also have to work somewhere. So it is more and more difficult to determine whose interests they represent. In the most economically developed countries, politics is slowly becoming the domain of fans of power, fame, people who want to use several years of presence in the government to find a highly paid job or still idealists. The monopoly on the best minds translates into domination in particular areas of knowledge. These are not only the aforementioned finances and broadly understood economics. – Corporations have dominated recently mainly in the field of technology, influencing societies. States have little influence in these areas. Corporations deal cards in industries such as transport, medical technology, and IT. And these are the areas that structure the life of the planet in the next decades. The biggest concerns in the world are technology companies. The same ones that have recently challenged Trump's policies. And without technical knowledge, it is not only difficult to understand the modern world, but also increasingly difficult to live in it. – By slimming, governments got rid of

technical knowledge. Therefore, when it comes to technical issues, contacts between states and corporations are becoming more and more difficult. Some countries want to reverse this trend. Until now, the guardians of citizens' security were states, having a monopoly on the coercive apparatus – be it in the form of the police or the army. They collected information about us necessary, for example in civil and legal relations – address of residence, date of birth, marital status and many others. The digital revolution has completely changed the conditions of the game. It is technology companies that collect gigantic amounts of data about us. They know the most about our preferences or behaviors. They also often come into possession of personal data. For years, Facebook forced the owners of profiles to use their own names on the portal. Those who did otherwise were kicked out of this community. At the same time, the company tried to obtain data that would allow it to expand the profile – from the date of birth to the telephone number. Due to technology, legislation that tries to cover, for example, civil rights is delayed by up to several years. Seems, that the advantage of knowledge, talent and economic power lies with the concerns. Corporations also seem to be more efficient organizations than governments. – Their decision-making process is much faster – says Eryk Mistewicz. Compared to nation states, corporations are more creative. They quickly put their decisions into effect. They have less resistance because they operate under less social control than in the case of states.

The higher efficiency is also, to some extent, due to technology. Concerns not only collect a lot of information, but are also able to quickly process and analyze it. Adding to this the communication revolution that we have witnessed for two decades, mainly due to the Internet, managing large organizations has become easier. The Internet enables remote management, while data analysis speeds up the decision-making process. As long as you have the resources to do so. Thanks to technologies, it is also easier to manage such a large company. This made it profitable to integrate larger and larger companies. It's not that corporations don't have their weaknesses. The most important thing is impermanence. The existence of states is interrupted by wars, the lives of companies do not keep up with the market. The latter is much more common. Capitalism is changing a lot. Not all companies are able to adapt to this efficiently. The ground under their feet is also burnt for corporations from time to time. Their power depends on the consumers who buy their goods. In addition, corporations, apart from pathological price collusion, do not cooperate with each other so willingly. For this to be the case, they must have a common business goal, and often they are just competitors. They rarely work together because they usually have conflicting interests. The interests of Facebook and Google are usually conflicting. Who will be the winner in this century-long test of strength? Recent years have seen an ever stronger awakening of nation states. Contestation of globalism, and thus global business, has moved from the debates and protests of anti-globalists to the level of real politics. Under pressure from groups of citizens who consider themselves excluded from the race for prosperity, politicians are increasingly promoting isolationist slogans. This is favored by the growing stratification of income - in a system in which it is easier to multiply capital than build it on income from work, the wealthiest 10 percent.

societies get richer faster than the remaining 90%. And most of the revolutions in human history, both bloody and bloodless, have been caused by a sense of economic harm. Almost sure Brexit, that is, the exit of Great Britain from the European Union, the possibility of Frexit, i.e. the identical situation in France, harsh criticism of international trade from its largest player and beneficiary, i.e. the United States, are the results of the awakening of national interests. They are in conflict with the interests of international companies. However, they were coupled with the interests of states. Less international trade cooperation means not only lower corporate profits, but also a deterioration in the fiscal position of many countries. They also benefit from this trade They are in conflict with the interests of international companies. However, they were coupled with the interests of states. Less international trade cooperation means not only lower corporate profits, but also a deterioration in the fiscal position of many countries. They also benefit from this trade They are in conflict with the interests of international companies. However, they were coupled with the interests of states. Less international trade cooperation means not only lower corporate profits, but also a deterioration in the fiscal position of many countries. They also benefit from this trade<sup>18</sup>. The current legal status of concerns neither reflects social needs nor their global status. The only right way seems to be to create the status of a company that takes into account the social responsibility of companies, as well as responsibility for the inventions they introduce, their social effects, and even the pricing policy. Due to their market position, in many cases they offer goods that can be called public goods. The alternative, in his opinion, is corporate erosion. The current paradigm of running a business is coming to an end. The fiscal pressure from states on these enterprises is high at present. As of this year, Brussels requires large corporations based in Europe to disclose the exact structure of their business. So far, we knew as much about these concerns as they revealed to us in their financial reports – he adds<sup>19</sup>.

### **The essence and concept of international business and international entrepreneurship**

At the end of the 1980s, scientists turned their attention to international entrepreneurship and small and medium-sized enterprises competing on the international and even global market. Already at the very beginning of the analysis of the literature on the subject, a problem can be identified with an unambiguous definition of international entrepreneurship. In most cases, it is derived from the definition of entrepreneurship itself. Then, the following directions of undertaken research can be defined. Why, how and by what means do companies cross national borders? What are the characteristics of individual enterprises? What are the patterns of entering

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<sup>18</sup> More: T. Kaczmarek, J. Królak-Wewińska, *International Trade: Risk Management*. Financial settlements, Wolters Kluwer, Warsaw 2008.

<sup>19</sup> P. H. Dębiński, *Economic and Financial Globalization. What the Numbers Say*, Observatoire de la Finance, Geneva 2003.

foreign markets? How do connections and networks affect entering the foreign market?<sup>20</sup>. A lot of research and scientific publications have been devoted to new forms of international entrepreneurship defined in foreign literature as: born globals, born internationals or international new ventures. Despite the progress made in scientific work in the field of international entrepreneurship, many authors say that there is a need for further research<sup>21,22,23,24,25,26,27,28,29,30,31,32,33,34,35</sup>.

The concept of entrepreneurship does not have a single definition, but nevertheless, with various attempts to create it, the economic dimension is most often revealed. J. M. Dollinger defines entrepreneurship as creating innovative business units or networks of organizations to achieve benefits or growth under conditions of risk and uncertainty. On the other hand, F. Blawat writes that entrepreneurship is one of the factors that allow one person or enterprise to operate more effectively.

International Business (BM) is characterized by a multifaceted approach to empirical phenomena. The main areas of analysis are: the activities of individual managers, enterprises, the sector and the entire environment. Each of them is characterized by

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<sup>20</sup> M. Hofman-Kohlmeyer, International Entrepreneurship in the Light of Scientific Research - Literature Review, "Economic Studies. Scientific Papers of the University of Economics in Katowice" 2018; 352.

<sup>21</sup> S. Andersson, International Entrepreneurship, Born Globals and the Theory of Effectuation, "Journal of Small Business and Enterprise Development" 2001; 18(3): 627-643.

<sup>22</sup> M. Angelsberger, S. Kraus, A. Mas-Tur, N. Roig-Tierno, International Opportunity Recognition: An Overview, "Journal of Small Business Strategy" 2017; 27(1): 19.

<sup>23</sup> A. Al-Aali, D. J. Teece, International Entrepreneurship and the Theory of the (Long-Lived) International Firm: A Capabilities Perspective, "Entrepreneurship Theory and Practice" 2010; 38(1): 95-116.

<sup>24</sup> I. Allen, International Entrepreneurship Theory: Past, Present and Way Forward, "Entrepreneurial Business and Economics Review" 2016; 4(4): 93.

<sup>25</sup> N. Daszkiewicz, Internationalization of Firms through Networks-Empirical Evidence from Poland, "International Entrepreneurship and Corporate Growth in Visegrad Countries" 2001; 57: 70-81.

<sup>26</sup> N. Daszkiewicz, Determinants of the pace of internationalization of enterprises with particular emphasis on born globals, "Studia Ekonomiczne" 2016; 271: 7-16.

<sup>27</sup> E. Duliniec, Early internationalized enterprises – conditions and development, "Gospodarka Narodowa" 2011; 5-6: 1-20.

<sup>28</sup> E. Duliniec, Theoretical views of early and rapid internationalization of enterprises, "Gospodarka Narodowa" 2013; 21(1-2): 31-52.

<sup>29</sup> M. Gabrielsson, V. Sasi, J. Darling, Finance Strategies of Rapidly-Growing Finnish Smes: Born Internationals and Born Globals, "European Business Review" 2024; 16(6): 590-604.

<sup>30</sup> G. Gołębowski, Entrepreneurship in Poland in the light of the Global Entrepreneurship Monitor research, "Studia BAS" 2014; 1: 9-25.

<sup>31</sup> M.V. Jones, N. Coviello, Y. K. Tang, International Entrepreneurship Research (1989–2009): A Domain Ontology and Thematic Analysis, "Journal of Business Venturing" 2014; 26(6): 632-659.

<sup>32</sup> M. Ratajczak-Mrozek, Network approach to internationalization of enterprises, "Marketing i Rynek" 2009; 3: 7-11.

<sup>33</sup> A. Salamzadeh, D. A. Kirby, New Venture Creation: How Start-ups Grow?, "AD-minister" 2017; 30: 9-29.

<sup>34</sup> K. Wach, Familiness and Born Globals: Rapid Internationalization among Polish Family Firms, "Journal of Intercultural Management" 2014; 6(3): 177-186.

<sup>35</sup> S. A. Zahra, A Theory of International New Ventures: A Decade of Research, "Journal of International Business Studies" 2005; 36(1): 20-28.

great diversity. Nowakowski states that international business includes transactions that are designed and made across national and cultural borders in order to meet the needs of individual buyers, enterprises and organizations<sup>36</sup>. It can be presented as a field in which several overlapping and partially complementary disciplines are outlined. These are: international management, international marketing, global marketing (as a subsystem of international marketing) and international finance. Shenkar defines BM as an area where general knowledge of how to do business in the international market is combined with regional know-how. Both components create a specific “knowledge platform” based on theoretical foundations and difficult to follow. General knowledge relates to such fundamental issues as international institutions, trade agreements, regional organizations, etc. As far as regional know-how is concerned, it relates to the cultural, religious, political and economic conditions of individual countries, regions. BM allows you to explain the behaviour of enterprises on local markets, taking into account the conditions just mentioned – which is an extremely important ability. Griffin and Pustay indicate that international business involves economic transactions concluded between entities from more than one country<sup>37</sup>. Examples include the purchase of materials and their delivery to a foreign recipient for use in production processes, delivery of finished products from one country to another for wholesale, launching an enterprise outside the country due to lower labor costs, etc. these types of transactions can be individuals, private companies, corporate groups or government agencies.

Ball and McCulloch draw attention to an important circumstance accompanying international business<sup>38</sup>. Namely, they emphasize that a company operating across borders must cope and be able to move in three environments - in the domestic environment of the country of origin, in the foreign environment of the country of expansion, and in the international environment. Gorynia proposes that the notion of international business in the broad sense of the word define all types of economic activity, provided that they take place between states, regardless of whether the relations concern states as a whole, industries, sectors, regions, consumers, entrepreneurs and regardless of whether they are real or regulatory relations<sup>39</sup>. Based on the cited definition, it states that the presence of the “international element” is the distinguishing feature of international business against the background of all economic activity. The definition proposed by Gorynia seems to be the broadest of the ones quoted above. Its advantage is drawing attention to both the real and regulatory aspects of the activities that make up international business.

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<sup>36</sup> M. Nowakowski, *International Business. From internationalization to globalization*, SGH, Warsaw 2015, p. 19.

<sup>37</sup> R. W. Griffin, M. W. Pustay, *International Business. A Managerial Perspective*, Pearson Prentice Hall, New Jersey 2007, p. 5.

<sup>38</sup> D. Ball, W. H. McCulloch, *International Business - Introduction and Essentials*, Addison-Wesley Publishing Company, New York 1991, p. 13-14.

<sup>39</sup> M. Gorynia, *On the classification of sciences dealing with international economic activity*, [in:] *Globalization and regionalization in the world economy. Jubilee book of Professor Jan Rymarczyk*, B. Skulska, M. Domiter (ed.), Warsaw 2012, p. 45.

One should remember about the scale and course of globalization processes and about the planes on which these processes take place. The first is globalization, and the second is the strong, full of tensions and diversified development of regional integration processes. The aforementioned processes are at the same time fundamental challenges for international business, because entities operating in its environment have to cope with such phenomena as constant technical and technological progress, shortening of the product life cycle, increasing importance of the scale of production and sales, aggravation and emergence of new forms of competition, a huge increase in the importance of research and development and innovation, virtualization of many areas of enterprise activity and business communication<sup>40</sup>. Another issue that should be clarified here is the specificity of international business compared to business in general and / or domestic business. There is considerable agreement in the literature that despite many obvious similarities, the activity on the domestic (domestic) market differs significantly from the activity on foreign markets. Shenkar and Luo fall into two groups of differences between domestic and international business<sup>41</sup>:

- diversification and dynamics of the business environment – means that international activity is burdened with a higher risk;
- differences of an operational nature – which requires having specific competencies at both the operational and management levels.

On the other hand, Griffin and Pustay argue that the main difference between domestic and international business is that economic transactions carried out within the BM cross national borders. But there are other significant differences, among which it is worth pointing out the fundamental ones<sup>42</sup>:

- Countries involved in economic transactions on international markets may use different currencies, which affects the profitability and safety of operations.
- The legal systems of countries are different, which forces foreign entities to adapt their activities to local law. Sometimes the legal rules of different countries are mutually exclusive, creating problems for international managers.
- The cultural systems of the countries where the transactions are made are different, causing the local partner to expect our behaviour to be adapted to local customs.
- The resource endowment of countries is different. One country may possess natural resources but will have a poorly educated workforce, while another will have an efficient, well-educated workforce, but its natural resources will be poor. As a result, the production processes and types of manufactured products will be different in both countries.

The quoted definitions of international business indicate that this is an area of knowledge in which the main subject of interest are economic transactions carried out on the international market through the prism of individual buyers, enterprises or organizations. In turn, managers operating on this market should professionally

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<sup>40</sup> J. Rymarczyk, *International Business*, PWE, Warsaw 2012, p. 25.

<sup>41</sup> O. Shenkar, Y. Luo, *International Business*, John Wiley & Sons, INC, New Jersey 2002, p. 10-11.

<sup>42</sup> R. W. Griffin, M. W. Pustay, *International Business...* op. cit.

use the conditions offered by the domestic environment, the foreign environment (in the country / countries where the company operates) and the international environment in order to create the value and potential of companies or maximize their profits, and at the same time take into account the higher risk of activity in BM in your calculations<sup>43</sup>.

## **Enterprise globalization**

Enterprise globalization is a multithreaded and complex phenomenon, therefore there are many definitions of this concept. Most authors use it in relation to three elements, such as: – global reach – geographical significance, means an enterprise with its operations all over the world, as opposed to local (national) or regional (several countries) enterprises; – worldwide homogeneity – disappearance of international diversity, means a company selling the same product in all geographic markets served, as opposed to a product adapted to the local specificity; – global integration – the category of dependence and strengthening international ties, means an enterprise that clearly feels the effects of events taking place in other countries, as opposed to the local market<sup>44</sup>. Internationalization and globalization require enterprises to apply various strategies that depend on the structure of the enterprise, the form of activity, and the geographic structure. However, it seems that these processes encourage enterprises to choose an operating strategy based more often on mergers, acquisitions and building strategic alliances with competitors, i.e. choosing an external path of growth and development.

It should be noted that the multinational and global strategy are models of an enterprise's operation in foreign markets with distinct, extreme features. On the other hand, international and transnational strategies are characterized by certain features specific to a global and multinational strategy, which results from their determinants. The transnational strategy results from the strong pressure on costs and local conditions, and the international one from little pressure on both of these factors. In the case of the strategy of internationalization of enterprises, the distinguished types of strategies often appear jointly or their hybrids. Strategies for the development of the international position of the enterprise are classified on the basis of the assessment of products and markets, and the global diversification by means of which the internationalization of enterprises is carried out is related to the diversification of sales markets.

Polish enterprises face a great challenge, which is the internationalization and globalization of their activities. Undoubtedly, taking action in this area gives companies great benefits, such as: reducing costs, especially production costs resulting from economies of scale, improving product quality, gaining trust and strengthening customers' loyalty to the products offered to them by ensuring the highest possible

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<sup>43</sup> B. Drelich-Skulska, The evolution of international business in the era of globalization of the economy, "Economics Of The 21st Century" 2017; 4(16): 4-10.

<sup>44</sup> B. De Wit, R. Meyer, Synthesis of strategy, PWE, Warsaw 2007, p. 311.

(global) availability and improving competitive credibility. It also means enlarging potential sales markets, but also the necessity to compete with enterprises from almost all over the world. Therefore, enterprises are forced to develop and implement an appropriate strategy of international or global activity.

## **International entrepreneurship**

International entrepreneurship is an issue that was first presented by JF Morrow in 1988<sup>45</sup>. Since then, many researchers have started working on this issue, trying to define it in an unambiguous way. WB Gartner described international entrepreneurship as a component of innovation and the creation of organizations analyzed in terms of the process<sup>46</sup>. Kirzner, in turn, drew attention to the use of opportunities that arise in the environment, which was agreed by other researchers on this issue<sup>47</sup> plus risk-taking, freedom and autonomy. Some researchers focused in particular on proactivity and innovation<sup>48</sup>. Miller, along with Lumpkin and Dess, pointed to the importance of aggressive competitiveness in shaping international entrepreneurship<sup>49</sup>. McDougall and Oviatt defined international entrepreneurship as a combination of innovation, proactivity and risk-seeking that cross national boundaries and are focused on creating value in organizations<sup>50</sup>.

The same researchers presented a different definition of international entrepreneurship, additionally highlighting the possibility of building a new organization. Oviatt together with McDougall decided that international entrepreneurship should focus on finding, developing and exploiting the emerging opportunities in the form of future goods and services<sup>51</sup>. Taking into account all the advantages and disadvantages of the definition of international entrepreneurship presented by Oviatta and McDougall, it is accepted by a number of researchers, for example: Frederick, Thompson and Mellalieu, Coviello and Jones, Wiklund and Shepherd, Zhou, Huang and Wang, Tayauova or Jones, Coviello and Tang<sup>52</sup>.

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<sup>45</sup> J. F. Morrow, International entrepreneurship. A new growth opportunity, "New Management" 1998; 3.

<sup>46</sup> W. B. Gartner, "Who is an entrepreneur" is the wrong question, "American Small Business Journal" 1988; 12(4).

<sup>47</sup> H. H. Stevenson, J. C. Jarillo, A paradigm of entrepreneurship: Entrepreneurial management, "Strategic Management Journal" 1990; 11.

<sup>48</sup> L. F. Pitt, P. R. Berthon, M. H. Morris, Entrepreneurial pricing: The Cinderella of marketing strategy, "Management Decision" 1997; 35(5).

<sup>49</sup> Y. H. Li, J. W. Huang, M. T. Tsai, Entrepreneurial orientation and firm performance: The role of knowledge creation process, "Industrial Marketing Management" 2008; 38.

<sup>50</sup> P. P. McDougall, B. M. Oviatt, International entrepreneurship: The intersection of two research paths, "Academy of Management Journal" 2000; 43(5).

<sup>51</sup> B. M. Oviatt, P. P. McDougall, Defining International Entrepreneurship and Modeling the Speed of Internationalization, "Entrepreneurship Theory and Practice" 2005; 29(5).

<sup>52</sup> P. Nowacki, The impact of international entrepreneurship based on cooperation on shaping the competitiveness of an enterprise, doctoral dissertation, UAM, Poznań 2017, p. 22-26.



In the literature on the subject, an issue used interchangeably with international entrepreneurship is entrepreneurial orientation. When describing enterprises and discussing entrepreneurial orientation, researchers attribute to the company the same features as in the case of international entrepreneurship, i.e. innovation, proactivity and a tendency to take risks<sup>53</sup>. One can express the view that companies that intend to adopt an entrepreneurial orientation should start this process with the implementation of internal entrepreneurship. By creating conditions conducive to entrepreneurial initiatives within the company's structures, it becomes easier for the company to adopt international entrepreneurship with all its features.

The list of features attributed by various authors of international entrepreneurship and entrepreneurial orientation is presented in the table below.

**Table 1.** Classification of international entrepreneurship and entrepreneurial orientation according to the characteristics attributed to them by various researchers

| <b>Features of international entrepreneurship and entrepreneurial orientation</b> | <b>Authors</b>   |
|---|--|
| Innovation and proactivity  | L. F. Pitt, P. R. Berthon, M. H. Morris, 1997; P. L. Yeoh, I. Jeong, 1995.   |
| Innovation, risk taking and aggressiveness  | S. F. Slater, J. C. Narver, 2000; A. Caruana, M. T. Ewing, B. Ramaseshan, 2002.  |
| Innovation, proactivity and risk taking   | D. Miller, P. H. Friesen, 1983; J. G. Covin, D. P. Slevin, 1986; P. P. McDougall, 1989; J. G. Covin, J. E. Prescott, D. P. Slevin, 1990; S. A. Zahra, 1991; J. L. Naman, D. P. Slevin, 1993; J. G. Covin et al., 1994; H. Barret, A. Weinstein, 1998; S. A. Zahra, D. O. Neubaum, 1998; K. Chadwick, S. Dwyer, T. Barnett, 1999; P. P. McDougall, B. M. Oviatt, 2000; S. A. Zahra, D. M. Garvis, 2000; C. Lee, K. Lee, J. M. Penning, 2001; S.-Y. Yoo, 2001; B. H. Kemelgor, 2002; P. Kreiser, L. Marino, K. M. Weaver, 2002; L. Marino et al., 2002; F. W. Swierczek, T. T. Ha, 2003; J. Wiklund, D. Shepherd, 2003; N. E. Coviello, M. V. Jones, 2004; P. Dimitratos, P. Lioukas, S. Carter, 2004; H. H. Frederick, J. Thompson; P. J. Mellalieu, 2004; O. C. Richard et al., 2004; J. B. Arbaugh, L. W. Cox, S. M. Camp, 2005; S. N. Bhuian, B. Menguc, S. J. Bell, 2005; D. De Clercq, H. J. Sapienza, H. Crijns, 2005; B. M. Oviatt, P. P. McDougall, 2005a; A. Jantunen et al., 2005; J. Wiklund, D. Shepherd, 2005; J. G. Covin et al., 2006; J. M. L. Poon, R. A. Ainuddin, S. Junit, 2006; A. Rauch et al., 2006; W. Stam, T. Elfring, 2006; L. Zhou, 2007; A. Rauch, M. Frese, 2009; V. K. Gupta, D. Dutta, 2010; S. K. Huang, Y. L. Wang, 2011; |

<sup>53</sup> F. Kropp, N. J. Lindsay, A. Shoham, Entrepreneurial, market, and learning orientations and international entrepreneurial business venture performance in South African firms, "International Marketing Review" 2006; 23(5).

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|---|--|
|   | G. Tayauova, 2011, M. V. Jones, N. E. Coviello, Y. K. Tang, 2011; B. A. George, L. Marino, 2011; A. Brunst, M. Brettel, 2014, H. Etemad, 2015. |
| Innovation, proactivity, risk taking and aggressiveness                       | K. Atuahene-Gima, A. Ko, 2001; G. T. Lumpkin, G. G. Dess, 2001.  |
| Innovation, proactivity, risk taking and autonomy                             | D. F. Kuratko, R. M. Hodgetts, 2001; E. Monsen, 2005.  |
| Innovation, proactivity, risk taking, aggressiveness and autonomy             | G. George, D. R. Wood Jr., R. Khan, 2001; J. Frishammar, S. A. Horte, 2007; I. N. Baker, J. M. Sinkula, 2009; A. Gawel, 2012a.                 |
| Proactivity, risk taking and future orientation                               | P. E. Stetz, 2000.   |
| Proactivity, risk taking, autonomy and freedom                                | H. H. Stevenson, J. C. Jarillo, 1990.  |
| Proactivity, risk taking, aggressiveness and future orientation, conservatism | N. Venkatraman, 1989.  |

Source: P. Nowacki, *The impact of international entrepreneurship based on cooperation on shaping the competitiveness of an enterprise, doctoral dissertation, UAM, Poznań 2017, p. 25-26*

When accepting the above-mentioned aspects of international entrepreneurship, they should be carefully characterized. Researchers wondered about the importance of innovation for international entrepreneurship. Finally, they confirmed the importance of innovation in the theory of international entrepreneurship and its positive impact on the company's results on foreign markets. Innovation is undoubtedly one of the most important factors in international entrepreneurship. The consequence of the high level of innovation is the greater propensity of the enterprise to adopt a proactive attitude and take risks. Therefore, enterprises showing a higher level of innovation than competing companies constitute a point of reference for them. You can also confirm that entrepreneurship and innovation are inseparable issues that together can constitute a source of enterprise competitiveness<sup>54</sup>. The second universal feature considered to be the premise of international entrepreneurship is proactivity, that is, the enterprise's search for various development opportunities in the near future, or the creation of opportunities on its own.

The conditions in which enterprises operate are highly competitive, making it difficult to achieve a sustainable competitive advantage. For this reason, one should rather talk about short-term advantages based on continuous innovation and the introduction of new products or services. A number of aspects, such as internationalization of activities, increased freedom of movement of goods and services and

<sup>54</sup> A. Gawel, The influence of knowledge-based innovation on entrepreneurial outcomes, "International Journal of Transitions and Innovation Systems" 2012; 2(1).

standardization of activities carried out on foreign markets (with the simultaneous need to adapt some elements) have led to a situation in which enterprises, in order to stand out on the market, are looking for new, competitive solutions. Buyers require solutions that will meet their expectations. Because, contrary to the assumed theories about the standardization of buyers' needs, they are more and more individualized, firms need to consider the use of buyers' opinion when introducing new products or services to the market. Additionally, the development of modern devices with mobile Internet access is noticeable, changing the way of communication between entities on the B2B and B2C markets.

## **Globalization and the process of business internationalization**

Globalization it is a feature of the modern stage of development of the world economy, which is less and less like a traditional economy, based on the sum of national economies. It is a completely new quality. Globalization of the world economy means not only a complex and multidimensional process, but also a very complex and variable structure, resulting in the emergence of a “unified” – spatially and economically - world market, integrating many, if not all, countries and regions. Globalization is a sequential process of various forms, which can be considered on specific scales, depending primarily on the territorial range. In the macro scale – it expresses the global perspective and dimension, but also refers to continents, countries and regions, on the meso scale – it applies to branches of the economy and industries, and on the micro scale – to enterprises<sup>55</sup>. The process of globalization in almost all areas of life - in economy, law, education, science, politics, culture, tourism and consumption patterns - has made national economies more interdependent than ever before. It leads to qualitatively new economic ties between individual continents, countries and their regional groupings, as well as markets and enterprises. Globalization is one of the most significant phenomena and processes of our time, creating new opportunities and threats. This is due to its very wide subject scope and multithreading, multidimensionality and complexity of economic, technical, social, cultural and political phenomena covered by this term<sup>56</sup>.

The increasing role of foreign direct investments, the growth of international operations carried out, as well as the change in the perspective of management processes towards their internationalization (internationalization) resulted in the development of interest in international management. A company operating on international markets constantly verifies the effectiveness of management in confrontation with local and regional systems on distant markets that deviate from the systems prevailing on the domestic market. The internationalization of the enterprise has its

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<sup>55</sup> J. Rymarczyk, *Internationalization and globalization of enterprises*, PWE, Warsaw 2004, p. 6-7.

<sup>56</sup> J. Walas-Trębacz, *Globalization - premises and challenges for enterprises operating on international markets [in:] Management of an international enterprise. Integration of diversity*, J. W. Wiktor (ed.), CH Beck Publishing House, Warsaw 2017, p. 11.

decision-making beginning based on the enterprise development strategy. There are a small number of enterprises in general that have been internationally located since their inception – the “born global” enterprises. Organizations involved in international business operate in many locations around the world, from which they obtain resources by selling products, and therefore in their activities they come into contact with many cultures. It should be emphasized that international business is mostly carried out by large corporations, as well as by small enterprises of the “born global” type. The vast majority of enterprises start their activities first on the local (or internal) market and, depending on the success of their activity and competitive position, aspire to internationalize their activities. Entrepreneurs, to a large extent, have to respond to the challenges posed by globalization processes. The more and more closely interconnected economies create an opportunity for the functioning of enterprises that make use of cultural conditions.

International business is expanding and the activities of “born global” companies are expanding. It should be noted that global processes are also the sources of emerging problems, and the lack of any reaction from managers to the prevailing opportunities and threats will certainly weaken the competitive potential of the organization on the international arena<sup>57</sup>.

Globalization in its contemporary form and expression is a dynamic, multidimensional, complex and diverse process influenced by both economic forces, including financial, social, political, technical and cultural. The process of globalization affects the formation of the world economy and individual countries, the formation of a new social and moral order, and even the political order of the world. Globalization is such a qualitative change that transforms the current conditions of development to such an extent that it fundamentally changes the basic factors influencing the well-being of people, enterprises and countries. Due to the complex nature of the discussed process, there are many significant determinants and characteristics of global activity, especially economic, social and organizational. Globalization is defined as crossing all physical boundaries, such as space-time, national boundaries – administrative, economic boundaries – branches, industries, sectors or cultural boundaries. It means the occurrence of such social interactions on a global scale that events occurring in one part of our globe increasingly affect the state of its other spatially distant parts. This leads to quantitative and qualitative that events in one part of our globe increasingly affect the state of its other spatially distant parts. This leads to quantitative and qualitative that events in one part of our globe increasingly affect the state of its other spatially distant parts. This leads to quantitative and qualitative an increase in the interdependence of social and economic relations and the relationship between overlapping business and social activities on a global scale. Globalization is the result of transnational, transnational, supra-regional free market processes (supply, demand, technology transfer, trade, resource allocation, capital flows) reaching a global scale. It is an integrated multifaceted process of change that is created by phenomena and

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<sup>57</sup> K. Szmulik, Cultural conditions of enterprise management of the “born global” type, “Acta Universita Nicolai Copernici” 2013; 413: 97-98.

social and economic activities on a global scale, as a result of which humanity transforms into a single global society, and the world economy becomes very interconnected and internally interdependent<sup>58,59</sup>. The term globalization also encompasses a new process of strategic thinking and management in line with the characteristics and nature of the information society as well as entrepreneurial and innovative cross-border business. The process is based on a global perspective focusing on:

- development of an intelligent knowledge economy oriented to the possible full fulfilment of the needs and requirements (satisfaction) of both global and local customers,
- shaping research, development and transfer of knowledge and technologies, especially advanced ones, and at the increasing level of education,
- information civilization based on knowledge and its diffusion,
- shaping the global economic order and activities of transnational corporations,
- standardization of resource-efficient and labour-saving products and services,
- internationalization of enterprises and connections between them and the increase in international trade turnover, including the improvement of global logistics processes,
- globalization and liberalization of markets and financial flows and their instability (reduced risk sensitivity),
- a free global market with a high level of competitive forces and increasingly fierce competition,
- internal integration of the world economy, alliances of organizational networks, interdependence of the needs of cooperation and coordination,
- locating foreign investments and striving to maximize added value and minimize costs,
- the growing importance of the requirements of sustainable development in the world, including environmental protection problems (saving resources, energy, preventing pollution, recycling resources, etc.)<sup>60,61</sup>.

Global business means the scope of all activities and their ability to participate in the global market. It covers all commercial, cross-border enterprise activities including the flow of resources (raw materials, capital, people, technology), goods (semi-finished and finished goods), services (financial, commercial, communication, information and education) and skills (managerial and technical) . Global business operates with almost full freedom of movement of goods, services and capital, with full openness to external competition of increasing not only scope but also quality level. It contributes to substantially raising the bar of competition in the global market. Under the conditions of globalization, the nature and quality of all competitive

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<sup>58</sup> K. Kuciejewski, On the essence and consequences of globalization. New world order or supranational chaos [in:] *European Studies*, University of International Economic and Political Relations, Gdynia 2003.

<sup>59</sup> W. Szymański, *Globalization, challenges and threats*, Diffin Publishing House, Warsaw 2001.

<sup>60</sup> C. L. Pearce, J. A. Maciariello, H. Yamawaki, *Drucker's... op. cit.*

<sup>61</sup> G. Stonehouse, J. Hamill, D. Campbell, T. Purdie, *Globalization... op. cit.*

forces are also changing. The position of domestic recipients and suppliers is declining, because in the conditions of market liberalization and market internationalization, a domestic recipient may be replaced by a foreign (external) recipient, and a domestic supplier by a foreign (external) supplier. The number of substitutes for goods and services is also growing, and hence the strength of the global customer<sup>62,63</sup>. More and more companies and their products (services) function as a result of complex international flexible for the needs of global markets and local systems aimed at a common goal, mobilization of forces and resources and building a competitive advantage on a global scale. The aforementioned companies are also very active in creating a dynamic competitive environment based on knowledge and innovation. In global business, a key role is played by large internationally consolidated multinational corporations, most often with a network organizational structure, operated in a global competitive environment. Their activities are based on a multidimensional perspective, which includes global and local markets, customer tastes and preferences, resources, including capital and human resources, costs, partners and competitors, and benefits. Detailed connections of strategic elements of global business are presented in Figure 1. Corporations strengthen their position of global megaphim thanks to the concentration and internationalization of capital, the process of mergers or acquisitions of companies and strengthening organizational networks. In addition, they can strengthen their position thanks to the internal value chain (increasing the efficiency of supply and distribution cells) and fuller use of processing capacity, increasing sales and profits. They gain the benefits of having global products and services by standardizing the base product or parts thereof, while adapting to the individual needs of consumers.

A feature of contemporary business conditions in the global conditions and in the operation of multinational enterprises, there is a constant geographic, economic and social expansion of their activities. This is an inspiration to create new strategic forms of operation of enterprises in a global environment and to build new models of business organizations that facilitate rapid cooperation, coordination and establishing relationships across organizational boundaries. The expression of these processes is the formation of various networks of organizations with high interdependence and internal solid but at the same time open and flexible connections. It is about creating the potential to maximize value for the buyer by building a network of capabilities, skills and resources. The functioning of such networks makes it possible to combine within the framework of joint initiatives and innovative activity, using various unique skills as well as creating specialized configurations and competences distributed in many network organizations. The network creates more potential opportunities for the development of innovative activities and innovative activities

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<sup>62</sup> W. Szymański, Globalization, challenges... op. cit.

<sup>63</sup> A. Tubielewicz, The concept of creating a network organization [in:] Innovations in management and production engineering, R. Knosala (ed.), Publishing House of the Polish Production Management Society, Opole 2013.

linking the economic and logistics spheres<sup>64</sup>. By building a balance between diversity and interdependence, network organizations create a qualitatively global environment, consisting of a large number of related tasks and paths of action with the participation of many participants pursuing a strictly defined goal. The foundations for the construction and development of a business network organization, especially a multinational enterprise, is knowledge-based management and the development of information and telecommunications technologies ensuring effective cooperation and management of complex spatial and organizational structures. Effective use of knowledge management as the most unique resource that provides the greatest chance of creating a sustainable competitive advantage by economic entities participating in international organizational networks.

It should be emphasized that an organization based on knowledge should<sup>65,66</sup>:

- be process-oriented, be able to learn in particular from their stakeholders,
- have an organizational culture supporting knowledge management, and
- effectively implement learning outcomes, and thus efficiently manage knowledge.

## Conclusions

Effective use by economic entities operating within international organizational networks also increases their competitiveness in gaining product leadership, operational excellence related to the performance of basic operations such as: procurement, production, sales, distribution and service<sup>67</sup>. Thanks to the transfer of knowledge, unique competences and corporate skills are also co-created. The size of network benefits also depends on their configuration of the geographical scope of activities and the shape that the network adopts during the implementation of common goals and tasks, as well as on linking and integrating mechanisms. Among the factors shaping the network created by transnational enterprises one can mention scattered, internally and externally interdependent structures globally integrated with effective cooperation procedures. The essence in this respect are activities in the form of outsourcing or offshoring, the wide establishment of various forms of cooperation between companies, such as partnership agreements such as joint venture and strategic alliances. The activity of business in the field of mergers and acquisitions and other various forms of cooperation with suppliers, carriers, customers, competitors, financial organizations is in the global economy mechanisms contributing to building integrated international organizational, production, distribution and communication networks of cooperation with internal and external partners. A feature of

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<sup>64</sup> A. Tubielewicz, *The concept...* op. cit.

<sup>65</sup> P. Banasik, *Community of practitioners in the organization of the judiciary: a modern model of professional development for the management of the judiciary*, "E-mentor" 2014; 5(57).

<sup>66</sup> J. Brudlak, *Knowledge management and the product innovation process*, SGH, Warsaw 2005.

<sup>67</sup> P. Sadza, *The influence of information technologies on the competitive strategies of enterprises* [in:] *Trans'01- Wspólna Europa, enterprise in the face of globalization*, PWN, Warsaw 2001.

these networks is their high density of various connections and the complexity of emerging configurations linking local, national and international coordinated activities of multinationals. These activities include, in particular, the production and movement of materials and products within defined global networks. Cooperation within the network by breaking functional barriers is oriented towards a common goal, processes<sup>68</sup>. Networks created by a transnational enterprise are usually dominated networks. Such a network is composed of nodes (companies in the network) and connections between them. The method of establishing connections between the various elements of the corporate organizational network is also important. A strong glue of the internal interaction of this network is a global cultural metaphor. It shows a way of organizing with the use of common norms, values and ideas, i.e. common visions and directions for future development<sup>69</sup>.

As part of the network, a transnational corporation can develop its business activities around the world or it can disperse some activities and accumulate others in places that offer specific benefits and allow access to resources and customers in different countries. Manufacturing products for more than one market requires access to a variety of international distribution channels. The pressures of the global market and competition place special demands on the corporate network organization in terms of lowering costs, greater quality, greater flexibility, fast delivery and agile distribution, and the immediate introduction of products to the market.

Global cross-functional management focuses, *inter alia*, on issues such as:

- maintaining the importance and role of organizations across cultural and national boundaries and striving to create an optimal level of total value,
- management of complex and interrelated internal and external relations,
- dependence on the transfer and spread of advanced technologies, -the ability to skillfully introduce products in line with the demand on the global and local (key) market,
- choosing a strategy for operating on the international market for a global corporate network,
- creating a dynamic innovative environment for business, *inter alia*, by strengthening international cooperation in areas such as research, transfer of knowledge and advanced technologies, education, innovative services, etc.,
- integrating and coordinating geographically dispersed activities (linking and merging, ordering and harmonizing cooperation), many activities carried out in various organizational units distributed on a global scale, including coordination of the value chain of international enterprises,
- developing global personal professional competences regarding key relationships in the field of production, logistics, marketing and organizational cultures,
- developing mutually beneficial relationships with customers, suppliers, employees and societies, building an effective organizational system and communication channels at the level of individual organizational units and the entire network,

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<sup>68</sup> K. Lysons, *Supply purchases*, PWE, Warsaw 2004.

<sup>69</sup> G. Morgan, *Images of an organization*, PWN, Warsaw 2005.



- the ability to identify the most important inter-functional and inter-organizational relationships,
- determining the optimal degree of centralization and decentralization of strategic and operational decisions (on a global and local level) and mechanisms for their effective implementation within network connections,
- creating international teams, the ability to adapt to cultural changes,
- international control of material flows, both flowing within the network and coming from outside,
- the ability to recognize risk on a macro and micro scale (riskogenic situations) and the consequences for international business,
- awareness that corporations should be more accountable to society for their actions.

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## FINANCIAL STATEMENTS AS A BASIC SOURCE OF INFORMATION FOR FINANCIAL ANALYSIS

### *Sprawozdanie finansowe jako podstawowe źródło informacji dla analizy finansowej*

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#### **Streszczenie**

*Sprawozdanie finansowe jest istotnym źródłem informacji o charakterze ekonomicznym i zarządczym, pozwalające na ocenę i diagnozę procesów finansowych zachodzących w danej firmie. Przedstawia rezultaty działalności gospodarczej oraz swoją efektywność funkcjonowania firmy. Wszystkie istotne informacje zawiera bilans, rachunek zysków i strat oraz rachunek przepływów pieniężnych. Sam obowiązek sprawozdawczy i konieczność prezentowania informacji finansowych są uregulowane w ustawie o rachunkowości. Oczywiście ilość, rodzaj i „jakość” informacji zawartych w sprawozdaniu są determinowane zarówno wielkością i formą prawną danego podmiotu, jak i wybraną metodą tworzenia i prezentowania sprawozdań. Należy pamiętać, iż bez względu na wybrany „model”, sprawozdania muszą być po pierwsze zgodne z prawem, a po drugie sporządzone rzetelnie, zgodnie z zasadami ustawowymi. Podstawowym rodzajem sprawozdania finansowego jest bilans, który prezentuje ogólną sytuację ekonomiczno-finansową firmy. Rachunek zysków i strat dostarcza informacji o przychodach firmy, wpływających na wygenerowanie zysku bądź straty w danym roku obrotowym. Uzupełniające informacje pochodzą z rachunku przepływów pieniężnych, który przedstawia przepływy z różnych działalności, oraz zestawienie zmian w kapitale własnym.*

*Ważnym elementem w pozyskiwaniu informacji o sytuacji ekonomicznej firmy są informacje dodatkowe, które często są pomijane w analizie ekonomicznej.*

**Słowa kluczowe:** *analiza ekonomiczna, analiza finansowa, zarządzanie finansami, rachunkowość, bilans, rachunek zysków i strat, cash flow*

## **Summary**

The financial statements are an important source of economic and management information, allowing the grade and diagnosis of the financial processes taking place in a given company. It presents the results of business activity and the specific efficiency of the company's operation. All relevant information is provided by the balance sheet, profit and loss account and cash flow statement. The reporting obligation itself and the necessity to present financial information is regulated by the Accounting Act. Obviously, the amount, type and "quality" of the information contained in the report is determined both by the size and legal form of the entity in question and the chosen method of creating and presenting reports. It should be borne in mind that, irrespective of the chosen "model", the statements must firstly comply with the law and secondly be prepared fairly, in accordance with the statutory principles. The basic type of financial statement is the balance sheet, which presents the overall economic and financial situation of the company. The profit and loss account provides information on the company's income, influencing the generation of profit or loss for the financial year. Complementary information comes from the cash flow statement, which presents the flows from various activities, and the statement of changes in equity. An important element in obtaining information on the economic situation of the form is the additional information, which is often overlooked in economic analysis.

**Key words:** economic analysis, financial analysis, financial management, accounting, balance sheet, profit and loss account, cash flow

## **Introduction**

The indicators used in theory and practice in the economic analysis of a company originate from the practice of bank analyses. Banks were the first to develop and implement indicators analysing – important for the grade of creditworthiness and ensuring the bank's liquidity – the relations between short-term assets and liabilities, including the issues of dividing assets and liabilities according to the degree of their liquidity and timeliness, etc. The experience, resulting from bank analyses, has been disseminated and adapted over time in the economic activities of business entities and appropriately extended and modified to suit the specifics of financial analysis. In conditions of high volatility and instability of the micro and macro economic and social environment of companies and the rapid development of new technologies, management decision-making, is hampered and requires stable, fast and reliable

economic information. Therefore, economic analysis is an important factor in providing the information necessary for efficient and effective business management. The subject of economic analysis research includes the grade of quality and reliability of information derived from the analysis of a company's economic activity – its economic condition and the financial results achieved.

Economic analysis encompasses all economic and social phenomena occurring in the company's near and distant environment. Their study and analysis consists of: the breakdown of economic phenomena and processes into their constituent elements, determining the cause-effect relationship between the studied elements / phenomena and processes and formulation of conclusions, resulting from the analyses and comparative grades.

Nowadays, economic analysis is a separate scientific discipline that grew out of detailed economics and is linked to other scientific disciplines, i.e. statistics, accounting, finance, mathematics, planning, technology, etc. From the point of view in question, in economic analysis one should distinguish first of all: macro and micro economic analysis and financial and technical-economic analysis<sup>1,2,3</sup>.

We can distinguish between the following internal sub-analyses: current analysis (operative) is the systematic evaluation of the course of the activities undertaken, with the aim of possibly detecting the negative effects of economic events and disturbances in the realisation of individual tasks and objectives, so quickly that it is possible to make the necessary corrections; prospective analysis involves the identification and grade of various options for solutions (before decisions are made), with the simultaneous application of economic calculation. It is used for medium – and long-term planning in the company; and functional analysis consists of the division and separate examination of individual economic phenomena occurring in the company's activities, by persons or organisational units functionally responsible for the formation and development of these phenomena. Such analysis is usually carried out by a number of people, which reduces the time needed to carry it out<sup>4,5,6,7,8,9,10</sup>.

Detailed analysis consists of examining a specific section of activity, or a specific problem/process, in detail, based on a wide range of information and indicators that enable cause-and-effect relationships between the phenomena under investigation

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<sup>1</sup> M. Jerzemowska, *Analiza ekonomiczna w przedsiębiorstwie*, PWE, Warszawa 2013.

<sup>2</sup> L. Bednarski, *Analiza finansowa w przedsiębiorstwie*, PWE, Warszawa 2007.

<sup>3</sup> W. Bień, *Zarządzanie finansami przedsiębiorstwa*, Difin, Warszawa 2011.

<sup>4</sup> N. Grzenkowicz, J. Kowalczyk, A. Kusak, Z. Podgórski, *Analiza finansowo-ekonomiczna jako narzędzie oceny kondycji przedsiębiorstwa*, Wyd. WZ UW, Warszawa 2017.

<sup>5</sup> L. Bednarski, R. Borowiecki, J. Duraj, E. Kurtys, T. Waśniewski, B. Wersty, *Analiza ekonomiczna w przedsiębiorstwie*, Wyd. AE, Wrocław 2018.

<sup>6</sup> M. Wypych, *Finanse przedsiębiorstwa z elementami zarządzania i analizy*, ABSOLWENT, Łódź 2007.

<sup>7</sup> W. Gabrusewicz, *Podstawy analizy finansowej*, PWE, Warszawa 2007.

<sup>8</sup> W. Gabrusewicz, *Rozwój przedsiębiorstw przemysłowych i jego ocena w gospodarce rynkowej*, Akademia Ekonomiczna w Poznaniu, Poznań 1992.

<sup>9</sup> W. Gabrusewicz, M. Remlein, *Sprawozdanie finansowe przedsiębiorstwa*, PWE, Warszawa 2011.

<sup>10</sup> M. Jerzemowska, *Analiza ekonomiczna... op. cit.*

to be grasped. Detailed analysis is time- and labour-intensive, but essential for improving the efficiency of a company's economic and management processes<sup>11,12,13,14,15</sup>.

Financial analysis is carried out not only to find out what has happened to the company's economic situation in the past, but also to plan for the future (ex-ante financial analysis and projection). The spatial dimension is related to the company's significant dependence on the external environment and the need for comparison with other entities of a similar profile, size or legal and organisational form. The material scope is closely related to the broadly understood external conditions that affect a company's financial performance and development, while at the same time dealing with the detailed environment covering the selected company. Analysis of the environment is necessary in order to efficiently observe the place of the studied entity on the market, in order to anticipate changes in system conditions and the actions of competitors<sup>16,17,18,19,20</sup>.

## **Accounting and economic and financial analysis in business management**

Accounting is recognised as historically the oldest part of economic science, having originated with the first human communities. The phenomenon of modern accounting is that it is based on principles described as early as the 15th century. The origins of accounting can be found in the theoretical concepts of the social sciences.

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<sup>11</sup> P. Kosowski, Zarządzanie w przemyśle naftowym i gazowniczym. Analiza ekonomiczna. Materiały dla uczestników studium. Online: <http://evplus.nazwa.pl/pdpl/analizaekonomiczna.pdf>.

<sup>12</sup> C. Skowronek, Analiza ekonomiczno-finansowa przedsiębiorstwa. Zbiór przykładów i zadań, Wyd. UMCS, Lublin 2004.

<sup>13</sup> E. F. Brigham, J. F. Houston, Podstawy zarządzania finansami, PWE, Warszawa 2005.

<sup>14</sup> G. Gołębiowski, A. Tłoczała, Analiza finansowa: w teorii i w praktyce, Difin, Warszawa 2009.

<sup>15</sup> P. Karpuś, Zarządzanie finansami przedsiębiorstw, Wyd. UMCS, Lublin 2006.

<sup>16</sup> M. Wypych, Finanse przedsiębiorstwa... op. cit.

<sup>17</sup> W. Skoczylas, T. Waśniewski, Teoria i praktyka analizy finansowej w przedsiębiorstwie, Fundacja Rozwoju Rachunkowości w Polsce, Warszawa 2004.

<sup>18</sup> Z. Leszczyński, A. Skowronek-Mielczarek, Analiza ekonomiczno-finansowa spółki, PWE, Warszawa 2004, p. 32.

<sup>19</sup> T. Jachna, M. Sierpińska, Ocena przedsiębiorstwa według standardów światowych, PWN, Warszawa 2014, p. 11.

<sup>20</sup> See more: C. Skowronek, Analiza ekonomiczno-finansowa... op. cit.; E. F. Brigham, J. F. Houston, Podstawy... op. cit.; G. Gołębiowski, A. Tłoczała, Analiza finansowa... op. cit.; P. Karpuś, Zarządzanie finansami... op. cit.; J. Matuszewicz, P. Matuszewicz, Rachunkowość od podstaw, Finans – Serwis, Warszawa 2002; E. Nowak, Analiza sprawozdań finansowych, PWE, Warszawa 2014; E. Nowak, M. Wierzbński, Rachunek kosztów. Modele i zastosowania, PWE, Warszawa 2010; E. Nowak, Zaawansowana rachunkowość zarządcza, PWE, Warszawa 2009; B. Pomykańska, P. Pomykański, Analiza finansowa przedsiębiorstwa, PWN, Warszawa 2007; A. Kaszuba-Perz, A. Szydelko, Rachunkowość zarządcza, Wyższa Szkoła Informatyki i Zarządzania w Rzeszowie, Rzeszów 2004; Z. Messner, Rachunkowość finansowa z uwzględnieniem MSSF, PWN, Warszawa 2007; A. Rutkowski, Zarządzanie finansami, PWE, Warszawa 2016.



However, in the course of its functioning, accounting has developed its own theory and methodology subsequently implemented in the practice of economic sciences in the discipline of finance. The concepts, views and theories developed in the accounting system were reflected in legal regulations, including the shape and principles of preparing financial statements. conceptual framework for the preparation of financial statements. Over the years, the accounting information process has been described, which proceeds in the following stages:

- identification of data on events and observable objects and their documentation,
- transformation of data using accounting-specific processing methods and procedures, as well as the use of special recording devices,
- presentation and communication of information in the form of reports<sup>21</sup>.

Nowadays, accounting is defined as a universal (it can be applied to different companies, e.g. of different sizes, from different industries) and flexible (it provides information with different levels of detail) information and control system that reflects the course and results of the company's activities<sup>22</sup>. Accounting has three basic functions: informational (provides information for decision-making in the process of business management, source of information for external audiences); controlling (protects company assets from misappropriation and destruction, influences the rational use of company assets) and analytical (interprets the numerical data provided)<sup>23</sup>.

## **Accounting policy**

Accounting policy is based on certain principles that allow the recipient of financial statements to understand how the resources and results of a company's activities are measured. M. Zaleska lists the basic principles of modern accounting, which include:

1. the accrual principle – whereby revenues and expenses are recorded on an accrual basis, i.e. they are considered to have been earned or incurred, respectively, when they occur and not when they are received or spent in cash;
2. the principle of matching revenues and expenses – costs incurred in achieving certain revenues are set against those revenues to determine the result of operations for the period;
3. the principle of prudence – stating that in determining the value of revenues and assets as well as costs and liabilities, one should be guided by prudence and take a pessimistic view, not overestimate revenues and assets, and not understate costs and liabilities;

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<sup>21</sup> W. Gos, *Nauka rachunkowości – głos w dyskusji*, [w:] *Teoria rachunkowości, sprawozdawczość i analiza finansowa*, Nita B. (ed.), Wydawnictwo Uniwersytetu Ekonomicznego we Wrocławiu, Wrocław 2015, sp 63.

<sup>22</sup> A. Jaklik, B. Micherda, *Zasady rachunkowości*, WSiP, Warszawa 1995, p. 10.

<sup>23</sup> *Ibidem*, p. 11.

4. the principle of continuity, according to which, in the course of a financial year, no changes should be made to the principles adopted; moreover, the balances of assets and liabilities shown in the books of account on the day they are closed should be entered in the same amount in the books of account opened for the next financial year;
5. the going concern principle, which assumes that the activity of the company in question is not limited in time, the company has no intention or need to liquidate or significantly reduce the size of its business in the future;
6. the principles of regularity (1) and fair presentation (2), the former being implemented mainly by the auditor examining the compliance of the accounting with the law, the latter assuming that the company's accounts should give a faithful picture of the company's financial situation<sup>24</sup>.

The most important legal act regulating corporate accounting is the Act of 29 September 1994 on Accounting<sup>25</sup>, which sets out the principles of accounting and the rules for the provision of bookkeeping services. The Act defines the scope of an entity's accounting, which includes:

1. the adopted accounting principles (policy);
2. keeping, on the basis of accounting evidence, books of account, recording events in chronological and systematic order;
3. periodical determination or verification by means of stocktaking of the actual state of assets and liabilities;
4. valuation of assets and liabilities and determination of the financial result;
5. preparation of financial statements;
6. collecting and storing accounting evidence and other documentation provided for by law;
7. having the financial statements audited, filed with the competent court register, made available and published in the cases provided for by the Act<sup>26</sup>.

Company management is a continuous process of making and implementing diverse and sometimes contradictory decisions. One of the methods facilitating good decision-making is precisely financial analysis, which deals with the study and grade of a company's efficiency. The tool for measuring and describing economic and financial values is accounting theory, which explains the principles of measuring economic and financial values in relation to the business sector, and indirectly the results of these measurements are used to make economic decisions at the macro level.

The development of management science has led to the emergence of a new field of knowledge, alongside financial and management accounting, called controlling, which covers planning, control and management. Controlling can be defined as a cross-functional management instrument, being a result-oriented control process of the enterprise, and realised by planning, control, reporting and management, while accounting in the aspect of controlling is an instrument providing various

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<sup>24</sup> Ibidem, p. 14-18.

<sup>25</sup> Ustawa z dnia 29 września 1994 r. o rachunkowości (Dz. U. 1994 Nr 121 poz. 591 z późn. zm).  
Dalej: uor.

<sup>26</sup> Ibidem.

decision-making levels with cross-sectional information, necessary for future-oriented enterprise management<sup>27,28</sup>.

## **Difference between financial analysis and accounting**

The difference between financial analysis and accounting becomes particularly apparent in the decision-making process. Accounting gathers and presents data on the basis of an ex-post approach (something has happened and is reflected in the records), whereas the analyst (manager) assesses the situation of the company on the basis of these data, analyses the company's environment and takes decisions not only on the current basis, but also on a strategic basis (planning – on the basis of an ex-ante approach, taking future decisions on the basis of historical data – ex-post). When preparing financial statements, certain principles are applied, which influence their content. In view of the wide range of audiences and the comprehensive application of financial statements, they should be prepared in accordance with six principles<sup>29,30</sup>:

- the principle of completeness (periodisation),
- the principle of reliability (truthfulness, relevance),
- principle of verifiability,
- the balance sheet continuity principle,
- the principle of prudence,
- the principle of timeliness.

The economic efficiency of a company is reflected in its financial situation. There is therefore a need to coordinate tasks in the sphere of goods management, investments and other material tasks with the financing function. Analysis of the company's financial situation provides a basis for selecting the most favourable alternatives when making decisions, as well as for verifying decisions that are not in line with those planned – it is therefore used in the management process and is linked to the control and planning function. The economic analysis of a company should be carried out through the prism of financial management. Analysis is the process of breaking down a certain whole into its constituent parts and considering each of them separately, carried out in the process of their cognition and practical activity<sup>31</sup>.

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<sup>27</sup> M. Dobija, *Rachunkowość finansowa, zarządcza i Controlling*, PWN, Warszawa 1997, p. 61.

<sup>28</sup> See more: E. Nowak, *Rachunkowość w controllingu przedsiębiorstwa*, PWE, Warszawa 1996, p. 14-15; J. Kortan, *Podstawy ekonomiki i zarządzania przedsiębiorstwem*, C.H. BECK, Warszawa 1997, p. 225; C. Skowronek, *Analiza ekonomiczno-finansowa...* op. cit.; E. F. Brigham, J. F. Houston, *Podstawy...* op. cit.; G. Gołębiowski, A. Tłoczała, *Analiza finansowa...* op. cit.; P. Karpuś, *Zarządzanie finansami...* op. cit.

<sup>29</sup> P. Tendera, H. Właszczyk, *Sprawozdania finansowe oraz analiza bilansu i rachunku wyników w Państwowych i Prywatnych Jednostkach Gospodarczych*, Centrum Projektowo-Wdrożeniowe Sp. z o.o., Katowice 2002, p. 15.

<sup>30</sup> See more: N. Grzenkowicz, J. Kowalczyk, A. Kusak, Z. Podgórski, *Analiza finansowo-ekonomiczna...* op. cit.; L. Bednarski, R. Borowiecki, J. Duraj, E. Kurtys, T. Waśniewski, B. Wersty, *Analiza ekonomiczna...* op. cit.

<sup>31</sup> *Encyklopedia popularna*, PWN, Warszawa 1982, p. 30.

Economic analysis (economic analysis), as defined by K. Bolesta-Kukułka, is a system of research and diagnosis of a company's activities, and can refer to all of its activities (comprehensive analysis) or selected areas, e.g. economic analysis of costs, economic analysis of a project, or, for example, economic analysis of an investment task, also known as a feasibility study<sup>32</sup>. Comprehensive analyses are a combination of the analysis of an economic entity from both a typically economic and a financial aspect. The scope of the analysis varies depending on the needs for which it is prepared. Economic analysis is a method of examining economic phenomena in cause-and-effect relationships and determining the impact of individual factors and elementary components on the end result, usually defined as financial direction<sup>33,34,35,36,37</sup>.

## **Economic analysis and financial planning**

Economic analysis is a scientific discipline that examines the relationships between economic phenomena – providing information on the state of the company as well as supporting management decisions in the area of finance from both an operational and strategic perspective. Economic management of a company includes<sup>38</sup>:

- processes of maintaining the functional balance of the company,
- processes for the regulation of a single economic quantity,
- information processes aimed at identifying benchmark values around which the current values of economic quantities should be concentrated.

Economic and financial planning seeks to define appropriate ranges of variation for a set of important economic quantities. Economic control is based on the knowledge of a number of benchmark, normative, desirable values. Sources of origin of benchmark values can be divided into: external – established by administrative and financial laws and institutions that can do so by force of law, (e.g. official prices, depreciation rates, interest rates, tax rates, exchange rates) and internal – created in the company for the purpose of effective control of the company's economics – in particular they concern costs, (they concern the internal organisation of activities in the company; they exist depending on the state of organisation in the company).

Economic, financial, comparative, comparative (identifying deviations of a measurement from a benchmark value) and causal analysis (identifying the factors causing the deviation and assigning an appropriate measure to that deviation) compares economic figures with benchmarks in order for managers to make decisions

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<sup>32</sup> K. Bolesta-Kukułka, *Mały Słownik Menedżera*, PWE, Warszawa 1993.

<sup>33</sup> J. Więckowski, *Analiza ekonomiczna w przedsiębiorstwie przemysłowym*, PWE, Warszawa 1988, p. 32.

<sup>34</sup> J. Czekaj, Z. Dresler, *Zarządzanie finansami przedsiębiorstw. Podstawy teorii*, PWN, Warszawa 2012.

<sup>35</sup> W. Dębski, *Teoretyczne i praktyczne aspekty zarządzania finansami przedsiębiorstwa*, PWN, Warszawa 2013.

<sup>36</sup> W. Gabrusewicz, *Analiza finansowa przedsiębiorstwa. Teoria i zastosowanie*, PWE, Warszawa 2014.

<sup>37</sup> T. Dudycz, *Analiza finansowa jako narzędzie zarządzania finansami przedsiębiorstwa*, Wydawnictwo Indygo Zahir Media, Wrocław 2011.

<sup>38</sup> M. Dobija, *Rachunkowość...* op. cit.

that modify the company's activities. Financial analysis and related financial reporting play a special role and are distinguished by, among other things, their public purpose of reporting and the range of restrictions to which they are subject. Financial analysis makes it possible to accurately measure a company's resources and also to make forecasts for the future. This is the purpose of break-even point, NPV (Net Present Value), IRR (Internal Rate of Return), PB (Payback Period), analysis of the impact of financial 'leverage' (i.e. the structure of equity capital in relation to various types of debt), etc.<sup>39,40</sup>. Within the framework of financial analysis, the following are most commonly distinguished<sup>41,42</sup>:

- comparative analysis of annual and multi-year data,
- data structure analysis,
- ratio analysis,
- analysis of selected economic and financial issues,
- analysis of cash flow,
- analysis of changes in financial position (structure of assets and liabilities),
- break-even analysis.

### **Links and complementary analyses – multidimensional evaluation of the company**

Economic and financial analysis draws on the work of many other – related – scientific disciplines: management, business economics, finance, controlling, management accounting, financial accounting, marketing, and above all accounting and accounting reporting in the broadest sense. The unifying features of financial sub-analyses are primarily the quantification of economic results according to the value measures used (ratios, reports, etc.). The very differentiation of the content and results of the analyses is primarily due to the:

- the purpose for which the analysis is carried out, the type of economic problem/threat,
- the need to use the information in the decision-making process (white, strategic),

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<sup>39</sup> T. Waśniewski, *Metody analizy finansowej w przedsiębiorstwie*, PWE, Warszawa 1989, p. 11.

<sup>40</sup> Patrz także: D. W. Olszewski, *Podstawy analizy finansowej przedsiębiorstwa*, OLYMPUS - Centrum Edukacji i Rozwoju Biznesu, Warszawa 1993, p. 7; D. Ostrowska, E. Niedźwiedzka, *Podstawy finansów przedsiębiorstw*, Difin, Warszawa 2015.

<sup>41</sup> B. Lisiecka-Zajac, *Reforma zasad prawnych polskiej rachunkowości, Stowarzyszenie Księgowych w Polsce*, Warszawa 1990, p. 82.

<sup>42</sup> See more: N. Grzenkowicz, J. Kowalczyk, A. Kusak, Z. Podgórski, *Analiza finansowo-ekonomiczna...* op. cit.; L. Bednarski, R. Borowiecki, J. Duraj, E. Kurtys, T. Waśniewski, B. Wersty, *Analiza ekonomiczna...* op. cit.; G. Michalski, *Płynność finansowa w małych i średnich przedsiębiorstwach*, PWN, Warszawa 2013; A. Motylska-Kuźma, J. Wieprow, *Decyzje finansowe w przedsiębiorstwie. Problemy i zadania*, Difin, Warszawa 2013; E. Nowak, *Analiza sprawozdań finansowych*, PWE, Warszawa 2017; D. Ostrowska, E. Niedźwiedzka, *Podstawy...* op. cit.; P. Szczepankowski, *Problemy zarządzania finansami we współczesnych przedsiębiorstwach*, VIZJA PRESS & IT, Warszawa 2006.

- other classification criteria,
- the source of information used (accounting, non-accounting, estimated information),
- form and procedure of preparing financial statements,
- from the time dimension covered by the analysis.

The main determinant of activities is the adopted objective of the analysis, which influences the adopted instrumentarium in the form of the selected set and information, so that the analysis is not limited to examining the structure of the financial statements alone. The grading of the company's condition based on the ratio analysis also requires multidirectional links and transformations of the figures. In indicator analysis, each indicator contains a specific information content and sometimes divergent information can be obtained about a given process/phenomenon, which is why only the use of data contained in a set of indicators gives a certain reliability.

Economic analysis can be divided according to the subject of the study into: macro- and micro-economic analysis, and financial and technical-economic analysis. Macroeconomic analysis is concerned with economic values aggregated to the level of the whole economy, while microeconomic analysis examines and evaluates the activities of companies, enterprises, households, individuals or other economic entities, from the perspective of the rationality of decisions taken. Current and past data on a company's financial standing should be used to make both current and strategic decisions and should be taken into account in determining future operational and strategic actions. A company's standing is its competitive position, its financial credibility, its economic strength in the market, which influences the confidence of its counterparties in its reliability and the level of opinion formed about it<sup>43,44</sup>.

The most important subject of evaluation in financial analysis is a company's profitability, i.e. its ability to meet its short – as well as long-term obligations. The information resulting from the economic and financial analysis is important for both managers and external stakeholders. Synthetic, comprehensible and, above all, comparable economic-financial information of a company makes it possible to quickly measure and grade the efficiency and rationality of financial management. In external analysis, the main emphasis is on ratio analysis – this should focus on the grade of liquidity, management efficiency and the financial standing of the company. The objectives of external analysis will change as the recipients (external stakeholders) of this analysis change. Shareholders, creditors and banks have a different objective in carrying out the analysis.

Analyses carried out by the company itself are of a different nature; these are analyses carried out for the company's internal needs. The internal analysis takes into account the decision-making needs of the company's management and its

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<sup>43</sup> W. Bień, *Zarządzanie finansami przedsiębiorstwa*, Difin, Warszawa 1996, p. 61.

<sup>44</sup> See more: L. Bednarski, R. Borowiecki, J. Duraj, E. Kurtys, T. Waśniewski, B. Wersty, *Analiza ekonomiczna... op. cit.*; M. Jerzemowska, *Analiza ekonomiczna... op. cit.*; M. Walczak, *Analiza finansowa w zarządzaniu przedsiębiorstwem*, Difin, Warszawa 2003; P. Mielcarz, P. Paszczyk, *Analiza projektów inwestycyjnych w procesie tworzenia wartości przedsiębiorstwa*, PWN, Warszawa 2013.

management levels. It is referred to in the literature as a 'result control system' or even as a 'substitute for a management system. The purpose, object and scope of internal analysis is much broader than that of external analysis, due to its very important role in the management of the company. An important tool for analysis is the study of the interrelationships between its elements, e.g:

- the income statement reports the size of profits, but it should be noted that these figures must be considered in relation to the resources of goods and labour consumed in its production,
- the balance sheet shows the value of the company's assets, which must be considered in connection with its liabilities,
- the value-added report shows the size of the new value created, which must be considered in relation to the number of employees and other economic-technical factors.

The economic-financial analysis should be preceded by a grade and analysis of the economic information concerning the company's past (ex-post analysis). The grade of evaluation and analysis should include the following information<sup>45,46</sup>:

- financial history of the company,
- description of the company's activities (identification of the industry and information on any unusual historical events),
- situation of the industry to which the company belongs (information enabling comparison of the company with others in the same industry),
- economic situation of the region in which the company is located (information allowing local factors to be taken into account).

Economic and financial analyses are therefore carried out for various purposes, e.g:

- to establish the actual economic and financial state and to take measures to stimulate economic efficiency and rationality,
- company restructuring,
- mergers and liquidation of companies,
- crediting the activities of companies – to determine the reliability of the grade, solvency and creditworthiness,
- suppliers and other creditors – in order to grade the company's ability to settle its obligations on time.

## **Conclusions**

A multidimensional company grade that takes into account the interconnectedness in a logical (and complementary) manner allows a contemporary company to

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<sup>45</sup> Ocena stanu finansowego przedsiębiorstwa, „Prawo i Finanse w Biznesie” 1996; 3-4: 14.

<sup>46</sup> Patrz także: L. Bednarski, R. Borowiecki, J. Duraj, E. Kurtys, T. Waśniewski, B. Wersty, *Analiza ekonomiczna...* op. cit.; M. Jerzemowska, *Analiza ekonomiczna...* op. cit.; M. Walczak, *Analiza finansowa...* op. cit.; P. Mielcarz, P. Paszczyk, *Analiza projektów inwestycyjnych w procesie tworzenia wartości przedsiębiorstwa*, PWN, Warszawa 2013.

obtain information indicating the company's position in the market, its development possibilities, competitive position, etc. The economic and financial analysis should be carried out comprehensively, but should not overlook important details for the company.

Next to the technical-economic analysis, the financial analysis is the most important part of the economic-financial analysis. Among the issues that are included in it are: an initial and developed analysis of the balance sheet, the profit and loss account, the determination and grade of cash flow, sources of income and their purpose, and the analysis of the financial result.

The technical and economic analysis focuses primarily on material and personal factors. A combination of financial and technical-economic analysis is necessary to establish the links in the analysis of the company's activities.

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## WSPÓŁCZESNE TRENDY I WYZWANIA W PRZEDSIĘBIORCZOŚCI FIRM USŁUG SPOŁECZNYCH NA PRZYKŁADZIE PES ORAZ SPÓŁKI Z O.O.

### *Contemporary trends and challenges in entrepreneurship of social service companies on the example of a PES and a limited liability company*

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#### **Summary**

*The future challenges companies and Social Economy Entities from the zone of socio-economic services to take a critical look at the current manner of conducting business in the face of dynamic changes. Furthermore, it presents difficulties in defining the trajectory of future development, both in the near and distant future, and in implementing the necessary changes. In order to cope with the changing reality and the rapidly changing lifestyles, companies and Social Economy Entities must implement changes to their business processes, develop innovations, and modify their thinking about business and cooperation.*

**Key words:** *innovation, trends, challenges, cooperation, recommendations, entrepreneurship*

#### **Streszczenie**

Przyszłość stawia przed firmami oraz PES ze strefy usług społeczno-gospodarczych wyzwania dotyczące krytycznego spojrzenia na obecny sposób prowadzenia działalności wobec dynamicznie postępujących zmian. Stawia również wyzwania w zakresie nakreślenia kierunków dalszego rozwoju na najbliższą, jak i dalszą przyszłość oraz wprowadzenia tych zmian w życie. Aby sprostać zmieniającej się rzeczywistości i szybko zmieniającemu się stylowi życia, przedsiębiorstwa oraz PES muszą wprowadzać zmiany do swoich procesów biznesowych, pracować nad innowacjami, modyfikować swoje myślenie o biznesie oraz o współpracy.

**Słowa kluczowe:** *innowacyjność, trendy, wyzwania, współpraca, rekomendacje, przedsiębiorczość*

## **Wstęp**

Trendy, jakie zachodzą obecnie w sferze usług społeczno-gospodarczych, determinuje fakt, że przyszłość zarówno podmiotów ekonomii społecznej (PES), jak i przedsiębiorstw może jawić się jako nieustabilizowany układ szans i zagrożeń. Dynamika zmian trendów i wyzwań sytuacji na rynku wymusza na zarządzających ciągłą modyfikację strategii zarządzania oraz wymusza umiejętne wykorzystanie pojawiających się szans ciągłego rozwoju. Motorem głównych działań, jakie podejmują PES i przedsiębiorstwa w przestrzeni usług społeczno-gospodarczych, jest niewątpliwie osiągnięcie jak największego sukcesu na rynku. Sukces to pojęcie wielopłaszczyznowe oraz kompleksowe. W świetle dużej nieprzewidywalności zagrożeń i poziomu ryzyka za sukces w PES i przedsiębiorstwach uważać należy zdobycie oraz utrzymanie konkurencyjności na rynku zarówno lokalnym, jak i globalnym. Niniejsza publikacja jest próbą analizy umiejętności współpracy PES z podmiotami gospodarczymi w strefie usług społeczno-gospodarczych, a także próbą wskazania obszarów wiedzy, które warto byłoby wdrożyć w celu zbudowania przewagi nad konkurencją.

Działalność usługowa, szczególnie w sferze działań społeczno-gospodarczych różni się od działalności produkcyjnej. Dla trendów innowacji w usługach ogólna teoria zarządzania nie jest do końca niewystarczająca. Trendy i wyzwania innowacyjności w usługach posiadają swoiste cechy, a co za tym idzie wymagają podejścia systemowego, jak i procesowego. Ważne znaczenie w zarządzaniu innowacjami w sferze usług posiadają czynniki funkcjonalne. Charakterystyczne właściwości usług społeczno-gospodarczych mają bowiem bardzo duże i istotne znaczenie dla analizy różnych zjawisk ekonomicznych, które zachodzą na ich płaszczyźnie. Przypuszczać można, że istota działalności usługowej może też oddziaływać na przebieg oraz rezultaty zjawisk w strefie innowacji. W tym kontekście warto zastanowić się, pamiętając o ogólnych przesłankach innowacji, jakie są ich uwarunkowania w odniesieniu do sektora usług jako rodzaju działalności społeczno-gospodarczej.

Braki w naukowych opracowaniach problematyki wyzwań i trendów przyszłości – innowacyjności – widoczne są szczególnie z punktu widzenia PES oraz przedsiębiorstw, które zajmują się sferą usług społeczno-gospodarczych. W tym kierunku przyszłość musi sprostać wymaganiom teraźniejszości oraz wymaga działań twórczych i nowatorskich, z tego punktu problem trendów innowacyjności nie będzie mała, ale nabierał większego znaczenia.

Publikacja przedstawia swoistego rodzaju rozwiązanie, jakie stawia przyszłość w trendach i wyzwaniach w innowacyjności w sferze usług społeczno-gospodarczych. Jak konkurencyjne dla siebie przedsiębiorstwa mogą ze sobą nie tylko rywalizować, ale współpracować dla rozwoju nowych trendów i rozwiązań, a także wskazania obszarów wiedzy, które można i należy wykorzystać w celu budowania przewagi konkurencyjnej.

## **Współczesne trendy i wyzwania w PES**

Współczesne trendy i innowacje w PES, w tym innowacje społeczne, ogólnie rozumie się i kojarzy przede wszystkim z tym, co nowe i przełomowe, to coś, co tworzy nową jakość i wprowadza rewolucje w rozwiązaniach do życia współczesnego człowieka. Współczesne PES nie rozumieją świata jako chęć jego naprawy, dziś rozumieją to jako sprawne, szybkie i sprytne umiejętności dokonania tego przy wykorzystaniu jak najlepszych możliwości, środków, które muszą znaleźć połączenia, których nikt wcześniej nie znalazł oraz zastanawiając się, jak ten sam problem można rozwiązać lepiej, jak zrobili to poprzednicy oraz zastąpienie istniejących rozwiązań jeszcze bardziej skutecznymi. Pomimo dużych chęci poprawy jakości ludzkiego życia to cele bardzo odważne, które wymagają kooperacji oraz „(...) potrzeba współpracy na rzecz nowego podejścia do kreowania zmian. Samodzielnie ani państwo, ani biznes, ani organizacje związane z trzecim sektorem nie są w stanie go urzeczywistnić ani tym bardziej osiągnąć go na poziomie, który prowadzi do realnej zmiany”<sup>1</sup>. Innowacje społeczne w sferze usług społeczno-gospodarczych dzieją się w konkretnym miejscu i w konkretnym czasie. To, co dla jednej grupy może być prostym rozwiązaniem, dla innej może stać się właśnie innowacją społeczną. Bez tego społecznego aspektu, jak otwarcie się na głos otoczenia czy środowiska, w którym innowacja ma być wdrażana, nie będzie ona miała trendu innowacji społecznej. To właśnie uczestnictwo osób z zewnątrz, potencjalnych beneficjentów oraz tych wszystkich jednostek i grup, na które innowacja społeczna będzie wpływać lub które mogą mieć wpływ na nią, czyli interesariuszy, jest kluczowym czynnikiem sukcesu projektowania oraz wdrażania innowacji w usługach społecznie i gospodarczo użytecznych. „e) organizację pozarządową, o której mowa w art. 3 ust. 2 ustawy z dnia 24 kwietnia 2003 r. o działalności pożytku publicznego i o wolontariacie (Dz. U. z 2023 r. poz. 571), z wyjątkiem partii politycznych, europejskich partii politycznych, związków zawodowych i organizacji pracodawców, samorządów zawodowych, fundacji utworzonych przez partie polityczne i europejskich fundacji politycznych”<sup>2</sup>. Nie każdy beneficjent ostateczny jest znaczący dla danego trendu innowacji, jedni z nich mogą odgrywać kluczową rolę, być zaangażowanymi na każdym etapie powstawania innowacji, inni mogą mieć mniejsze znaczenie. Jednak ci o mniejszym znaczeniu są bardzo ważnym głosem, który, jeśli zostanie uwzględniony przez PES jako innowatora czy też instytucję – organizację – wdrażającą, może być realizowany sprawniej i skutecznie w takim wymiarze jak organizacja, formalności czy finanse. Bardzo ważnym i istotnym elementem budowania każdej relacji było, jest i zawsze będzie nawiązanie dialogu, rozumianego jako wzajemna wymiana informacji, a nie tylko jednostronne przekazywanie treści w formie monologu. Podczas budowania procesu dialogu najważniejsza jest otwartość na różne środowiska, docenienie ich głosu i tego, jak mogą

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<sup>1</sup> A. Olejniczuk-Merta, A. Nowak, Wdrażanie innowacji społecznych w Polsce. Podsumowanie konferencji, Akademia Leona Koźmińskiego, Ministerstwo Nauki i Szkolnictwa Wyższego, Warszawa 2015, s. 13.

<sup>2</sup> Ustawa z dnia 5 sierpnia 2022 r. o ekonomii społecznej (Dz.U. 2022, poz. 1812).

wpłynąć na dany proces w innowacyjności usług społeczno-gospodarczych. „Dialog potrafi połączyć również wokół jednego problemu i na tym głównie skupiają się organizacje, prowadząc dialog z interesariuszami. Dialog wykorzystuje w końcu kapitał interesariuszy do wprowadzenia zmiany społecznej. Kapitał interesariuszy określić można jako agregat zasobów wiedzy, relacji oraz gotowości dzielenia się swoim doświadczeniem, w końcu zaś zdolność do wspólnego działania i potencjał do wprowadzenia zmiany społecznej”<sup>3</sup>. W takim ujęciu konieczne jest, by PES znały proces powstawania innowacji w usługach zarówno społecznych, jak i gospodarczych oraz potrafiły docenić obecność interesariuszy, jak i beneficjentów końcowych.

Istnieje w życiu publicznym, szczególnie w życiu podmiotów ekonomii społecznej, tendencja modelowego ujęcia procesu tworzenia innowacji społecznych, na które składa się:

- Prompts – identyfikacja potrzeb w zależności od wielkości jednostek, grup czy społeczeństw,
- Proposals – generowanie pomysłów na rozwiązanie problemu, potrzeby,
- Prototypes – wdrożenie modelu rozwiązania w pilotażu dla niewielkiej grupy odbiorców,
- Sustaining – podtrzymanie rozwiązania w trakcie wdrożenia go w szerszej skali,
- Scaling – zwiększenie jego oddziaływania poza wąską grupę odbiorców oraz wywieranie większego wpływu na ogół społeczeństwa,
- Systematic change – tzw. ukonstytuowanie się zmian poprzez trwałe wprowadzenie zmiany w społeczeństwie.

## **Proces powstawania innowacji w PES**

### **Identyfikowanie potrzeb w usługach społeczno-gospodarczych**

Na etapie identyfikacji potrzeb w strefie usług społeczno-gospodarczych, innowator powinien, a nawet musi, wykorzystać różne techniki diagnozy potrzeb, które skierowane są do społeczności, do których kieruje swoje propozycje rozwiązania problemu, w tym m.in. cel odkrycia prawidłowych i rzetelnych potrzeb społeczeństwa. „Innowacje społeczne należą bardziej do innowacji procesowych niż produkcyjnych. Przynależność ta zależy przede wszystkim od źródeł ich pochodzenia i oczekiwanych korzyści. Innowacje te stanowią obecnie jeden z podstawowych czynników rozwoju społeczno-gospodarczego”<sup>4</sup>. Na tym etapie brak otwarcia się na głos i udział interesariuszy oraz brak otrzymania informacji zwrotnej i brak uważnego słuchania będzie skutkować brakiem możliwości zaprojektowania innowacji, która w sposób właściwy odpowie na ich faktyczne potrzeby.

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<sup>3</sup> A. Abec, M. Andrejczuk (red.), Dialog i budowanie relacji z interesariuszami. Podręcznik dla firm, Forum Odpowiedzialnego Biznesu, Warszawa 2014, s. 8.

<sup>4</sup> J. Lubimow-Burzyńska, Proces tworzenia innowacji społecznych [w:]: Innowacje społeczne w teorii i praktyce, J. Wyrwa (red.), PWE, Warszawa 2014.

## **Generowanie innowacyjnych rozwiązań**

Proces, który pozwoli innowatorowi już na poziomie lokalnym wypracować rozwiązania na problemy społeczno-gospodarcze interesariuszy. Ten etap przyczynia się do zaproponowania nowych wartości, nowego eksperymentu i nowego prototypowania rozwiązań. Etap ten jest ważny, gdyż przyczynia się on również do zaproponowania nowych wartości, które pomagają w działaniach w administracji centralnej, JST czy nawet dla sektora prywatnego. Tu podkreśla się nowatorstwo, nieszablonowe i twórcze myślenie. „Wiedza, innowacje i postęp to cechy charakteryzujące współczesny rozwój społeczno-gospodarczy. Stanowią one czynniki sprawcze i efekty tego rozwoju i podkreślają jego rolę w kształtowaniu nowych warunków i jakości życia społeczeństwa. Pozwalają też dostrzec, że prężnym wskaźnikiem wskazanego rozwoju jest człowiek wraz z jego kreatywnością, przedsiębiorczością i gotowością współdziałania”<sup>5</sup>. Badania wykazują, że ten etap sprzyja pracy w większym gronie innowatorów, gdyż jest nazywany rozumieniem procesowym. Bez względu na to, jaką technikę czy narzędzia wybierze innowator na etapie identyfikowania potrzeb, które są niewątpliwie bardzo pomocne, ważnym i koniecznym elementem jest otwartość na dialog z różnymi grupami odbiorców, które są dopasowane / „szyte” na miarę i dostosowane do adresatów. Na tym etapie innowator buduje również trwałą fundament innowacji w społeczeństwie.

## **Wdrożenie pilotażowe rozwiązań**

Pomysłów w praktyce jest wiele, są one wprowadzane a następnie dostosowywane w zależności od pierwszych doświadczeń. Na tym etapie innowacji usług społeczno-gospodarczych wskazuje się, że najistotniejsze jest wspólne działanie przedstawicieli inicjatorów innowacji, jak i samych interesariuszy danego projektu. To dzięki ich opiniom, wynikom przeprowadzonych testów czy ankiet, niepraktyczne rozwiązania na etapie pilotażu zostają odrzucone lub zamienione na inne. Na etapie wdrożenia pilotażowych rozwiązań akceptuje się tylko prototypy, które przeszły pozytywnie ocenę wdrożenia jako użyteczność na późniejsze etapy procesu powstawania innowacji.

## **Podtrzymanie rozwiązania**

Najwrażliwszy i najbardziej newralgiczny etap, na którym innowacje społeczno-gospodarcze często stają w obliczu napięcia, jakim jest dalsza chęć współpracy i pozostanie otwartym na dalsze działania innowacyjne a ochroną interesów finansowych realizowanego przedsięwzięcia. Projekt, który napędzany jest misją społeczną ma interes w tym, by był on dalej rozpowszechniany, ewentualnie ulepszany tak szeroko jak się da, a zarazem generował możliwie jak największy wpływ na społeczeństwo,

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<sup>5</sup> A. Olejniczuk-Merta, M. Miller, *Innowacje społeczne. Od aktywizacji społecznej do ekosystemu innowacji*, Key Text, Warszawa 2013.

co niejednokrotnie sprzeczne jest z interesami komercyjnymi. Tu powstaje pytanie, jak pozostać otwartym na współpracę a zarazem zapewnić przetrwanie na poziomie finansowym.

## **Upowszechnianie innowacji**

Na etapie upowszechniania innowacji, kluczowym elementem staje się współpraca z partnerami, którzy mają zasoby oraz możliwości, aby wesprzeć ten proces, a więc głównie z administracją publiczną oraz biznesem. Wskazuje się na bardzo dużą rolę administracji publicznej, która poprzez odpowiednie polityki, tworzenie ram formalno-prawnych, ma możliwość systemowego wsparcia innowacji społecznej. Istotne jest to zwłaszcza z punktu wspierania rozwoju przedsiębiorczości społecznej. Przedsiębiorstwo społeczne jest niejako łącznikiem pomiędzy trzecim sektorem a sektorem prywatnym, przez co staje się jedną z istotniejszych instytucjonalnych form budowania powiązań pomiędzy społeczeństwem obywatelskim, a gospodarką rynkową.

## **Zmiana systemowa projektów innowacyjnych**

Każde innowacyjne usługi społeczno-gospodarcze są nieodłącznie powiązane ze zmianami sposobu działania, czy też koncepcji i określenia potrzeb na innowacyjność społeczną. Na tym etapie procesowego myślenia jest kładziony nacisk na osiągnięcie zmian systemowych oraz określenie ostatecznego celu innowacji. Na tym etapie rozwoju tylko nieliczne projekty innowacyjne osiągają swój cel. Podkreślić należy, że zmiana systemowa nie jest możliwa do osiągnięcia przez pojedynczą organizację czy sektor. Złożoność interakcji pomiędzy zachowaniem beneficjentów, kulturą, praktyką biznesową oraz ustawodawstwem i polityką zawsze wiąże się ze zmianą ich myślenia, jak również patrzeniem w nowy nieszablonowy sposób na wdrażanie innych innowacji społeczno-gospodarczych, jako kontynuacja już wprowadzonego rozwiązania.

## **Współczesne trendy i wyzwania w spółkach z o.o.**

Wymiernym aspektem inwestowania w innowacje jest ich powodzenie na rynku. W celu osiągnięcia przewagi konkurencyjnej wiele firm podejmuje działania proinnowacyjne, skierowane na tworzenie nowych pomysłów, a następnie ich realizację oraz finansowanie. „Art. 9. Przedsiębiorca wykonuje działalność gospodarczą zgodnie z zasadami uczciwej konkurencji, poszanowania dobrych obyczajów oraz słusznym interesów innych przedsiębiorców i konsumentów, a także poszanowania oraz ochrony praw i wolności człowieka”<sup>6</sup>. Odbywa się to przez prowadzenie prac badawczo-rozwojowych lub dokonywanie zakupów. Instytucje te są dla firm źródłem najnowszej wiedzy, jednak są trudności z nawiązaniem współpracy, ale

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<sup>6</sup> Ustawa z dnia 6 marca 2018 r. Prawo przedsiębiorców (Dz.U. 2018, poz. 646).



przede wszystkim z finansowaniem nowych przedsięwzięć, w tym idei społecznej odpowiedzialności w biznesie zarówno od MŚP po biznes dużych firm. Idea społecznej odpowiedzialności biznesu / odpowiedzialnego biznesu (CSR, corporate social responsibility) zakłada dobrowolne działania firmy na rzecz minimalizowania bądź neutralizowania swojego negatywnego wpływu na społeczeństwo i otoczenie zewnętrzne, przy jednoczesnej maksymalizacji pozytywnego oddziaływania. Firmy odpowiedzialne społecznie działają opierając się na strategicznym podejściu, w ramach którego uwzględniają aspekty społeczne, etyczne i ekologiczne w działalności gospodarczej oraz w kontaktach z interesariuszami. Ich działania to wkład biznesu w realizację polityki zrównoważonego rozwoju gospodarczego oraz taki sposób prowadzenia firmy, w którym celem priorytetowym jest osiągnięcie równowagi między jej efektywnością i dochodowością a interesem społecznym.

Wyróżniamy cztery główne obszary, w których przedsiębiorstwa realizują zasady odpowiedzialnego biznesu:

- miejsce pracy,
- rynek,
- środowisko,
- społeczeństwo.

Właśnie w ostatnim obszarze najczęściej realizowane są inicjatywy zakładające współpracę z organizacjami pozarządowymi. Przedsięwzięcia tego rodzaju zaliczane są do tzw. zaangażowania społecznego lub inwestycji społecznych (CCI, Corporate Community Involvement / Investment).

Ponadto, przedsiębiorstwo odpowiedzialne społecznie, podejmując strategiczne decyzje biznesowe, bierze pod uwagę dobro i opinie interesariuszy, do których zalicza się także środowisko naturalne oraz „przyszłe pokolenia” – w praktyce oznacza to działanie zgodnie z zasadami zrównoważonego rozwoju, a więc takie gospodarowanie, które nie umniejsza możliwości zaspokojenia potrzeb kolejnych generacji. Najbardziej dojrzałe podejście do relacji z interesariuszami, zakładające wspólne z nimi planowanie i wdrażanie różnego rodzaju inicjatyw, służących wspólnemu celowi. W tradycyjnym podejściu do zaangażowania społecznego firmy dzieliły się swoimi zyskami, czyli prowadziły działania charytatywne czy też filantropijne. Współcześnie jednak poszukują rozwiązań, które poprzez odpowiednie, przemyślane rozdysponowanie środków pieniężnych na cele dobroczynne łączą wsparcie społeczeństwa ze strategią firmy i są zorientowane na poprawę jej kontekstu konkurencyjnego. Taki model nazywany jest filantropią strategiczną. Dzięki niemu firma nie tylko buduje długofalowe pozytywne relacje z otoczeniem zewnętrznym, ale także angażuje pracowników, wrażliwość na kompetencje, współpracuje z organizacjami pozarządowymi, a tym samym ma możliwość osiągnięcia korzyści daleko bardziej wszechstronnych niż przy tradycyjnym podejściu.

Najbardziej dojrzałą formą współpracy międzysektorowej jest partnerstwo – a więc współdziałanie na rzecz wspólnego celu/wspólnego dobra, w ramach którego wszystkie współpracujące strony występują na równych zasadach, a przyjmowane rozwiązania realizują w równym stopniu ich cele.

## **Co każdy z partnerów może wnieść do współpracy?**

Po stronie organizacji pozarządowych (NGO) wyróżniamy: wiedzę z zakresu budowania i zarządzania projektami społecznymi, znajomość problemów społecznych, wartości, dobrą markę, wiarygodność. Biznes angażuje: produkty bądź usługi, wsparcie finansowe, zasoby ludzkie (wolontariat pracowniczy), wiedzę z zakresu zarządzania, marketingu, PR, udostępnianie lokalu bądź urządzeń biurowych (fax, telefon, kserokopiarka itp.).

Nikt z nas nie jest w stanie przewidzieć w pełni tego, jak zmieniać się będzie świat i otoczenie biznesu w nadchodzących dekadach. Nie wiemy na ile to, o co walczymy dzisiaj, będzie ważne w przyszłości. Warto jednak zastanowić się nad trendami, które potencjalnie mogą wpływać na kształt współpracy biznesu i organizacji pozarządowych. Na podstawie naszych obserwacji i doświadczeń wytypowaliśmy kilka takich kierunków rozwoju organizacji pozarządowych, które – naszym zdaniem – należy wziąć pod uwagę myśląc o strategii działań we współpracy z biznesem na przyszłość.

### **Trendy i zarazem wyzwania dla spółek z o.o.**

#### **1. Profesjonalizacja**

Organizacje pozarządowe w Polsce stale się profesjonalizują, włączając do zarządzania metody biznesowe. Dla podmiotów funkcjonujących na coraz bardziej niestabilnym rynku, profesjonalizacja jest szansą na zwiększenie efektywności działań i lepsze relacje z partnerami po stronie biznesu. Ostatecznie, efektywność powinna być cechą nie tylko organizacji działających na zasadach komercyjnych – spółki z o.o. powinny dążyć do maksymalizacji zysku, ale również do maksymalizacji korzyści dla beneficjentów, metody pozostają jednak te same lub pokrewne jak dla PES. Dlatego też w przyszłości firmy, które nie dostosują się do wymogów rynku (tj. nie będą stale dążyć do podnoszenia swoich kompetencji w zarządzaniu) mogą mieć trudności z funkcjonowaniem w coraz bardziej złożonym i wymagającym środowisku, jakim jest rynek usług społeczno-gospodarczych.

#### **2. Specjalizacja i usługi dla spółek z o.o.**

Coraz więcej organizacji pozarządowych zdobywa unikatowe kompetencje w zakresie szeroko rozumianego zrównoważonego rozwoju i współpracuje z biznesem wspomagając przechodzenie na zrównoważone metody zarządzania. Przykładem takich działań może być wspieranie różnej wielkości firm w obliczaniu emisji dwutlenku węgla oraz offsetowaniu (neutralizowaniu tej emisji) przez organizacje wyspecjalizowane w zagadnieniach ekologicznych. Organizacje pozarządowe mogą być cennym partnerem dla wielu sektorów jako eksperci w wąskich dziedzinach wiedzy. Tego rodzaju partnerstwo może być wartościowe dla obydwu stron, zakłada wymianę wiedzy, doświadczeń i wzajemne uczenie się. „Działalność innowacyjna w przedsiębiorstwie zależy po części od różnicowa-

nia i struktury jego powiązań ze źródłami informacji, wiedzy, technologii, praktyk działania oraz zasobów ludzkich i finansowych. Powiązania pełnią rolę źródeł wiedzy i technologii dla działalności innowacyjnej przedsiębiorstw, a ich forma bywa różna: od pasywnych źródeł informacji dla dostawców wiedzy i technologii materialnej i niematerialnej po partnerstwa bazujące na współpracy<sup>7</sup>.

### 3. Standardy

W ostatnim czasie rośnie presja na firmy, szczególnie z obszaru MŚP, aby wdrażały one odpowiednie standardy etyczne i metody raportowania społecznego. Te same zasady stosują w swojej działalności również organizacje pozarządowe. Więcej – wdrażając takie same standardy organizacje staną się bardziej wiarygodne, kompetentne, a także konkurencyjne w ramach swoich obszarów specjalizacji dla firm, w tym dla spółek z o.o. Takie narzędzia jak kodeksy etyczne, standardy zarządzania relacjami z otoczeniem czy raportowanie o oddziaływaniu na środowisko są uniwersalne i mogą być stosowane przez organizacje wszelkiego typu. Szczególnie, że cechą obecnych czasów jest coraz większe zacieranie się granic między sektorami – organizacje pozarządowe prowadzą działalność gospodarczą i niekiedy funkcjonują jak małe przedsiębiorstwa, firmy z kolei włączają się w akcje społeczne, a administracja publiczna włącza profesjonalne metody zarządzania biznesowego do swoich struktur. Dlatego też od jakiegoś czasu nie mówi się już tylko o „społecznej odpowiedzialności biznesu”, ale o „społecznej odpowiedzialności organizacji” jako takich. W przyszłości łatwiej będzie porozumiewać się międzysektorowo stosując wspólne standardy.

### 4. Monitoring

Jedną z przyczyn powolnego rozwoju koncepcji CSR w Polsce i odpowiednich standardów działania biznesu jest brak organizacji profesjonalnie monitorujących działania przedsiębiorstw. Chodzi przede wszystkim o organizacje strażnicze typu watchdog, zwłaszcza takie, które posiadają wysokie kompetencje merytoryczne i potrafią nie tylko pełnić rolę strażnika, ale też profesjonalnego partnera-doradcy. Organizacje tego rodzaju, obok organizacji promujących koncepcję jako taką, mogą stać się poszukiwanymi i ważnymi partnerami zarówno administracji publicznej, jak i bardziej odważnych i postępowych przedstawicieli sektora prywatnego. W przyszłości popyt na niezależne ekspertyzy i profesjonalny monitoring będzie wzrastać, a tłem i zarazem jednym z motorów tego procesu będzie rozwój świadomości społecznej odnośnie zagadnień związanych ze zrównoważonym rozwojem. Organizacje strażnicze, potrafiące jednocześnie działać jak profesjonalne think-tanki, mogą istotnie uzupełnić i zmienić krajobraz polskiego CSR.

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<sup>7</sup> S. Skrzypek-Ahmed, Wybrane zagadnienia innowacyjności i przedsiębiorczości w nauce i praktyce, Innovatio Press, Lublin 2020.

## Rekomendacje – rekomendowane zasady dobrej współpracy

Na myśl nasuwa się łacińska sentencja *Alter alterum docet* – *Jeden uczy drugiego*. Jako partnerzy chcielibyśmy, aby w życie weszła nasza Księga zasad współpracy pomiędzy MŚP a PES, którą przez lata wielokrotnie modyfikowaliśmy i którą jeszcze nieraz będziemy uaktualniać. Oto zasady, na których opiera się współpraca:

1. Identyfikacja wyzwań
  - Firma JiZ-Lub sp. z o.o. i Fundacja CLARK mają świadomość wpływu, jaki wywierają na otoczenie, i biorą za to odpowiedzialność.
  - Firma JiZ-Lub sp. z o.o. i Fundacja CLARK ujawniają wzajemnie swoje motywacje do podjęcia współpracy oraz do działania na rzecz danej sprawy czy grupy odbiorców. To pomaga im w określeniu oczekiwanych rezultatów.
  - Obie strony akceptują wzajemnie różnice w funkcjonowaniu, strukturze organizacyjnej czy sposobie podejmowania decyzji każdego z podmiotów.
2. Definiowanie celów i form partnerstwa
  - Firma JiZ-Lub sp. z o.o. i Fundacja CLARK mają wspólną wizję tego, co chcą osiągnąć. Wyznaczają konkretne i możliwe do osiągnięcia cele, które są jasne i wspólne dla obu organizacji.
  - Podejmując wspólne działania, Firma JiZ-Lub sp. z o.o. i Fundacja CLARK ustalają jasne zasady, na których będą współpracować. Najlepiej, gdy zasady te zostaną spisane w formie umowy.
  - Partnerzy wzajemnie szanują swoje możliwości dotyczące np. zasobów finansowych, ludzkich czy ograniczeń prawnych i formalnych.
  - Firma JiZ-Lub sp. z o.o.<sup>8</sup> i Fundacja CLARK<sup>9</sup>, planując wspólny projekt, weryfikują dostępność i wystarczalność zasobów takich, jak: środki finansowe, materiały, koszty zarządzania, personel i czas do zrealizowania założonych działań.
  - We wspólne działania są zaangażowane osoby na różnych poziomach zarządzania, zarówno po stronie Firmy JiZ-Lub sp. z o.o., jak i Fundacji CLARK.
3. Tworzenie wartości wspólnej dla lokalnej społeczności
  - Wspólne działania służą przede wszystkim korzyściom społecznym.
  - Działania te powinny być oparte na diagnozie potrzeb (w szczególności potrzeb odbiorców) i możliwości ich zaspokojenia.
  - Na każdym etapie współpracy partnerzy korzystają wzajemnie z wiedzy, doświadczenia i kompetencji każdego z nich.
  - W trakcie współpracy firmy i organizacje komunikują się regularnie, w sposób jasny i otwarty, szanując nawzajem swoje opinie i różnice w funkcjonowaniu.
  - Firma JiZ-Lub sp. z o.o. przestrzega zasad uczciwej konkurencji i nie nadużywa finansowej współpracy z Fundacją CLARK dla biznesowych korzyści. „Art. 5 pkt 5.

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<sup>8</sup> <http://jiz-lub.eu/>

<sup>9</sup> <http://fundacjaclark.pl/>

Fundacja może prowadzić działalność gospodarczą w rozmiarach służących realizacji jej celów (...)”<sup>10,11</sup>.

- Podczas realizacji partnerskiego projektu utrzymana jest niezależność obu stron.
  - Firma JiZ-Lub sp. z o.o. i Fundacja CLARK podchodzą do współpracy elastycznie i wykazują gotowość do zmian – zarówno tych zachodzących w planowanych działaniach, jak i wewnątrz własnych instytucji pod wpływem projektu.
4. Ocena skuteczności – rezultaty i trwałość wartości
- Partnerzy wspólnie przeprowadzają ocenę skuteczności prowadzonej współpracy, a także wyznaczają kierunki możliwych zmian.
  - Partnerzy włączają przedstawicieli bezpośrednich beneficjentów w proces oceny, tak aby dążyć do określenia mierzalnego wpływu społecznego, środowiskowego i ekonomicznego danej inicjatywy.
  - Partnerzy mierzą korzyści społeczne, które są efektem wspólnych działań.
  - Zarówno firmy, jak i organizacje w sposób przejrzysty informują o korzyściach społecznych, a także innych uzyskiwanych ze współpracy.

## **Podsumowanie**

Wykreowanie długofalowej partnerskiej współpracy pomiędzy sektorem biznesu a sektorem organizacji pozarządowych nie wynika jedynie z dobrej woli obu stron, ale z dostrzegania obszaru wspólnych korzyści w zakresie wspierania działań na rzecz ochrony środowiska, wsparcia lokalnej społeczności. Podstawowa sprawa to określenie wspólnego przedsięwzięcia jako inwestycji w usługi społeczno-gospodarcze, wykorzystującej możliwości, zasoby, kompetencje oraz sposoby działania obu partnerów. Formalne porozumienie umożliwia mobilizowanie dodatkowych środków i zasobów na rzecz realizowanego programu, tak jak na przykład angażowanie pracowników firmy, czy też przekazywanie wiedzy i doświadczeń w konkretnych sprawach pojawiających się w trakcie realizacji. Formalna umowa zawierająca zasady współpracy pozwala również na monitoring działań i systematyczne ocenianie ich postępów, co stanowi podstawę do pogłębiania i rozszerzania współpracy.

Zarządzanie innowacjami jest kluczem do sukcesu firmy. W celu zapewnienia ciągłości działań w ramach innowacyjnych projektów przedsiębiorstwo musi systematycznie nimi zarządzać. Umożliwi to odpowiednia strategia, która musi opierać się na wcześniej przeprowadzonej analizie otoczenia. Wskazane powyżej trendy społeczno-gospodarcze oraz tendencje rozwojowe w zakresie kierunków tworzenia oraz zarządzania innowacjami mogą stać się pomocne w planowaniu strategii innowacyjnych przedsiębiorstw. Mogą również stanowić źródło inspiracji dla przyszłych badań naukowych. Reasumując firmy oraz NGO's nie powinny bać się siebie nawzajem. Współpraca pomiędzy II i III sektorem może być nie tylko korzystna dla obu

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<sup>10</sup> Ustawa z dnia 6 kwietnia 1984 r. o fundacjach (Dz.U. 1984 nr 21, poz. 97).

<sup>11</sup> <https://isap.sejm.gov.pl/>

stron, ale może stać się również początkiem stworzenia czegoś pięknego i trwałego nie tylko dla tych partnerów, ale przede i nade wszystko dla lokalnej społeczności. W myśl motta Fundacji CLARK – Anioły są wśród nas – niektórym tylko trzeba pomóc rozwinąć skrzydła.

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<https://isap.sejm.gov.pl/>

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# BEZPIECZEŃSTWO FINANSOWE PRZEDSIĘBIORSTW W KONTEKŚCIE UBEZPIECZEŃ SPOŁECZNYCH I UBEZPIECZENIA ZDROWOTNEGO

## *Financial security of enterprises in the context of social insurance and health insurance*

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### **Summary**

*Financial security of enterprises is a prerequisite for the existence and operation of an economic entity. Non-tax public charges are among the key factors affecting the financial security of enterprises. The objective of this study is to exemplify the economic burden of compulsory social insurance and health insurance contributions for enterprises and to attempt to relate their impact on financial security. The analysis also describes other non-tax charges which are part of the contributions paid to the Social Insurance Institution as well as other burdens that arise from the course of business. The state policy regarding these burdens in the current legal state is additionally presented. The analysis demonstrates that the compulsory burdens on businesses, including social insurance, health insurance, contributions to the Labour Fund and Solidarity Fund, and payments to the National Fund for Rehabilitation of Disabled Persons (PFRON), have a considerable impact on the financial security of enterprises. This is due to the fact that they increase the cost of doing business, labour costs and strain financial liquidity, which in turn affects the entity's ability to grow and often leaves companies in a position where they are unable to survive the upcoming year.*

**Key words:** *financial security, companies, social insurance, health contribution*

### **Streszczenie**

Bezpieczeństwo finansowe przedsiębiorstw jest warunkiem istnienia i funkcjonowania podmiotu gospodarczego. Jednym z kluczowych czynników, mających wpływ na bezpieczeństwo finansowe przedsiębiorstw, są pozapodatkowe obciążenia publicznoprawne. Celem opracowania jest egzemplifikacja ciężaru ekonomicznego obowiązkowych składek na ubezpieczenia społeczne i ubezpieczenie zdrowotne dla przedsiębiorstw oraz próba powiązania ich wpływu na bezpieczeństwo finansowe. Analizie poddano również pozostałe pozapodatkowe obciążenia, będące elementem

składek odprowadzanych do Zakładu Ubezpieczeń Społecznych oraz pozostałe wynikające z toku prowadzonej działalności. Przedstawiona została polityka państwa w zakresie tych obciążeń w obowiązującym stanie prawnym. Przeprowadzona analiza wskazuje, że obowiązkowe obciążenia przedsiębiorstw, jakimi są ubezpieczenia społeczne, ubezpieczenie zdrowotne, składki na Fundusz Pracy i Fundusz Solidarnościowy oraz wpłaty na PFRON znacząco wpływają na bezpieczeństwo finansowe podmiotów poprzez zwiększenie kosztów prowadzenia działalności, zwiększenie kosztów pracy oraz nadwyręzenie płynności finansowej wpływając tym samym na możliwości rozwojowe podmiotu, często stawiając przedsiębiorstwa w sytuacji, jaką jest możliwość przetrwania najbliższego roku.

**Słowa kluczowe:** bezpieczeństwo finansowe, przedsiębiorstwa, ubezpieczenia społeczne, składka zdrowotna

## Wprowadzenie

Przedsiębiorstwa działające na rynku podlegają obowiązkowym obciążeniom na cele publiczne. Instytucja państwa ma na celu zaspokojenie ogólnych potrzeb mieszkańców. Realizacja tych potrzeb jest konieczna do funkcjonowania ogółu społeczeństwa, każdej osoby czy przedsiębiorstwa. Ponoszenie obciążeń publicznoprawnych jest obligatoryjne dla każdego, bowiem charakteryzują się przymusowością, powszechnością i ogólnością. Zgodnie z Konstytucją Rzeczypospolitej „(...) każdy jest obowiązany do ponoszenia ciężarów i świadczeń publicznych, w tym podatków, określonych w ustawie”<sup>1</sup>.

Podstawową rolę odgrywa polityka podatkowa, polityka ubezpieczeniowa i polityka zdrowotna, które ze względu na charakter powszechny dotyczą każdego przedsiębiorstwa. Kluczowe znaczenie odgrywa podatek dochodowy ściśle związany z dochodem, ponieważ dochód po uiszczeniu podatków ma główne znaczenie w działalności przedsiębiorstwa. Pisze o tym W. Łączkowski: „(...) nie przychód, lecz dochód decyduje o stopniu zamożności i dlatego właśnie dochód jest najczęstszym celem podatnika”<sup>2</sup>. Ponadto, jak można zauważyć, większość preferencji podatkowych związana jest z podatkiem dochodowym, gdyż „rzadko która budowa podatku, poza dochodowym, umożliwia stosowanie odmiennego sposobu obciążania nie tylko różnych przedsiębiorstw i ich grup, ale także różnych rodzajów działalności”<sup>3</sup>.

Choć główną rolę odgrywa podatek dochodowy to znaczne uszczuplenie posiadanych środków własnych stanowią zwłaszcza składki z tytułu ubezpieczeń społecznych oraz składka zdrowotna, które przedsiębiorstwa w pierwszej kolejności zmuszone są finansować z własnych środków. Wprowadzone zmiany za pośrednictwem ustawy

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<sup>1</sup> Konstytucja Rzeczypospolitej Polskiej z dnia 2 kwietnia 1997 r. (Dz.U. 1997 nr 78, poz. 483).

<sup>2</sup> W. Łączkowski, *Budżetowe i kredytowe metody kształtowania decyzji*, PWN, Warszawa 1978, s. 128.

<sup>3</sup> N. Gajl, *Instrumenty finansowe w zarządzaniu gospodarką narodową*, PWN, Warszawa 1998, s. 177.



Nowy Ład<sup>4</sup> spowodowały, że wysokość dochodu ma znaczenie nie tylko w przypadku zapłaty podatku dochodowego, ale również jest podstawą naliczenia składki na ubezpieczenie zdrowotne.

W artykule, po wprowadzeniu w tematykę, nakreślono zagadnienie bezpieczeństwa finansowego. Następnie przedstawiono politykę państwa w zakresie ubezpieczeń społecznych i ubezpieczenia zdrowotnego oraz przedstawiono pozostałe obciążenia pozapodatkowe. W dalszej kolejności podjęto próbę określenia wpływu obciążeń pozapodatkowych na bezpieczeństwo finansowe przedsiębiorstw na podstawie wyników badań wtórnych. Podsumowanie zawiera główne wnioski z przeprowadzonej analizy.

## **Istota bezpieczeństwa finansowego przedsiębiorstw**

Warunki, w jakich funkcjonują przedsiębiorstwa stale ulegają zmianie. Wymusza to konieczność ciągłego dostosowywania się działających podmiotów do nowej rzeczywistości<sup>5</sup>, zwłaszcza na początku każdego roku podatkowego, ponieważ przedsiębiorstwa działają w warunkach niepewności finansowej i nie mają dostatecznej wiedzy, czy będą mogły bezpiecznie kontynuować rozpoczęte zadania i zrealizować nowe teraz i w dającej się przewidzieć przyszłości. Biorąc pod uwagę, że niepewność finansowa wiąże się z nietypowym podejmowaniem finansowych decyzji, niezwykle istotne jest utrzymanie bezpieczeństwa finansowego, które jest ważnym segmentem funkcjonowania społecznego i rozwoju psychicznego<sup>6</sup>.

Bezpieczeństwo w ujęciu ogólnym rozumiane jest jako stan wolny od zagrożeń<sup>7</sup>. Stan bez troski, zmartwienia, niepokoju czy zmian, przeciwieństwo chaosu<sup>8</sup>. W aspekcie makroekonomicznym bezpieczeństwo to przewidywalne perspektywy rozwoju gospodarki, charakteryzujące się płynnością finansową, stabilnością zatrudnienia i niskim poziomem bezrobocia. W ujęciu mikroekonomicznym to wypłacalność gospodarstwa domowego lub przedsiębiorstwa<sup>9</sup>. Według K. Jajuga bezpieczeństwo finansowe oznacza w ogólnej postaci brak zagrożeń w sferze finansów publicznych, finansów przedsiębiorstwa, ubezpieczeń, bankowości czy finansów osobistych gospodarstw domowych<sup>10</sup>.

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<sup>4</sup> Ustawa z dnia 29 października 2021 r. o zmianie ustawy o podatku dochodowym od osób fizycznych, ustawy o podatku dochodowym od osób prawnych oraz niektórych innych ustaw (Dz.U. 2021 poz. 2105; tzw. Polski Ład 1.0).

<sup>5</sup> B. Korzeniewska, Niestandardowe formy finansowania przedsiębiorstw, rola i decyzje wyboru, „Zeszyty Naukowe PWSZ w Płocku. Nauki Ekonomiczne” 2016; 1(23): 169-180.

<sup>6</sup> J. Idzik, R. Klepka, Bezpieczeństwo finansowe, [w:] Encyklopedia bezpieczeństwa, tom 1 A-C, O. Wasiuta, S. Wasiuta (red.), Libron, Kraków 2021, s. 301-305.

<sup>7</sup> B. Nita, A. Kaczmarczyk, P. Oleksyk, Zagrożenia utraty bezpieczeństwa finansowego przedsiębiorstw, Wydawnictwo Uniwersytetu Ekonomicznego we Wrocławiu, Wrocław 2020, s. 7-8.

<sup>8</sup> R. Rosicki, O pojęciu i istocie bezpieczeństwa, „Przegląd Politologiczny” 2010; 3: 24-32.

<sup>9</sup> K. Żukrowska, Ekonomia jako sfera bezpieczeństwa państwa, [w:] Interdyscyplinarność nauk o bezpieczeństwie, K. Raczkowski, K. Żukrowska, M. Żuber (red.), Difin, Warszawa 2013, s. 145-157.

<sup>10</sup> K. Jajuga, Wprowadzenie do nauki o finansach, [w:] Elementy nauki o finansach. Kategorie i instrumenty finansowe, K. Jajuga (red.), PWE, Warszawa 2007, s. 15.

Z kolei bezpieczeństwo przedsiębiorstwa postrzegane jest jako stan, w którym z punktu widzenia przedsiębiorcy występujące zagrożenia są na poziomie możliwym do zniesienia, pozwalającym na niezakłóconą działalność w dotychczasowym zakresie. Zagrożenia mające wpływ na bezpieczeństwo przedsiębiorstwa mają różne formy i mogą dotyczyć różnych płaszczyzn działalności przedsiębiorstwa, z których najważniejsze znaczenie ma aspekt finansowy<sup>11</sup>.

Raczkowski uważa, że w celu zapewnienia bezpieczeństwa finansowego jednostki wymagane jest posiadanie płynności finansowej, a także odpowiedniej wartości kapitałów w stosunku do skali prowadzonej działalności<sup>12</sup>. Natomiast L. Karbownik wskazuje, że kluczowe zagrożenie finansowe może być powiązane z niezdolnością danego podmiotu do pokrycia bieżących wydatków w wyniku prowadzenia podstawowej działalności operacyjnej, jak również przypadających do zapłaty w danym okresie zobowiązań finansowych, zwłaszcza związanych z występowaniem obciążeń z tytułu składek ZUS, z zatrudnieniem pracowników, podatków<sup>13</sup>. Zatem zasadna wydaje się ocena bezpieczeństwa, zwłaszcza przez pryzmat płynności finansowej, gdyż jej właściwy poziom determinuje możliwość wywiązywania się z bieżących zobowiązań w krótkim okresie, natomiast w długim horyzoncie czasowym warunkuje rozwój przedsiębiorstwa i zdolność do przetrwania w warunkach kryzysowych<sup>14</sup>.

Z kolei J. Idzik i R. Klepka zauważają, że bezpieczeństwo finansowe przedsiębiorstw rozumiane jest jako możliwość generowania zysku, co jest podstawowym celem działalności przedsiębiorstwa. Z uwagi na fakt, że pozycja finansowa przedsiębiorstwa jest rezultatem podejmowanych decyzji gospodarczych i finansowych oraz związanych z tym perspektyw, zagrożeniem dla bezpieczeństwa finansowego przedsiębiorstwa jest zazwyczaj pogarszająca się kondycja finansowa podmiotu, która prowadzi z biegiem czasu do trwałej utraty płynności finansowej<sup>15</sup>.

Bezpieczeństwo finansowe przedsiębiorstwa oprócz tego, że zależy od właściciela, zarządzających to szczególnie ważna jest stabilność otoczenia zewnętrznego, która jest jednym z podstawowych elementów jego zapewnienia. Cechą otoczenia jest między innymi to, że może działać hamująco lub stymulująco na działalność przedsiębiorstwa, jak również to, że kształtuje się niezależnie od woli człowieka. Nader istotne dla przedsiębiorców są zwłaszcza te elementy, które oddziałują wyłącznie hamująco na rozwój i utrzymanie przedsiębiorstwa powodując stały wzrost kosztów i obciążeń finansowych podmiotów gospodarczych<sup>16</sup>.

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<sup>11</sup> B. Nita, A. Kaczmarczyk, P. Oleksyk, *Zagrożenia utraty bezpieczeństwa...* op. cit., s. 7–8.

<sup>12</sup> K. Raczkowski, *Bezpieczeństwo finansowe*, [w:] *Ekonomika bezpieczeństwa państwa w zarysie*, J. Płaczek (red.), Difin, Warszawa 2014, s. 299–324.

<sup>13</sup> L. Karbownik, *Pojęcie i obszary kreowania oraz zapewniania bezpieczeństwa finansowego przedsiębiorstwa*, „Acta Universitatis Lodzianensis. Folia Economica” 2012; 267: 63–77.

<sup>14</sup> Z. Gołaś, A. Bieniasz, D. Czerwińska-Kayzer, *Stopień pokrycia zapotrzebowania na kapitał pracujący kapitałem stałym netto jako miara płynności finansowej*, „Zeszyty Teoretyczne Rachunkowości” 2010; 55(111): 59–74.

<sup>15</sup> J. Idzik, R. Klepka, *Bezpieczeństwo finansowe...* op. cit., s. 301–305.

<sup>16</sup> T. Wołowicz, *Jak reformować polski system podatkowy – mity i fakty*, „Przegląd Organizacji” 2005; 9: 28–31.

Zatem bezpieczeństwo finansowe to nie tylko niezależność finansowa przedsiębiorstwa, która w stanie nagłej potrzeby pozwala na spokojną, bezpieczną czasową egzystencję bez konieczności ubiegania się o dodatkowe środki finansowe, to również proces pozyskiwania, gromadzenia i wykorzystania środków finansowych<sup>17</sup>, dzięki którym możliwe jest kontynuowanie i rozwój działalności.

## **Polityka w zakresie ubezpieczeń społecznych**

Spośród obciążeń publicznoprawnych składki z tytułu ubezpieczeń społecznych mają szczególne znaczenie dla sektora MŚP. W Ustawie z dnia 13 października 1998 r. o systemie ubezpieczeń społecznych określone zostały zasady podlegania tym ubezpieczeniom. W ogólnym opisie ubezpieczenia społeczne to ubezpieczenia, których rolą jest zapewnienie socjalnego bezpieczeństwa osobom, które z powodu wystąpienia określonych przez prawo zdarzeń losowych (np. choroba, macierzyństwo, niepełność, starość) utraciły lub mają ograniczone zdolności do wykonywania pracy i osiągania dochodów.

Ubezpieczenie społeczne ze względu na przedmiot ubezpieczenia i wynikające z tego tytułu uprawnienia obejmuje ubezpieczenie emerytalne, ubezpieczenie rentowe, ubezpieczenie wypadkowe i ubezpieczenie chorobowe<sup>18</sup>. Rodzaje ubezpieczeń społecznych ze względu na rodzaj zdarzeń objętych ochroną ubezpieczeniową przedstawiono w tabeli 1.

**Tabela 1.** Rodzaje ubezpieczeń społecznych ze względu na rodzaj zdarzeń objętych ochroną ubezpieczeniową

| <b>Rodzaj ubezpieczenia</b>     | <b>Przedmiot ubezpieczenia</b>   |
|---------------------------------|--|
| <b>Ubezpieczenia emerytalne</b> | Ubezpieczenie na wypadek niezdolności do pracy z powodu starości. Zapewnienie dochodu w momencie zaprzestania pracy zawodowej po osiągnięciu ustalonego wieku emerytalnego przez osoby opłacające składkę. |
| <b>Ubezpieczenia rentowe</b>    | Zapewnienie świadczenia pieniężnego w postaci renty, w przypadku długotrwałej niezdolności do pracy. Zagwarantowanie środków do życia członkom rodziny w przypadku śmierci jej żywiciela.                  |

<sup>17</sup> N.A. Duraj, Wieloczynnikowa koncepcja modelu bezpieczeństwa finansowego przedsiębiorstwa, [w:] Ekonomiczne i pozaekonomiczne czynniki zarządzania wartością przedsiębiorstwa, J. Duraj, A. Sajnog (red.), Wydawnictwo Uniwersytetu Łódzkiego, Łódź 2013, s. 63-79.

<sup>18</sup> Ustawa z dnia 13 października 1998 r. o systemie ubezpieczeń społecznych (Dz. U. 2023, poz. 1230).

|                                |  |
|--------------------------------|--|
| <b>Ubezpieczenia chorobowe</b> | Otrzymanie zasiłków w określonych sytuacjach:<br>- zasiłek chorobowy – niezdolność do pracy wskutek choroby<br>- zasiłek macierzyński – z tytułu urodzenia dziecka<br>- zasiłek opiekuńczy – opieka nad członkiem rodziny<br>- zasiłek wyrównawczy<br>- świadczenie rehabilitacyjne. |
| <b>Ubezpieczenie wypadkowe</b> | Prawo do świadczeń w przypadku niezdolności do pracy powstałej w wyniku wypadku przy pracy lub choroby zawodowej.  |

*Źródło: opracowanie własne na podstawie: Ustawa z dnia 13 października 1998 r. o systemie ubezpieczeń społecznych (Dz.U.2023, poz.1230.); Ustawa z dnia 30 października 2002 r. o ubezpieczeniu społecznym z tytułu wypadków przy pracy i chorób zawodowych (Dz.U. 2022, poz. 2189); Rozporządzenie Ministra Pracy i Polityki Społecznej z dnia 29 listopada 2002 r. w sprawie różnicowania stopy procentowej składki na ubezpieczenie społeczne z tytułu wypadków przy pracy i chorób zawodowych w zależności od zagrożeń zawodowych i ich skutków (Dz.U. 2022, poz. 740)*

Obowiązek opłacania składek na ubezpieczenie społeczne dotyczy osób fizycznych prowadzących działalność gospodarczą, osób współpracujących<sup>19</sup> przy prowadzeniu działalności oraz na pracownikach. Przy czym osoby prowadzące działalność gospodarczą oraz osoby współpracujące dobrowolnie podlegają ubezpieczeniu chorobowemu. Przedsiębiorcy składki na własne ubezpieczenie społeczne finansują w całości ze środków własnych od dnia faktycznego rozpoczęcia działalności do jej całkowitego zaprzestania. Pokrywają także składki za osoby współpracujące i partycypują w opłacaniu części składek za zatrudnionych pracowników. Zasadnicze znaczenie dla określenia wysokości składek na ubezpieczenia społeczne płaconych przez przedsiębiorstwa ma podstawa wymiaru składek. Zgodnie z ustawą podstawa wymiaru składek na ubezpieczenia emerytalne i rentowe w danym roku kalendarzowym nie może być wyższa od 30-krotności prognozowanego przeciętnego wynagrodzenia miesięcznego w gospodarce narodowej na dany rok kalendarzowy<sup>20</sup>. W roku 2024 podstawa wynosi 4694,40 zł. W przypadku pracowników podstawą jest przychód.

Osoby rozpoczynające prowadzenie działalności gospodarczej mogą skorzystać z tzw. ulgi na start, w okresie maksymalnie 6 miesięcy kalendarzowych od momentu rozpoczęcia działalności gospodarczej. Skutkiem skorzystania z tej ulgi jest to, że

<sup>19</sup> Definicję osoby współpracującej zawierają przepisy ustawy z dnia 13 października 1998 r. o systemie ubezpieczeń społecznych. Za osobę współpracującą z osobami prowadzącymi pozarolniczą działalność, uważa się małżonka, dzieci własne, dzieci drugiego małżonka i dzieci przysposobione, rodziców, macochę i ojczyma oraz osoby przysposabiające, jeżeli pozostają z nimi we wspólnym gospodarstwie domowym i współpracują przy prowadzeniu tej działalności lub wykonywaniu umowy agencyjnej, bądź umowy zlecenia; nie dotyczy to osób, z którymi została zawarta umowa o pracę w celu przygotowania zawodowego.

<sup>20</sup> Ustawa z dnia 13 października 1998 r. o systemie ubezpieczeń społecznych..., op. cit.

przedsiębiorca nie jest objęty ubezpieczeniami społecznymi<sup>21</sup>, jest to całkowite zwolnienie z ich opłacania w pierwszych sześciu miesiącach działalności.

Po wykorzystaniu „ulgi na start”, przedsiębiorca (płatnik składek) może opłacać preferencyjne składki przy spełnieniu łącznie następujących warunków: przed rozpoczęciem działalności gospodarczej w ostatnich 60 miesiącach kalendarzowych nie prowadzono innej działalności oraz nie będzie wykonywana działalność na rzecz byłego pracodawcy. Wówczas preferencyjne składki mogą być opłacane przez okres 24 kolejnych miesięcy kalendarzowych. Dla tych składek podstawę wymiaru stanowi kwota nie niższa niż 30% minimalnego wynagrodzenia za pracę<sup>22</sup>. W 2024 r. podstawa ta kształtuje się na poziomie 1272,60 zł oraz 1290,00 zł w drugim półroczu. Następnie przedsiębiorca może skorzystać z opcji „mały ZUS plus”, tzn. opłacać składki na ubezpieczenia społeczne w niższej wysokości, dla których podstawę ustala się proporcjonalnie do dochodu z działalności gospodarczej zarejestrowanej w Centralnej Ewidencji i Informacji o Działalności Gospodarczej lub jest wspólnikiem spółki cywilnej, a przychód za poprzedni rok z działalności nie przekracza 120 tys. zł<sup>23</sup>.

Należy podkreślić, że z preferencji „mały ZUS plus” nie mogą skorzystać przedsiębiorcy, jeśli w poprzednim roku: prowadzili działalność krócej niż 60 dni, rozliczali się za pomocą karty podatkowej i korzystali ze zwolnienia sprzedaży z podatku VAT, podlegali ubezpieczeniom społecznym lub ubezpieczeniu zdrowotnemu także z tytułu innej pozarolniczej działalności (np. jako wspólnik spółki jawnej) oraz spełniają warunki do opłacania preferencyjnych składek, tj. od zadeklarowanej kwoty nie niższej niż 30% minimalnego wynagrodzenia lub wykonują czynności dla byłego lub obecnego pracodawcy. Obniżone składki mogą być opłacane maksymalnie przez 36 miesięcy w czasie ostatnich 60 miesięcy kalendarzowych prowadzenia działalności gospodarczej<sup>24</sup>. Powyższe rozwiązania dotyczą zwłaszcza osób fizycznych prowa-

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<sup>21</sup> Czego następstwem jest to, że gdy w tym czasie płatnik składek zachoruje, będzie się opiekować dzieckiem lub chorym członkiem rodziny, albo urodzi dziecko, nie otrzyma świadczeń z ubezpieczenia chorobowego: zasiłku chorobowego, świadczenia rehabilitacyjnego, zasiłku macierzyńskiego, zasiłku opiekuńczego. Ponadto okres, w którym nie będą opłacane składki na ubezpieczenie emerytalne, nie będzie również uwzględniony przy ustalaniu wysokości emerytury. Czas korzystania z ulgi na starcie nie zostanie również zaliczony do okresu składkowego przy ustalaniu prawa do renty z tytułu niezdolności do pracy i jej wysokości.

<sup>22</sup> Zgodnie z Ustawą z dnia 10 października 2002 r. o minimalnym wynagrodzeniu za pracę (Dz.U. z 2020 r., poz. 2207) oraz zgodnie z Rozporządzeniem Rady Ministrów z dnia 14 września 2023 r., w sprawie wysokości minimalnego wynagrodzenia za pracę oraz wysokości minimalnej stawki godzinowej w 2024 r. (Dz.U.2023, poz. 1893), minimalne wynagrodzenie w 2024 r. wynosi 4242,00 zł brutto. Wysokość kwoty, od której będą opłacane składki będzie miała wpływ na wysokość świadczeń przysługujących z ubezpieczenia chorobowego, ubezpieczenia wypadkowego (tj.: zasiłek chorobowy, świadczenie rehabilitacyjne, zasiłek macierzyński, zasiłek opiekuńczy), ubezpieczenia emerytalnego i ubezpieczeń rentowych.

<sup>23</sup> Próg ten jest proporcjonalnie niższy, jeśli prowadzono działalność gospodarczą przez część roku kalendarzowego.

<sup>24</sup> Korzystanie z opcji „mały ZUS plus”, będzie miało wpływ na wysokość świadczeń, które przedsiębiorcy przysługują z ubezpieczeń społecznych, np. zasiłku chorobowego, opiekuńczego, macierzyńskiego. Świadczenia te są obliczane od podstawy, od której opłacane są składki. Zob. Zakład Ubezpieczeń Społecznych, <https://www.zus.pl/>.

dzących jednoosobową działalność gospodarczą oraz wspólników spółki cywilnej. Ponieważ formy te dominują wśród sektora MŚP, to większość podmiotów rozpoczynających działalność może z tych przywilejów skorzystać. Wysokość składek na ubezpieczenia emerytalne, rentowe, chorobowe i wypadkowe ustalona w formie stóp procentowych od podstawy wymiaru oraz wysokość płaconych składek przez przedsiębiorców przedstawiono w tabeli 2.

**Tabela 2.** Składki ZUS dla przedsiębiorców na rok 2024 r.

| Ubezpieczenia społeczne | Zasady ogólne         |            |              |
|-------------------------|-----------------------|------------|--------------|
|                         | Podstawa wymiaru (zł) | Stawka (%) | Składka (zł) |
| Składka emerytalna      | 4694,40               | 19,52      | 916,35       |
| Składka rentowa         | 4694,40               | 8,00       | 375,55       |
| Składka chorobowa       | 4694,40               | 2,45       | 115,01       |
| Składka wypadkowa       | 4694,40               | 1,67       | 78,40        |
| <b>RAZEM</b>            |                       | 31,64      | 1 485,31     |

*Źródło: opracowanie własne na podstawie: Ustawa z dnia 13 października 1998 r. ... op. cit.; Ustawa z dnia 30 października 2002 r. ... op. cit.; Rozporządzenie Ministra Pracy i Polityki Społecznej z dnia 29 listopada 2002 r. ... op. cit.*

Miesięczna wysokość składki ubezpieczeniowej wynosi 1485,31 zł, zaś bez ubezpieczenia chorobowego 1370,30 zł. Znacznie niższa jest dla nowych przedsiębiorców i wynosi odpowiednio 402,65 zł i 371,47 zł. Przy czym należy uwzględnić zmianę wynagrodzenia minimalnego w połowie roku kalendarzowego, którego wzrost powoduje również zmianę wysokości składek na ubezpieczenia społeczne dla tych przedsiębiorstw i wynosi 408,16 zł, bez ubezpieczenia chorobowego 376,55 zł. Minimalne stawki ZUS dla nowych przedsiębiorców zostały zaprezentowane w tabeli 3.

**Tabela 3.** Minimalne stawki ZUS dla nowych przedsiębiorców w 2024 r.

| Ubezpieczenia społeczne | Styczeń–czerwiec 2024 |            |              | Lipiec–grudzień 2024  |            |              |
|-------------------------|-----------------------|------------|--------------|-----------------------|------------|--------------|
|                         | Podstawa wymiaru (zł) | Stawka (%) | Składka (zł) | Podstawa wymiaru (zł) | Stawka (%) | Składka (zł) |
| <b>Emerytalne</b>       | 1272,60               | 9,52       | 248,41       | 1290,00               | 19,52      | 251,81       |
| <b>Rentowe</b>          | 1272,60               | ,00        | 101,81       | 1290,00               | 6,00       | 103,20       |
| <b>Chorobowe</b>        | 1272,60               | ,45        | 31,18        | 1290,00               | 2,45       | 31,61        |
| <b>Wypadkowe</b>        | 1272,60               | ,67        | 21,25        | 1290,00               | 1,67       | 21,54        |
| <b>RAZEM</b>            |                       | 31,64      | 02,65        |                       | 31,64      | 08,16        |

*Źródło: opracowanie własne na podstawie: Ustawa z dnia 13 października 1998 r. ... op. cit.; Ustawa z dnia 30 października 2002 r. ...op. cit.; Rozporządzenie Ministra Pracy i Polityki Społecznej z dnia 29 listopada 2002 r. ... op. cit.*

Kolejną formą wsparcia dla przedsiębiorstw, dotyczącą ubezpieczeń społecznych, są „Wakacje od ZUS-u”. Rozwiązanie to umożliwi zwolnienie tylko przedsiębiorcy z opłacania składek na ubezpieczenia społeczne: emerytalne, rentowe, zadeklarowane wcześniej chorobowe i wypadkowe oraz Fundusz Pracy i Fundusz Solidarnościowy za wybrany, dowolny jeden miesiąc w ciągu roku, przy braku konieczności zawieszenia działalności. Wsparcie to zacznie obowiązywać od 1 listopada 2024 r. i ma odciążyć finansowo przedsiębiorców prowadzących jednoosobową działalność gospodarczą. Przy czym rozwiązanie „Wakacje od ZUS-u” skierowane jest do mikroprzedsiębiorców, wpisanych do Centralnej Ewidencji i Informacji Działalności Gospodarczej. Zatem z opcji tej będą mogli skorzystać przedsiębiorcy, którzy w miesiącu kalendarzowym poprzedzającym miesiąc złożenia wniosku o „wakacje składkowe” zatrudniali do 9 pracowników, a także wspólnicy spółek cywilnych, jeśli spełnią kryteria uprawniające do tej ulgi. Ważną informacją jest również to, że z „Wakacji od ZUS-u” będą mogli skorzystać mikroprzedsiębiorcy niezależnie od wybranej formy podatkowania.

Składki za wybrany miesiąc zostaną pokryte z budżetu państwa. Co istotne, rozwiązanie to nie dotyczy opłacania składki zdrowotnej<sup>25</sup>.

Składki na ubezpieczenia społeczne dotyczące pracowników finansowane są zarówno przez pracownika oraz pracodawcę. Podział tych składek oraz ich wysokość

<sup>25</sup> Ustawa z dnia 9 maja 2024 r. o zmianie ustawy o systemie ubezpieczeń społecznych oraz niektórych innych ustaw (Dz.U. z 2024 r., poz. 863).

przy minimalnym wynagrodzeniu<sup>26</sup>, za pracę wynoszącym odpowiednio 4242,00 zł oraz 4300,00 zł w 2024 r. zaprezentowano w tabeli 4.

**Tabela 4.** Wymiar i wysokość składek na ubezpieczenia społeczne pracodawcy i pracownika w 2024 r. przy minimalnym wynagrodzeniu za pracę

| Ubezpieczenia społeczne | Pracodawca                                   |              | Pracownik  |              | Pracodawca                                  |              | Pracownik  |              |
|-------------------------|--|--------------|------------|--------------|---|--------------|------------|--------------|
|                         | Podstawa 4242,00 zł<br>Styczeń–czerwiec 2024 |              |            |              | Podstawa 4300,00 zł<br>Lipiec–grudzień 2024 |              |            |              |
|                         | Stawka (%)                                   | Składka (zł) | Stawka (%) | Składka (zł) | Stawka (%)                                  | Składka (zł) | Stawka (%) | Składka (zł) |
| <b>Emerytalne</b>       | ,76  | 14,02        | ,76        | 14,02        | ,76   | 19,68        | ,76        | 19,68        |
| <b>Rentowe</b>          | ,50  | 75,73        | ,50        | 3,63         | ,50   | 79,50        | ,50        | 4,50         |
| <b>Chorobowe</b>        | -  | -            | ,45        | 03,93        | -   | -            | ,45        | 05,35        |
| <b>Wypadkowe</b>        | ,67  | 0,84         | -          | -            | ,67   | 1,81         | -          | -            |
| <b>RAZEM</b>            | 7,93   | 60,59        | 3,71       | 81,58        | 7,93  | 71,09        | 3,71       | 89,53        |

*Źródło: opracowanie własne na podstawie: Ustawa z dnia 13 października 1998 r. ... op. cit.; Ustawa z dnia 30 października 2002 r. ... op. cit.; Rozporządzenie Ministra Pracy i Polityki Społecznej z dnia 29 listopada 2002 r. ... op. cit.*

Małe i średnie przedsiębiorstwa występując w roli płatnika składek za własnych zatrudnionych pokrywają koszty z tytułu ubezpieczeń społecznych na poziomie 17,93% przychodu. Biorąc za podstawę minimalne wynagrodzenie za pracę w kwocie 4242,00 zł oraz 4300,00 zł – w skali miesiąca obciążenie z tytułu składek ubezpieczenia społecznego dla pracodawcy kształtuje się w wysokości 760,59 zł w pierwszej połowie roku oraz 771,09 zł w drugiej.

<sup>26</sup> Wynagrodzeniem minimalnym określa się najniższy dopuszczalny poziom wynagrodzenia pieniężnego za pracę w ciągu miesiąca. W Polsce minimalne wynagrodzenie określone jest dwa razy w roku na podstawie aktu prawnego – Ustawa z dnia 10 października 2002 r. o minimalnym wynagrodzeniu za pracę (Dz. U. z 2020 r., poz. 2207) oraz zgodnie z Rozporządzeniem Rady Ministrów z dnia 14 września 2023 r. w sprawie wysokości minimalnego wynagrodzenia za pracę oraz wysokości minimalnej stawki godzinowej w 2024 r. (Dz.U.2023, poz.1893), od 1 stycznia 2024 roku ustala się: minimalne wynagrodzenie za pracę w wysokości 4242,00 zł oraz minimalną stawkę godzinową dla umów cywilnoprawnych w wysokości 27,70 zł. Od 1 lipca 2024 r. ustala się: minimalne wynagrodzenie za pracę w wysokości 4300,00 zł oraz minimalną stawkę godzinową dla umów cywilnoprawnych w wysokości 28,10 zł. Zasady dotyczące minimalnego wynagrodzenia z umowy o pracę dotyczą zarówno pełnego etatu umowy o pracę, jak i pracy w niepełnym etacie. Minimalna stawka godzinowa oraz minimalne wynagrodzenie są o tyle ważne, że stanowią niejednokrotnie punkt odniesienia do określania innych wysokości zobowiązań pracodawcy.



Przeprowadzona analiza pozwala sformułować kilka następujących spostrzeżeń odnośnie wpływu składek z tytułu ubezpieczeń społecznych na bezpieczeństwo finansowe przedsiębiorstw.

1. Ponośzone przez przedsiębiorstwa składki na ubezpieczenia społeczne, zarówno własne, jak i za pracowników stanowią podstawowe obciążenie finansowe zwłaszcza dla przedsiębiorstw o niskich bądź nieregularnych dochodach. Składki na własne ubezpieczenie przedsiębiorcy wynoszą około 17 823,72 zł rocznie. Warto podkreślić, że składki społeczne dla przedsiębiorstw uzyskujących wysokie dochody nie są tak bardzo dotkliwe. Jednak przy zatrudnieniu pracowników wysokość obciążenia składkami na ubezpieczenia społeczne znacząco wzrasta, co jest często decydującym mechanizmem hamującym<sup>27</sup>, powodującym ograniczenie zatrudnienia.
2. Korzystny wpływ na bezpieczeństwo finansowe przedsiębiorstw mają dostępne opcje w opłacaniu niższych składek dla nowo powstałych działalności w ramach tzw. ulgi na start oraz opłacanie składek preferencyjnych przez 24 miesiące. Trzeba przyznać, że w porównaniu z maksymalnymi składkami ubezpieczenia społeczne są niskie, bowiem stanowią ok. 25% ich wartości i kształtują się na poziomie 4864,86 zł rocznie. Rozwiązanie to sprzyja zapewnieniu bezpieczeństwa finansowego na początku prowadzenia działalności poprzez zwiększenie środków do dyspozycji oraz przeciwdziałania podstawowej barierze rozpoczęcia, jaką jest niedobór środków własnych.
3. Dla kontynuujących działalność i mających stosunkowo niewielkie przychody – 120 000 zł rocznie – dostępną opcję „mały ZUS plus” należy uznać za sprzyjającą dla przedsiębiorców, jako kolejne ułatwienie, gdyż pozwala w jakimś stopniu obniżyć wysokość składek na ubezpieczenia społeczne oraz zwalnia z obowiązku odprowadzania składek na Fundusz Pracy, co pozwala zaoszczędzić 1380,12 zł rocznie z tego tytułu.
4. Przychylnym rozwiązaniem są również „Wakacje od ZUS-u”, bowiem pozwolą zminimalizować przedsiębiorcy obciążenia z tytułu składek na ubezpieczenia społeczne szczególnie w „gorszym” okresie prowadzenia działalności. Koszt składek pokryty z budżetu państwa pozwoli przedsiębiorcy, zwłaszcza w przypadku opłacania pełnych składek, na oszczędności i utrzymanie płynności finansowej. Jednak przy ułatwieniu tym należy zwrócić uwagę na formę opodatkowania, ponieważ będzie miała wpływ na wysokość korzyści odniesionych z „wakacji składkowych” m.in. w postaci wyższego podatku i wyższej składki zdrowotnej (skala podatkowa).
5. Dodatkowe obciążenie finansowe w postaci kosztów obsługi księgowej jest skutkiem obowiązku okresowego składania dokumentów rozliczeniowych. Wynika to z dodatkowego obowiązku ustalenia podstawy wymiaru składek na ubezpieczenie zdrowotne właścicieli, a także dla zatrudnionych pracowników, wiąże się to również z obowiązkiem prowadzenia dokumentacji pracowniczej, a zwłaszcza ewidencji wynagrodzeń i zwolnień.

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<sup>27</sup> A. Bera, D. Kordela, N. Marska-Dzioba, D. Pauch, *Bezpieczeństwo finansowe mikro i małych przedsiębiorstw*, Wydawnictwo Naukowe Uniwersytetu Szczecińskiego, Szczecin 2021, s. 83–84.

6. Za pozytywny wpływ na bezpieczeństwo finansowe przedsiębiorstwa należy uznać to, że opłacone składki na ubezpieczenia społeczne są kosztem podatkowym, a więc obniżają podstawę opodatkowania.
7. Ubezpieczenia społeczne zapewniają indywidualne bezpieczeństwo finansowe, ponieważ gwarantują środki finansowe po osiągnięciu wieku emerytalnego oraz zapewniają bezpieczeństwo socjalne poprzez zapewnienie opieki zdrowotnej i ochronę w czasie niezdolności do pracy.

Należy podkreślić, że ubezpieczenia społeczne są podstawowym filarem zabezpieczenia społecznego<sup>28</sup>, które mają na celu zagwarantowanie zaspokojenia podstawowych potrzeb wszystkim obywatelom danego społeczeństwa.

## **Polityka w zakresie ubezpieczenia zdrowotnego**

Drugim w kolejności obciążeniem publicznoprawnym jest powszechne ubezpieczenie zdrowotne. Ubezpieczenie to zapewnia ochronę ubezpieczeniową na wypadek ziszczenia się ryzyka socjalnego<sup>29</sup>. Ochrona ta polega na udzielaniu świadczeń opieki zdrowotnej w sytuacji zajścia ryzyka niezdrowia<sup>30</sup>, tj. wystąpienia niedyspozycji ubezpieczonego. Szczegółowe zasady podlegania ubezpieczeniu zdrowotnemu określa Ustawa z dnia 27 sierpnia 2004 r. o świadczeniach opieki zdrowotnej finansowanych ze środków publicznych<sup>31</sup>. Obowiązkowemu ubezpieczeniu zdrowotnemu podlegają między innymi osoby spełniające warunki do objęcia ubezpieczeniem społecznym, w tym osoby prowadzące działalność gospodarczą<sup>32</sup>. Przedsiębiorca, który korzysta z „ulgi na start”, z opcji „mały ZUS plus”, opłaca preferencyjne albo standardowe składki na ubezpieczenia społeczne, jest obowiązkowo objęty ubezpieczeniem zdrowotnym. Stopa procentowa składki zdrowotnej zależy od wybranej formy opodatkowania osoby prowadzącej pozarolniczą działalność gospodarczą i jest zróżnicowana zwłaszcza w obszarze możliwości jej odliczenia<sup>33</sup>.

Dla przedsiębiorstw opodatkowanych według skali podatkowej stopa procentowa składki zdrowotnej wynosi 9%, zaś przy formie opodatkowania podatkiem liniowym 4,9%. Ustawodawca określił, że osoby prowadzące działalność lub korzystające

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<sup>28</sup> A. Grzebieniak, *Polski system ubezpieczeń społecznych – zalety i wady*, „Studia Gdańskie. Wizje i rzeczywistość” 2007; 4: 97–105.

<sup>29</sup> K. Antonów, *Równość i solidarność w powszechnym ubezpieczeniu zdrowotnym na tle zmian w finansowaniu opieki zdrowotnej od dnia 1 stycznia 2022 r.*, „Roczniki Administracji i Prawa” 2023; 3: 457–476.

<sup>30</sup> J. Jończyk, *Prawo zabezpieczenia społecznego*, Wolters Kluwer, Kraków 2006, s. 17–18.

<sup>31</sup> Ustawa z dnia 27 sierpnia 2004 r. o świadczeniach opieki zdrowotnej finansowanych ze środków publicznych (Dz.U. 2024, poz. 146).

<sup>32</sup> Szczegółowy wykaz osób objętych obowiązkowym ubezpieczeniem zdrowotnym określony został w ustawie o świadczeniach opieki zdrowotnej.

<sup>33</sup> Do końca 2021 r. obowiązywały jednolite zasady ustalania podstawy wymiaru składki na ubezpieczenie zdrowotne dla wszystkich osób prowadzących pozarolniczą działalność oraz korzystających z ulgi na start. Od 2022 r. zasady te są różne.

z ulgi na start i opłacające podatek dochodowy na zasadach ogólnych, miesięczną podstawę wymiaru składki ustalają na podstawie uzyskiwanych dochodów. W przypadku, gdy miesięczna podstawa wymiaru tej składki ww. osób jest niższa od kwoty minimalnego wynagrodzenia za pracę, obowiązującego w danym roku, podstawę wymiaru stanowi kwota minimalnego wynagrodzenia. Przy tych formach opodatkowania odliczenie zapłaconej składki zdrowotnej możliwe jest tylko przy opodatkowaniu liniowym, do wysokości obowiązującego limitu w danym roku – 11 600 zł.

Przedsiębiorcy, którzy rozliczają się za pomocą ryczałtu od przychodów ewidencjonowanych w celu ustalenia wysokości składki zdrowotnej uwzględniane są dwie zmienne: wysokość przychodów przedsiębiorcy oraz przeciętne miesięczne wynagrodzenie w sektorze przedsiębiorstw za IV kwartał roku poprzedniego. Wymiar składki zdrowotnej dla ryczałtowców wynosi 9%, a podstawa wymiaru składki zdrowotnej wyliczana jest według trzech stawek: przy rocznych przychodach nieprzekraczających 60 000 zł – 60% przeciętnego wynagrodzenia; przy rocznych przychodach w przedziale od 60 000 zł do 300 000 zł – 100% przeciętnego wynagrodzenia, przy rocznych przychodach przekraczających 300 000 zł – 180% przeciętnego wynagrodzenia. Wybór tej formy opodatkowania daje możliwość odliczenia od przychodu kwoty 50% zapłaconej składki zdrowotnej. W przypadku wyboru opodatkowania działalności na podstawie karty podatkowej<sup>34</sup> podstawą wymiaru składki na ubezpieczenie zdrowotne jest kwota minimalnego wynagrodzenia obowiązującego w danym roku. Przy tej opcji opodatkowania możliwe jest odliczenie od podatku kwoty 19% zapłaconej składki zdrowotnej. Wymiar składki ubezpieczenia zdrowotnego dla poszczególnych form opodatkowania oraz możliwości jej odliczenia przedstawiono w tabeli 5.

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<sup>34</sup> Zgodnie z art. 65 ust. 1 Ustawy z 29.10.2021 r. o zmianie ustawy o podatku dochodowym od osób fizycznych, ustawy o podatku dochodowym od osób prawnych oraz niektórych innych ustaw (Dz.U. z 2021 r., poz. 2105; tzw. Polski Ład 1.0). Od 1 stycznia 2022 r. podatnicy nie mogą wybrać karty podatkowej, jako formy opodatkowania. Nie mogą też dokonać zmiany formy opodatkowania na kartę podatkową.

**Tabela 5.** Wymiar składki zdrowotnej w zależności od wybranej formy opodatkowania

| Forma opodatkowania  | Składka zdrowotna |  |   |
|--|-------------------|--|---|
|  | Stawka (%)        | Podstawa   | Odliczenia  |
| <b>Zasady ogólne</b><br><b>Skala podatkowa</b><br>(12%, 32%) | 9%                | dochód   | Brak możliwości odliczenia zapłaconej składki zdrowotnej od podatku bądź zaliczenia do kosztu uzyskania przychodu.  |
| <b>Podatek liniowy</b><br>(19%)                              | 4,9%              | dochód   | Możliwość odliczenia kwoty zapłaconych składek od dochodu lub zaliczenie do kosztów uzyskania przychodów do wysokości obowiązującego w danym roku limitu (11600 zł w 2024). |
| <b>Ryczałt ewidencjonowany</b>                               | 9%                | % przeciętnego wynagrodzenia w IV kw. poprzedniego roku w zależności od wysokości przychodów | Możliwość odliczenia od przychodu kwoty 50% zapłaconej składki zdrowotnej.  |
| <b>Karta podatkowa</b>                                       | 9%                | minimalne wynagrodzenie za pracę obowiązujące w danym roku                                   | Odliczenie od podatku kwoty 19% zapłaconych składek.  |

*Źródło: opracowanie własne na podstawie: Ustawa z dnia 27 sierpnia 2004 r. o świadczeniach opieki zdrowotnej finansowanych ze środków publicznych (Dz.U. 2004 nr 210, poz. 2135); Ustawa z dnia 13 października 1998 r. ... op. cit.*

Oprócz comiesięcznej podstawy wymiaru składki zdrowotnej dodatkowo dla przedsiębiorców wprowadzono również roczną podstawę wymiaru, rozliczenia składki zdrowotnej po zakończeniu danego roku składkowego<sup>35</sup>. Zgodnie z ustawą w świetle powstałych zmian odnośnie obliczania i odprowadzania składki zdrowotnej, przedsiębiorcy są zobowiązani od stycznia 2022 r. każdego miesiąca przekazywać do Zakładu Ubezpieczeń Społecznych dokumenty rozliczeniowe.

<sup>35</sup> Rok składkowy obejmuje okres od 1 lutego do 31 stycznia następnego roku.

Rozpatrując ciężar ekonomiczny składki zdrowotnej<sup>36</sup> ponoszonej przez przedsiębiorstwa i jej wpływ na bezpieczeństwo finansowe należy uwzględnić możliwość odliczenia składki zdrowotnej w zależności od formy opodatkowania:

1. Brak możliwości odliczenia składki zdrowotnej przez podatników, którzy rozliczają się na zasadach ogólnych (skala podatkowa), co stanowi dodatkowy ukryty podatek w wymiarze 9% oraz znaczny ubytek środków finansowych przedsiębiorcy, które mogłyby stanowić bufor bezpieczeństwa finansowego.
2. Składka zdrowotna zawsze opłacana jest w pełnej wysokości, nawet gdy działalność gospodarcza wykonywana jest tylko przez część miesiąca.
3. Możliwość odliczenia od dochodu, w ramach określonego w przepisach limitu, kwoty zapłaconych składek zdrowotnych dla osób opodatkowanych podatkiem liniowym. W 2024 r. limit ten wynosi 11 600 zł. Można uznać to za pozytyw, jednak w niektórych przypadkach przedsiębiorcy zobowiązani są płacić na ubezpieczenie zdrowotne dziesiątki tysięcy złotych, co znacznie obciąża finanse przedsiębiorstwa, a w przypadku nieregularnych dochodów w kolejnych okresach może negatywnie wpływać na płynność finansową.
4. Możliwość odliczenia od przychodu kwoty w wysokości 50% zapłaconych składek zdrowotnych przez podatników, którzy rozliczają się za pomocą ryczałtu. W tym przypadku największą bolączką jest to, że po zakończeniu roku wielu przedsiębiorców, którzy przekroczą limity przychodów ma obowiązek dokonać korekty i dopłacić składkę zdrowotną. Przekroczenie progu przychodów powoduje, że ta wyższa składka obowiązuje za cały rok. W konsekwencji po zakończeniu roku należy dopłacić różnicę w kwocie kilku tysięcy złotych. Wiąże się to z tym, że przedsiębiorca nie wie do końca, kiedy będzie musiał znaleźć dodatkowe środki na uregulowanie niespodziewanego zobowiązania.
5. Możliwość odliczania od podatku kwoty stanowiącej 19% zapłaconych składek zdrowotnych w danym roku podatkowym przez podatników, którzy rozliczają się na podstawie karty podatkowej. Pozostała część ubezpieczenia zdrowotnego niepodlegająca odliczeniu obciąża dodatkowo finanse przedsiębiorcy.
6. W przypadku braku dochodu, poniesienia straty w danym miesiącu, przedsiębiorca nadal ma obowiązek zapłacić składkę zdrowotną w wysokości 9% minimalnego wynagrodzenia za pracę obowiązującego w danym roku kalendarzowym. Pogłębia to już i tak trudną sytuację finansową przedsiębiorcy i może w dłuższym okresie prowadzić do zachwiania płynności finansowej. Należy zaznaczyć, że wprowadzone „wakacje składkowe” dla mikroprzedsiębiorstw, mające odciążyć finansowo przedsiębiorców, nie obejmują zwolnienia z opłacania składki zdrowotnej.
7. Ponadto obliczenie i opłacenie składki zdrowotnej w prawidłowej wysokości powoduje utrudnienia, związane z koniecznością właściwego ustalenia przychodów i kosztów związanych z rozliczeniem podatkowym, zwłaszcza dla prowadzących księgi podatkowe. Korekta podstawy opodatkowania podatku dochodowego pociąga za sobą korektę podstawy i wysokości składki zdrowotnej. W związku

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<sup>36</sup> R. Wolański, *Wpływ otoczenia finansowego na konkurencyjność małych i średnich przedsiębiorstw*, Wolters Kluwer Polska, Warszawa 2013, s. 280.

z tym, że faktury oraz inne dokumenty księgowe dostarczane są do przedsiębiorstwa w różnych terminach, włączając także zwykłe pomyłki, korekt może być znacznie więcej stąd pojawia się zjawisko „korekta korektą pogania”.

8. Trudności w naliczaniu składki zdrowotnej generują dodatkowe koszty dla przedsiębiorstwa a tym samym implikują ryzyko sporów z Zakładem Ubezpieczeń Społecznych.
9. Negatywną przesłanką jest również to, że przedsiębiorcy bez względu na wysokość odprowadzonej składki zdrowotnej otrzymują to samo prawo, co dotychczas – możliwość korzystania z bezpłatnych, standardowych świadczeń opieki zdrowotnej finansowanej przez Narodowy Fundusz Zdrowia.

## **Inne obciążenia publicznoprawne**

Oprócz podatków, składek ubezpieczeniowych i zdrowotnych małe i średnie przedsiębiorstwa zobowiązane są do ponoszenia innych świadczeń publicznoprawnych, takich jak:

- składka na Fundusz Pracy,
- składka na Fundusz Solidarnościowy,
- składka na Fundusz Gwarantowanych Świadczeń Pracowniczych,
- składka na Fundusz Emerytur Pomostowych,
- składka na Państwowy Fundusz Osób Niepełnosprawnych.

Obowiązkowe składki na Fundusz Pracy<sup>37</sup> i Fundusz Solidarnościowy<sup>38</sup> przedsiębiorcy opłacają za okres trwania obowiązkowego ubezpieczenia emerytalnego, ubezpieczenia rentowego, zgodnie z zasadami przewidzianymi dla składek na ubezpieczenia społeczne. W praktyce oznacza to, że MŚP płacą składkę za siebie i swoich pracowników. Składka na Fundusz Pracy wynosi 2%, a na Fundusz Solidarnościowy 0,45% podstawy wymiaru składek na ubezpieczenia emerytalne i rentowe. Składki na Fundusz Pracy i Fundusz Solidarnościowy obliczane są łącznie w wysokości sumy stóp procentowych tych składek i wykazywane w łącznej kwocie deklaracji rozliczeniowej ZUS DRA. W przypadku osób prowadzących działalność w 2024 roku jest to 115,01 zł, w odniesieniu do pracowników jest to kwota 103,93, tj. 2,45% kwoty wynagrodzenia brutto<sup>39</sup>.

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<sup>37</sup> Zasady opłacania Funduszu Pracy określa Ustawa z dnia 20 kwietnia 2004 r. o promocji zatrudnienia i instytucjach rynku pracy (Dz.U. 2023, poz. 735).

<sup>38</sup> Zasady opłacania Funduszu Solidarnościowego określa Ustawa z dnia 23 października 2018 r. o Funduszu Solidarnościowym (Dz.U. 2024, poz. 296). Obowiązek opłacania składek na Fundusz Solidarnościowy (FS) został wprowadzony 1 stycznia 2019 roku.

<sup>39</sup> Składek na Fundusz Pracy nie opłaca się za osoby, które ukończyły 55 lat (kobiety) i 60 lat (mężczyźni). Pracodawcy oraz inne jednostki organizacyjne nie opłacają składek na Fundusz Pracy za zatrudnionych pracowników powracających ze wskazanych urlopów: macierzyńskiego, urlopu na warunkach urlopu macierzyńskiego, urlopu rodzicielskiego lub urlopu wychowawczego w ciągu 36 miesięcy, począwszy od pierwszego miesiąca po powrocie pracownika z urlopu. Przez 12 miesięcy nie są opłacane składki również za pracowników, którzy ukończyli 50 rok życia i w ciągu 30 dni przed zatrudnieniem byli zarejestrowani, jako bezrobotni.

Składka na Fundusz Pracy przedsiębiorców w skali roku wyniesie około 1380,12 zł. Choć nie jest to znaczące obciążenie należy podkreślić, że dodatkowo dochodzą obciążenia z tego tytułu od każdego pracownika. Składka ta stanowi koszt uzyskania przychodów działalności gospodarczej. Środki finansowe pochodzące z tych składek w szczególności przeznaczone są na zasiłki dla bezrobotnych, rozwój pośrednictwa zawodowego, prace interwencyjne, roboty publiczne, szkolenia i przekwalifikowanie bezrobotnych, rozwój systemów informatycznych, rozwój pośrednictwa zawodowego, badania rynku pracy.

Fundusz Gwarantowanych Świadczeń Pracowniczych<sup>40</sup> dotyczy obowiązku opłacania składki za pracowników, wynosi 0,10% wynagrodzenia brutto pracownika i jest finansowana w całości przez pracodawcę-płatnika. Głównym celem tego funduszu jest ochrona roszczeń pracowniczych w sytuacji niewypłacalności pracodawcy.

Kolejny obowiązek dotyczy opłacania składek na Fundusz Emerytur Pomostowych<sup>41</sup> i dotyczy pracodawców zatrudniających pracowników urodzonych po 31 grudnia 1948 roku w szczególnych warunkach lub o szczególnym charakterze. Stopa procentowa tej składki obecnie wynosi 1,5% podstawy wymiaru składek i również jest finansowana ze środków pracodawcy.

Główną rolą Państwowego Funduszu Rehabilitacji Osób Niepełnosprawnych jest wspieranie rehabilitacji zawodowej i społecznej poprzez udzielanie osobom niepełnosprawnym usług, takich jak: doradztwo i szkolenia zawodowe, poradnictwo, pomoc w podjęciu zatrudnienia<sup>42</sup>. W art. 21 ustawy określono obowiązek uiszczania składek na ten fundusz dla przedsiębiorstw, które zatrudniają co najmniej 25 pracowników w przeliczeniu na pełny wymiar czasu pracy, natomiast wskaźnik zatrudnienia osób niepełnosprawnych w danym miejscu pracy jest niższy niż 6%. Przekazywana kwota stanowi iloczyn 40,65% przeciętnego wynagrodzenia i liczby pracowników odpowiadającej różnicy między zatrudnieniem zapewniającym osiągnięcie wskaźnika zatrudnienia osób niepełnosprawnych w wysokości 6% a rzeczywistym zatrudnieniem osób niepełnosprawnych. Zwolnieni z tego obowiązku są przedsiębiorcy, u których wskaźnik zatrudnienia osób niepełnosprawnych wynosi co najmniej 6%. Wobec powyższego przedsiębiorstwo, które nie zatrudnia osób niepełnosprawnych, zobowiązane jest obliczyć i odprowadzić składkę zgodnie z poniższym wzorem:

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<sup>40</sup> Zasady opłacania składek na Fundusz Gwarantowanych Świadczeń Pracowniczych określa Ustawa z dnia 13 lipca 2006 r. o ochronie roszczeń pracowniczych w razie niewypłacalności pracodawcy (Dz.U. 2023, poz. 1087).

<sup>41</sup> Zasady opłacania składek na Fundusz Emerytur Pomostowych określa Ustawa z dnia 19 grudnia 2008 r. o emeryturach pomostowych (Dz.U. 2023, poz. 164).

<sup>42</sup> Zasady dokonywania wpłat na Państwowy Fundusz Rehabilitacji Osób Niepełnosprawnych (PFRON) określa Ustawa z dnia 27 sierpnia 1997 r. o rehabilitacji zawodowej i społecznej oraz zatrudnianiu osób niepełnosprawnych (Dz.U. z 2024, poz. 44).

$$Kz = 40,65\% \times Pw \times (Zo \times 6\% - Zn)$$

gdzie:

- Kz – kwota zobowiązania,
- Pw – przeciętne wynagrodzenie w poprzednim kwartale,
- Zo – zatrudnienie ogółem w przeliczeniu na pełny etat,
- Zn – liczba zatrudnionych pracowników niepełnosprawnych w przeliczeniu na pełny etat.

Składka ta w poszczególnych okresach w roku 2023 wynosiła 3952,00 zł, 4106,00 zł, 4344,00 zł i 4272,00 zł, 4387,00 zł. W związku z tym w skali roku, uwzględniając wpłaty z 12 miesięcy, kształtowała się ona na poziomie około 50 457,000 zł. Obok składki zdrowotnej są to jedne z najwyższych obciążeń finansowych przedsiębiorstwa, które istotnie wpływają na bezpieczeństwo finansowe. Zwłaszcza w przypadku osiągnięcia straty znacznie nadwerężają już i tak „okrojony” budżet przedsiębiorstwa. Istotną kwestią jest również to, że ustawodawca wyłączył wpłaty na PFRON z kosztów uzyskania przychodów<sup>43</sup>. W zamian pracodawcy otrzymali możliwość obniżenia wpłat. W ustawie o rehabilitacji zawodowej i społecznej oraz zatrudnianiu osób niepełnosprawnych został wprowadzony zapis, który pozwala przedsiębiorcy na obniżenie wpłat na PFRON, w przypadku, gdy dokonanie zakupu produkcji lub usługi u pracodawcy, który: zatrudnia, co najmniej 25 pracowników w przeliczeniu na pełny wymiar czasu pracy a co najmniej 30% wynosi wskaźnik zatrudnienia osób niepełnosprawnych<sup>44</sup>.

## **Wpływ ubezpieczeń społecznych i ubezpieczenia zdrowotnego na bezpieczeństwo finansowe przedsiębiorstw**

Jednym z głównych czynników podnoszących koszty prowadzenia własnej działalności gospodarczej jest wysokość składek ubezpieczeń społecznych, ubezpieczenia zdrowotnego i pozostałych składek wynikających z obowiązku ustawowego, które przedsiębiorcy w pierwszej kolejności muszą odprowadzić w każdym miesiącu. W skali roku standardowe składki na ubezpieczenia społeczne, fundusz pracy oraz ubezpieczenie zdrowotne wynoszą w sumie ok. 24 tys. zł. Praktyka gospodarcza wyraźnie wskazuje, że jest to znaczne obciążenie zwłaszcza dla przedsiębiorstw o niskich, bądź nieregularnych dochodach, co w skrajnych przypadkach może prowadzić do utraty płynności finansowej a nawet powstania straty. Obciążenia te są również dotkliwe dla przedsiębiorstw z wysokimi dochodami, o ile składki na ubezpieczenia społeczne są standardowe dla wszystkich, o tyle wysokość składki zdrowotnej już nie. Warto nadmienić także, że duże obciążenie stanowi wpłata z tytułu PFRON. O ile pobudki opłacania tej składki są szlachetne, o tyle wysokość jej jest znacznie

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<sup>43</sup> Ustawa z dnia 26 lipca 1991 r. o podatku dochodowym od osób fizycznych (Dz.U.2024, poz. 226), art. 23 pkt 29.

<sup>44</sup> Ustawa z dnia 27 sierpnia 1997 r. o rehabilitacji zawodowej... op. cit., art. 22 ust. 1.



odczuwalna i wyraźnie podnosi koszty prowadzenia działalności oraz koszty pracy, nie bez znaczenia jest również jej wpływ na stabilność finansową w przedsiębiorstwie.

Na utratę płynności finansowej w wyniku podniesienia kosztów prowadzenia działalności wskazują badania PARP. Zgodnie z wynikami badań, w 2023 r. co czwartemu badanemu groziła utrata płynności finansowej, a 6 na 10 badanych w związku z tym nie planuje zatrudniać nowych pracowników<sup>45</sup>.

Wzrost kosztów prowadzenia działalności to również główny negatywny czynnik wpływający na przedsiębiorstwo według badań przeprowadzonych przez Ariadna<sup>46</sup> na temat prowadzenia biznesu w MŚP. Takiej odpowiedzi udzieliło 62% ogółu badanych, przy czym dla mikroprzedsiębiorstw czynnik ten okazał się najbardziej obciążający (66%). Badania zwracają także uwagę na opóźnione płatności za faktury, które wpływają z dużym opóźnieniem – 29% ogółu odpowiedzi. Zgodnie z wynikami badań 25% badanych wskazuje, że kontrahenci nie dostarczają komponentów lub usług na czas, a co piąty badany deklaruje, że ma więcej nieuregulowanych faktur od swoich kontrahentów (22%). Dla ratowania stabilności finansowej 45% badanych w pierwszej kolejności zrezygnowałoby z usług firm zewnętrznych. W ramach działań zaradczych, przedsiębiorcy zadeklarowali również sięgnięcie po inne rozwiązania np. obniżenie jakości produktów/usług lub ograniczenie zakresu oferty – 22% odpowiedzi. Warto zaznaczyć, że w wyniku wzrostu kosztów prowadzenia działalności przedsiębiorcy zadeklarowali, że dla zachowania stabilności finansowej podejmą również decyzje, które bezpośrednio dotyczą pracujących w przedsiębiorstwie, takie jak np. obniżka wynagrodzeń i zwolnienia pracowników – odpowiednio 14% i 11%. Ale w pierwszej kolejności podjęliby decyzję, jaką jest zamrożenie podwyżek dla pracowników – blisko 24% badanych deklaroowało, że sięgnie po takie rozwiązanie.

Wśród kosztów działalności istotne miejsce zajmują koszty pracy, na które wskazują badania ZPP, gdzie, według polskich przedsiębiorców, najważniejszą przyczyną niezatrudniania większej liczby pracowników w małych i średnich przedsiębiorstwach są zbyt wysokie koszty z tym związane – od 2019 r. twierdzi tak niezmiennie ponad 60% polskich przedsiębiorców, bez względu na sektor<sup>47</sup>.

Należy podkreślić, że pozapłacowe koszty pracy, tzw. klin podatkowy jest sumą danin płaconych na rzecz państwa przez pracodawcę i pracownika z tytułu umowy o pracę<sup>48</sup>. W Polsce na klin podatkowy składają się ubezpieczenia społeczne (31,64%) opłacane zarówno przez pracodawców, jak i przez zatrudnionych oraz ubezpieczenie zdrowotne (9%), które łącznie z pozostałymi składkami na fundusz pracy (2,45%) wynoszą 43,09% obciążeń związanych z zatrudnianiem pracownika. Obciążenie podatkiem dochodowym uzależnione jest od osiągniętego dochodu

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<sup>45</sup> R. Zakrzewski, J. Orłowska, J. Łapiński i wsp., Raport o stanie sektora małych i średnich przedsiębiorstw w Polsce, Polska Agencja Rozwoju Przedsiębiorczości, Warszawa 2023, s. 86–89.

<sup>46</sup> Prowadzenie biznesu w sektorze MŚP. Przedsiębiorcy wobec współczesnych wyzwań. Ogólnopolski Panel Badawczy Ariadna dla ERIF Biuro Informacji Gospodarczej, maj 2022.

<sup>47</sup> Bariery prowadzenia działalności gospodarczej w Polsce. Raport z badania ilościowego. Związek Przedsiębiorców i Pracodawców, Warszawa 2023.

<sup>48</sup> J.M. Szaban, Rynek pracy w Polsce i w Unii Europejskiej, Difin, Warszawa 2013, s. 255.

i wynosi 12% w pierwszym progu podatkowym i 32% po przekroczeniu drugiego progu podatkowego. W rezultacie wynagrodzenie dla pracownika stanowi zaledwie ok. 63% kosztów, jakie pokrywa pracodawca. Na negatywną opinię zasługuje fakt, że w 2022 r. dokonano istotnej zmiany w obszarze ubezpieczenia zdrowotnego, co znacznie zwiększyło obciążenia nakładane na pracę, a tym samym na przedsiębiorców.

Na problem dużego obciążenia przedsiębiorstw składkami na ubezpieczenie społeczne i ubezpieczenie zdrowotne wskazują również badania przeprowadzone przez rzecznika MSP<sup>49</sup> wśród samozatrudnionych, gdzie ponad 2/3 badanych (67,3%) wskazuje na zbyt wysokie składki na ubezpieczenie społeczne, tylko co piąty badany (20,4%) przedsiębiorca wskazał, że ich wysokość jest odpowiednia. Co ciekawe, choć z deklaracji respondentów w przeprowadzonych badaniach jasno wynika, że składka ubezpieczeniowa stanowi główną barierę prowadzenia działalności, to na pytanie o możliwość zrezygnowania z opłacania tych składek wiedząc, że wiąże się to z utratą prawa do odpowiednich świadczeń – odnotowano polaryzację odpowiedzi. Niewiele ponad 45% respondentów zadeklarowało chęć zrezygnowania z opłacania tych składek, gdyby istniała taka możliwość, w odniesieniu do 43% badanych, którzy nawet gdyby istniała taka możliwość, nie skorzystaliby z niej. Wynika z tego, że choć przedsiębiorcy wyraźnie wskazują na zbyt wysoką składkę obowiązujejących ubezpieczeń to mają świadomość tego, że brak opłacania tych składek wpłynie na ich indywidualne bezpieczeństwo finansowe, co jest istotne zwłaszcza w ramach prowadzenia jednoosobowej działalności gospodarczej oraz w przypadku samozatrudnienia, gdzie bezpieczeństwo finansowe przedsiębiorstwa ściśle wiąże się z bezpieczeństwem finansowym gospodarstwa domowego.

Warto zaznaczyć, jak dyktuje praktyka gospodarcza, że głównym czynnikiem wpływającym na opłacanie składki na ubezpieczenia społeczne są względy zabezpieczenia finansowego zarówno w obecnym, jak i późniejszym czasie. Szczególnie, gdy dotyczy przyszłej emerytury czy renty, w przypadku problemów zdrowotnych, a także zapewnienia środków finansowych w razie choroby lub wypadku. Analizując wskazane badania, przedsiębiorcy są skłonni ponosić koszty składek na ubezpieczenia społeczne, jednak w znacznie niższej kwocie. Respondenci wskazali na kwoty mieszczące się w przedziale 101–300 złotych (37,2%) oraz co czwarty badany wskazał na kwotę do 100 złotych oraz 301–500 złotych<sup>50</sup>.

O wysokim obciążeniu ekonomicznym przedsiębiorstw świadczy również wskaźnik wolności gospodarczej (IEC), w którym Polska zajmuje 42 miejsce pozostając w górnej części kategorii państw „umiarkowanie wolnych”<sup>51</sup>. Polska wciąż zмага się

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<sup>49</sup> <https://rzecznikmsp.gov.pl/rzeczник-malych-i-srednich-przedsiębiorców-proponuje-wprowadzenie-dobrowolności-skladek-zus-w-polsce/> [dostęp: 30.03.2024].

<sup>50</sup> Ibidem.

<sup>51</sup> Indeks wolności gospodarczej (Index of Economic Freedom) publikowany przez „The Wall Street Journal” i Heritage Foundation odzwierciedla restrykcyjność przepisów oraz zakres stosowania przymusu przez aparat władzy w sferze gospodarki w 176 państwach świata. Indeks ocenia 50 różnych czynników, które wpływają na poziom wolności gospodarczej podzielonych na 10 głównych kategorii: polityka handlowa, obciążenia podatkowe, interwencje rządu w gospodarce, polityka pieniężna, przepływ kapitału i inwestycje zagraniczne, bankowość i finanse, płace i ceny, prawa własności, regulacje prawne, aktywność czarnego rynku. [https://www.heritage.org/index/ranking?trk=public\\_post\\_comment-text](https://www.heritage.org/index/ranking?trk=public_post_comment-text) [dostęp: 7.02.2024].

z barierami administracyjnymi, wysokimi kosztami pracy, wysokimi obciążeniami podatkowymi oraz problemami w zarządzaniu finansami publicznymi. Opinię tę potwierdzają również badania przeprowadzone wśród mikroprzedsiębiorstw, na temat oceny uwarunkowań prawnych prowadzenia działalności gospodarczej<sup>52</sup>, co najmniej 74% badanych negatywnie oceniło każdy z czynników: kierunek zmian i przejrzystości przepisów prawnych, polityka rządu i władz lokalnych, przepisy zatrudnienia i prawa pracy, załatwianie potencjalnych sporów sądowych, stabilność oraz przejrzystość systemu podatkowego.

## **Podsumowanie**

Ostatnio wprowadzone zmiany podatkowe i niejasności interpretacyjne wpływają negatywnie na perspektywę działalności przedsiębiorstw. Prowadzenie działalności w warunkach zwiększonej niepewności i chaosu podatkowego powoduje u przedsiębiorstw obawy, co do przetrwania kolejnego roku. Największą bolączką są obowiązkowe ubezpieczenia społeczne a zwłaszcza ubezpieczenie zdrowotne, które w połączeniu z pozostałymi obowiązkowymi obciążeniami stanowią znaczny wzrost ogólnych kosztów prowadzenia działalności. Choć należy podkreślić, że przedstawione ulgi w opłacaniu składek na ubezpieczenia społeczne stanowią okresowe odciążenie finansowe przedsiębiorstw to tylko w niewielkim zakresie rekompensują składki na ubezpieczenia społeczne, które rosną co roku w wyniku wzrostu płacy minimalnej i prognozowanego przeciętnego wynagrodzenia.

Labilność prawa powoduje, że w dużym stopniu zostaje zachwiane poczucie bezpieczeństwa finansowego przedsiębiorstw, które działają w warunkach niepewności zarówno finansowej, jak i gospodarczej. Na przestrzeni ostatnich dwóch lat najważniejszą zmianą niekorzystną dla przedsiębiorstw jest zwiększenie ciężaru ekonomicznego poprzez mechanizm ustalania podstawy i obliczania wysokości składki zdrowotnej oraz ograniczenie, a w wybranych przypadkach całkowity brak jej odliczenia. Spowodowało to, że powstała „kompozycja zdrowotna” stała się dla przedsiębiorstw dodatkowym podatkiem zdrowotnym. Im bardziej przedsiębiorcom zależy na prowadzeniu działalności, tym bardziej cierpią z powodu nakładania większych obciążeń. Wszak nadmierny wzrost publicznoprawnych zobowiązań, zwłaszcza w zakresie ubezpieczeń społecznych i ubezpieczenia zdrowotnego, jest zagrożeniem dla bezpieczeństwa finansowego przedsiębiorstwa.

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<sup>52</sup> B. Korzeniewska, Ocena uwarunkowań prawnych w świetle zjawiska pasywności kredytowej mikroprzedsiębiorstw, „Nauki Ekonomiczne” 2023; 37: 169–181.

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## CONCEPT OF URBAN DEVELOPMENT POLES AND THEIR SUSTAINABILITY WITHIN GLOBAL ECONOMIC FLOWS

### *Koncepcja biegunów rozwoju miejskich i ich trwałość w ramach globalnych przepływów gospodarczych*

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#### **Streszczenie**

Rozdział ma na celu przedstawienie koncepcyjnych podstaw biegunów rozwoju miejskich oraz uzasadnienie ich zrównoważoności w globalnych przepływach gospodarczych. Rozważa on powstanie ontologii biegunów rozwoju miejskich w retrospektywie historycznej. Autorzy proponują klasyfikację współczesnych biegunów wzrostu i biegunów rozwoju w zależności od ich wewnętrznej zawartości, rodzaju polaryzacji i inicjacji, zakresu umiędzynarodowienia oraz wpływu na środowisko. W rozdziale podkreślono pozytywne i negatywne efekty biegunów rozwoju oraz ich powiązania w ramach osi rozwoju. Zrównoważoność biegunów rozwoju miejskiego w kontekście globalizacji rozpatrywana jest z perspektywy współczesnych wersji regionalizmu.

**Słowa kluczowe:** *bieguny rozwoju, bieguny wzrostu, osie rozwoju, globalna i światowa sieć miast, regiony miejskie, glokalizacja, zrównoważony rozwój*

#### **Summary**

The paper aims to highlight the conceptual background of urban development poles and to argue their sustainability within global economic flows. It considers the emergence of the ontology of urban development poles in a historical retrospective. The authors propose a classification of the modern growth poles and the development poles depending on their internal content, type of polarization and initiation, the scope of internationalization, and the environmental impact. The paper emphasizes the positive and negative effects of the development poles and their connectivity within the development axes. The sustainability of the urban development poles in the context of globalization is considered from the perspectives of the contemporary versions of regionalism.

**Key words:** development poles, growth poles, development axes, global and world city network, city regions, glocalization, sustainable development

## **Introduction**

Despite the expectations of the early 1990s, globalization has failed to replace completely the geographical “space of places”. The economic and political events of the last decade have marked a certain revenge of disintegration processes in the global society and have led to an increase in the relevance of glocalization and fragmentation discourses. The return to the practice of trade and investment protectionism by the world’s leading powers, the rise of numerous far-right political forces to power, the aggravation of military conflicts, separatist movements, and other factors cause some pessimism among researchers and strengthen the modern form of “agoraphobia” and “return to history” among practitioners. Nevertheless, the global “space of flows” remains an objective reality that permeates the local “space of places”, transforming it and transforming itself in the process.

A key feature of globalization is the ability of regional production structures to capitalize on the localized effects of agglomeration, stimulating the emergence and long-term consolidation of specific conditions, assets and opportunities that form a transnational capital which becomes a kind of “space” for the dominant accumulation of globalized capital. The spatial concentration of production (whether it was formed as a result of the exploitation of certain local resources and markets or arose spontaneously as a result of gravitational processes) can be seen as a basic prerogative of glocalization, since local poles form their own unique environment, which, however, is under the permanent influence of national and global flows. At the same time, the spatial dispersion of production is now an increasing manifestation of globalization, since with the development of transport, data transmission and process control technologies, the geographical distance becomes less of a barrier, and thus, the centripetal gravitational processes will gradually become more blurred. However, there is a growing threat that too high trade costs will move from the spatial dimension to the inter-civilizational or inter-block dimension, i.e. the dispersion of production within the megaregions will occur in parallel with restricted interregional flows and the creation of new “buffer zones”, “walls”, or “curtains”. Accordingly, researchers are renewing their interest in the concept of the development poles, which embody the local sustainable development in the context of internationalization.

## **The emergence of the ontology of urban development poles**

Considering the economic category “growth / development pole”, we can distinguish two meanings:

- narrow – as a generalization of the postulates of the concept of growth poles developed by representatives of the French school of spatial economics in the



1950s and 1970s (mainly the category “growth pole” is used for this period, not “development pole”);

- broad – as an element of the spatial structure that, due to certain characteristics, becomes a gravitational center for investment or population mobility. Such characteristics of the elements may include high population size or density, economic potential, modern transport and technical infrastructure, skilled labor force, presence of industrial sectors with high added value, research institutes and higher education institutions, etc.

Emphasizing the main conceptual stages, we note that the term “growth pole” was first used by the Perroux<sup>1</sup> in his work “Notes on the Concept of Growth Poles”. Although some researchers consider an earlier work by Perroux, published in 1950, to be the primary source<sup>2</sup>.

Perroux formulated a set of important methodological provisions that should form the basis of the economic policy based on the theory of growth poles. He is of the opinion that “(...) growth does not occur everywhere at once, but is manifested in points or poles of growth with variable intensity and spreads through different channels with varying effects on the economic system”. As a result, countries become “constellations” of development poles with areas of their spread, which “(...) form a combination of driving and active units and relatively passive and moving systems, they are structured economic ensembles, and the less their structure is taken into account in theory, the more they are considered identical and homogeneous systems and the less the risks and opportunities for economic development of countries are taken into account in practice”<sup>3</sup>.

It should be emphasized that such a locational focus affects the development poles differently, as territorial agglomeration adds its own specific effects. A powerful agglomeration pole can modify not only its immediate geographical environment, but also the national economy and cause the emergence of new “centers of accumulation and agglomeration of human resources and fixed capital”. Various changes affect both positively and negatively the “territorially agglomerated pole”<sup>4</sup>. Thus, a pole that was a center of growth can become a center of stagnation. In other words, when market conditions change, the concentration of resources in the pole sometimes does not become an advantage, but rather a disadvantage.

The formation and functioning of growth/development poles have a pronounced territorial link, but there is a “conflict between the economic spaces of large economic units (poles, industries, firms) and the politically organized spaces of nation-states”<sup>5</sup>. Such poles do not coincide geographically with the borders of countries and their growth depends on imports, exports, supply centers, and markets that are external to the national territory.

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<sup>1</sup> F. Perroux, Note sur la notion de pôle de croissance, “Economie Appliquee” 1955; 8.

<sup>2</sup> F. Perroux, *L'économie du Xxe...* op. cit.

<sup>3</sup> *Ibidem*.

<sup>4</sup> *Ibidem*.

<sup>5</sup> F. Perroux, *L'économie du XXe*, Presses Universitaires de France, Siècle, Paris 1961.

The emergence of the pole-territory-management chain is not accidental, since “(...) the concept of a “development pole” will be valid only if it becomes a tool of analysis and a means of policy”.

In the theory of polarized development, an important factor that ensures economic success is the development of a human capital. Thus, Perroux<sup>6</sup> argues that for the emergence of an “economically progressive society” it is not enough to strengthen the technological and economic development of territories, but also to ensure “the active transformation of people by people”.

Despite his considerable scientific achievements, Perroux never managed to formulate a complete version of the theory of polarized development, although its main aspects are reflected in a rather large and structured work “Multinational Investment and Analysis of Development Poles and Integration Poles” (1968). However, numerous followers of Perroux also failed to formulate a theory of polarized development. In particular, Friedmann<sup>7</sup> published “General Theory of Polarized Development”, which hardly justifies its ambitious title, despite the breadth of issues covered. For example, Moseley<sup>8</sup> in his monograph on polarized development did not set out to generalize the experience of his predecessors. The failure of early attempts to implement strategies based on the principles of the development poles led to the fact that in more recent studies, researchers have tried to “distance themselves” from the conceptual (or rather terminological) tools of the theory of polarized development. However, it should be emphasized that in terms of its ideological content, the modern paradigm of regional and spatial development (meaning, first of all, the direction based on the development of the ‘new economic geography’) is in many ways similar to the early hypotheses of Perroux.

Most of the early works on growth poles do not clearly distinguish between poles that are a manifestation of the peculiarities of a dynamic spatial economy (the so-called “natural” or “spontaneous” growth pole) and the pole that serves as a key element of a strategy aimed at improving the functioning of regional economic systems (i.e. the “planned” or “induced” pole). The concept of the natural pole was introduced in works by Perroux, who viewed growth in the economy as the result of the consequences of disequilibrium and dominance, which necessarily occur spatially unevenly. In particular, the following opinion of Perroux became widespread: “Growth does not occur everywhere in the same time period; it occurs at certain points or poles of growth and with different intensities; it spreads through different channels with different overall effects on the entire economy”<sup>9</sup>.

The growth pole was initially described as a complex of sectors interconnected by input-output relations, in which there is a pronounced dominant “propulsive industry” (French: *industrie motrice*), which is the engine of development of the entire

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<sup>6</sup> F. Perroux, *L'économie du Xxe...* op. cit.

<sup>7</sup> J. Friedmann, *A general theory of polarized development*, ILPES1967.

<sup>8</sup> M. J. Moseley, *Growth Centers in Spatial Planning: Pergamon Urban and Regional Planning*, Elsevier 2013.

<sup>9</sup> F. Perroux, *Note sur la notion...* op. cit.

complex due to its ability to generate innovations and stimulate (while dominating) “propelled industry” (French: *industries mues*) within the complex. To a large extent, Perroux<sup>10</sup> interpreted the growth poles in relation to the abstract economic space, the concept of which he had developed earlier. Within this space, polarization was assessed by the intensity of intra- and inter-firm transactions. However, this researcher was fully aware that this economic space can also exist in the form of a territorial unit, so he paid considerable attention to the aspects of increasing spatial concentration, the effects of interregional disparities and the impact of the growth pole on the environment<sup>11</sup>. This emphasis is similar to the early work on the Ruhr region<sup>12</sup> and in the later works of this author<sup>13,14</sup>.

The concept of growth poles in geographic space was continued in the works of Hansen<sup>15</sup> and Hermansen<sup>16</sup> as well as in the studies of numerous representatives of the French school of economic geography, in particular Paelinck<sup>17</sup>, Aydalot<sup>18</sup> and Boudeville<sup>19</sup>. However, their conclusions are not always unambiguous. For example, in the typical definition of the time, the geographical pole of growth was considered as: “(...) a set of sectors characterized by economic growth, located in an urban area and stimulating further development of economic activity within their area of influence”<sup>20</sup>.

This definition raises a number of questions. First, can urban centers, represented by dynamic sectors, indeed not be interpreted as growth poles if they do not induce positive effects within their area of influence (i.e. there is no so-called “common occurrence”)? Secondly, if the answer is yes, would such seemingly typical growth poles as London, New York and Paris in the nineteenth century or Atlanta, Lyon and Munich in the twentieth century? The above definition reflects the tendency to interpret a growth pole in geographic space as an urban center that has the characteristics of a pole in abstract economic space. However, such an approach creates an unreasonable and analytically poorly measurable limitation, which makes the concept lose all potential usefulness for regional economic analysis.

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<sup>10</sup> F. Perroux, Economic Space: Theory and Applications, “The Quarterly Journal of Economics” 1950; 64(1): 89-104.

<sup>11</sup> F. Perroux, Note sur la notion... op. cit.

<sup>12</sup> F. Perroux, Matériaux pour une analyse de la croissance économique, “Cahiers de l’ISEA” 1952; D(9): 132-143.

<sup>13</sup> F. Perroux, L’économie du Xxe... op. cit.

<sup>14</sup> F. Perroux, The pole of... op. cit.

<sup>15</sup> N. M. Hansen, An evaluation of growth-center theory and practice, “Environment and Planning A” 1975; 7(7): 821-832.

<sup>16</sup> T. Hermansen, Development Poles and Related Theories: A Synoptical Review, UNRISD 1971.

<sup>17</sup> J. Paelinck, La théorie du développement régional polarize, “Cahiers de l’Institut de Science Économique Appliquée” 1965; 15(159): 5-47.

<sup>18</sup> P. Aydalot, Note sur les économies externes et quelques notions connexes, “Revue économique” 1965; 16(6): 944-973.

<sup>19</sup> J. R. Boudeville, Problems of regional economic planning, Edinburgh UP, Edinburgh 1966.

<sup>20</sup> J. R. Boudeville, Problems of regional... op. cit.

In reality, it is sufficient to consider a growth pole as any urban center (with a population above a certain minimum threshold) that exhibits specific growth features (in absolute and relative terms) without specifying the growth base and with effects in the areas of influence<sup>21</sup>. Contrary to the views of many researchers, we do not believe that there should be a complete correspondence between abstract economic space and geographic space. In our view, a certain level of structure (and hence polarization) of economic space can polarize into different structures of geographic space. Conversely, the growth pole in the geographic space is a separate unit with its own properties which takes on different forms of manifestation in the economic space.

By the mid-1960s, this vision of a growth pole in geographic space began to take on a normative character. The main attention was paid to the possibility of forming strategies of growth poles, the cornerstone of which was the activation of planned (induced) poles. Two main aspects should be emphasized here.

First, it was believed that the development of a regional or national economy through the mechanism of cyclical causation is associated with concentration and polarization tendencies. This implies that it is sufficient to focus on a small number of centers in investment activities to ensure the necessary conditions for development. A significant finding was the acknowledgement that the economic development is conditioned by the spatial structure of the economy, and for many regional economies, an increase in the level of production concentration is a necessary condition for development<sup>22</sup>. This understanding did not correspond to the traditional approach of the time, which was aimed at stimulating decentralization and deconcentration, often in terms of depopulation of metropolitan areas and so-called river basins.

Secondly, following the views of Perroux, scholars argued that the location of the production should be planned in the area of a firm's activity that belongs to a propulsive sector (i.e. a dynamic, innovative and important "locomotive" sector), which will stimulate the development of related sectors and lead to the diffusion of growth within the zone of influence.

These early growth pole strategies have one major drawback. Based on the assumption that a geographic growth pole is a mere subspecies of an economic pole, scholars believed that a natural geographic growth pole could easily be replaced by a planned pole by "implanting" propulsive sectors and infrastructure development in selected urban centers. This general misunderstanding has led to an unrealistic perception of the growth pole and its potential effects. Sometimes, it was even assumed that the mere activation of a planned growth pole would automatically lead to the manifestation of most (if not all) characteristics of a natural geographical pole – the ability to innovate, attract capital from other regions, and create a favorable environment for entrepreneurs with a growth-oriented "mindset". In other words, the phenomena associated with natural growth poles have been presented as arguments in favor of creating planned poles. In this aspect, special attention should be paid to the

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<sup>21</sup> J. B. Parr, Growth poles, regional development, and central place theory, "Papers in Regional Science" 1973; 31(1): 173-212.

<sup>22</sup> J. Friedmann, Locational aspects of economic development, "Land Economics" 1956; 32(3): 213-227.

issue of scale: in order to start manifesting the effects of a natural growth pole, a certain “critical mass” is required (traditionally, the minimum population is believed to be over 250 thousand people), while strategies for planned growth poles were often developed for settlements with a much smaller population.

## Typology of development poles

It must be admitted that Perroux’s theory of polarized development is characterized by terminological oversaturation and confusion<sup>23</sup>, as he employed a wide range of terms in his publications that are similar in meaning, namely: “growth pole”, “development pole”, “development axis”, “development zone”, “integration pole”, etc.

In his early work<sup>24</sup>, Perroux<sup>25</sup> uses the term “points of development” as an integrating concept, which unites “(...) the poles of development (simple or complex units), the zones of development and the axes of development”. However, in his further research, he still tends to apply the concept of “pole” and at the same time prefers “development poles” to “growth poles”. Thus, in his works, this scholar emphasizes the “qualitative” changes rather than the “quantitative” growth.

It is worth noting that in the modern interpretation of the theory, the poles are sometimes divided into two categories according to their semantic understanding:

- the “growth pole” is characterized by a quantitative description of the territorial concentration of economic activity and is measured by absolute or relative GDP parameters;
- the “development pole” focuses primarily on the qualitative parameters of human capital.

However, for the most part, modern research papers and strategic documents use a single term – “development pole” – that combines the characteristics of both of the above categories. Perroux<sup>26</sup>, as evidenced by his later explanations, also took the same position.

It is also crucial to distinguish between the concepts of natural and planned growth poles. In the early years of the growth pole concept, these were often considered to be identical, with the same principles of functioning. The emergence of numerous terms with similar meanings, such as: “growth point”, “growth center”, “growth zone”, “development pole”, “development center”, etc. Some authors, in particular Darwent<sup>27</sup>

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<sup>23</sup> This terminological diversity can be explained by the fact that the work “The Economy of the XX Century” is a collection of articles. Although it attempts to systematize the author’s vision of polarized development, this work rather reflects the evolution of Perroux’s views.

<sup>24</sup> This article was first published in 1959 and was included in the collection “*The Economics of the Twentieth Century*” as a chapter on “Points of Development and Pockets of Progress”.

<sup>25</sup> F. Perroux, *L’économie du Xxe...* op. cit.

<sup>26</sup> F. Perroux, The pole of development’s new place in a general theory of economic activity [in:] *Regional economic development*, Routledge 2017, p. 48-76.

<sup>27</sup> D. F. Darwent, Growth poles and growth centers in regional planning-A review, “*Environment and Planning A*” 1969; 1(1): 5-31.

and Higgins<sup>28</sup>, proposed the parameters for the conceptual distinction of these categories, but their proposals were not implemented in the scientific community. It is also necessary to clarify that it is occasionally difficult to draw a clear boundary between the planned and the natural growth poles. For example, a center that already demonstrates certain properties of a natural growth pole may be chosen as the target of a planned pole strategy. Accordingly, if the strategy is successful, the planned pole may become identical to the natural pole in terms of the sector growth rates, the development of intersectoral relations, the attraction of capital and labor, the spontaneity of the growth nature and planned dominant role of the pole in the economic and social development of the region, etc.

Growth pole theorists generally consider four types of polarization that determine the development of both the “center” and the “periphery”:

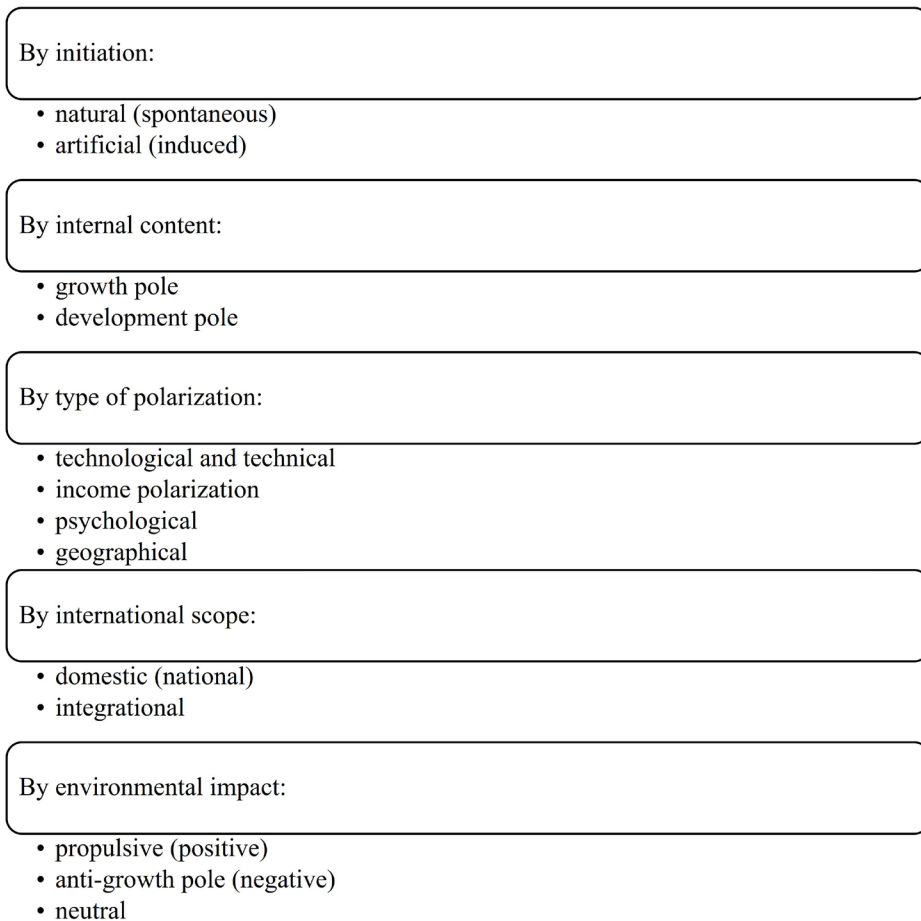
- technological and technical – based on the concentration of new technologies (both production and consumer) at the poles;
- income polarization – concentration and growth of revenue at the poles based on the expansion of services and circular relationships between demand and profitability;
- psychological – based on optimistic expectations about the future demand in a propulsive or stimulated region;
- geographical – based on the concentration of economic activity in a geographically determined space<sup>29</sup>.

To summarize a brief theoretical overview of the category of growth poles, we present their typology, which reveals the main aspects of the formation of these poles, their manifestation, environmental impact, etc. (figure 1).

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<sup>28</sup> B. Higgins, *Pôles de croissance et pôles de développement comme concepts opérationnels*, “*Cahiers Vilfredo Pareto*” 1971; 9(24): 89-108.

<sup>29</sup> J. Adamčík, *Growth poles...* op. cit.



**Figure 1.** Typology of development poles

*Source: formed by the author*

An important aspect of the growth pole strategies that the researchers have not reached a consensus on is the potential effect of the growth poles on the rest of the region. However, we believe it is appropriate to distinguish the category of “anti-growth poles”, which can sometimes be considered as poles that negatively affect their neighborhoods. However, the term “anti-poles” is frequently defined as a set of processes of local depopulation and deconcentration (or a significant reduction in the economic efficiency or social responsibility of territorial structures) under the influence of certain market circumstances or government interventions (for instance, the creation of local special economic zones)<sup>30</sup>.

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<sup>30</sup> H. Godlewska-Majkowska, A. Komor, M. Tupa, Special Economic Zones as Growth and Anti-Growth Poles as Exemplified by Polish Regions, “Entrepreneurial Business and Economics Review” 2016, 4(4): 189.

It is worth noting that the category of “development poles” is often identified with other forms of agglomeration, such as clusters, creative regions, local production systems, etc. The research literature contains a large number of their classifications (for a brief overview of this issue, see Lishchynskyi<sup>31</sup>). Researchers have not reached a consensus on whether the relatively small cluster-type alliances should be considered as the development poles. In our study, we put less emphasis on the structure of the agglomeration (it is empirically poorly measured) and focused on the aspect of the size of the agglomeration, regardless of its type.

## **The effects of developmental poles**

In the majority of early works, scientists typically assumed that the impact of the poles on the remainder of the territory will be beneficial<sup>32</sup>. After all, the very idea of the growth poles is based on the notion that a powerful center should bring benefits to the surrounding areas. However, the problem is that in practice, planning poles have often failed to support this claim. At least some of the misunderstandings in this regard stem from a not entirely proper interpretation of the seminal work of F. Perroux. When he argued that the growth spreads from the pole to the surrounding economic system, he was primarily referring to inter-sectoral and intra-industry flows, not to the spatial dimension. The territorial aspect becomes more pronounced in the later works of this researcher. Historical experience confirms that the pole’s influence can also be both neutral and negative.

Considering the positive effects of the overflow of the planned poles, we point out the presence of many common features with the classical “spread effects” of Myrdal<sup>33, 34</sup> and “trickling-down effects” by Hirschman (1958)<sup>35</sup>. The following section will examine the impact of the production of cheaper goods in the planned pole (as a result of a more efficient production system, part of which may be characterized by the promotion of import substitution) and better provision of public and private goods. Both types of effects can be viewed as leading to higher incomes for households in the neighborhood and as reducing costs for enterprises in the neighborhood. The further favorable impact is largely explained by the growth multiplier effect at the pole, which is projected to the neighborhood and manifests itself (e.g. in the increased purchases of raw materials and increased household demand for food from the neighborhood). Thus, in this case, the multiplier effect is generated by the growth

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<sup>31</sup> I. O. Lishchynskyi, *Innovative forms of agglomeration of production: Clusters and creative regions* Bulletin of Ternopil National Economic University” 2010; 5(1): 158-166.

<sup>32</sup> J. B. Parr, *Growth-pole Strategies in Regional Economic Planning: A Retrospective View: Part 2. Implementation and Outcome*, “Urban Studies” 1999; 36(8): 1247-1268.

<sup>33</sup> G. Myrdal, *Economic theory and underdeveloped regions*, Gerald Duckworth 1957.

<sup>34</sup> The idea of development spreading from the center to the surrounding areas.

<sup>35</sup> The notion that the poorest members of a community will ultimately benefit from the increased wealth of its richest members.



of incomes associated with the growth of activity in the neighborhood and the increase in local expenditures within the neighborhood.

Other potential spillover effects are related to the mechanism of harmonization of production factors in the region. Among them is an increase in the possibility of switching with the planned pole at a greater distance (even if on a weekly rather than daily schedule). Again, at medium distances, the multiplier effect discussed above occurs due to the increase in income and expenditures of households whose members participate in pole-to-pole switching. However, once a certain critical distance from the pole is reached, switching ceases to be a viable option, and the option of migration to the pole is activated. In such cases, the outskirts may still benefit in the form of remittances from migrants or an increase in per capita income due to the depopulation of overpopulated rural areas. From the perspective of the center, it becomes possible to invest the savings of the outskirts in its location, which will stimulate the retention of capital in the region. Although this does not directly benefit the neighborhood, it again activates the above multiplier effect. In the long run (perhaps even beyond the typical planning horizons), the neighborhood can benefit from the capital flight from the poles, which becomes possible if the planned pole is successful and rents and factor prices increase significantly<sup>36</sup>.

Of course, there is no certainty that the above-mentioned advantages of the growth poles policy will materialize in practice. It is possible that the activation of the planned poles will have a greater impact on the markets of other regions, attracting their capital and labor force (especially specialist skills) and/or targeting external markets. Under such conditions, the pole can be assessed as successful in terms of investment criteria, but its impact on the neighborhood will be minimal or zero. Poles with such properties are called “enclaves”<sup>37</sup>, “islands of development”<sup>38</sup> or “cathedrals in the desert”<sup>39</sup> and their creation cannot be seen as an example of a successful strategy if it was focused on regional dispersion of growth.

More important is the consideration of the negative effects of the overflows of the planned poles, which include, first of all, the classical “backwash effects” of Myrdal<sup>40</sup> and “polarization effects” by Hirschman (1958). The development of large-scale and low-cost firms in the planned poles, which are oriented mainly to foreign markets, can displace the business of less efficient small firms in the neighborhood that used to supply the regional market. In addition, the continued concentration of industry in the pole contributes to the reorientation of production in the pole (previously based on the use of raw materials and semi-finished products from peripheral firms) to a consolidated or vertically integrated

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<sup>36</sup> V. Kuryliak, I. Lishchynskyy, M. Lyzun, N. Komar, *Benchmarking of local production systems in Eastern Europe and Ukraine*, 2017.

<sup>37</sup> M. E. Conroy, *Rejection of growth center strategy in Latin American regional development planning*, “*Land Economics*” 1973; 49(4): 371-380.

<sup>38</sup> T. Fair, *A regional approach to economic development in Kenya*, “*South African Geographical Journal*” 1963; 45(1): 55-77.

<sup>39</sup> J. B. Parr, *Growth-pole Strategies...* op. cit.

<sup>40</sup> G. Myrdal, *Economic theory...* op. cit.

system within the pole, which will lead to a reduction in the imports from the periphery and, consequently, to a reduction in employment opportunities. Similarly, the growth of demand in the planned pole, combined with improvements in regional transportation, leads to an over-concentration of public and private service institutions in the “center”, which may be a disadvantage for some peripheral firms and households. These effects are exacerbated by the changes in the structure of interregional trade flows, which potentially leads to a reorientation of firms at the poles to extra-regional resources, while consumers at the poles often prefer imported goods due to the rising incomes (in both cases, we are talking about the so-called “import penetration”). In addition, labor migration from the outskirts to the planned pole, due to its selective nature, causes the outflow of the most entrepreneurial and productive members of society, worsening the competitive position of the periphery. The same situation is observed with the outflow of capital to the center, which leads to a decrease in investment opportunities and the destruction of the existing economic activity in the region.

Thus, Perroux<sup>41</sup> in his studies also systematized the effects of the poles. He noted that “(...) growth and development (...) manifest themselves at certain points from which “launching effects” (French: *effets d'entraînement*) or “braking effects” (French: *effets de freinage*) can spread”.

Summarizing the above, we can assume that both positive and negative effects of the growth poles on the surrounding region are simultaneously observed<sup>42</sup>. At the same time, the configuration and intensity of their mutual influence vary over time and are determined by factors such as the overall level of development of the region, the nature of the existing sectoral structure, the degree of mobility of production factors, and the shape of the regional spatial structure, taking into account the interregional connections. Nevertheless, a certain generalization of the impact of the planned pole is still possible. First, many types of spillover effects are extra-regional in nature, while most of the trickle-down effects can be characterized as inter-regional. Second, over a certain period of time, the spillover and the trickle-down effects of planned poles tend to be simultaneous, and thus, it can be concluded that there is some overall net impact, which may be favorable, neutral or positive. Third, there may be a systematic temporal variation in the net impact of the planned pole on the neighborhood. Fourth, during the early activation period, the impact of the planned pole on the overall performance of the region tends to be positive, but at the same time the impact of the pole on the neighborhood is negative.

Today, researchers emphasize that the principle of the growth/development poles should not be considered as a universal scheme of economic progress and the presence of a growth pole is not a prerequisite for economic growth<sup>43</sup>. In support of the latter statement, Adamčík<sup>44</sup> cites the examples of Switzerland (where the tourism

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<sup>41</sup> F. Perroux, *L'économie du Xxe...* op. cit.

<sup>42</sup> G. L. Gaile, The spread-backwash concept, “Regional Studies” 1980; 14(1): 15-25.

<sup>43</sup> J. Vystoupil, Prognózy a modely in regionálním rozvoji, ESF MU 2003.

<sup>44</sup> J. Adamčík, Growth poles. Online: [https://is.mendelu.cz/eknihovna/opory/zobraz\\_cast.pl?cast=62146](https://is.mendelu.cz/eknihovna/opory/zobraz_cast.pl?cast=62146).

sector is not concentrated in the poles, but rather evenly distributed throughout the territory) and Denmark (its prosperity is not associated with the activities of large propulsive companies).

## **The idea of development axes**

The theory of growth/development poles is inextricably linked to the theory of “development axes”, which were mentioned briefly by Perroux<sup>45</sup>. A more thorough and autonomous concept of development axes (corridors) was proposed by Pottier<sup>46</sup>. He observed that the territories situated between the development poles and offering transportation connections between them receive additional incentives for development due to the increased cargo flows, the spread of innovations and infrastructure development. Together, the development poles and axes form the spatial framework of the region.

However, the works of Perroux and Pottier became known mostly only in the French-speaking academic community of the 1960s. The concept of “axes of development” became widespread among a wider range of scholars after the publication of Hilhorst<sup>47</sup>, who agreed with Pottier that the main components of the transportation network should be:

- route;
- infrastructure;
- traffic flow.

However, in his opinion, in order to obtain the status of a full-fledged axis, it is necessary that these components be characterized by more than regional dimensions. Thus, in terms of the route, an axis should connect different regions or parts of continents (in the second case, such an axis would consist of more than one highway and connect centers with key activities). A combination of different types of transport links and their junctions, gas stations, service and repair facilities, hotels, motels, etc. characterize the infrastructure along the axes. The traffic flow should also include population mobility and goods flows. Population flows will generate potential demand at all nodes (not necessarily becoming full-fledged development poles) along the axis and initiate new activities to meet this demand. The flows of goods will stimulate production in the lower-cost support and service sectors. The route along the axis eventually becomes an area with relatively lower transportation costs.

According to Richardson<sup>48</sup>, economic agglomeration is enhanced along the axis, price gaps are minimized, transportation costs are reduced, and economies of scale

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<sup>45</sup> F. Perroux, *L'économie du Xxe...* op. cit.

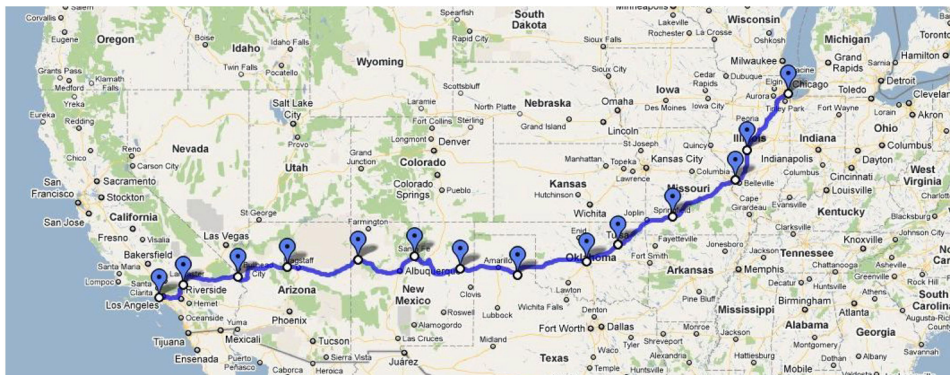
<sup>46</sup> P. Pottier, *Axes de communication and développement économique*, “Revue économique” 1963; 14(1): 58-132.

<sup>47</sup> J. Hilhorst, *Development Axes and The Diffusion of Innovation*, “Development and Change” 1973; 4(1): 1-16.

<sup>48</sup> H. W. Richardson, *Growth centers, rural development and national urban policy: A defense*, “International Regional Science Review” 1978; 3(2): 133-152.

for activities are extended. The presence of the axis raises to a new level the efficiency of the places/nodes/cities through which the axis passes, especially at each of its extreme points. In a later work, Richardson<sup>49</sup> clarifies that at first, the comparative advantages of at least the “starting point” are strengthened, followed by the growth at each of the extreme points of the axis. The next stage will be the significant economic growth approximately in the middle of the axis segment, and after that, the growth will occur in locations along the entire length of the axis.

At the same time, the canonical theory of development axes cannot fully explain the mechanism of growth of individual nodes along the axis, and especially the fact that in reality, the economic growth in all nodes is different despite the relatively equal traffic of population and the economic flows along the axis. The principle of the second stage of development of the growth processes of the axis nodes (i.e. the gradual formation of a third growth pole in the middle of the segment between the two extreme poles), proposed by G. Richardson, is not always true. This is especially evident in the United States, where nodes/poles often develop according to the “edge cities” scheme<sup>50</sup> and “edgeless cities”<sup>51</sup> and “regional cities”<sup>52</sup> without any particular reference to the location on the development axis. However, it should be clarified that the United States also has the typical development axes. The best example is probably the famous Route 66 (the so-called “Main Street of America”) between Chicago and Los Angeles, the construction of which stimulated the active transformation of its nodes into full-fledged development poles in the early twentieth century (figure 2), including Las Vegas, which is located somewhat away from the highway. A similar axis stretches along the east coast of the United States.



**Figure 2.** Route 66 as an example of the axis of development in the United States

Source: created by the author using Google Maps

<sup>49</sup> H. W. Richardson, National urban development strategies in developing countries, “Urban Studies” 1981; 18(3): 267-283.

<sup>50</sup> J. Garreau, Edge city: Life on the new frontier, “American Demographics” 1991; 13(9): 24-31.

<sup>51</sup> R. E. Lang, J. LeFurgy, Edgeless cities: Examining the Noncentered metropolis, “Housing Policy Debate” 2003; 14(3): 427-460.

<sup>52</sup> P. Calrthorpe, The Regional City. Island Press, Washington-Covelo-London 2001.

Furthermore, a substantial body of empirical evidence exists to support the phenomena and processes described by the theory of axes of development. Perhaps the most obvious examples of typical “corridors” are observed in Western Europe and their origin dates back to the era of Ancient Rome. In this context, it is worth noting the current study by Dalgaard et al.<sup>53</sup> which demonstrated the existence of a positive correlation between the density of ancient Roman roads built almost 2,000 years ago and modern poles and axes of development (estimated on the basis of the parameters of the density of modern transport infrastructure, population density, and intensity of lighting at night). This dependence is especially evident in the regions of France. The researchers noted that the roads in the Roman Empire served not so much to provide connections between existing settlements as to provide logistical support for the movement of the army’s convoys. In other words, the settlements often appeared afterwards, in places of high traffic intensity and at the intersection of transportation routes. It should be emphasized that the correlation between historical infrastructure and the prosperity of locations decreases to statistically insignificant in regions that were not dominated by wheeled transport powered by oxen or horses after the collapse of the Roman Empire. For example, in North Africa and the Middle East, where trade and migration flows were carried out mainly by camel caravans, the role of ancient Roman roads is not particularly noticeable. The above study by Dalgaard and his co-authors serves as a good illustration of not only the importance of transport infrastructure development for local development, but also how durable the development poles can be. The confirmation of the incredible resilience of economic and human agglomerations is also provided in the works of Olsson & Hibbs<sup>54</sup>, Maloney & Valencia<sup>55</sup> who empirically show that the locations that were successful in the pre-industrial period are typically characterized by the relatively higher welfare today.

In the more recent period, the theory of axes of development has not been developed as a separate, autonomous paradigm, and the explanation of phenomena and the processes from its conceptual field has been fragmented by a number of related theoretical models.

## **Sustainability of development poles in the context of globalization**

A key feature of globalization is the ability of regional production structures to capitalize on the localized effects of agglomeration, stimulating the emergence and the long-term consolidation of specific conditions, assets and opportunities that form transnational capital, which becomes a kind of “space” for the dominant

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<sup>53</sup> C. J. Dalgaard, N. Kaarsen, O. Olsson, P. Selaya, Roman roads to prosperity: Persistence and non-persistence of public goods provision, “*Journal of Comparative Economics*” 2022; 50(4): 896-916.

<sup>54</sup> O. Olsson, D. A. Hibbs, Biogeography and long-run economic development, “*European Economic Review*” 2005; 49(4): 909-938.

<sup>55</sup> W. F. Maloney, F. Valencia Caicedo, The Persistence of (Subnational) Fortune, “*The Economic Journal*” 2016; 126(598): 2363-2401.

accumulation of the globalized capital. In today's interdependent globalized world, regions have become the drivers of national and international competitiveness, and progressive territorial planning is associated with high expectations for achieving prosperity, overcoming entrenched spatial imbalances, and the gradual spread of democratic rights<sup>56</sup>. In contemporary academic and political discourse, regional-national-global interactions are considered within the framework of an approach called "new regionalism"<sup>57,58,59,60</sup>. Although most of these publications focus on the aspects of "macro-regionalism" (i.e. the geo-economic and geopolitical positioning of individual states and their integration associations, formation of the world order, etc.), the processes of formation of mesoregions and city-regions form a separate territorial direction of the "new regionalism". It is worth noting that the regional aspect in the latter direction is traditionally covered from two main perspectives:

- strengthening the role of the state as a welfare engine in regional economies, as described in the defining work of Ohmae<sup>61</sup>;
- the formation of a "regional world" as postulated by Storper<sup>62</sup> in which regions rather than states are considered the fundamental units of economic, social and political life.

The combination of research perspectives of regionalists and international economists began to be observed in the 1970s when attempts were made to justify the deindustrialization of old industrial regions<sup>63</sup>. Mutual interest intensified in the 1980s and 1990s when studying the aspects of the emergence of high-tech sectors and territories, the emergence of the "Asian tigers" phenomenon, and the globalization processes in general. During this period, the so-called "heterodox paradigm" was formed, which considers the specifics of the regional development from the perspectives other than the neoclassical or Keynesian mainstream. Within the heterodox paradigm, the problem of economic development of regions, states and the globalized world is divided into several multilayered empirical and theoretical areas of interaction, united by the framework of the so-called "holy trinity" of the regional economy: technology – organization – territory (figure 3).

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<sup>56</sup> A. J. Scott, J. Agnew, E. W. Soja, M. Storper, *Global city-regions*, Oxford University Press, Oxford 2001.

<sup>57</sup> N. Brenner, B. Jessop, M. Jones, G. Macleod, *State/space: A reader*, John Wiley & Sons 2008.

<sup>58</sup> M. Keating, *The new regionalism in Western Europe: Territorial restructuring and political change*, E. Elgar Cheltenham, UK 1998.

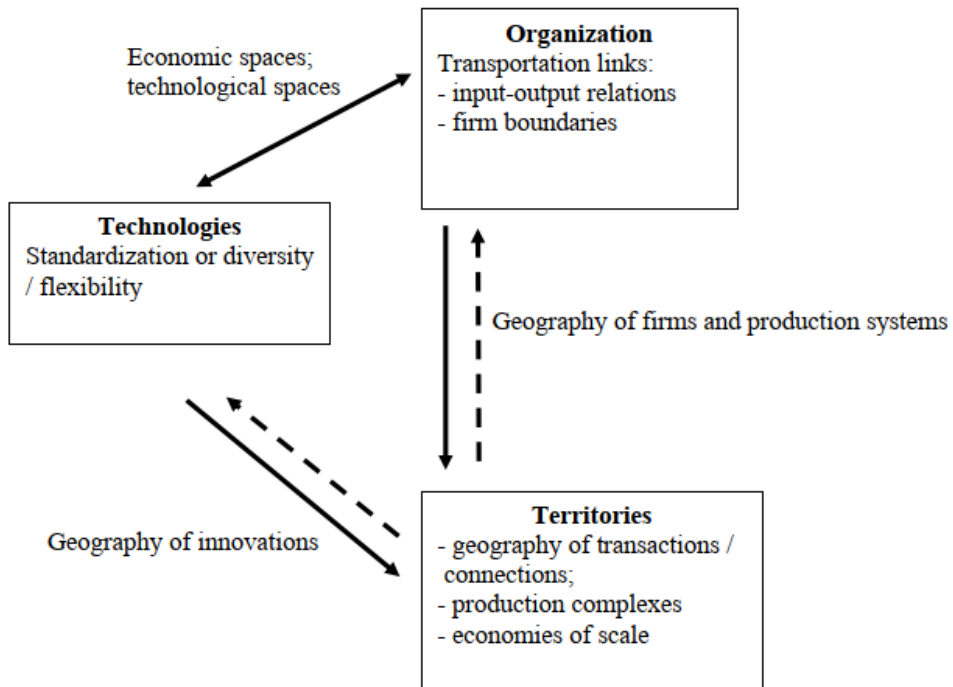
<sup>59</sup> F. Söderbaum, T. M. Shaw, *Theories of New Regionalism: A Palgrave Reader*, Palgrave Macmillan UK, 2003.

<sup>60</sup> T. A. Borzel, T. Risse, *The Oxford Handbook of Comparative Regionalism*, Oxford University Press 2016. Borzel & Risse argue that after the global financial crisis, we should talk about the next stage of the evolution of the "new regionalism" – "comparative regionalism".

<sup>61</sup> K. Ohmae, *The End of the Nation State: The Rise of Regional Economies*, Simon and Schuster 1995.

<sup>62</sup> M. Storper, *The regional world: Territorial development in a global economy*, Guilford press 1997.

<sup>63</sup> R. D. Norton, J. Rees, *The product cycle and the spatial decentralization of American manufacturing*, "Regional Studies: The Journal of the Regional Studies Association" 1979; 13(2): 141-151.



**Figure 3.** The “blessed trinity” of the heterodox paradigm

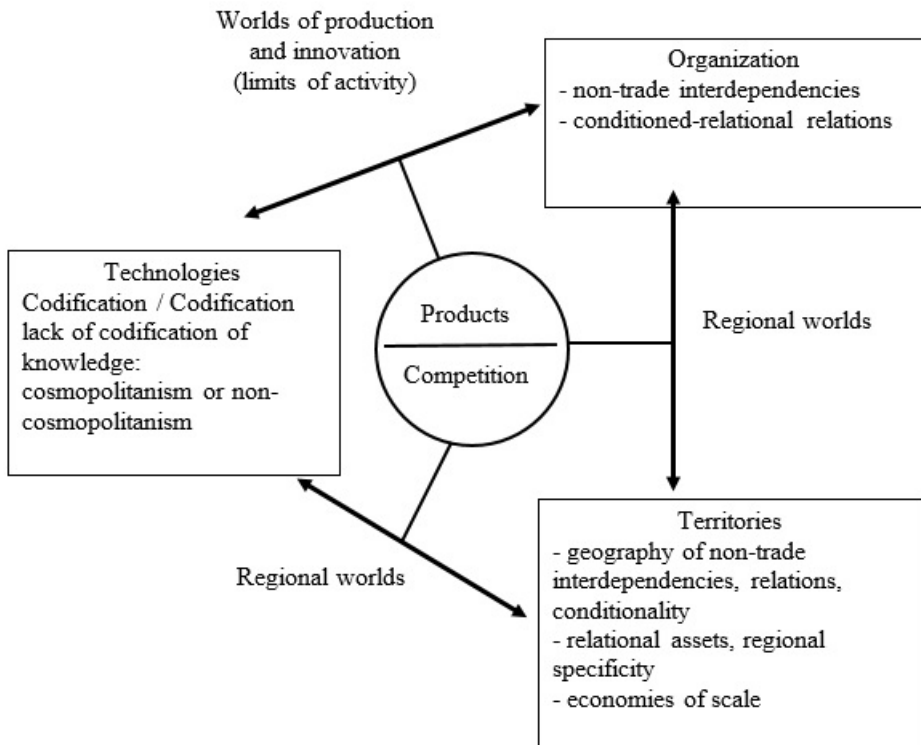
Source: M. Storper, *The regional world: Territorial development in a global economy*, Guilford press 1997

Thus, technologies (or, more precisely, technological changes) have come to be seen as the main drivers of the structural transformations in the territorial economic development; the emergence and the disappearance of new products and production technologies occurs within the specific territories and largely depends on their ability to generate specific innovations. Technological changes, accordingly, modify the cost-price ratio of the production process, including its location structure. Organizations, primarily firms and their networks, combining with each other in production systems, not only become dependent on the territorial context of tangible or intangible resources, but are also characterized by a greater or lesser degree of relational closeness between them (firms are often characterized by transactional structures with blurred boundaries; complex systems of ownership and asset matching; and growth-maximizing behavior)<sup>64</sup>. Regardless of whether we are considering “poles” or peripheral regions (as well as sectors), territories can be determined by strong or weak local interactions and the spillover effects between factors, organizations, or technologies.

<sup>64</sup> The angle of “organization” in the “blessed trinity” is essentially a reflection of the ideas of Peru’s early growth pole model combined with the more modern postulates of the input-output model.

However, as Storper<sup>65</sup> has noted, the heterodox regional economic theory in its pure form was too mechanistic with rigid physics and geometry of system inputs and outputs. Instead, the researcher proposes to complement it with a focus on relational rather than material assets, which are limited and difficult to obtain and imitate. This approach is called a “reflexive” or “relational turn”. This change in conceptual metaphor is reflected in each of the elements of the “blessed trinity” of the regional economy (figure 4):

- “technology” begins to denote not only the tension between the scale and diversity, but also the contradictions between codified and uncoded knowledge; the basic properties of technology, in addition to diffusion and application, also include learning and initiation;
- in addition to institutional intertwining, blurred boundaries, and input-output relations, “organizations” are also characterized by non-tradable interdependencies;
- territorial effects are not only generated on the scale of the global economy and are related to input-output relations, but are also shaped by the proximity of non-trade relations within the areas of technology and organization.



**Figure 4.** The “blessed trinity” of M. Storper’s reflexive turn

Source: M. Storper, *The regional world... op. cit.*

<sup>65</sup> M. Storper, *The regional world... op. cit.*



According to Storper, the modern economy is a complex organizational puzzle consisting of a set of “worlds” that overlap with each other. Thus, the combination of the characteristics of “technologies” and “organizations” forms, on the one hand, the “world of production”, which results in a product as a result of conventional and relational activities; and, on the other hand, the “world of innovation”, which develops within the physical and intellectual capabilities of the existing innovation system. “Organizations”, accordingly, shape the regions through their locational behavior and are simultaneously the products of the institutional environment of their locations (this statement is also true for multilocation firms). Thus, the “regional worlds of production” are formed (some typical examples are Hollywood, wine regions in many European countries, specialized light industry areas in Italy, etc.).

The development of “technologies” in the territorial dimension depends on the relationship between codification and economic diffusion, as well as between innovation and tacit knowledge (acquired through learning by doing). The dominance of the first factors of both pairs promotes the territorial spread of technologies, while the second factors are characterized by a restraining influence, and in their aggregate, these factors lead to the formation of “regional innovation worlds”. It is worth noting that in the “blessed trinity” model of the regional economy (as opposed to the Mundell-Fleming “blessed trinity” model<sup>66,67</sup> in the monetary sphere), situations of simultaneous combination of all three characteristics are possible. The model of “worlds of regions” and “regional world” in Storper’s model symbolized the zenith of the orthodox “new regionalism” and dominated the academic and political discourses in the late twentieth century primarily for the excessive autonomy of the regions and the diminished role of the governments<sup>68,69,70</sup>. In response to the criticisms, an updated vision of the postulates of the new regionalism was formed, according to which the main catalysts of post-Fordist growth dynamics, as well as the primary social, political and economic formations of the world level are not so much regions as a separate type of them – the so-called “global city regions” or, in other words, “global city-regions”<sup>71</sup>.

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<sup>66</sup> J. M. Fleming, Domestic Financial Policies under Fixed and under Floating Exchange Rates (Politiques financières internationales avec un système de taux de change fixe et avec un système de taux de change fluctuant) (Política financiera interna bajo sistemas de tipos de cambio fijos o de tipos de cambio fluctuantes), “IMF Staff Papers” 1962; 9(3): 369-380.

<sup>67</sup> R. A. Mundell, Capital Mobility and Stabilization Policy under Fixed and Flexible Exchange Rates, “The Canadian Journal of Economics and Political Science / Revue canadienne d’Economie et de Science politique” 1963; 29(4): 475-485.

<sup>68</sup> C. Hadjimichalis, Non-economic factors in economic geography and in ‘new regionalism’: A sympathetic critique, “International Journal of Urban and Regional Research” 2006; 30(3): 690-704.

<sup>69</sup> J. Harrison, Re-reading the new regionalism: A sympathetic critique, “Space & Politics” 2006; 10(1): 21-46.

<sup>70</sup> G. MacLeod, New regionalism reconsidered: Globalization and the remaking of political economic space, “International journal of urban and regional research” 2001; 25(4): 804-829.

<sup>71</sup> A. J. Scott, J. Agnew, E. W. Soja, M. Storper, Global city-regions... op. cit.

The renewal of regional emphasis in the context of globalization is often associated with the transition from the study of geographically embedded political and administrative regions of the “old” world to the “new” world of more networked (urban) regions. In the academic literature, this change was very noticeable and vibrant. Researchers called this transition as follows:

- from “new regionalism” to “unusual regionalism”<sup>72</sup> or to “new regionalism version 2.0”<sup>73</sup>;
- from formal regional planning spaces to new “soft” planning spaces<sup>74</sup>;
- from the “regional world” to the “new regional world”<sup>75</sup> or “regional worlds”<sup>76</sup>;
- from “spaces of places” to “spaces of flows”<sup>77</sup>;
- from the “territorially embedded” to the “relational and unbound” concept of regions<sup>78</sup>.

The transition becomes especially noticeable in the works of the same researchers over a period of several years. Thus, the leading advocate of the postulates of the new regionalism, Scott<sup>79</sup>, abandoned the idea of a “global mosaic of regional economies” in favor of a “mosaic of large city-regions” that emerges as globalization progresses<sup>80</sup>. According to Scott and his followers, the inevitability of the formation of city-regions is associated with the tendency of transnational economic activity to crystallize in territorially specific production complexes. Since the 1970s, major urban regional production complexes (i.e. metropolitan clusters of economic, social, and political activity) have dominated the management and control of the global circulation of capital accumulation, becoming the centers of both geoeconomic power and wealth generation. Accordingly, the emergence of the globalized cities as drivers of national and international competitiveness and associated wealth has led to the expansion of the leading cities into large global city-regions consisting of a set of functionally interconnected traditional cities. In particular, Harrison<sup>81</sup> points out that the rapid development of large urban regions in China has become an accelerator of global economic integration,

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<sup>72</sup> L. Deas, A. Lord, From a new regionalism to an unusual regionalism? The emergence of non-standard regional spaces and lessons for the territorial reorganization of the state, “Urban Studies” 2006; 43(10): 1847-1877.

<sup>73</sup> J. Harrison, A. Grove, From places to flows? Planning for the new ‘regional world’ in Germany, “European Urban and Regional Studies” 2014; 21(1): 21-41.

<sup>74</sup> P. Allmendinger, G. Haughton, Soft spaces, fuzzy boundaries, and metagovernance: The new spatial planning in the Thames Gateway, “Environment and Planning A” 2009; 41(3): 617-633.

<sup>75</sup> J. Harrison, Configuring the new ‘regional world’: On being caught between territory and networks, “Regional Studies” 2013; 47(1): 55-74.

<sup>76</sup> M. Jones, A. Paasi, Regional Worlds: Advancing the Geography of Regions, Routledge 2017.

<sup>77</sup> M. Castells, The Rise of the Network Society. The Information Age: Economy, Society, and Culture Volume I (Information Age Series), Blackwell, London 1996.

<sup>78</sup> A. Amin, Regions unbound: Toward a new politics of place, “Geografiska Annaler: Series B, Human Geography” 2004; 86(1): 33-44.

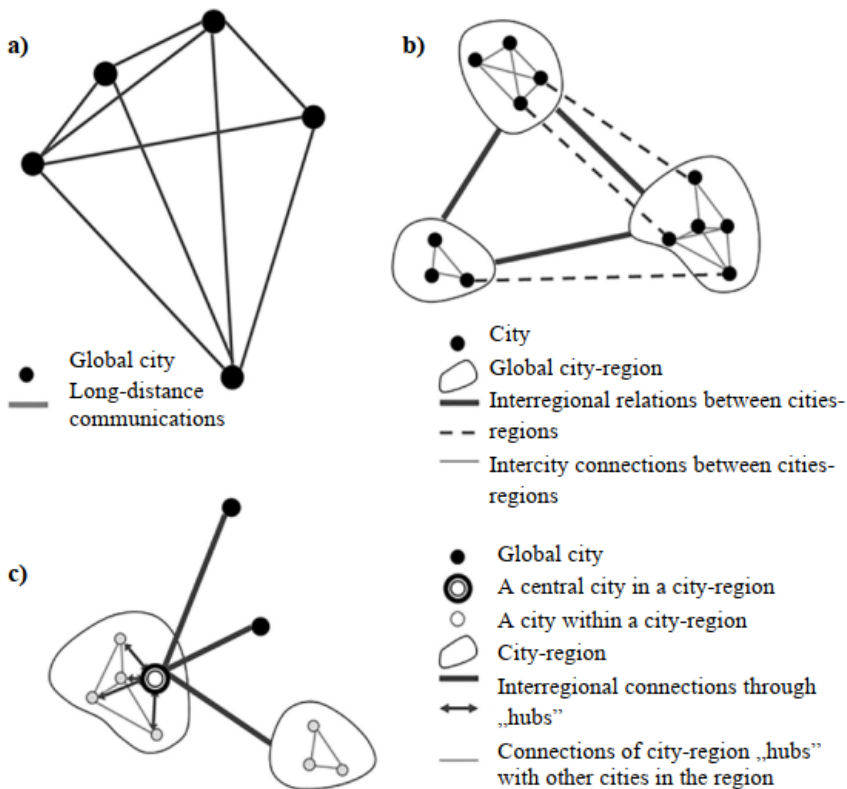
<sup>79</sup> A. J. Scott, Regions and the world economy, Oxford University Press, Oxford 1998.

<sup>80</sup> A. J. Scott, Globalization and the rise of city-regions, “European planning studies” 2001; 9(7): 813-826.

<sup>81</sup> J. Harrison, Towards the new ‘regional world’, “Polyzentrale Stadtregionen-Die Region als planerischer Handlungsraum. Arbeitsberichte der ARL” 2012; 3: 10-21.

which is manifested in the fact that the network of social relations has gone far beyond their traditional scalar organization through governments, and the rapid urbanization has led to the expansion of metropolitan landscapes far beyond traditional urban boundaries, which together form a new spatial geography of cities and regions in the early twenty-first century.

Researchers have identified several types of connections between the city-regions and the global cities, which ultimately lead to the globalization of the economic relations. For example, fig. 5a presents the first type of connections in the style of the developers of the “Global and World Cities (GaWC) network”<sup>82</sup> according to which the main factor of globalization is long-distance connections between firms providing “advanced producer services (APS) firms”. For example, London’s path to the status of a global city is based primarily on the numerous interconnections of the London headquarters of large MNCs with their branches and partners around the world.



**Figure 5.** Options for the spread of globalization processes through the network of cities-regions

Source: after Y. Cheng, R. LeGates, *China’s hybrid global city region pathway: Evidence from the Yangtze River Delta*, “*Cities*” 2018; 77: 81-91

<sup>82</sup> P. J. Taylor, B. Derudder, *World city network: A global urban analysis*, Routledge 2015.

Fig. 5b depicts a diagram of the second type of linkages, the main nodes of which are not cities, but city-regions according to their political and functional boundaries. Thus, the connections of firms and branches from both London and other areas of Southeast England with counterparties from other global city-regions have significantly influenced the formation of London itself as a global center.

The third hybrid type of connection is illustrated in figure 5c. It encompasses the simultaneous integration between the global cities, the city-regions, and the city-region “hubs”. This variant of globalization is typical of the Northeast EU region<sup>83</sup> and China<sup>84</sup>.

It should be noted that despite the powerful mutual connections between them, each individual global city or city-region is characterized by a certain internal uniqueness and specificity of the environment that forms a kind of glocalization picture of the world.

Among the concepts of the new urban regionalism, the idea of the so-called “post-national capitalist” development of territories is often a dominant one. This is manifested in two concepts: “economic boosterism”, according to which the city-regions are the competitive territories by default; and the political autonomy of city-regions as independent political agents of the global economy. The latter concept, therefore, renders them less subject to central control by governments. However, many researchers consider these claims to be somewhat exaggerated<sup>85</sup>. While the “trigger” effect often coincides with the location of the city-regions in terms of geography, a real reduction in the role of the state is observed only in very few cases of truly “global” cities<sup>86</sup>. On the contrary, “the state remains the main “orchestrator” of most aspects of what is considered to be the new urban regionalism”<sup>87</sup>.

Critics point out that the enthusiasm of the local political elites for functional autonomy and the exemption from regulatory control by the central government is, in effect, primarily generated by the revision of the spatial strategy initiated by the government<sup>88</sup>. In fact, we can see that central governments are directly responding to the new regionalist consensus on the importance of positioning major urban areas within national and international capital accumulation schemes by intervening: first, to create the necessary conditions for capital accumulation and, second, to make major national urbanized regions more attractive to transnational capital than their international competitors.

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<sup>83</sup> P. G. Hall, K. Pain, *The polycentric metropolis: Learning from mega-city regions in Europe*, Routledge 2006.

<sup>84</sup> Y. Cheng, R. LeGates, China’s hybrid global city region pathway: Evidence from the Yangtze River Delta, “*Cities*” 2018; 77: 81-91.

<sup>85</sup> K. Ward, A. Jonas, Competitive City-Regionalism as a Politics of Space: A Critical Reinterpretation of the New Regionalism, “*Environment and Planning A: Economy and Space*” 2004; 36(12): 2119-2139.

<sup>86</sup> A. Jonas, K. Ward, Introduction to a Debate on City-Regions: New Geographies of Governance, Democracy and Social Reproduction, “*International Journal of Urban and Regional Research*” 2007; 31(1): 169-178.

<sup>87</sup> J. Harrison, *Configuring the new ‘regional world’... op. cit.*

<sup>88</sup> J. Harrison, From competitive regions to competitive city-regions: A new orthodoxy, but some old mistakes, “*Journal of Economic Geography*” 2007; 7(3): 311-332.

However, at the same time, we are witnessing the formation of the specific global brands of urban regionalism that have been shaped by the national environment. For example, in Germany, the brand of urban regionalism began to take shape about 20 years ago and is characterized by a more “horizontal” urban system, unlike in France and the UK, whose capitals are among the five most globally connected cities (with Germany represented by six cities in the top 100, while France and the UK have only one representative each)<sup>89,90</sup>.

In 2007, the share of the world’s population living in cities exceeded 50% for the first time. According to UN forecasts, by 2050 the ratio of urban population will exceed 70% of the global population of 9 billion people<sup>91</sup>. Regionalists predict that the twenty-first century will be a truly “urbanized century” that will manifest itself on two levels:

- expansion of global cities into global city-regions, interconnected in the urban network with blurred urban landscape boundaries;
- the above process may be a catalyst for the emergence of even larger urban configurations in the hope that “(...) larger and more competitive economic units (...) [will] become the real drivers of the global economy”<sup>92</sup>. At the same time, the question of the maximum possible level to which urban space can expand remains open.

In historical retrospect, there are six features characteristic of the processes of globalization, urbanization, and industrialization:

- there is a clear long-term relationship between the growth of urbanization, industrialization and globalization, which has been observed since the early sixteenth century; although this relationship ceased to be manifested in many developed countries in the early twentieth century;
- the long-term relationship between globalization and urbanization resumed among advanced economies in the later decades of the twentieth century after a long break;
- the resumption of urbanization in “rich” countries is associated with the reintegration of the global economy after the decades of the anti-globalization processes;
- the intensification of urbanization processes and the growth of the mega-cities in the developing countries is a defining characteristic of the second stage of global urbanization, which began after the end of World War II and continues to this day;

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<sup>89</sup> M. Hoyler, External Relations of German Cities Through Intra-firm Networks-A Global Perspective, “Raumforschung Und Raumordnung” 2011; 69(3): 147-159.

<sup>90</sup> P. J. Taylor, P. Ni, B. Derudder i wsp., Global Urban Analysis: A Survey of Cities in Globalization, Routledge 2012.

<sup>91</sup> United Nations Human Settlements Program, State of the World’s Cities 2010/2011: Bridging the Urban Divide, Earthscan 2010.

<sup>92</sup> R. Florida, Who’s your city? How the creative economy is making where to live the most important decision of your life, Vintage Canada 2010.

- the modern era of globalization is associated with the regional integration processes between the groups of neighboring states, leading to global regionalization rather than a pure manifestation of globalization;
- the core of the new “super-regions” are the global cities i.e. whose trade relations are realized through the mediation of transnational corporations<sup>93</sup>.

These six features demonstrate why understanding the economic role of cities and regions is critical when studying the economic growth and trade. However, one should be cautious about drawing simple historical parallels. For example, the current processes of globalization are in many ways similar to those that took place in the late nineteenth and early twentieth centuries, when the cities and agglomerations first began to become particularly important. However, these processes differ significantly in terms of both their manifestation and the role of cities and regions for the national and international economies in the end.

The key to understanding the changing role of the global cities and the city-regions during the last stage of globalization, which began in the late 1980s, is primarily the reduction of “spatial transaction costs”, i.e. the costs of implementing and coordinating certain activities in conditions of geographical distance.

A separate type of spatial transaction costs are those costs that are directly related to the movement of the goods and information over a certain distance. They depend on the level of development of transport and communication technologies and can be combined into one group namely the “spatial transmission costs”. The transmission costs are geographically determined and typically directly proportional to the distance between participants or objects of transactions.

The second type of the spatial transaction costs covers the costs associated with crossing state borders (e.g. customs duties) and are more institutional in nature. Since the 1980s, there has generally been a downward trend in this type of costs (despite the fact that protectionism has increased significantly over the past few years), which is reflected in the creation of numerous integration groupings between states and the growth of opportunities for trade, outsourcing, offshoring, and transnationalism.

However, the second type of ‘tariff’ costs, unlike transmission costs, is not explicitly geographically determined. In other words, there is no direct correlation between their magnitude and the distance between transaction participants before reaching a certain institutional border. From the perspective of the urban or regional economics, we can view border crossing costs as fundamentally prospective in nature, but explicitly geographic in terms of their implementation. The consequence of this distinction is that the decline in cross-border trade tariffs is not significantly related to the unevenness of the global spatial economy, in contrast to the initial type of transaction costs associated with the transportation of goods and the transfer of information.

For the rest of the paper, we will assume that the tariff costs of border crossing are generally declining (or at least not rising significantly) on the global scale. There

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<sup>93</sup> P. McCann, *Modern Urban and Regional Economics*, Oxford University Press, Oxford 2013.

is also a significant decline in spatial transmission costs (as will be discussed in more detail below). However, these two statements do not automatically imply a reduction in overall transaction costs. On the contrary, there is a lot of evidence that a significant part of spatial transaction costs is characterized by an upward trend<sup>94</sup>.

Let us examine the reasons for the decrease and increase in transaction costs in greater detail. Over the past decades, the ability of the economic and political actors to coordinate activities across geographical space has improved significantly. This progress is primarily due to the development of ICT (digital, satellite, and fiber-optic technologies), which has enabled individual firms to improve their ability to access markets and manage transactions in diversified locations.

For sectors that compete for access to knowledge (financial, advertising, marketing, and tourism industries), the modern information technology has created unprecedented opportunities to provide services in the global marketplace. As a result of the geographical concentration of such sectors, cities and regions have begun to form that have become “knowledge hubs”<sup>95</sup>. The development of technological capabilities for coordinating activities has led to the growth of offshoring and outsourcing of many types of activities in both industrial production and services. Notable examples include the international accounting sector (many banks in London and New York outsource their accounting to firms in Ireland or India) and software development (contractors in Bengaluru fulfill Silicon Valley orders).

In traditional industrial sectors, the development of communication and control technologies has led to the improved supply chain management systems, better logistics and distribution, and the development of a “just-in-time” approach to warehousing which is especially important for geographically and by sector diversified MNCs. Transportation technologies have also improved, i.e. the use of roll-on/roll-off trucks instead of crane loading, container ships, express delivery approaches, global positioning systems, and the growth of efficiency and average speed of all types of air transportation.

The reduction of transmission costs, combined with the spread of outsourcing and offshoring practices, contribute to the spatially disaggregated distribution of production systems and corporate organizational networks among regions and states, which, according to Friedman<sup>96</sup>, leads to a flatter structure of the planetary spatial economy.

The theoretical rationale for the phenomenon of increasing spatial transaction costs while decreasing spatial transmission costs is that the improvement of information technology itself increases the amount, diversity and complexity of the knowledge used and the information generated. This, in turn, increases the costs of acquiring and transferring knowledge in space. The main reason for this growth is that the lion’s share of information comes from knowledge that is characterized by

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<sup>94</sup> P. McCann, *Modern Urban...* op. cit.

<sup>95</sup> OECD, *Regions and Cities at a Glance 2018*. Online: [https://www.oecd-ilibrary.org/governance/oecd-regions-and-cities-at-a-glance-2018\\_reg\\_cit\\_glance-2018-en](https://www.oecd-ilibrary.org/governance/oecd-regions-and-cities-at-a-glance-2018_reg_cit_glance-2018-en).

<sup>96</sup> T. L. Friedman, *The world is flat: A brief history of the twenty-first century*, Macmillan 2005.

a non-standardized tacit nature and requires a higher intensity of direct contacts to maintain mutual trust and understanding<sup>97,98</sup>

To a certain extent, it can be assumed that the firms in the developed countries compete with each other in terms of high levels of knowledge content, higher added value, and shorter life cycles, and, thus, represent the sectors and activities that avoid competition from less developed countries. The growing importance of shorter life cycles is also associated with an increased need for more frequent direct contacts, the number of which has increased significantly in recent years<sup>99,100</sup>. As a result, the spatial transaction costs increase for any given distance at which communications and interconnections are conducted. The peculiarities of such interconnections lead to a natural sorting of firms according to the types of knowledge exchanged and innovations generated<sup>101</sup>.

Similarly, lower transportation costs over time lead to a reorientation of firms to the production of customized goods of higher quality<sup>102</sup>. The service sector is characterized by higher costs and a greater sensitivity to geographical distance than the standardized goods sector<sup>103</sup>. However, the question remains as to why companies are implementing this strategy. One of the arguments in its favor may be the consolidation of the status of a local monopoly in the Hotelling<sup>104</sup> style to avoid competition from producers of cheaper, more standardized products from less developed countries. However, there is a counter-argument to this statement, according to which a rational firm should exploit the reduction of information transmission costs in order to maximize the global economies of scale, as many high-tech TNCs do.

There is a lot of empirical evidence that cities and densely populated regions are the locations with higher levels of productivity<sup>105,106</sup>, innovation and entrepreneur-

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<sup>97</sup> J. Gaspar, E. L. Glaeser, Information Technology and the Future of Cities, "Journal of Urban Economics" 1998; 43(1): 136-156.

<sup>98</sup> M. Storper, A. J. Venables, Buzz: Face-to-face contact and the urban economy, "Journal of Economic Geography" 2004; 4(4): 351-370.

<sup>99</sup> P. McCann, Modern Urban... op. cit.

<sup>100</sup> M. Storper, A. J. Venables, Buzz: Face-to-face... op. cit.

<sup>101</sup> D. Doloreux, R. Shearmur, Collaboration, information and the geography of innovation in knowledge intensive business services, "Journal of Economic Geography" 2012; 12(1): 79-105.

<sup>102</sup> G. Duranton, M. Storper, Agglomeration and growth: A dialogue between economists and geographers, "Journal of Economic Geography" 2006; 6(1): 1-7.

<sup>103</sup> G. Duranton, M. Storper, Rising trade costs? Agglomeration and trade with endogenous transaction costs, "Canadian Journal of Economics/Revue Canadienne d'économique" 2008; 41(1): 292-319.

<sup>104</sup> H. Hotelling, Stability in competition, "Economic Journal" 1929; 39: 41-57.

<sup>105</sup> Glaeser E. L., Gottlieb J. D., The Wealth of Cities: Agglomeration Economies and Spatial Equilibrium in the United States, "Journal of Economic Literature" 2009; 47(4): 983-1028.

<sup>106</sup> S. S. Rosenthal, W. C. Strange, Evidence on the Nature and Sources of Agglomeration Economies [in: J. V. Henderson, J.-F. Thisse (ed.), Handbook of Regional and Urban Economics, Elsevier 2004, p. 2119-2171.



ship<sup>107,108</sup>, creativity<sup>109</sup>, human capital development<sup>110</sup> and major centers of learning and research<sup>111</sup>. However, these observations should not be interpreted as an automatic evidence that economic growth is limited to urban areas. Nor does it mean that productivity gains are a hallmark of large cities that continue to grow. The situation is more complex and depends on large capital flows and activities in non-central regions, including those that are not particularly urbanized to begin with.

In reality, "(...) new rounds of inequalities are superimposed on previously inherited spatial structures"<sup>112</sup>. This historical "legacy" of local and regional economic development is also reflected in the processes of globalization. The concurrence of different effects can lead to both the increased interregional convergence and divergence, depending on which new industries develop and which regional firms choose to make new investments. In other words, the final outcomes of changes in individual regions or countries depend on sectoral and spatial structures and their history, the experience of neighboring regions and countries, and the actual extent of the local technological change. The final balance of spatial convergence and divergence factors is ultimately confirmed empirically and is difficult to predict with sufficient confidence in theoretical models.

According to Porter<sup>113</sup>, it is not regions that compete with each other, but the firms that are located in these regions. The key to understanding why certain cities are highly productive is the type of firms that are localized in them and how these firms respond to the changing global markets. The current period of globalization has seen a qualitative transformation in the role of cities as competitive knowledge centers. However, companies which are exploiting the local assets are targeting those markets that go far beyond national borders. Not surprisingly, there is a strong correlation between the level of global connectivity of a city through the TNC network and its GDP per capita and productivity<sup>114</sup>. There is a lot of empirical evidence that the importance of major urban nodes within the network of global cities is enhanced by the local presence of hubs of global air, rail, and maritime transportation systems

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<sup>107</sup> Z. J. Acs, *Innovation and the Growth of Cities*, Edward Elgar Publishing 2003.

<sup>108</sup> F. G. van Oort, *Urban Growth and Innovation: Spatially Bounded Externalities in the Netherlands*, Routledge 2017.

<sup>109</sup> R. Florida, *The rise of the creative class*, Basic books, New York 2002.

<sup>110</sup> C. R. Berry, E. L. Glaeser, The divergence of human capital levels across cities, "Papers in Regional Science" 2005; 84(3): 407-444.

<sup>111</sup> L. Anselin, A. Varga, Z. Acs, Local geographic spillovers between university research and high technology innovations, "Journal of urban economics" 1997; 42(3): 422-448.

<sup>112</sup> B. Warf, Telecommunications and the Changing Geographies of Knowledge Transmission in the Late 20th Century, "Urban Studies" 1995; 32(2): 361-378.

<sup>113</sup> M. E. Porter, *Competitive advantage of nations: Creating and sustaining superior performance*, Simon and Schuster 2011.

<sup>114</sup> P. McCann, Z. J. Acs, Globalization: Countries, Cities and Multinationals, "Regional Studies" 2011; 45(1): 17-32.

(especially relevant for the location of TNC headquarters is the availability of access to direct air travel)<sup>115,116</sup>.

However, the role of small and medium-sized companies for economic growth should not be underestimated, as small start-ups are pivotal to ensuring the growth of innovation. In the context of globalization, small companies can succeed primarily by exploiting potential spillovers from the proximity to the globally oriented TNCs. Empirical evidence of this fact can be found in Andersson et al.<sup>117</sup>.

It is important to emphasize that global cities, while being the main knowledge hubs, are not usually the main sources of economic growth. In terms of percentage, the bulk of gross domestic product is usually generated not by the global cities, which are rather exceptions, but by other types of regions that differ in terms of scale, sectoral diversity, productivity, connectivity, innovation, migration patterns, etc.

In this context, it is advisable to cite the patterns identified in numerous studies by the Organization for Economic Cooperation and Development (OECD):

- in terms of productivity, the regional economies of almost all countries of the world are characterized by inequality and “pickiness”;
- the distribution of growth between regions within the country and across borders is characterized by a regular pattern;
- the share of national and international economic growth that is responsible for large knowledge hubs or so-called “city-regions” varies between 20-30%, depending on the scale of spatial disaggregation. At the same time, this share is quite stable both from the perspective of the states and in the temporal dimension. Consequently, the share of other regions in the economic growth is dominant and varies between 70-80%<sup>118</sup>.

It should be emphasized that the latter observation of the OECD is valid only for the last decade. Back in the 1990s, urban regions were characterized by higher economic growth rates than the rural and intermediate regions. For the first time, a change in the structure of regional growth in favor of non-key regions was observed in the study by L. Broersma and J. Van Dijk<sup>119</sup>. The COVID-19 pandemic has caused a significant economic disruption across OECD regions, leading to a decline in GDP per capita, particularly in the worst-hit areas where it fell by over 9% in 2020. The pandemic affected all types of regions, from metropolitan to non-metropolitan, with both high and low pre-pandemic GDP levels. Although regional disparities did not widen significantly during the pandemic, the longstanding economic gap between metropolitan and non-metropolitan regions persisted.

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<sup>115</sup>C. Capineri, T. R. Leinbach, D. Gips, Freight Transport, Seamlessness, and Competitive Advantage in the Global Economy, “European Journal of Transport and Infrastructure Research” 2006; 17.

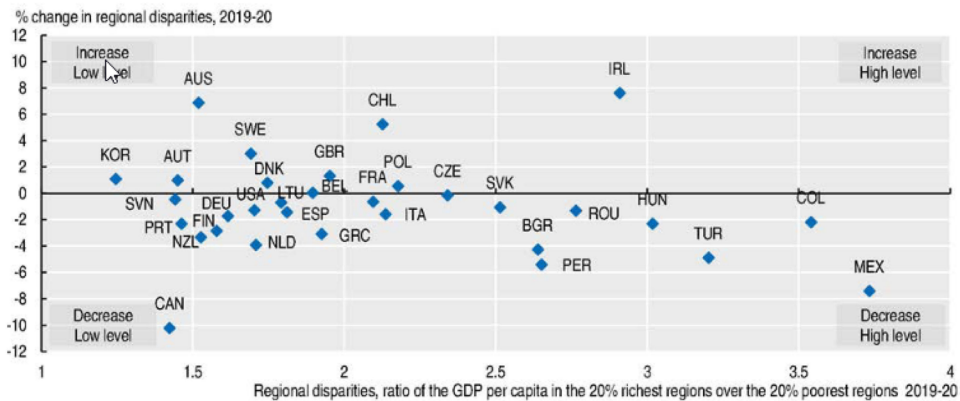
<sup>116</sup>N. Limtanakool, M. Dijst, T. Schwanen, The influence of socioeconomic characteristics, land use and travel time considerations on mode choice for medium- and longer-distance trips, “Journal of Transport Geography” 2006; 14(5): 327-341.

<sup>117</sup>M. Andersson, H. Lööf, S. Johansson, Productivity and International Trade: Firm Level Evidence from a Small Open Economy, “Review of World Economics” 2008; 144(4): 774-801.

<sup>118</sup>OECD, Regions and Cities at a Glance 2018... op. cit.

<sup>119</sup>L. Broersma, J. Van Dijk, The effect of congestion and agglomeration on multifactor productivity growth in Dutch regions, “Journal of Economic Geography” 2007; 8(2): 181-209.

Over the past decade, non-metropolitan regions, especially those distant from the cities, have continued to lag behind in the GDP growth. While intra-country economic polarization (the difference in GDP per capita between the richest and poorest regions) did not generally worsen during the pandemic, some countries, like Chile, Korea, and Sweden, saw their poorer regions decline more sharply than their richer ones (figure 6).



**Figure 6.** Regional polarization in GDP per capita

Source: OECD, *Regions and Cities at a Glance 2022*. Online: [https://www.oecd.org/en/publications/2022/11/oecd-regions-and-cities-at-a-glance-2022\\_7eaf8b80.html](https://www.oecd.org/en/publications/2022/11/oecd-regions-and-cities-at-a-glance-2022_7eaf8b80.html)

Long-term trends indicate persistent regional inequality in GDP per capita, particularly between metropolitan and non-metropolitan regions. Despite some countries experiencing decreased polarization from 2010 to 2020, substantial differences remain, with metropolitan areas generally showing faster growth and higher GDP per capita than rural regions.

Thus, the current period of globalization is characterized by a complex picture of economic geography and the roles of cities and regions have evolved in different directions. On the one hand, networks of global places remain relevant as centers of knowledge concentration, which is particularly crucial for the service sector, which relies heavily on the exploitation of trust relations. However, despite the persistence of inter-regional domestic divergences (with a tendency toward interstate convergence, at least among developed countries), in many countries, agrarian, intermediate and non-central urban regions have become the drivers of the economic growth in recent years. However, in less developed countries, the role of central metropolitan areas for the growth remains crucial, as evidenced by the rapid rise in international importance of cities such as: Shanghai, Mumbai, Johannesburg, Jakarta, São Paulo, etc.

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## ALCIDE DE GASPERI – PENSATORE E IDEATORE DEL PROGETTO DI INTEGRAZIONE EUROPEA

### *Alcide De Gasperi – myśliciel i pomysłodawca projektu integracji europejskiej*

### *Alcide De Gasperi – thinker and designer of the european integration project*

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#### **Streszczenie**

*W prezentowanej pracy autor przedstawia Alcide De Gasperi, włoskiego polityka, jedną z kluczowych postaci politycznych Włoch XX wieku. W latach 1945–1953 był premierem Włoch, w latach 1944–1946 i 1951–1953 ministrem spraw zagranicznych, w latach 1946–1947 ministrem spraw wewnętrznych. Był założycielem Włoskiej Partii Chrześcijańsko-Demokratycznej (Democrazia Cristiana), którą kierował w latach 1944–1946 i 1953–1954. Wraz z Robertem Schumanem i Konradem Adenauerem był głównym architektem projektu integracji europejskiej. Autor podkreśla jego działalność polityczną już za Austro-Węgier. Od młodości był mocno religijnym katolikiem, poszukującym katolicyzmu i politycznej ekspresji. Był pod silnym wpływem encykliki Rerum novarum papieża Leona XIII od 1891 r. Jego drugim programem politycznym była walka z germanizacją Trydentu, o zachowanie języka włoskiego i przyłączenie Trydentu do Włoch.*

**Słowa kluczowe:** Alcide De Gasperi, polityk, filantrop, integracja europejska

#### **Summary**

*The author of this paper deals with Alcide De Gasperi, an Italian politician, one of the key political figures of Italy in the 20th century. From 1945 till 1953, he was the Prime Minister of Italy, Minister for Foreign Affairs (in 1944 - 1946 - 1951 - 1953), between 1946 and 1947 Minister of the Interior. He was the founder of the Italian Christian Democrats (Christian Democrats), which ran from 1944-1946 to 1953-1954. Together with Robert Schuman and Konrad Adenauer, he was the main constructor of*

*the European integration project. The author emphasizes his political activity already behind Austria-Hungary. From his youth he was a strong believer in Catholicism seeking both Catholicism and political expression. He was greatly influenced by Pope Leo XIII's 1891 encyclical Rerum novarum. His second political program was to fight against the German Trident, to preserve the Italian language and to link Trident to Italy.*

**Key words:** Alcide De Gasperi, politician, philanthropist, European integration

## Resume

L'autore di questo articolo si occupa di Alcide De Gasperi, un politico italiano, una delle figure politiche chiave dell'Italia nel XX secolo. Nel 1945-1953 fu Primo Ministro d'Italia, nel 1944-1946 e 1951-1953 Ministro degli Affari Esteri, dal 1946 al 1947 Ministro degli Interni. Fu il fondatore della Democrazia Cristiana Italiana (Democratici Cristiani), che andò dal 1944 al 1953 al 1953-1954. Insieme a Robert Schuman e Konrad Adenauer, fu il principale costruttore del progetto di integrazione europea. L'autore sottolinea la sua attività politica già dietro l'Austria-Ungheria. Sin dalla sua gioventù era un forte sostenitore del cattolicesimo alla ricerca sia del cattolicesimo che dell'espressione politica. Fu fortemente influenzato dall'enciclica Rerum novarum di Papa Leone XIII. dal 1891. Il suo secondo programma politico fu la lotta contro il Tridente tedesco per preservare la lingua italiana e collegare il Tridente all'Italia.

**Parole chiave:** Alcide De Gasperi, politico, filantropo, integrazione europea

## Introduzione

Alcide De Gasperi è considerato uno dei padri della Repubblica Italiana e insieme al francese Robert Schuman, al tedesco Konrad Adenauer e all'italiano Altiero Spinelli, uno dei padri dell'Unione Europea.

Dopo più di sessanta anni dalla morte, quando se ne parla con i più giovani, ma non soltanto con loro, la figura di De Gasperi appare spesso quella di uno sconosciuto. In altri casi, spesso non si va oltre un ricordo generico e impreciso di questo statista che ha sollevato l'Italia dalle rovine della Seconda guerra mondiale e del fascismo, e molto ha da dire riguardo alle vicende di oggi.

Le storie subiscono la inevitabile selezione del tempo che ne gradua l'importanza e l'attualità. Le storie non si cancellano ma evolvono e vengono reinterpretate nel continuo flusso della vita. Ma questo processo di selezione non è automatico: va accompagnato, va curato, è una specifica operazione della memoria. E senza memoria non c'è futuro, non c'è identità. La rinascita può avvenire solo dal passato.

## **La vita**

Alcide De Gasperi era nato a Pieve Tesino, quando queste montagne del Trentino appartenevano ancora all'Impero austro-ungarico anche se erano territori di lingua italiana. Nacque il 3. aprile 1881 da una famiglia modesta. Il padre, Amedeo, apparteneva al corpo della gendermeria, la mamma, Maria Morandini, era donna di grande spiritualità. Era primo di quattro figli. Dopo il liceo si è iscritto alla facoltà di lettere dell'università di Vienna. Si era all'inizio del Novecento e come studente aveva già alle spalle una prima esperienza da giornalista a „La voce cattolica“ e da attivista del Comitato diocesano dell'Azione Cattolica e dell'Associazione studenti cattolici di Trento. Lì ha conosciuto un sacerdote, Celestino Endrici, che sarebbe rimasto sempre suo amico e protettore. Più tardi diventava grande vescovo.

E' proprio nella vita politica austriaca che il giovane De Gasperi iniziò a muovere i primi passi di quella che fu una lunga e fortunata carriera politica. Nel Parlamento viennese entrò in rappresentanza dell'intera comunità italiana trentina più che di una specifica parte politica. Dopo il passaggio del Trentino e dell'Alto Adige all'Italia continua l'attività politica nel Partito Italiano Popolare di don Luigi Sturzo. Diventa, in breve tempo, il presidente del partito e si pone nella condizione di poter succedere a Sturzo qualora questi voglia oppure, come poi in realtà avverrà, sia costretto ad abbandonare la vita politica italiana<sup>1</sup>.

Attorno a questi due eminenti uomini politici cominciava a formarsi una nuova classe dirigente cattolico-popolare (Gronchi, Piccioni, Scelba) che in breve tempo sostituì i vecchi notabili alla Meda e, resistendo alle tentazioni ed alle sirene del fascismo (anche se, purtroppo, furono in pochi a non scendere a patti con il potere mussoliniano), divennero, nel secondo dopoguerra, i „padri nobili“ della Democrazia Cristiana e, come nel caso dello statista trentino, anche del Paese.

La vita di Alcide De Gasperi si intreccia con tre secoli della nostra storia. Il clima dell'irredentismo in cui visse De Gasperi è frutto dell'Ottocento e si innesta direttamente sul filone risorgimentale del Paese: leale suddito austriaco ma anche un ardente cattolico con il cuore patriota. Perciò sognava che il suo Trentino fosse liberato dal giogo austriaco. La sua attività in questo senso è meno conosciuta. In questa stagione della sua vita soffrì il carcere nell'anno 1904, era eletto e poi deputato al parlamento di Vienna nel 1911. Assisteva al martirio dei suoi compagni durante Prima guerra mondiale fino all'epilogo vittorioso con la sconfitta dell'Austria nel 1918. In questa esperienza vissuta a cavallo fra Italia e Austria ha maturato la sua attitudine alla dimensione internazionale della politica<sup>2</sup>.

Divenuto esponente affermato del cattolicesimo trentino, legato alla dottrina cristiana sociale tedesca, dopo la prima grande guerra mondiale De Gasperi incrocia la sua esperienza politica con quella di Luigi Sturzo. Entrambi discendono dallo stesso padre politico, Giuseppe Toniolo, chiamato Abramo del cattolicesimo politico

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<sup>1</sup> G. Sangiorgi, De Gasperi uno studio. La politica, la fede, gli affetti famigliari, Soveria Mannelli, Rubbettino 2014.

<sup>2</sup> Ibidem.

italiano. Sturzo ha fondato il Partito popolare nel gennaio 1919, De Gasperi vi aderisce poco dopo. Nel giugno dello stesso anno lui presiedeva a Bologna il primo congresso nazionale del partito. Partecipava alle elezioni dell'anno 1921, veniva eletto deputato, diventava capo del gruppo parlamentare alla Camera, affiancava Sturzo alla guida del movimento e lo sostituisce quando Sturzo nel luglio del 1923 era stato costretto a dimettersi da segretario e nell'ottobre 1924 era stato costretto all'esilio. Ormai il fascismo di Benito Mussolini, socialista suo coetaneo con il quale si era già scontrato duramente, stava chiudendo la partita con le libertà democratiche del Paese e per De Gasperi sono stati di nuovo anni di persecuzioni e sofferenze a partire dalla soppressione del Partito popolare del 1925.

Alcide De Gasperi resterà uno dei più grandi statisti italiani, l'uomo a cui si legano gli anni della ricostruzione dell'Italia dopo la Seconda Guerra Mondiale. Dopo aver esercitato una rigida opposizione al governo fascista, finita la guerra e tornata la democrazia in Italia, assume l'incarico di ministro degli Esteri nel secondo governo Bonomi e in quello guidato da Ferruccio Parri. De Gasperi diventa così l'interlocutore privilegiato degli Alleati e inizia quell'opera diplomatica, che proseguirà nel dopoguerra anche come presidente del Consiglio, tesa ad evitare all'Italia condizioni di pace troppo pesanti. Già il 22 agosto del 1945, De Gasperi scrive al segretario di Stato americano Byrnes, sottolineando che le condizioni di pace oltre certi limiti non sarebbero state accettate dall'Italia, con un pericolo di instabilità in Europa e nell'area mediterranea, che avrebbe comportato rischi per tutto il mondo. Ma le sue parole e le sue iniziative non possono cancellare la necessità di affrontare quello che non esita a definire "il Calvario della pace", che trova la sua tappa fondamentale il 10 agosto del 1946, con l'intervento alla Conferenza di Parigi<sup>3</sup>.

Dopo la missione a Parigi, grazie all'accordo con il ministro degli Esteri Gruber, nel settembre del 1946, l'Austria riconosce il confine italiano del Brennero, mentre l'Italia si impegna a concedere autonomia amministrativa all'Alto Adige e uguaglianza di diritti alla minoranza di lingua tedesca.

De Gasperi lavora anche per l'unità del Vecchio continente e con Konrad Adenauer, Jean Monnet e Robert Schuman è considerato tra i padri fondatori dell'Europa unita. Italia aderisce così alla CECA (Comunità europea del Carbone e dell'Acciaio), creata con il Trattato di Parigi del 18 aprile 1951. L'11 maggio del 1954 lo statista trentino fu eletto all'unanimità primo presidente dell'Assemblea del nuovo organismo europeo. De Gasperi si batte poi con grande vigore per la nascita della CED, la Comunità europea di Difesa istituita dagli stessi Paesi della CECA il 27 maggio del 1952. Un progetto che per lo statista italiano diventa una „spina”, viste le difficoltà che si registrarono nella sua evoluzione e che infatti fallì in seguito alla mancata ratifica della Francia alla fine di agosto del 1954<sup>4</sup>.

De Gasperi, uomo della ricostruzione, il leader democristiano è presidente del Consiglio alla guida di 8 governi diversi: dall'11 dicembre 1945 al 16 agosto del 1953.

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<sup>3</sup> G. Andreotti, *De Gasperi visto da Vicino*, Rizzoli, Milano 1986.

<sup>4</sup> G. Sangiorgi, *De Gasperi uno studio...* op. cit.

I primi tre con l'appoggio dei partiti che si erano ritrovati uniti nel CLN, comunisti e socialisti compresi; gli altri con formule centriste che ruotano naturalmente intorno alla DC. In Italia con lui cominciano ad agire i governi che porteranno alla ricostruzione e al periodo del miracolo economico, che hanno garantito pace, sviluppo, prosperità, giustizia sociale. Allora furono al Governo in successione uomini come De Gasperi, Fanfani, Andreotti, avevamo politici come Togliatti, Saragat, Malagodi e anche questo contribuisce a spiegare come mai l'Italia era percorsa da un entusiasmo e da una voglia di rinascere. Il popolo italiano sopportava sacrifici e s'impegnava per far progredire il Paese, sull'esempio dei suoi governanti. Allora l'Italia era affidata a politici capaci, motivati e disinteressati<sup>5</sup>.

Difensore dei diritti italiani alla conferenza di Londra, poi a Parigi, quindi nel suo viaggio negli Stati Uniti, impegnato in una difesa ad oltranza delle libertà democratiche e della ripresa economica sociale italiana, è attualmente l'esponente principale della Democrazia cristiana, e tra gli uomini politici più eminenti dell'Italia d'oggi<sup>6</sup>.

De Gasperi era il Presidente della ricostruzione, l'assertore di un europeismo e di una dimensione internazionale della politica che lo rendono attuale ancora oggi, proiettando la sua visione del Paese oltre il Novecento fino nelle vicende del nuovo millennio che stiamo vivendo oggi. Quando De Gasperi morì, pochi conoscevano il lontano impegno politico sotto l'impero asburgico e quello di esponente del Partito popolare prima del fascismo, ma tutti avevano percepito egualmente la straordinarietà di questo personaggio, la sua nobiltà d'animo, la dedizione con la quale aveva servito il Paese: „In mezzo a questo popolo martoriato e schiacciato dai problemi economici, troppi predicavano l'odio della demolizione o l'odio della rappresaglia, ma il popolo italiano ha bisogno di fraternità e di amore“ – questo era il suo messaggio e questo gli italiani hanno compreso. Così aveva impiantato il metodo democratico in un Paese che non lo aveva mai avuto, facendone la leva dello sviluppo italiano del dopoguerra.

Lo statista trentino morì appena un anno dopo l'abbandono della guida del governo. Erano le 2 del mattino del 19 agosto del 1954, a Sella di Valsugana, nel Trentino, moriva Alcide De Gasperi, colpito dall'ennesimo attacco d'asma, culmine di una malattia che lo aveva tormentato negli ultimi due anni della sua vita, non impedendogli però di portare a termine tutti i suoi impegni politici interni ed internazionali. „È stato un grande uomo, un buon cristiano“, commentò Pio XII nell'apprendere la notizia. Mentre in uno dei primi telegrammi di cordoglio, quello di Palmiro Togliatti, i comunisti italiani sottolineavano che il leader democristiano si era sempre ispirato nella sua azione politica alla „buona fede“ e al „personale disinteresse“<sup>7</sup>.

Il viaggio in treno che la sua salma compie per arrivare a Roma per i funerali di Stato viene rallentato dalle numerosissime persone che volevano rendere omaggio alla sua persona. La Chiesa gli ha attribuito il titolo di Servo di Dio, mentre l'Italia vorrebbe trasferire la sua tomba al Pantheon di Roma dove si trovano i Reali.

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<sup>5</sup> Ibidem.

<sup>6</sup> G. Andreotti, Intervista su De Gasperi, Laterza, Roma-Bari, 1977.

<sup>7</sup> Ibidem.

## La dimensione spirituale di Alcide De Gasperi

Alcide de Gasperi abitò per lunghi anni con la sua famiglia a Roma in un palazzo di via Bonifacio VIII, molto vicino alla basilica di San Pietro. La casa era al quinto piano e le finestre guardavano la grande cupola e la loggia della basilica. De Gasperi ebbe un rapporto speciale con la chiesa di San Pietro. Ogni domenica alle nove del mattino portava qui sua famiglia a santa messa e spesso si recava qui da solo. Amava salire in alto a San Pietro e lassù immergersi nella meditazione. La Basilica di San Pietro rappresentava per De Gasperi la Chiesa universale.

Al suo amico trentino, Giovanni Ciccolini, descriveva in una lettera datata 7 gennaio 1928 le suggestioni che provava durante queste visite. Questo scritto è più di una lettera, è prova della sua fede in Dio, nella Provvidenza e nella forza interiore. Lui scrive: „Quando ero nel più vivo dell'azione e mi pareva talvolta di soffocare nel fastidio e di soccombere sotto il peso della materia umana, costumavo alzarmi per tempo e recarmi in S. Pietro... ne uscivo sempre come da un bagno di tutto lo spirito e le forze della mente... i nostri figli sappiano che la libertà e la giustizia sono figlie di Dio e che il cristianesimo applicato alla vita pubblica vuol dire lealtà, franchezza, coraggio, sacrificio“<sup>8</sup>. In Alcide De Gasperi la spiritualità non è un semplice tratto della persona ma è l'elemento costitutivo della persona. Perciò rispetto a questa sua sfera intima, nonostante tutto ciò che abbiamo appreso su di lui, dobbiamo ancora arrivare a una comprensione compiuta della straordinarietà della vita di quest'uomo.

De Gasperi amava la meditazione sulle sacre scritture. Era un appassionato della Bibbia, la sua fede si alimentava con le letture di san Francesco, san Tommaso, sant'Agostino, l'*Imitazione di Cristo*, spiritualità francese, personalismo di Maritain e Mounier, scrittori come Bernanos, Claudel, Manzoni, Dante, gli studi riguardanti la dottrina sociale della Chiesa, ammirava san Paolo.

La figlia Cecilia ricordava che le due parole che suo padre spesso pronunciava racchiudevano la sua religiosità: la Provvidenza e il Signore. Diceva: „Ci guiderà la Provvidenza, vedrete che ci aiuterà. Poi l'invocazione del Signore, e quando pronunciava questa parola intendeva la figura di Gesù della quale è stato affascinato durante tutta la vita. Ancora da fidanzato ha scritto alla sua prossima moglie: „Familiarizzati con la figura di Cristo che solleva noi creature sue al di sopra dell'umana natura. (...) Fancesca non voglio essere più solo innanzi a lui. Non sono bigotto e forse nemmeno religioso come dovrei essere; ma la personalità del Cristo vivente mi trascina, mi soggioga, mi solleva“<sup>9</sup>.

Sono espressioni di una fede assolutamente fuori del comune. E la fede, come ha scritto la teologa Adriana Zarri, „non è un puro fatto interiore, è un fatto storico e un fatto sociale che non può esaurirsi nella pura interiorità dell'uomo. Se lo investe lo investe tutto, la sua socialità, la sua storicità, il suo collocarsi in determinati contesti, la sua cultura“ – e questo è certamente De Gasperi. Definirlo prevalentemente un

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<sup>8</sup> G. Sangiorgi, De Gasperi uno studio... op. cit.

<sup>9</sup> Ibidem.

„politico di professione“ rischia di alterare e ridurre la sua figura. Anche se politico, dato prevalente della sua personalità è la sua spiritualità, la sua religiosità.

Il vescovo di Prato Gastone Simoni sostiene che „non si capisce chi era De Gasperi, non si capiscono i suoi ideali, così come la sua forza morale del suo carattere, la sua ricerca spirituale e la sua stessa laicità, se non si tiene presente che tutto in lui traeva luce, motivazione ed energia dal suo fuoco interiore, e cioè dal suo vivissimo senso di Cristo, dall’ amore convinto e appassionato per il Signore Gesù“. Secondo il Cardinale Camillo Ruini „De Gasperi ha davvero creduto alla possibilità di mettere in pratica quello che sarà poi l’insegnamento del Concilio: santificarsi trattando le cose temporali e ordinandole secondo Dio. E alla base di tutto ciò egli ha anticipatamente condiviso l’asse portante del messaggio conciliare: la centralità di Cristo, principio e fine della creazione e della storia e la legittima, anzi doverosa autonomia delle realtà terrene non come due posizioni antitetiche tra cui faticosamente mediare, ma finalmente come un’unica verità, in cui la seconda affermazione trae la sua forza e la sua autenticità dalla prima“<sup>10</sup>.

La spiritualità di De Gasperi nelle temperie della sua vita politica è un caso di studio per quanti vogliono continuare e scrivere la storia del cattolicesimo politico nella vita civile. De Gasperi aveva chiaro il rapporto tra cristianesimo e democrazia e come questa avesse nel cristianesimo la sua radice. La nozione di civiltà cristiana non era per lui in richiamo al passato: era il progetto di sviluppare per il futuro.

L’avventura umana di De Gasperi terminava invocando il nome di Gesù. La sua morte era stata secondo la sua vita, coerente con le sue convinzioni più profonde.

## **La famiglia di De Gasperi**

Affianco alla dimensione spirituale c’è quella umana. De Gasperi si era sposato nel giugno 1922 con Francesca Romani, lui aveva 41 e lei 27 anni. L’anno prima di sposarsi era il capo gruppo del Partito popolare alla Camera. Si dice che ogni grande uomo ha dietro di sé una grande donna. De Gasperi aveva dietro di sé sette donne: la moglie Francesca, quattro figlie: Maria Romana, Lucia, Cecilia e Paola, la sorella Marcella e la tata – l’ultima fu Giuseppina rimasta in famiglia quarant’anni. Sette donne che lui amava e che amavano lui. Questa condizione di vita certamente speciale non poteva non influire anche sulla sua vita di uomo pubblico. In casa era una gara tra chi lo avrebbe servito. Lui voleva tanto il figlio maschio che invece non era venuto, però è stato talmente amato, servito, coccolato che in momenti a casa veramente si chiudeva con il resto del mondo. Questa condizione ideale durava fino all’anno 1947 fino al matrimonio di Maria Romana, sua figlia più grande e l’entrata in convento di figlia Lucia.

La moglie Francesca era sorella del suo amico dall’università a Vienna. Ha accompagnato sempre il marito nei viaggi, in Italia ed anche all’estero. Gli era vicina in tutto. Erano due persone che avevano un’intesa e una complicità straordinarie.

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<sup>10</sup> Ibidem.



Nell'anno 1935, alla vigilia di una delicata operazione chirurgica De Gasperi scrisse una lettera testamento alla moglie. Questo documento testimonia la sua tempra spirituale, l'amore per la moglie e per tutta la famiglia:

„Cara Francesca,

*se la Provvidenza vorrà chiudere la mia vita terrena, prima che io abbia assolto il mio compito di padre, affido alla suprema paternità di Dio le mie bambine e confido con assoluta certezza che il Signore ti aiuterà giorno per giorno a farle crescere buone e brave. Oltre che ai parenti, io le raccomando all'aiuto ed all'appoggio di quei pochi ma generosi amici che nel periodo delle prove mi conservarono la loro amicizia.*

*Non posso lasciar loro mezzi di fortuna, perché alla fortuna ho dovuto rinunciare per tener fede ai miei ideali. Fra poco saranno cresciute tanto da comprendere il mondo in cui vivono. Apprendano allora da te per quale ideale di umana bontà e di cristiana democrazia il loro padre combatté e sofferse. Leggendo le mie lettere d'un tempo e qualche appunto per le mie memorie, impareranno ad apprezzare la giustizia, la fratellanza cristiana e la libertà.*

*Muoio con la coscienza d'aver combattuto la buona battaglia e con la sicurezza che un giorno i nostri ideali trionferanno. Cara Francesca, io ti sarò sempre vicino in spirito e ti aiuterò vigilando presso il signore Gesù, mia suprema ed ultima speranza, che sarà anche il tuo confortatore quotidiano.*

*A tutti voi della mia e della vostra famiglia raccomando di vivere in fraterna amicizia, aiutandovi l'un l'altro.*

*Oltre le mie bambine, raccomando in modo particolare ad Augusto la nostra buona sorella Marcella.*

*Addio Francesca, io ti ho molto amato, ma non mai quanto avresti meritato. Supera il dolore del distacco e vivi più intensamente per le nostre deliziose bambine, sulle quali, per la bontà e misericordia del Signore, io veglierò dal Cielo.*

*Ti stringo per sempre nell'indissolubile abbraccio delle nostre speranze mortali“.*

4 settembre 1935<sup>11</sup>.

## Statista De Gasperi

*Un politico guarda alle prossime elezioni.  
Uno statista guarda alla prossima generazione.  
(De Gasperi)*

De Gasperi fu uno dei pochi leader popolari a non accettare accordi col regime benché fosse stato, nel 1922, favorevole alla partecipazione dei popolari al primo gabinetto Mussolini. Dopo l'omicidio Matteotti, l'opposizione al regime ed al suo Duce fu ferma e risoluta anche se coincise col ritiro dalla vita politica attiva a seguito dello scioglimento del P.I.P. ed al ritiro nelle biblioteche vaticane per sfuggire alle

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<sup>11</sup> Ibidem.

persecuzioni del fascismo. Dopo la caduta del fascismo e l'armistizio con gli Alleati, De Gasperi rifonda la Democrazia Cristiana clandestina, entra nel Cln, e definisce il suo un „partito di centro che guarda verso sinistra“.

Le sinistre, con qualche malumore dei socialisti e degli azionisti ed il netto rifiuto dei repubblicani, accettano di accantonare la questione istituzionale (cioè la scelta tra monarchia e repubblica) rinviandola a dopo il conflitto impegnandosi al massimo per la liberazione del suolo patrio dall'invasore nazista e dal suo complice fascista: fu la „svolta di Salerno“ da cui nacque un ampio fronte di resistenza nazionale che andava dai comunisti ai militari monarchici badogliani, dai socialisti ai liberali includendo il neonato partito cattolico, la Democrazia Cristiana, di cui De Gasperi fu fondatore e leader. Si formò, così, il secondo governo Badoglio in cui sono rappresentati tutti capi dell'antifascismo da Togliatti a Croce, da Nenni allo stesso De Gasperi.

Dopo i quarantacinque giorni di governo del Maresciallo si formò un governo guidato da un „politico“, Ivanoe Bonomi, leader della socialriformista Democrazia del Lavoro, erede del vecchio Partito Socialista Riformista Italiano fondato nel 1912 dallo stesso Bonomi. Dopo la liberazione la guida dell'esecutivo passò nelle mani dell'azionista Ferruccio Parri, il popolare „Maurizio“ della Resistenza di cui era stato leader e che era stato liberato dagli uomini di Silvio Trentin.

In tutti questi governi De Gasperi rappresentò, come aveva già fatto nei CLN, la DC ed in qualità di Ministro degli Esteri condusse le trattative di pace tenutesi a Parigi, in cui l'Italia compariva sul banco degli imputati, tenendo un memorabile discorso in cui, affermando che tutto, tranne la personale simpatia dei presenti, gli era avversa, riuscì a miscelare ragion di stato e sentimenti personali riuscendo, così, anche ad instaurare ottimi e duraturi rapporti personali con i maggiori esponenti democristiani, moderati e conservatori europei; tali rapporti si riveleranno essenziali nella costitutiva della futura comunità europea.

La destra democristiana ed i liberali provocarono ben presto la caduta del governo di Parri ritenuto troppo spostato a sinistra e troppo legato al movimento partigiano, De Gasperi affermò che la Democrazia Cristiana non voleva affatto né un ritorno al passato né, tantomeno, una svolta autoritaria. Ciò fu determinante per la conquista della Presidenza del Consiglio dei Ministri da parte del leader democristiano. Benché la formula di governo continuasse ad essere di unità nazionale, l'assegnazione della guida dell'esecutivo ad un esponente del centro segnò una svolta moderata nella vita politica de Paese.

Nel giugno del 1946 l'Italia va alle urne ed il corpo elettorale è chiamato a scegliere la forma di governo (monarchia o repubblica) ed ad esprimere preferenze politiche e partitiche per la composizione dell'Assemblea Costituente il cui compito sarà il redigere la nuova Costituzione. De Gasperi si esprime, in privato (lo ha ricordato la figlia Maria Romana) per la repubblica, ma la DC lascia libertà di voto a causa delle forti lacerazioni interne tra un elettorato progressista ed uno conservatore.

Vince la Repubblica e la DC ottiene la maggioranza relativa dei voti: De Gasperi viene riconfermato alla guida del governo di unità nazionale democratica antifascista. La situazione politica mondiale comincia ad essere critica a seguito delle tensioni

tra le due superpotenze, gli Stati Uniti e l'Unione Sovietica: comincia a calare la „cortina di ferro”.

Della primavera del 1947 il Presidente del Consiglio si reca negli Stati Uniti e prende la „dottrina Truman”: fuori i socialcomunisti di Nenni e Togliatti dal governo, appoggio dei socialdemocratici (grazie alla scissione di Palazzo Barberini da parte di Saragat), adesione al modello occidentale statunitense in politica estera ed acquisizione del modello di sviluppo capitalista e liberista, tutto ciò in cambio di aiuti economici ed alimentari.

L'anno successivo, il 18 aprile 1948, De Gasperi vede riconfermata la sua linea politica dal corpo elettorale che, nelle elezioni legislative generali, assegna alla Democrazia Cristiana la maggioranza assoluta dei seggi al Parlamento con il 48% dei voti.

Iniziava il predominio bianco sulla scena politica italiana che si trasformerà in un cinquantennio di potere incontrastato anche se legittimato dal responso delle urne. Però, nonostante la fine dell'unità antifascista, il 27 dicembre 1947 l'Assemblea Costituente approvò la nuova Costituzione repubblicana, frutto dell'incontro tra la cultura della sinistra, il pensiero cattolico popolare e la tradizione liberaldemocratica. La nuova Carta Costituzionale entrò in vigore il 1 gennaio del 1948.

De Gasperi guidò il governo, che comprendeva oltre ai democristiani i socialdemocratici (PSLI, poi PSDI) di Saragat, i liberali di Luigi Einaudi e Gaetano Martino (PLI) ed i repubblicani di Randolfo Pacciardi (PRI), fino al 1953 attuando una politica di risanamento e di sviluppo che, pur dando ottimi e lusinghieri risultati, vide escluse le masse operaie e lavoratrici su cui si riversarono massimamente i costi della già citata politica economica e sociale: furono quelli che Italo Calvino chiamava gli anni della “grande bonaccia”. Le tensioni tra le due parti raggiunse il massimo nell'estate del 1948 a seguito dell'attentato subito da Togliatti da parte del giovane fascista Antonio Pallante, ma l'intelligenza dei leader di governo e di sinistra impedì il peggio: l'Italia era stanca di guerra ed odio, voleva pace, sviluppo e benessere per tutti.

Anticomunista, apprezzava il modernismo USA. Modella con comunisti e socialisti la Costituzione, discute, sempre con loro, il trattato di pace. E senza di loro tratta con Truman gli aiuti del piano Marshall e l'adesione dell'Italia alla Nato (1949) battendo il lungo ostruzionismo di Togliatti e Nenni. Il cattolico ed antifascista De Gasperi nel 1953 seppe dire di no al Vaticano ed all'anziano don Sturzo opponendosi all'apertura a destra e all'alleanza con monarchici e fascisti per le amministrative romane (operazione Sturzo).

La carriera politica degasperiana finisce nel 1953 quando le elezioni legislative generali vedono bocciata la famigerata „legge truffa” che, nelle intenzioni dei suoi ideatori (De Gasperi e Scelba) doveva contribuire al mantenimento della stabilità del quadro politico nazionale, invece secondo i suoi critici nella migliore delle ipotesi era un modo per camuffare le contraddizioni presenti nella maggioranza e più specificamente in seno al partito di maggioranza relativa.

Opera principale della politica degasperiana fu la politica estera e la creazione dell'embrione della futura Unione Europea: fu l'illuminazione dell'idea europeista vista come grande opportunità per gli italiani e l'Italia per superare le proprie difficoltà<sup>12</sup>.

## L'omaggio del papa Benedetto XVI reso all' Alcide De Gasperi

Nel giorno di 7 settembre 2008 papa Benedetto XVI, rivolgendosi ai fedeli riuniti sul colle della Madonna di Bonaria a Cagliari, richiamò la necessità „di una nuova generazione di laici cristiani capaci di cercare con competenza e rigore morale soluzioni di sviluppo sostenibile nel mondo del lavoro, dell'economia e della politica“. Poco meno di un'anno dopo, il 20 giugno 2009, ricevendo il consiglio della fondazione intitolata allo statista, Benedetto XVI proponeva esplicitamente alla comunità politica italiana la figura di Alcide De Gasperi come riferimento emblematico del corretto agire degli uomini pubblici: „Formato alla scuola del Vangelo fu capace di tradurre in atti concreti e coerenti la fede che professava. Docile e obbediente alla Chiesa fu autonomo e responsabile nelle sue scelte politiche. In qualche momento non mancavano le difficoltà e, forse, anche incomprensioni da parte del mondo ecclesiastico“<sup>13</sup>.

## Conclusioni

La grande stagione di De Gasperi è legata alla liberazione e con essa alla ripresa della vita democratica del Paese. È un periodo in sé ristretto, sono undici anni dal 25 agosto 1943 alla morte dello statista il 19 agosto 1954. Eppure si può vedere che la figura di De Gasperi abbraccia un arco di tempo enormemente superiore. La sua storia si proietta fino ai nostri giorni per la visione che aveva della politica come dimensione internazionale dei problemi.

In occasione dei cinquanta anni dalla sua scomparsa venne organizzata una grande mostra rievocativa della sua figura col titolo *Un europeo venuto dal futuro*. Quel titolo voleva indicare la modernità di un uomo che pur interpretando il suo tempo sapeva vedere e proiettare nel futuro la completa realizzazione delle proprie idee e dei propri progetti come quelli europei.

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<sup>12</sup> P. Scoppola, *La proposta politica di De Gasperi*, Il Mulino, Bologna 1977.

<sup>13</sup> P. Cravero, *De Gasperi*, Il Mulino, Bologna 2000.

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## THE THEORETICAL FOUNDATIONS OF ENTERPRISE'S DIGITAL TRANSFORMATION

### *Teoretyczne podstawy cyfrowej transformacji przedsiębiorstw*

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#### **Streszczenie**

Artykuł dostarcza dogłębnej analizy teoretycznych podstaw cyfrowej transformacji we współczesnym środowisku biznesowym. Badanie analizuje czynniki wpływające na pomyślne wdrożenie technologii cyfrowych w organizacjach. Opracowanie uwzględnia również implikacje tych modeli teoretycznych dla strategii cyfrowej transformacji, dostarczając zniuansowanego zrozumienia, jak przedsiębiorstwa mogą wykorzystać te spostrzeżenia w celu zwiększenia innowacyjności, konkurencyjności oraz długoterminowej zrównoważoności. Zasady wdrażania cyfrowej transformacji są analizowane. Badanie podkreśla konieczność dostosowania się firm do szybkich zmian technologicznych, które tworzą zarówno nowe możliwości, jak i wyzwania. Udowodniono znaczenie przyjęcia zwinnych podejść zarządzania w celu radzenia sobie z niepewnością. Opracowanie dowodzi, że cyfrowa transformacja to nie tylko technologiczne ulepszenie, lecz także strategiczna zmiana, która wymaga zmiany sposobu myślenia, podejść oraz kultury korporacyjnej.

**Słowa kluczowe:** cyfrowa transformacja, teorie, strategię, zasady, adaptacja, zmiany

#### **Summary**

The paper provides an in-depth exploration of the theoretical foundations that underpin digital transformation in the contemporary business environment. The research investigates the factors influencing the successful adoption of digital technologies within organizations. The study also considers the implications of these theoretical models on digital transformation strategies, providing a nuanced understanding of how businesses can leverage these insights to enhance innovation, competitiveness, and long-term sustainability. The digital transformation implementation principles are analyzed. The research highlights the necessity for businesses

to adapt to the rapid technological changes, which create new opportunities as well as challenges. The importance of adopting agile management approaches to navigate uncertainty is proven. The study argues that digital transformation is not merely a technological upgrade but a strategic shift that requires changes in thinking, approaches, and corporate culture.

**Key words:** digital transformation, theories, strategies, principles, adaption, changes

In today's rapidly evolving world, where technological progress unexpectedly reshapes the business landscape, enterprises are facing complex challenges and the need to adapt to an ever-changing market environment. The application of innovative technologies has become crucial for ensuring competitiveness and survival on the market.

Currently, technologies such as the Internet of Things (IoT), data analytics, artificial intelligence (AI), blockchain, and cloud services are transforming all areas of business: from manufacturing and services to marketing and customer interactions. These technologies are revolutionizing how enterprises operate, interact with their customers, optimize their processes, and implement innovative solutions.

An important aspect of digital transformation is the adaptation to changes in the market environment. Technological shifts can unpredictably alter business conditions, creating new opportunities while, simultaneously, presenting new challenges and threats. Therefore, enterprises must be prepared to rapidly respond to said changes, identify new possibilities, and implement innovative solutions.

One way to adapt to these changes is by adopting an agile approach to management. Agile methodology emphasizes flexibility, the ability to react quickly to changes, experimentation, and innovation. Applying agile methodologies enables enterprises to adapt to uncertainty and ambiguity, adjust their strategies and plans according to the new conditions.

Another significant aspect of digital transformation is the utilization of data analytics and AI. Through the analysis of large datasets, enterprises can gain valuable insights and discover new opportunities to enhance their processes and services. AI assists in solving complex tasks, forecasting market trends, and responding to real-time changes.

However, along with the opportunities presented by digital transformation, new challenges must also be considered. Enterprises need to ensure cybersecurity and data protection against potential threats and cyberattacks. This becomes particularly crucial as the instances of cybercrimes and data breaches continue to rise, potentially leading to severe consequences for businesses.

Another aspect of digital transformation is the development of the new competencies and skills within the workforce. Thoroughly preparing the workforce for digital transformation and equipping them with skills and knowledge about new technologies can unlock the employees' potential and enhance work productivity.

Such an approach contributes to forming a team that is adept at utilizing digital tools to achieve the enterprise's strategic goals.

Hence, digital transformation holds the promise of opening broad horizons for the enterprises. Nevertheless, the successful implementation of this process demands careful preparation and a strategic approach<sup>1</sup>. Organizations must be prepared for active changes and flexible adaptation, integrating innovative technologies, and employing novel management methods. Enterprise leadership should recognize that digital transformation is not merely a technological upgrade but a strategic reboot, necessitating a shift in thinking, approaches, and corporate culture. To be successful in this process, it is essential to create an environment that is conducive to change and encourages a creative approach to problem solving.

It is noteworthy that digital transformation creates numerous new opportunities for the enterprises, such as process automation, personalized customer service, innovative product development, and expanding global influence. However, in order to excel in this realm, organizations must be ready to embrace innovative approaches and effectively manage changes and risks.

Thus, the incorporation of innovative technologies into strategic management allows the enterprises to establish competitive advantages, accelerate the development and implementation of new products and optimize internal processes. However, success hinges on the management's ability to adapt to changes, understand risks, and effectively harness digital possibilities to achieve the strategic objectives.

Digital transformation of enterprises is the process of integrating innovative digital technologies, tools, and approaches into the operations of businesses with the aim of optimizing business processes, enhancing customer interactions, creating new products and services, and ensuring competitiveness and market resilience. It encompasses the adoption of cutting-edge technologies such as AI, data analytics, cloud services, IoT, blockchain, augmented reality (AR), and many others. These technologies enable enterprises to collect, analyze, and utilize vast amounts of data, automate the processes, and, thereby, enhance productivity, product, and service quality, and enable more efficient management.

The implementation of digital transformation is based on a set of principles that define the strategic approach and directions of the company activities for successful utilization of innovative technologies and changes in the context of the modern business environment.

One of the key principles of digital transformation is the understanding of the customer needs and demands. Digital technologies can help companies improve the service quality, provide personalized experiences, and enhance interactions with customers. Understanding and analyzing customer needs enables organizations to create innovative products and services that meet their expectations and requirements.

Another important aspect is fostering an innovative culture within the organization. Digital transformation involves implementing new ideas and taking risks. To

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<sup>1</sup> G.C. Kane, D. Palmer, A.N. Phillips, D. Kiron, N. Buckley, Strategy, not technology, drives digital transformation, MIT Sloan Management Review, 2015.



achieve this, it is essential to create an environment where employees are motivated and open to experimentation and innovation. Developing an innovative culture helps companies attract talented professionals, generate new ideas, and accelerate the adoption of new technologies.

Additionally, one of the fundamental principles is to invest in the learning and development of its employees. The adoption of digital technologies requires the employees to acquire new knowledge and skills. Organizations should ensure adequate training and support to enable employees to use new technologies and tools effectively.

Ensuring cybersecurity and data protection is also a crucial principle. The implementation of digital technologies involves increased digital data volume, which can introduce new risks and threats to security. Companies need to respond appropriately to safeguarding their data and ensuring cybersecurity.

There are certain theories that shape the foundation for a comprehensive understanding of a digital transformation of an enterprise, guiding organizations toward successful integration and optimization of digital technologies.

Theories such as the Technology Acceptance Model (TAM) and the Innovation Diffusion Theory help to explain how organizations adopt and assimilate new technologies. Understanding the factors that influence the technology adoption, such as perceived usefulness, ease of use and social influence, assists in planning and managing digital transformation initiatives.

The Technology Acceptance Model (TAM) was first introduced by Fred Davis and has since become a cornerstone in understanding the factors that influence intentions to use technologies. TAM identifies two main factors that determine the acceptance of technologies: perceived usefulness and perceived ease of use. Users assess whether a particular technology will enhance their job performance or make tasks easier and evaluate the ease of learning and applying this technology. TAM also emphasizes that external variables, such as training and support, can influence users' perceptions and, consequently, their acceptance of technology. The model has been widely used to predict and explain users' intentions to adopt various technological innovations, including digital tools and systems.

In the context of enterprise digital transformation, TAM can provide valuable insights into how employees perceive and respond to new digital technologies. By addressing perceived usefulness and ease of use, organizations can design better strategies for introducing and implementing digital solutions, ultimately contributing to the success of their transformation efforts.

Innovation Diffusion Theory, developed by Everett Rogers, provides a comprehensive framework for understanding how new ideas and technologies spread through cultures. This theory is particularly relevant in the context of digital transformation, a process that fundamentally changes how organizations operate and deliver value to customers through the integration of digital technologies. In the digital age, the diffusion of innovations takes on new dimensions as organizations grapple with rapidly evolving technologies, increased connectivity, and the need for continuous adaptation.

Innovation Diffusion Theory suggests that the adoption of digital technologies follows a predictable pattern characterized by five stages: knowledge, persuasion, decision, implementation, and confirmation. Initially, organizations must become aware of the new digital tools and understand their potential benefits (knowledge). This awareness often comes from exposure to information through various communication channels, including industry reports, conferences, and digital media. The persuasion stage involves forming a favorable attitude towards the innovation, which is influenced by the perceived attributes of the technology, such as its relative advantage, compatibility, complexity, trialability and observability. The decision stage involves the organization's commitment to adopt the innovation, followed by the implementation stage where the technology is integrated into everyday operations. Successful implementation often requires changes in organizational processes, learning and development (L&D) for employees and restructuring to support the new ways of working. Finally, in the confirmation stage, the organization seeks reassurance that the decision to adopt the digital innovation was beneficial, leading to sustained use and further integration.

The categories of adopters identified by Innovation Diffusion Theory, i.e. innovators, early adopters, early majority, late majority, and laggards, are evident in digital transformation efforts. Innovators within an organization are typically the tech enthusiasts and forward-thinking leaders who advocate for adopting new digital tools. Early adopters, who are influential and respected within their networks, can help champion the change and demonstrate the benefits to others. The early majority follows, building momentum as more employees and departments begin to adopt the technologies. The late majority and laggards may require additional support and encouragement, as they might be more resistant to change or skeptical about the benefits.

The social system within an organization, including its norms, values, and structures also affects the diffusion of digital innovations. Organizations with a culture that embraces change, continuous learning, and innovation are more likely to successfully navigate the digital transformation<sup>2</sup>. Leadership plays a critical role in setting the tone, providing vision, and ensuring that adequate resources and support are available for the transition.

Thus, by applying the principles of Innovation Diffusion Theory, organizations can not only facilitate smoother transitions but also achieve a more profound and sustained competitive advantage.

Resource-Based View (RBV) theory, developed by Jay Barney in 1991, emphasizes that unique resources and capabilities of a company contribute to its competitive advantage. Organizations leverage digital technologies as strategic resources to create distinctive capabilities, innovate and achieve sustainable competitive advantages.

The RBV focuses on identifying, developing, and utilizing internal resources and capabilities that are valuable, rare, inimitable and non-substitutable (VRIN). In the

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<sup>2</sup> I. M. Sebastian, J. W. Ross, C. Beath et al, How big old companies navigate digital transformation. *Strategic information management*, Routledge 2020, p. 133-150.

context of digital transformation, RBV provides a robust framework for understanding how digital technologies can be harnessed as strategic resources to create distinctive capabilities, drive innovation, and secure sustainable competitive advantages.

Digital technologies such as cloud computing, AI, big data analytics and the IoT have become critical assets for the modern organizations. These technologies enable businesses to optimize operations, enhance customer experiences, and develop new business models. From an RBV perspective, the integration of digital technologies transforms them into valuable resources that enhance a company's strategic capabilities. For instance, data analytics capabilities allow organizations to derive actionable insights from vast amounts of data, leading to improved decision-making and more effective strategies. AI and machine learning can automate complex processes, increase operational efficiency, and provide personalized customer experiences, thus differentiating the organization in the market.

The rarity of digital capabilities is another important aspect emphasized by RBV. While many organizations have access to digital technologies, the ability to effectively integrate and leverage these technologies in unique ways is what creates a competitive edge. Companies that develop proprietary algorithms, specialized software, or unique data sets can create rare resources that are difficult for competitors to replicate. The talent and expertise within the organization further enhance this rarity. Skilled personnel who can develop, implement, and optimize digital technologies are essential to building and sustaining these rare capabilities.

Inimitability, another essential component of RBV, refers to the difficulty the competitors face in replicating a firm's resources and capabilities. Digital technologies, when combined with a company's unique processes, culture, and knowledge, become highly inimitable. For example, the way an organization integrates customer feedback into product development through digital platforms can create a distinctive process that competitors find hard to replicate. Furthermore, the tacit knowledge embedded within a company's workforce regarding the use and optimization of the digital tools adds another layer of inimitability. Organizational culture that fosters innovation and agility is also a significant factor in making digital capabilities difficult to imitate.

Non-substitutability is the final attribute in the VRIN framework, highlighting that there should be no equivalent substitutes for the resources and capabilities an organization possesses. In the digital realm, this means that the specific combination of digital technologies, data, expertise, and processes within an organization cannot be easily replaced by other means. For instance, a company's integrated digital marketing strategy that leverages big data analytics, AI-driven customer insights, and personalized content delivery may be irreplaceable by competitors relying on traditional marketing approaches.

RBV also emphasizes the importance of continuous improvement and dynamic capability development. In the fast-paced digital landscape, organizations must continually evolve their digital capabilities to maintain their competitive advantage<sup>3</sup>.

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<sup>3</sup> D. J. Teece, Business models and dynamic capabilities, "Long range planning" 2018; 51(1): 40-49.

This involves investing in the ongoing L&D for employees, staying abreast of the technological advancements, and fostering a culture of innovation. By doing so, the organizations can ensure that their digital resources remain valuable, rare, inimitable, and non-substitutable over time.

In practical terms, leveraging RBV in the context of digital transformation requires a strategic approach to resource management. Organizations need to conduct regular assessments of their digital assets and capabilities, identify gaps, and invest in building or acquiring the necessary resources. Collaboration and partnerships with technology providers, academic institutions, and other businesses can also enhance an organization's digital capabilities. Moreover, aligning digital strategy with overall business objectives ensures that digital resources are effectively utilized to drive competitive advantage.

Thus, Resource-Based View provides a comprehensive framework for understanding how digital technologies can be transformed into strategic resources that contribute to a company's competitive advantage. By focusing on the VRIN attributes organizations can develop and sustain distinctive digital capabilities that drive innovation, improve performance, and secure long-term success in the digital age. This strategic approach enables businesses to not only maintain pace with technological advancements but also to leverage them in ways that create significant and sustainable competitive advantages.

Digital Ecosystem Theory examines how organizations collaborate, compete, and interact within a digital ecosystem composed of various stakeholders, including customers, partners, and competitors. The theory highlights the interconnectedness and interdependence of modern business environments, where value creation and competitive advantage emerge from the collective efforts of various entities rather than isolated actions. By understanding the dynamics of the digital ecosystem, organizations can craft more effective digital strategies and enhance their engagement with the ecosystem which leads to improved innovation, resilience, and market positioning.

A digital ecosystem encompasses a wide range of participants, including businesses, consumers, technology providers, regulatory bodies, etc. Each participant fulfills a unique role and contributes to the overall functionality and the evolution of the ecosystem. Organizations operate within this ecosystem by leveraging digital technologies to connect with other stakeholders, share resources, and co-create value. The interdependent nature of these relationships means that the actions of one participant can significantly impact the entire ecosystem.

Collaboration within a digital ecosystem is an essential aspect of Digital Ecosystem Theory. Organizations collaborate with partners to access the complementary resources, capabilities, and technologies that they may not possess internally. For example, a company may collaborate with a technology firm to integrate advanced analytics into its operations, or with a logistics provider to enhance its supply chain efficiency. Such collaborations enable organizations to innovate more rapidly and respond more effectively to the market demands. The shared knowledge and resources within the ecosystem also foster a culture of continuous improvement and mutual growth.

Competition within a digital ecosystem is equally important. Organizations compete not only for the market share but also for the attention and engagement of other stakeholders. However, this competition is often characterized by coopetition, where companies both collaborate and compete simultaneously. For instance, businesses might collaborate on developing industry standards or investing in research and development jointly while competing within the marketplace. This dynamic creates a balance that drives innovation and pushes all participants to improve their offerings and operations continually.

Customer engagement is a pivotal element in the dynamics of a digital ecosystem. Customers are not just passive recipients of products and services but rather they are the active participants who influence the ecosystem through their preferences, feedback, and behavior. Digital technologies enable organizations to engage with customers in a more interactive and personalized manner. Social media, online communities, and digital platforms facilitate real-time communication and feedback loops, allowing organizations to adapt their strategies and offerings based on customer insights. By understanding customer needs and preferences, organizations can create more targeted and relevant value offers, enhancing customer satisfaction and loyalty.

The role of technology providers and platforms within a digital ecosystem cannot be overstated. These entities provide the infrastructure, tools, and services that enable connectivity and collaboration among participants. Cloud computing, big data, AI and blockchain are examples of technologies that support the functioning of the digital ecosystems. Platforms such as Amazon Web Services, Google Cloud, and Microsoft Azure provide scalable and flexible solutions that organizations can leverage to build and expand their digital capabilities. Additionally, the digital platforms like e-commerce marketplaces, social media networks, and collaborative software solutions facilitate interactions and transactions among ecosystem participants.

Regulatory bodies and societal actors also influence the dynamics of a digital ecosystem. Regulations related to data privacy, cybersecurity, and digital trade shape how organizations operate and interact within the ecosystem. Compliance with these regulations is crucial for maintaining trust and credibility. Furthermore, societal, and environmental considerations, such as sustainability initiatives and ethical practices, are increasingly becoming integral to digital strategies. Organizations that proactively address these issues can enhance their reputation and build stronger relationships with stakeholders.

An understanding of the dynamics of a digital ecosystem provides insight into the development of effective digital strategies and the manner in which organizations engage with their respective ecosystems. A strategic approach involves identifying key stakeholders, mapping out the ecosystem, and analyzing the interdependencies and value exchanges among participants. Organizations need to recognize the shifting roles and influences within the ecosystem and adapt their strategies accordingly. For instance, as new technologies emerge and customer expectations evolve, organizations must continuously innovate and update their digital capabilities.

Effective ecosystem engagement requires organizations to foster open communication, build trust, and create value for all participants. This involves not only leveraging digital technologies but also cultivating a culture of collaboration and agility. Organizations should seek to create win-win scenarios where all participants benefit from the interactions. This can be achieved through transparent practices, shared goals, and equitable distribution of value.

Thus, Digital Ecosystem Theory provides a comprehensive framework for understanding the complex and dynamic nature of interactions within a digital ecosystem. By examining how organizations collaborate, compete, and engage with various stakeholders, this theory highlights the importance of strategic ecosystem management. The organizations that effectively navigate these dynamics can enhance their innovation capabilities, resilience, and market positioning. By fostering collaboration, engaging customers, leveraging technology, and adhering to regulatory and societal considerations, businesses can create sustainable value and thrive in the interconnected digital landscape.

Business Process Reengineering (BPR) theory advocates for the radical redesign and optimization of business processes to achieve significant performance improvements. This theory, introduced by Michael Hammer and James Champy in the early 1990s, emphasizes the need for organizations to fundamentally rethink how they operate, moving beyond incremental improvements to achieve breakthrough results. BPR involves a comprehensive analysis and overhaul of end-to-end processes, focusing on eliminating inefficiencies, reducing costs, improving quality, and enhancing customer value. In the context of digital transformation, integrating digital technologies with BPR can amplify these benefits, enabling organizations to streamline operations, drive innovation, and create a competitive edge.

The core principle of BPR is to start with a clean slate, questioning existing processes and exploring how they can be completely redesigned to better serve the organizational goals. This approach contrasts with traditional process improvement methods that typically focus on minor tweaks and adjustments. BPR challenges organizations to think creatively and adopt a holistic view of their operations, considering how processes can be restructured to eliminate non-value-adding activities and align more closely with customer needs and strategic objectives.

Digital technologies play a significant role in the successful implementation of BPR. Technologies such as AI, robotic process automation (RPA), big data analytics, cloud computing, and the IoT provide powerful tools for redesigning and optimizing business processes. For instance, AI and machine learning can automate complex decision-making tasks, allowing organizations to process large volumes of data quickly and accurately. This automation reduces manual effort, minimizes errors, and frees the human resources for more strategic activities.

RPA is another digital technology that aligns well with BPR principles. RPA involves using software robots to automate repetitive, rule-based tasks that were traditionally performed by humans. By integrating RPA into reengineered processes, organizations can achieve higher levels of efficiency and consistency. For example, in

the finance sector, RPA can be used to automate invoice processing, reconciliation, and compliance checks, thus, significantly reducing the processing time and the operational costs.

Big data analytics is integral to BPR as it provides deep insights into the process performance and customer behavior. By analyzing large datasets, organizations can identify patterns, trends, and impediments that may not be apparent through the traditional analysis methods. These insights enable more informed decision-making and targeted process improvements. For example, in the retail industry, big data analytics can help identify inefficiencies in supply chain management, optimize inventory levels, and enhance demand forecasting accuracy.

Cloud computing supports BPR by providing scalable and flexible IT infrastructure that can adapt to the changing business needs. Cloud-based solutions enable organizations to implement and scale new processes quickly without the need for significant upfront investment in hardware and software. This flexibility is particularly valuable in dynamic markets where rapid adaptation to new opportunities and challenges is critical. Additionally, cloud computing facilitates collaboration and information sharing across geographically dispersed teams, enhancing coordination and efficiency.

The IoT contributes to BPR by connecting physical assets and devices to the digital world, thus, enabling real-time monitoring and control of processes. IoT devices can collect and transmit data on various operational parameters, such as equipment performance, environmental conditions, and resource utilization. This data can be used to optimize processes, predict maintenance needs, and reduce downtime. For example, in manufacturing, IoT-enabled sensors enable the real-time monitoring of machinery, facilitating predictive maintenance and reducing the risk of unexpected breakdowns.

The integration of digital technologies with BPR not only enhances operational efficiency but also significantly improves customer value<sup>4</sup>. Digital tools enable organizations to deliver more personalized, responsive, and seamless experiences to their customers. For instance, AI-powered chatbots and virtual assistants can provide instant customer support, addressing queries and resolving issues promptly. Data analytics can help organizations understand customer preferences and tailor their offers accordingly, leading to higher customer satisfaction and loyalty.

Furthermore, digital technologies facilitate greater agility and innovation within the organizations. By enabling rapid prototyping, testing, and iteration of new processes and solutions, digital tools help the organizations stay ahead of the competition and respond swiftly to market changes. This agility is essential in today's fast-paced business environment, where customer expectations and technological advancements are continually evolving.

Thus, the integration of digital technologies amplifies the impact of BPR, enabling organizations to streamline operations, eliminate inefficiencies, and enhance

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<sup>4</sup> P.C. Verhoef, T. Broekhuizen, Y. Bart et al, Digital transformation: A multidisciplinary reflection and research agenda, "Journal of business research" 2021; 122: 889-901.

customer value. Through a comprehensive and technology-enabled approach to BPR, businesses can transform their operations, deliver superior value to customers, and secure a competitive advantage.

Dynamic Capabilities Theory, developed by Teece, Pisano and Shuen, focuses on the ability of a company to adapt and innovate in a rapidly changing environment. In the perspective of digital transformation, this theory emphasizes the following insights:

- a company must develop the ability to sense the emerging digital opportunities and seize them quickly to effectively implement digital transformation. This involves being attuned to the technological advancements and market shifts and being ready to act on them;
- digital transformation often requires the reconfiguration of an organization's resources, which may include reallocating budgets, reskilling the employees, and restructuring processes. Dynamic capabilities theory emphasizes the importance of flexibility and adaptability in making these resource adjustments;
- digital transformation is inherently tied to innovation. Enterprises need to foster continuous learning culture to stay ahead in the digital landscape;
- organizations should be willing to pivot when necessary and their strategies should be dynamic rather than rigid<sup>5</sup>.

Blue Ocean Strategy, crafted by W. Chan Kim and Renée Mauborgne, centers on the creation of unchallenged market spaces through the distinction of products or services from rivals. In the realm of digital transformation, entities should endeavor to forge 'blue oceans' by proffering exclusive value to clientele. This endeavor may entail the formulation of avant-garde digital products, services, or business models that conspicuously outshine the competition.

Through the application of digital technologies and automation, organizations frequently possess the means to reduce expenditures while concurrently furnishing superior value to their patrons. This expenditure reduction can serve as a pivotal catalyst in shaping a blue ocean by proposing reduced prices or heightened quality.

A customer-centric approach remains paramount; it is a fundamental tenet of Blue Ocean Strategy. This approach revolves around an unwavering concentration on what the customer genuinely esteems. Digital transformation should encompass an exhaustive grasp of customer requisites and the utilization of technology to gratify those prerequisites in the pioneering ways.

Thus, Blue Ocean Strategy often involves non-disruptive adoption, meaning that customers can easily understand and adopt the new offerings. This aligns with the idea that digital transformation should make the customer experience smoother and more convenient.

Theories like RBV, Dynamic Capabilities Theory and Blue Ocean Strategy offer insights into crafting effective digital transformation strategies. These theories are employed by enterprises to align digital initiatives with overarching business goals, create new value propositions, and differentiate themselves in the digital landscape.

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<sup>5</sup> G. Vial, Understanding digital transformation: A review and a research agenda, "Managing digital transformation" 2000: 13-66.



Change management models such as Lewin's "Change Management Model" and Kotter's "8-Step Change Model" provide the frameworks for facilitating successful organizational change. Applying these models to digital transformation facilitates the management of resistance, effective communication, and the fostering of a culture of adaptability.

Lewin's "Change Management Model" provides a straightforward yet profound framework for managing the organizational change. This model is especially relevant in the context of digital transformation, where the organizations must navigate complex and often disruptive changes brought about by new technologies. Lewin's model comprises three stages: Unfreezing, Changing (or Transition), and Refreezing. Each stage represents a critical phase in the process of implementing and solidifying change within the organization, ensuring a structured approach to transforming business operations and culture.

The first stage, Unfreezing, involves preparing the organization for change by challenging the current state and creating a perceived need for transformation. This stage is essential in the digital transformation because it addresses the inherent resistance to change that can hinder the adoption of new technologies and processes. During this stage, leaders must communicate the reasons for the digital transformation clearly and compellingly. This communication should emphasize the urgency and benefits of adopting the digital technologies, such as enhanced efficiency, improved customer experiences, and increased competitiveness.

Unfreezing also requires addressing the emotional and psychological aspects of change. Employees might fear the unknown or worry about job security due to the automation and new digital tools. To mitigate these concerns, organizations should foster an open and supportive environment where employees can express their fears and receive reassurance. Engaging employees in the planning process, providing them with the necessary information, and offering training programs to build digital skills can help ease the transition. Leaders must actively listen to employee concerns and provide clear, consistent messaging about the positive impacts of the transformation.

The second stage, Changing (or Transition), is where the organization begins to implement the new processes, technologies, and behaviors. This stage is often the most challenging, as it involves moving from the familiar ways of working to the new, untested methods. In the context of digital transformation, this might include adopting new software systems, integrating AI and machine learning tools, implementing cloud-based solutions, or redesigning workflows to incorporate digital processes.

During the changing stage, clear and continuous communication is vital to ensure that everyone understands their roles and responsibilities in the new digital landscape. Change leaders should provide detailed implementation plans, set realistic timelines, and establish measurable goals to track the progress. Offering ongoing support and training to help employees adapt to new technologies and processes is crucial. Creating a culture of experimentation and learning can facilitate the transition, allowing employees to test new tools and approaches without the fear of failure.

The role of leadership is of particular significance during this phase. Leaders should model the desired behaviors, demonstrate commitment to the change, and maintain a visible presence throughout the transition. This leadership engagement reinforces the importance of the transformation and provides a source of motivation and inspiration for the entire organization. Additionally, forming the cross-functional teams can foster collaboration, and it may ensure that different perspectives and expertise are considered which, in turn, will enhance the overall success of the transformation.

The final stage, Refreezing, focuses on solidifying the changes and embedding them into the organizational culture and practices. This stage ensures that the new ways of working become the standard and that the benefits of the transformation are sustained over the long term. In the context of digital transformation, refreezing involves reinforcing new digital practices, continuously monitoring performance, and making necessary adjustments to optimize outcomes.

To achieve successful refreezing, it is important to celebrate early wins and recognize the efforts of individuals and teams who have contributed to the transformation. This recognition helps to build the momentum and reinforces the positive aspects of the change. Establishing new policies, procedures, and metrics aligned with the digital transformation goals can help institutionalize the changes. Regular feedback mechanisms should be implemented to gather insights and address any emerging issues promptly.

Continuous improvement is also a significant aspect of the refreezing stage. Organizations should remain agile and responsive to technological advancements and market shifts, ensuring that their digital capabilities evolve in line with external changes. This may involve periodic reviews of digital strategies, ongoing training, and development programs, and fostering a culture of innovation and adaptability.

Thus, Lewin's "Change Management Model" provides a valuable framework for guiding organizations through the complex process of digital transformation. By following the three stages of Unfreezing, Changing, and Refreezing, organizations can effectively manage the transition to new digital technologies and processes. The unfreezing stage emphasizes the importance of preparing the organization and addressing resistance to change. The changing stage focuses on the implementation and the support required to adopt the new ways of working. Finally, the refreezing stage ensures that the changes are solidified and sustained over time. By leveraging Lewin's model, organizations can navigate the challenges of digital transformation, achieve significant performance improvements, and build a resilient and future-ready organization.

Kotter's "8-Step Change Model" provides a structured and comprehensive framework for managing change within organizations. In the context of digital transformation, this model offers a clear roadmap to help organizations successfully adopt and integrate new digital technologies and processes. The model consists of eight steps, each critical for driving and sustaining change, ensuring that the organization can adapt effectively to the rapidly evolving digital landscape.

The first step is Creating a Sense of Urgency which involves building a compelling case for why digital transformation is necessary. This step is crucial because it addresses the inertia and the resistance that often accompany change. Leaders must communicate the urgent need for digital adoption by highlighting the potential benefits, such as improved efficiency, enhanced customer experiences, and increased competitiveness. They must also underscore the risks of inaction, including falling behind competitors or losing market share. By creating a sense of urgency, leaders can galvanize the organization, generating the momentum needed to embark on the transformation journey.

The second step, Forming a Powerful Coalition, entails assembling a group of influential leaders and stakeholders who are committed to driving the change. This coalition should include individuals from various levels and departments within the organization to ensure broad support and diverse perspectives. In the context of digital transformation, the coalition might consist of senior executives, IT leaders, and department heads who can champion the adoption of new technologies. This powerful coalition is essential for guiding the organization through the complexities of the transformation process, providing leadership and support at every stage.

The third step, Creating a Vision for Change, requires the development of a clear and compelling vision that articulates the goals and benefits of the digital transformation. This vision serves as a roadmap, providing direction and inspiration for the change efforts. It should clearly outline what the organization aims to achieve through digital transformation and how it will benefit both the business and its stakeholders. A well-defined vision helps align the organization's efforts and ensures that everyone is working towards the same objectives. Leaders must communicate this vision effectively to ensure that all employees understand and embrace the desired future state.

The fourth step, Communicating the Vision, involves disseminating the vision throughout the organization using various channels and formats. Consistent and transparent communication is key to reinforcing the vision and keeping it at the forefront of employees' minds. In the context of digital transformation, communication should highlight the benefits of new technologies, address potential concerns, and provide regular updates on progress. Leaders should also use communication to solicit feedback and encourage dialogue, fostering a sense of inclusion and ownership among employees. Effective communication ensures that everyone is informed and engaged, which is critical for the success of the transformation.

The fifth step, Removing Obstacles, focuses on identifying and eliminating the barriers that could hinder the change process. In digital transformation, obstacles might include outdated systems, lack of skills, or resistance from employees. Leaders need to address these barriers proactively by providing the necessary resources, training, and support. This might involve upgrading IT infrastructure, offering digital literacy programs, and creating an environment where employees feel safe to experiment and adapt to new technologies. By removing such obstacles, leaders can facilitate a smoother transition and increase the likelihood of successful adoption of digital tools and processes.

The sixth step, *Creating Short-Term Wins*, involves achieving and celebrating early successes to build momentum and demonstrate the tangible benefits of the change initiative. In digital transformation, short-term wins might include successful pilot projects, quick efficiency gains from automation, or early improvements in customer satisfaction. These wins provide evidence that the transformation is on the right track and help to sustain enthusiasm and commitment among employees. Celebrating short-term wins also reinforces the positive impact of digital technologies and boosts morale, encouraging further efforts towards the transformation.

The seventh step, *Building on the Change*, emphasizes the importance of sustaining change by continuously seeking opportunities for further improvement. Digital transformation is an ongoing process, and organizations must remain agile and responsive to new developments. Leaders should use the credibility gained from short-term wins to drive more significant, long-term changes. This might involve scaling successful pilots across the organization, integrating additional digital tools, and continuously refining processes to enhance efficiency and innovation. Building on the change ensures that the organization continues to evolve and adapt, maintaining its competitive edge in a dynamic market.

The final step, *Anchoring the Changes in the Corporate Culture*, focuses on embedding the new ways of working into the organizational culture to ensure that the changes are sustainable. This involves reinforcing the new behaviors, practices, and mindsets that support the digital transformation. Leaders play a crucial role in modeling these behaviors and recognizing those who exemplify the new ways of working. Establishing new policies, procedures, and performance metrics aligned with the digital transformation goals can help institutionalize the changes. Furthermore, continuous learning and development (L&D) programs can assist in maintaining a culture of innovation and adaptability, thereby ensuring that the organization remains future-ready.

Thus, Kotter's "8-Step Change Model" provides a valuable framework for managing digital transformation effectively. By following these eight steps, i.e. creating a sense of urgency, forming a powerful coalition, creating a vision for change, communicating the vision, removing obstacles, creating short-term wins, building on the change and anchoring the changes in the corporate culture, enterprises can navigate the complexities of digital transformation and achieve sustainable success. This structured approach ensures that the change process is well-coordinated, inclusive, and aligned with the organization's strategic objectives, ultimately leading to a more resilient and future-ready business.

Digital leadership involves guiding organizations through the complexities of digital transformation by leveraging technology to enhance business processes, create new value propositions, and drive competitive advantage. Visionary digital leaders possess a forward-thinking mindset and a deep understanding of how digital technologies can be integrated into the organizational strategy. They are adept at identifying emerging trends, envisioning the future state of the organization, and communicating a compelling vision that inspires and aligns employees towards common goals.

One of the foundational theories in digital leadership is the concept of “transformational leadership”, which emphasizes the importance of inspiring and motivating employees to achieve extraordinary outcomes. Transformational leaders in the digital era are characterized by their ability to articulate a clear vision of digital transformation, foster an environment of trust and collaboration, and encourage innovation and creativity. By setting high expectations and providing the necessary support and resources, transformational leaders empower employees to take ownership of digital initiatives and encourage continuous improvement.

Transformational leaders understand that digital transformation is not just about implementing new technologies but also about changing the organizational culture and mindset. They emphasize the need for a culture that is open to change, experimentation, and continuous learning. This involves creating a safe space for the employees to explore new ideas and take calculated risks without the fear of failure. Leaders must also be committed to their own continuous learning and development to stay ahead of technological advancements and industry trends.

In the context of digital transformation, transformational leaders play a critical role in fostering innovation. They encourage employees to think creatively and explore new ways of leveraging digital technologies to solve business problems and create value. By promoting a culture of innovation, leaders ensure that the organization remains competitive and can adapt to the changing market conditions. This involves providing employees with the tools, resources, and autonomy they need to innovate and experiment. Leaders also acknowledge and reward innovative efforts, reinforcing the significance of creativity and continuous improvement in the organization's values and practices.

Effective communication is another crucial aspect of transformational leadership in the digital era. Leaders must communicate the vision for digital transformation clearly and consistently, ensuring that all employees understand the strategic goals and their role in achieving them. This involves using various communication channels and methods to reach different audiences within the organization. Regular updates and transparent communication about the progress and impact of digital initiatives aid in building trust and keeping employees engaged and motivated.

Building a strong team is essential for successful digital leadership. Transformational leaders recognize the importance of attracting and retaining top talents with the skills and mindset needed for digital transformation. This involves creating a supportive and inclusive work environment where employees feel valued and empowered. Leaders should invest in the employee development through training programs, mentoring, and opportunities for career growth. By building a team of skilled and motivated individuals, leaders can drive digital initiatives more effectively and achieve better outcomes.

Transformational leaders also focus on building strategic partnerships and collaborations. In the digital age, no organization can succeed in isolation. Leaders must seek out partnerships with other organizations, startups, and technology providers to leverage external expertise and resources. These collaborations can help accelerate

digital transformation by providing access to new technologies, ideas, and market opportunities. Leaders should also encourage collaboration within the organization, breaking down silos and fostering cross-functional teamwork to drive innovation and improve efficiency.

Finally, transformational leaders understand the importance of data and analytics in driving digital transformation. They leverage data to make informed decisions, measure the impact of digital initiatives, and continuously improve the processes and strategies. This involves investing in data analytics capabilities and fostering a data-driven culture within the organization. By using data to gain insights into customer behavior, market trends, and operational performance, leaders can identify opportunities for improvement and innovation.

In addition to transformational leadership, several other theories are of significant importance with regard to digital leadership. These theories provide diverse perspectives and strategies for guiding organizations through the complexities of digital transformation. Among these are “servant leadership”, “adaptive leadership”, and “authentic leadership”. Each of these theories offers a unique insight into how leaders can effectively manage change, inspire their teams, and foster a culture of innovation and continuous improvement in a digital age.

“Servant leadership” is a theory that emphasizes the leader’s role as a caretaker and a supporter of their team. This leadership style focuses on serving the needs of the employees by empowering them and helping them grow both personally and professionally. In the context of digital transformation, servant leaders prioritize the well-being and development of their team members, recognizing that a motivated and skilled workforce is essential for successful digital initiatives. They actively listen to their employees, provide the necessary resources, and support, and create an inclusive environment where everyone feels valued and heard. By fostering a sense of community and collaboration, servant leaders can drive digital transformation more effectively, ensuring that the organization remains agile and resilient in the face of change.

“Adaptive leadership” is another crucial theory for digital leadership. This approach emphasizes the importance of flexibility and responsiveness in a rapidly changing environment. Adaptive leaders are skilled at navigating uncertainty and complexity, making quick decisions based on evolving information. They encourage their teams to embrace change and view challenges as opportunities for growth and innovation. In the digital age, where technological advancements and market dynamics are constantly shifting, adaptive leadership is vital for staying competitive. These leaders focus on continuous learning and development, for both themselves and their teams, ensuring that they can quickly adapt to new technologies and methodologies. By fostering a culture of experimentation and learning, adaptive leaders can help their organizations thrive in the digital era.

“Authentic leadership” is characterized by leaders who are genuine, transparent, and ethical. They lead by example, demonstrating integrity and building trust with their employees. Authentic leaders are self-aware and understand their values and

strengths, which they leverage to inspire and guide their teams. In the context of digital transformation, authenticity is crucial for building a culture of trust and openness. Employees are more likely to embrace change and take risks when they believe their leaders are honest and have their best interests at heart. Authentic leaders also encourage open communication and feedback, creating an environment where employees feel safe to express their ideas and concerns. This openness fosters innovation and collaboration, essential for successful digital initiatives.

“Distributed leadership” is a theory that recognizes leadership as a collective process rather than the sole responsibility of a single individual. In the digital age, where collaboration and cross-functional teams are key, distributed leadership is particularly relevant. This approach involves delegating leadership roles and responsibilities to various team members based on their expertise and strengths. By adopting the distributed leadership approach, organizations can leverage diverse perspectives and skills, enhancing innovation and problem-solving. Distributed leadership also empowers employees, giving them a sense of ownership and accountability for digital initiatives. This collaborative approach ensures that the organization can respond more quickly and effectively to changes and challenges in the digital landscape.

“Transactional leadership” is another theory that, while traditionally focused on maintaining the status quo through structured tasks and rewards, can still play a role in digital leadership when combined with other approaches. Transactional leaders set clear goals and expectations, providing rewards and recognition for achieving targets. In the context of digital transformation, transactional leadership can help ensure that day-to-day operations continue to run smoothly while the organization navigates change. By providing structure and stability, transactional leaders can create a solid foundation for digital initiatives, complementing more transformational or adaptive approaches.

“Transformational leadership”, as previously discussed, is essential in driving digital transformation. This approach places emphasis on inspiring and motivating employees to achieve extraordinary outcomes, fostering a culture of innovation and continuous improvement. Transformational leaders in the digital era articulate a clear vision for digital transformation, encourage creativity and experimentation, and provide the necessary support and resources for their teams to succeed. By setting high expectations and creating the environment of trust and collaboration, transformational leaders empower employees to take ownership of digital initiatives and drive change throughout the organization.

Thus, digital leadership encompasses a variety of theories that provide diverse strategies and perspectives for guiding organizations through the digital transformation. Visionary digital leaders possess a forward-thinking mindset and a deep understanding of how digital technologies can be integrated into the organizational strategy. They are adept at identifying emerging trends, envisioning the future state of the organization, and communicating a compelling vision that inspires and aligns employees towards common goals. Transformational leadership is a foundational theory in digital leadership, which emphasizes the importance of inspiring

and motivating employees to achieve extraordinary outcomes. By fostering a culture of innovation, effective communication, strong teamwork, strategic partnerships, and data-driven decision-making, transformational leaders enable successful digital transformation and position their organizations for long-term success.

Servant leadership focuses on empowering and supporting employees, adaptive leadership emphasizes flexibility and responsiveness, and authentic leadership highlights the importance of integrity and trust. Distributed leadership recognizes the collective nature of leadership, transactional leadership provides structure and stability, and transformational leadership inspires and motivates employees to achieve extraordinary outcomes. By integrating these theories, digital leaders can create a comprehensive approach to navigating the complexities of digital transformation, fostering a culture of innovation, and ensuring long-term organizational success.

Another important framework is Clayton Christensen's "theory of disruptive innovation", which explains how new technologies can disrupt the established markets and create new opportunities. According to this theory, disruptive technologies often begin as low-cost alternatives that initially cater to niche markets or less demanding customers. Over time, these technologies improve and evolve to meet the needs of mainstream customers, eventually overtaking the established products and services. This process of disruption can fundamentally change the industries, rendering established companies obsolete if they fail to adapt.

Digital leaders must be vigilant in identifying and embracing disruptive technologies with the potential to revolutionize their industry. This involves staying abreast of technological advancements and market trends, as well as being open to new and unconventional ideas. By recognizing the early signs of disruption, leaders can proactively invest in and integrate these technologies into their organizational strategy. This foresight is crucial for maintaining a competitive edge and ensuring long-term success in a rapidly evolving digital landscape.

To effectively leverage the disruptive innovation, digital leaders must foster a culture of experimentation within their organizations. This involves encouraging employees to explore new ideas, take calculated risks, and learn from failures. By creating an environment where experimentation is valued and supported, leaders can facilitate innovation and uncover new opportunities for growth. This culture of experimentation is essential for staying ahead of competitors and continuously improving the products, services, and processes.

Moreover, digital leaders must be adept at managing the balance between sustaining existing operations and exploring disruptive innovations. This often requires creating separate teams or units dedicated to exploring and developing disruptive technologies, while the core business focuses on incremental improvements and maintaining current operations. This dual approach ensures that the organization can continue to meet the needs of the existing customers while also positioning itself for future growth.

Effective communication is another critical aspect of leveraging disruptive innovation. Leaders must clearly articulate the vision and strategic importance of the



disruptive technologies to all stakeholders, including employees, investors, and customers. By communicating the potential benefits and long-term impact of these innovations, leaders can build buy-in and support throughout the organization. This alignment is crucial for mobilizing the resources and driving the successful implementation of disruptive technologies.

In addition to fostering a culture of experimentation and effective communication, digital leaders must also invest in the necessary infrastructure and capabilities to support the disruptive innovation. This includes investing in research and development, acquiring new technologies, and developing the skills and expertise of employees. By providing the necessary tools and resources, leaders can ensure that their teams are well equipped to explore and implement the disruptive innovations.

Collaboration and partnerships also play a vital role in leveraging disruptive innovation. Digital leaders should seek out strategic alliances with startups, technology providers, and other organizations that can provide complementary skills, knowledge, and resources. These partnerships can accelerate the development and the adoption of disruptive technologies, enabling organizations to stay ahead of the curve and capitalize on new opportunities.

Additionally, digital leaders must be prepared to make bold decisions and pivot their strategies in response to the emerging disruptions. This requires a willingness to challenge the status quo and embrace change, even when it involves significant risks. By being flexible and adaptive, leaders can navigate the uncertainties of disruptive innovation and position their organizations for long-term success.

Thus, Clayton Christensen's "theory of disruptive innovation" offers valuable insights into how new technologies can disrupt the established markets and create new opportunities. Digital leaders have to be vigilant in identifying and embracing disruptive technologies that have the potential to revolutionize their industry. By fostering a culture of experimentation, encouraging the exploration of new ideas, and effectively managing the balance between sustaining current operations and pursuing disruptive innovations, leaders can position their organizations to capitalize on these opportunities and maintain a competitive edge.

## **Conclusion**

The digital transformation is based on a set of principles, including the understanding of the customer needs, fostering an innovative culture, investing in employee training, and ensuring cybersecurity. These principles enable companies to effectively adopt innovative technologies, achieve strategic goals, gain a competitive edge in the market, and ensure their competitiveness in the modern business environment.

The theoretical foundations collectively inform how organizations approach, plan and execute enterprise digital transformation. By drawing upon these principles, organizations can develop comprehensive strategies that leverage digital technologies to drive growth, enhance competitiveness and adapt to the evolving digital landscape.

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## ANALYSIS OF THE ROLE OF DIGITALIZATION IN ENHANCING THE EFFICIENCY OF BUSINESS OPERATIONS

### *Analiza roli cyfryzacji w zwiększaniu efektywności operacji biznesowych*

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#### **Streszczenie**

Artykuł bada potencjalne kierunki wdrażania narzędzi cyfrowych w działalności przedsiębiorstw w regionie Chersonia, na podstawie analizy aktualnych trendów i potrzeb. Zidentyfikowano dziesięć kluczowych zadań technicznych, w tym automatyzację produkcji, zarządzanie projektami, analizę danych, handel elektroniczny i obsługę klienta. Szczególną uwagę poświęcono możliwościom poprawy zarządzania finansami i procesami biznesowymi poprzez wykorzystanie sztucznej inteligencji (AI) i narzędzi analitycznych. W artykule podkreślono, że cyfryzacja może przynieść znaczące korzyści, takie jak zwiększona produktywność, obniżone koszty, lepsza komunikacja i zwiększona konkurencyjność. W szczególności podkreślono wykorzystanie handlu elektronicznego, elektronicznych systemów zarządzania dokumentami, narzędzi analitycznych i lepszej interakcji z klientami. W artykule zwrócono również uwagę na trendy w technologiach cyfrowych, takie jak rosnąca popularność technologii chmurowych, sztucznej inteligencji i analizy danych. Podsumowując stwierdzono, że wdrożenie narzędzi cyfrowych jest kluczowym krokiem do zapewnienia zrównoważonego rozwoju i poprawy efektywności przedsiębiorstw w nowoczesnym środowisku cyfrowym.

**Słowa kluczowe:** narzędzia cyfrowe, region Chersoń, automatyzacja produkcji, analiza danych, sztuczna inteligencja (AI)

#### **Summary**

The article explores potential directions for the implementation of digital tools in the activities of enterprises in the Kherson region, based on an analysis of current trends and needs. It identifies ten key technical tasks, including production automation, project management, data analytics, e-commerce, and customer service. Special attention is given to the opportunities for improving financial management

and business processes through the use of artificial intelligence (AI) and analytical tools. The article highlights that digitalization can offer significant advantages, such as increased productivity, reduced costs, improved communication, and enhanced competitiveness. Specifically, it emphasizes the use of e-commerce, electronic document management systems, analytical tools, and improved customer interaction. The article also notes trends in digital technologies, such as the growing popularity of cloud technologies, AI, and data analytics. In conclusion, it states that the implementation of digital tools is a crucial step for ensuring sustainable development and improving the efficiency of enterprises in the modern digital environment.

**Key words:** digital tools, Kherson region, production automation, data analytics, artificial intelligence (AI)

To evaluate the degree of digitalization among enterprises in the Kherson region, one must consider various factors, with a central focus being the integration and effective application of information and communication technologies (ICT). The assessment of digitalization involves examining both the presence and the impact of ICT within these enterprises.

The presence of ICT can be gauged by investigating the extent to which businesses have adopted computing hardware and software for various functions such as accounting, administrative management, production control, marketing, and sales. Additionally, it is important to assess the use of cloud services, email, and social media platforms, as these technologies are integral to contemporary business operations.

The effectiveness of ICT usage is evaluated through its influence on operational efficiency and performance outcomes. This includes analyzing reductions in administrative and accounting costs, which often result from streamlined processes and automated systems. Furthermore, the impact on employee productivity is examined, with a focus on how digital tools facilitate more efficient work practices. The optimization of production processes, reflected in reduced time requirements and enhanced workflow management, is another critical aspect. Lastly, the effect of digitalization on sales performance is considered, particularly how improved technological capabilities contribute to increased revenue and growth.

By evaluating these factors, a comprehensive understanding of how digitalization enhances business efficiency and operational effectiveness in the Kherson region can be achieved.

To assess the level of digitalization among enterprises in the Kherson region, a comprehensive approach can be employed, including surveys of employees regarding ICT usage and an analysis of available software and cloud services within the enterprises. Additionally, comparative studies with other regions and industries can provide insights into the digital maturity of the Kherson region relative to others.

According to data from the State Statistics Service of Ukraine, in 2020, there were 8,116 enterprises in Kherson Oblast, comprising 3 large, 306 medium, and 7,807

small enterprises, of which 6,888 were micro-enterprises. Over 99% of these enterprises had internet access, indicating that the use of technology and the internet is nearly ubiquitous in the region. However, only 25% of enterprises in Kherson Oblast had their own websites, and less than 10% actively used social media for advertising their products and services.

Between 2018 and 2020, the Ministry of Economic Development, Trade, and Agriculture of Ukraine reported the establishment of over 50 innovative enterprises in Kherson Oblast focused on the development and implementation of digital technologies. Furthermore, in 2020, the „Electronic Kherson” program was launched, aimed at creating a unified electronic space for service provision and project implementation utilizing digital technologies<sup>1</sup>.

The evaluation of digitalization levels indicates that most enterprises in the Kherson region are still in the early stages of digitalization. While many have basic electronic resources, such as websites and social media profiles, these resources are not yet fully utilized to attract new clients or enhance operational efficiency. This suggests that there is considerable potential for further development in digital capabilities within the region.

Most enterprises in the Kherson region lack a comprehensive digital strategy and action plan for digitalizing their operations. Some enterprises also lack experience with advanced software and technologies that are crucial for automating and optimizing business processes<sup>2</sup>.

However, the presence of electronic resources and the use of certain programs for process automation indicate an interest in implementing digital tools and advancing the digital economy. Effective use of digital technologies is essential for businesses to attract new customers, increase sales volumes, and improve the quality of products and services.

Thus, enterprises in the Kherson region require support and enhanced competence in digitalization to ensure sustainable development and competitiveness in the contemporary digital landscape.

Certain sectors already exhibit a high level of digitalization, such as e-commerce and internet marketing. Conversely, industries like manufacturing, transportation, construction, healthcare, and education may require substantial efforts to achieve effective digitalization.

It is also important to note that the level of digitalization may vary based on the size and ownership structure of the enterprises. Larger enterprises generally have more resources to invest in digitalization and the development of their own information systems.

Despite being in the 21st century, a significant number of entrepreneurs remain skeptical about adopting cutting-edge developments and technologies, and even

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<sup>1</sup> G. Bedianashvili, H. Zhosan, S. Lavrenko, Modern digitalization trends of Georgia and Ukraine, “Management, Economic Engineering in Agriculture and Rural Development” 2022; 22(3): 57-74.

<sup>2</sup> BMWi, Industrie 4.0 und Digitale Wirtschaft – Impulse für Wachstum, Beschäftigung und Innovation, Bundesministerium für Wirtschaft und Energie, Berlin 2015.

more so about integrating them into their businesses. This widespread issue is known as „neophobia”.

Neophobia, or the fear of new technologies, is a common barrier to the adoption of digital tools within enterprises. This apprehension can be prevalent among employees, managers, and other business stakeholders who lack familiarity with these tools and do not fully understand their benefits.

To address this challenge, it is essential to implement regular training, education, and consultations on the use of digital tools for all business participants involved in their deployment. Actively involving employees in the development and implementation process of new technologies can enhance their awareness and readiness for change.

A strategic approach to the introduction of digital tools should be developed, featuring a gradual and measured deployment of new technologies. This approach helps to mitigate stress and neophobia among employees and managers. Additionally, maintaining a positive attitude and motivating staff by emphasizing the benefits that digital tools can bring to the enterprise and individual employees is crucial.

By addressing neophobia effectively, the process of integrating digital tools into businesses can be significantly streamlined, leading to more successful adoption and utilization of these technologies. Providing adequate support, training, and motivation to employees engaged in the implementation and use of digital tools is vital for overcoming this barrier.

One effective approach to supporting employees in the adoption of digital tools is through comprehensive training and workshops designed to enhance their competence and confidence in using these technologies. Providing opportunities for hands-on experience with digital tools – such as allowing employees to integrate them into their daily tasks – is also crucial.

In addition to training, motivation plays a vital role in encouraging the use of digital tools. Management should implement strategies to motivate employees, which might include financial incentives, bonuses for successful utilization of these tools, or incorporating their use into employee performance evaluations.

Furthermore, it is essential to provide adequate support for employees encountering technical issues with digital tools. Establishing a dedicated technical support service to address and resolve these problems can ensure that employees have the assistance they need.

Addressing neophobia and offering appropriate support and motivation are key factors in the successful implementation and use of digital tools within an organization. Effective management involves allocating time for employees to familiarize themselves with new tools, ensuring they receive proper education and training to maximize their use. Additionally, providing robust technical support is critical to resolving any issues that may arise.

Considering the organizational culture is also important. Open communication between management and staff helps secure their support and engagement in the implementation of digital tools.

Overall, the success of digital tool implementation in a company depends on clear communication, adequate support, and training for employees, as well as attention to the organization's cultural context.

According to a survey of 7,502 businesses conducted worldwide between March 30 and April 12, 2022, by Morning Consult for IBM, while an increasing number of enterprises recognize the importance of artificial intelligence (AI) reliability, most have not taken measures to ensure their AI systems are reliable and responsible. The survey revealed several shortcomings:

- 74% of businesses have not addressed inadvertent bias in their AI systems,
- 68% do not track performance changes and model updates,
- 61% have not ensured their AI decisions can be explained,
- 60% have not developed ethical AI policies.

Among the barriers to successful AI implementation, respondents identified several key issues:

- 34% of businesses cited limited AI skills, experience, or knowledge as a hindrance,
- 29% mentioned high costs,
- 25% reported a lack of tools or platforms for model development,
- 24% found projects to be too complex or difficult to integrate or scale,
- 24% faced challenges related to data complexity.

Despite these challenges, two-thirds of the surveyed businesses are either implementing or planning to use AI to achieve their sustainability goals.

In evaluating the level of digitalization among businesses in the Kherson region, various aspects were analyzed, including the availability and use of digital technologies, internet and computing resources, digital solutions in business processes, and the level of digital culture among entrepreneurs. The analysis indicated that many enterprises in Kherson are already integrating digital technologies into their operations, such as e-commerce, online marketing, and process automation. However, a significant number of businesses have not fully utilized the potential of digital tools or have limited access to them<sup>3</sup>.

The assessment highlighted several barriers to the rapid adoption of digital technologies in the Kherson region, including insufficient staff knowledge and skills, financial constraints, and inadequate infrastructure. Addressing these challenges is crucial for advancing digitalization in the region.

Conclusions also suggest that a supportive business environment, government incentives, and encouragement of innovative initiatives can stimulate the digitalization process. It is essential to develop digital technology infrastructure, promote digital literacy among entrepreneurs, and ensure access to training programs and consultations for effective implementation of digital tools.

In summary, the assessment of the digitalization level among businesses in the Kherson region reveals that while some enterprises are successfully utilizing digital

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<sup>3</sup> C. Boueé, S. Schaible, Die Digitale Transformation der Industrie. Studie: Roland Berger und BDI. Online: [https://www.researchgate.net/publication/315857925\\_Die\\_digitale\\_Transformation\\_von\\_Geschaftsmodellen\\_gestalten](https://www.researchgate.net/publication/315857925_Die_digitale_Transformation_von_Geschaftsmodellen_gestalten).

technologies, there is a clear need for further development and support in this area. The implementation of digital tools can enhance efficiency, competitiveness, and innovation potential, which are crucial factors for success in the contemporary business environment.

Currently, there is a wide array of programs available that can be beneficial for businesses. Here are a few examples of modern software and their applications:

- CRM Systems (Customer Relationship Management) – these programs enable businesses to manage interactions with customers effectively. CRM systems allow for the storage of customer data, tracking of order history and communications, data analysis, and development of strategies to boost sales and customer satisfaction.
- ERP Systems (Enterprise Resource Planning) – ERP programs integrate various business processes, from finance to logistics, into a unified system. They help improve management efficiency, reduce administrative costs, and increase employee productivity.
- BI Systems (Business Intelligence) – BI programs facilitate the analysis of large volumes of data and the formulation of strategies based on this information. BI systems are used for market and competitor analysis, identifying customer needs, forecasting market and business developments.
- Manufacturing Automation Systems – these systems automate production processes, helping to reduce production costs, enhance product quality, and increase worker productivity. For example, Manufacturing Execution Systems (MES) assist in planning and controlling production processes, collecting and analyzing production data, managing quality, and improving resource utilization. Warehouse Management Systems (WMS) optimize warehouse management, enhance storage space usage, increase order processing speed, and reduce errors in product shipping.

One notable example in the Ukrainian market is the company SAB (Spilka Avtomatizatoriv Biznesu), which offers development and implementation of business automation software.

Overall, the successful adoption and integration of these digital tools can significantly contribute to improving the operational efficiency and competitive edge of businesses in the Kherson region.

Another significant example is Supply Chain Management (SCM) software. SCM solutions are designed to optimize the processes involved in the supply chain, reducing logistics costs, improving demand forecasting accuracy, and ensuring effective interaction with suppliers and customers. This type of software helps streamline procurement, inventory management, and distribution, which is crucial for maintaining an efficient supply chain.

Additionally, Project Management Software (PMS) plays a vital role in planning and overseeing project execution. PMS tools facilitate task distribution among project participants, track progress, and manage deadlines. Effective communication and collaboration are key aspects of PMS, enabling team members to exchange documents, share information, and promptly address changes



in project plans and schedules. Popular PMS tools include Asana, Trello, Jira, Basecamp, and Microsoft Project. Each of these programs offers unique advantages and limitations, so selecting the appropriate PMS depends on the specific needs and characteristics of the project.

Furthermore, there are various other business software solutions such as Customer Relationship Management (CRM) systems, Electronic Document Management Systems (EDMS), Manufacturing Execution Systems (MES), and Enterprise Resource Planning (ERP) programs. Each of these systems addresses specific business needs and contributes to optimizing operations and enhancing efficiency<sup>4</sup>.

The analysis indicates that contemporary information programs provide businesses with tools for effective data collection, processing, and analysis. These programs assist managers in making informed decisions based on accurate information, which boosts operational efficiency and strategic planning.

Modern information systems also facilitate the automation of numerous business processes. By automating routine tasks, these systems free up resources and time for employees to focus on more critical and creative activities. This leads to increased productivity and a reduction in the likelihood of errors.

Moreover, information programs enhance communication and collaboration within the organization. They offer mechanisms for efficient information exchange between different departments and employees, which helps avoid delays, improves coordination, and accelerates decision-making.

The analysis also highlights that successful implementation of information programs requires careful planning, coordination with external software vendors, and robust data security measures. Proper implementation and support are essential for achieving the maximum efficiency and success of the business<sup>5</sup>.

Overall, modern information programs prove to be powerful tools for achieving operational efficiency and competitive advantages. They contribute to improved management, increased productivity, and streamlined business processes. However, the successful adoption of these programs requires thorough planning and continuous support to ensure their effective integration and performance within the enterprise<sup>6,7</sup>.

According to the „Action Plan for Implementation in 2021-2023, Strategy for the Development of the Kherson Region for the Period 2021-2027”, several technical tasks for the digitalization sector have been identified. Here are ten potential directions for implementing digital tools:

- Production Automation – using digital tools for automating production processes can significantly reduce labor costs, improve product quality, and increase

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<sup>4</sup> BCG, Featured insights and perspectives from BCG. Online: <https://www.bcg.com/ru-ru/featured-insights/thought-leadership-ideas>.

<sup>5</sup> H. Bouwman, S. Nikou, F. J. Molina-Castillo, Mark de Reuver. The impact of digitalization on business models, “Digital Policy, Regulation and Governance” 2018; 20(2): 105-124.

<sup>6</sup> S. Brennen, Digitalization and Digitization. Online: <http://culturedigitally.org>.

<sup>7</sup> Digital Vortex, How Digital Disruption Is Redefining Industries. Online: <https://www.cisco.com/c/dam/en/us/solutions/collateral/industry-solutions/digital-vortex-report.pdf>.

worker productivity. This may include the implementation of robotic systems, automated lines, and intelligent management systems.

- Project Management – tools for project management provide effective planning, task control, task distribution among project participants, progress tracking, and urgent task management. Tools such as Asana, Trello, and Microsoft Project help optimize processes and ensure transparency in project management.
- Analytics and Business Intelligence – digital tools for data analysis allow for identifying trends and forecasting risks, which is crucial for making informed management decisions. Business Intelligence (BI) systems help enterprises gain valuable insights from data, optimize strategies, and improve operational efficiency.
- E-Commerce – developing e-commerce through digital tools enables increased sales volumes, enhances product competitiveness, and reduces advertising and marketing costs. Integrating e-commerce platforms and optimizing online sales can significantly improve business performance.
- Customer Service – utilizing digital tools for customer support ensures high-quality service and increases customer loyalty. Tools such as online chat on a website or mobile app allow customers to quickly get answers to their questions and resolve issues. Additionally, electronic feedback systems, including email and social media, can be used to interact with customers and gather feedback.

These directions for implementing digital tools will not only contribute to the development of enterprises in the Kherson region but also help ensure their competitiveness in the modern digital environment. Effective implementation of these directions will require proper planning, staff training, and support from the government and innovation initiatives.

- Production – the use of digital tools in production can enhance the efficiency and accuracy of production processes. For example, automation systems allow for the monitoring and optimization of production processes, which reduces costs and increases productivity. Digital tools can also be used for quality control and monitoring of products.
- Marketing – digital tools can be valuable in advertising and marketing activities. For instance, social media and contextual advertising can attract new customers and boost sales. Additionally, digital tools can be used to analyze customer behavior and forecast their needs.
- Human Resource Management – the use of digital tools can support effective human resource management. For example, Human Resource Management Systems (HRMS) can help with efficient recruitment, training, and evaluation of employees, leading to improved productivity and work quality. Furthermore, digital tools such as video conferencing and virtual meetings can help remote employees stay integrated with the team and participate in meetings and discussions.
- Production Management – automation systems can aid enterprises in achieving more efficient and rapid production processes. For instance, software for inventory management and production planning can help reduce costs and increase productivity. Additionally, project management systems can ensure effective co-

ordination among project participants and timely identification and resolution of issues.

- Marketing and Advertising – digital tools can assist enterprises in attracting more customers and enhancing their brand. For example, using social media for advertising allows businesses to reach a larger target audience and understand their needs and desires. Moreover, internet marketing and contextual advertising can improve the effectiveness of advertising campaigns and attract more customers.
- Financial Management – digital tools can help enterprises improve financial management and reduce risks. For instance, electronic accounting and financial reporting systems allow for quick and accurate collection and analysis of financial information. Additionally, digital tools can automate accounting processes, reducing the likelihood of errors and ensuring more precise and timely financial operations.

Additionally, the use of digital tools can help businesses enhance the efficiency of financial management through data analysis tools such as machine learning and artificial intelligence. These technologies allow for more precise and in-depth analysis of financial data, including budgeting forecasts, risk detection, and identifying opportunities for profit growth.

Overall, this contributes to more effective and accurate financial management, promoting stable development and competitive advantage in the market.

However, several key trends are already emerging that will shape the future development of digital tools:

- Cloud Technologies and Internet of Things (IoT) – the continued growth of cloud technologies and IoT in business management is anticipated. Cloud technologies enable real-time data storage, processing, and sharing, improving decision-making and management efficiency. IoT, in turn, allows real-time interaction with various devices and equipment, enhancing productivity and reducing management costs.
- Artificial Intelligence (AI) and Machine Learning – the use of AI and machine learning in business management is expected to grow. AI can assist in decision-making and automate a greater number of processes. This can lead to improved decision quality and reduced management costs.
- Data Analytics – the future will likely see continued growth in the use of data analytics in business management. Data analytics enables the collection, processing, and analysis of large volumes of information, providing valuable insights to support decision-making processes. This is useful for businesses across various sectors, such as financial organizations, logistics companies, or manufacturing enterprises.

Data analytics helps businesses identify trends and patterns, generate forecasts, monitor operations, and make timely decisions based on data. It also aids in improving production processes and resource efficiency. The number of businesses using intelligent data analysis to optimize operations and increase profitability is expected to rise. The development of AI, machine learning, and other data-processing technologies will further enhance the effectiveness of data use.

Businesses are forecasted to increasingly leverage digital tools for operational optimization and efficiency enhancement. New opportunities are emerging with the use of IoT, cloud technologies, data analytics, and AI. Companies that actively adopt these technologies will be able to boost their competitiveness, reduce costs, and improve the quality of their products or services.

Furthermore, the development of digital technologies is expected to open new opportunities for businesses in the fields of marketing and sales. For instance, advertising on social media and the use of e-commerce platforms will become even more popular and effective.

Given the rapid technological advancements, it can be asserted that significant changes will occur in business management approaches in the future. Digitalization will be one of the key trends in management, enabling businesses to become more competitive and successful in the market. However, at present, for successful implementation of digital tools, businesses must make significant efforts in training staff, implementing appropriate programs and technologies, and building the necessary infrastructure.

Special attention should be given to AI, or Artificial Intelligence. This field of computer science focuses on creating programs and systems capable of performing tasks that typically require human intelligence. These tasks include speech recognition, text understanding, solving complex problems, image recognition, product development, writing academic papers, and much more<sup>8</sup>.

The core idea behind using artificial intelligence is to make computer systems smarter and more flexible, as well as to reduce dependence on human specialists and manual labor.

Some examples of AI applications include:

- Production and Process Automation – the use of machine learning algorithms and neural networks helps reduce manual labor and increase production efficiency.
- Image Recognition and Processing – computer vision algorithms can recognize faces, vehicles, animals, and other objects in images.
- Smart Home Devices – voice assistants, such as Siri and Alexa, use AI to understand requests and perform tasks.
- Financial Analysis and Forecasting – machine learning algorithms can be used to analyze financial data and predict market trends.
- Medicine and Diagnostics – machine learning algorithms can assist in detecting diseases and determining optimal treatments.
- Recommendations and Personalized Marketing – machine learning algorithms can analyze user behavior and recommend relevant products and services, enhancing the effectiveness of marketing campaigns.
- Self-Driving Cars – automatic vehicle control based on artificial intelligence helps reduce accident rates and ensure road safety.

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<sup>8</sup> Y. Kyrlyov, N. Tanklevska, G. Zhosan, Viral management as a subset of creative management in conditions of financial instability, "IRCPNU" 2018; 2(14): 160-164.

- E-Commerce and Text Recognition – machine learning algorithms can be used for automatic text recognition and language translation, facilitating electronic communication and ensuring faster and more efficient work online.
- Business Management Assistants – machine learning algorithms can be utilized to analyze large volumes of data and make decisions in business management.

According to a survey of 7,502 companies worldwide conducted by Morning Consult for IBM from March 30 to April 12, 2022, the global share of companies implementing artificial intelligence is currently 35%, up 4 percentage points from 2021. This was reported by DigiTimes Asia. China and India have the highest AI deployment rates at 58% and 57%, respectively, while Canada stands at 28%, the UK at 26%, the US at 25%, and South Korea at 22%. Among the surveyed companies, 28% have a comprehensive AI strategy, 25% focus only on limited or specific use cases, and 37% are developing an AI strategy<sup>9</sup>.

From the perspective of cloud computing, 43% of the surveyed companies use private clouds, 32% use hybrid or multiple clouds, 13% use public clouds, and 8% use on-premises servers.

Conclusions regarding potential directions for implementing digital tools in the activities of businesses in the Kherson region indicate significant potential and benefits that can be gained from this process.

First and foremost, one potential direction is the implementation of e-commerce platforms and online trading. This will allow businesses in the Kherson region to expand their audience and attract new customers regardless of their location. E-commerce will enhance the accessibility of products and services and provide a convenient system for ordering and payment<sup>10</sup>.

Another potential direction is the implementation of electronic document management systems and business process automation. This will allow businesses to reduce the time and costs associated with document processing, simplify reporting and control processes, and improve communication within the organization and with partners.

A third potential direction is the use of analytical tools and artificial intelligence for data analysis and decision-making. Implementing such tools will enable businesses in the Kherson region to gain valuable insights from large volumes of data, forecast trends, and identify new opportunities for development<sup>11</sup>.

Additionally, the adoption of digital tools can enhance customer interaction, for example, through the use of mobile applications or virtual assistants. This will allow businesses to create personalized services and facilitate communication with customers, positively impacting their satisfaction and loyalty.

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<sup>9</sup> D. M. Mazzone, *Digital or Death: Digital Transformation – The Only Choice for Business to Survive Smash and Conquer*, Smashbox Consulting Inc., Mississauga, Ontario 2014.

<sup>10</sup> T. Ochs, U. A. Riemann, *IT Strategy Follows Digitalization*. *Encyclopedia of Information Science and Technology*, IGI Global, Hershey 2018.

<sup>11</sup> D. Shalmo, C. A. Williams, L. Boardman, *Digital transformation of business models – best practice, enablers and roadmap*, “*International Journal of Innovation Management*” 2017; 21(08): 1-17.

In summary, potential directions for implementing digital tools in the activities of businesses in the Kherson region include e-commerce, electronic document management systems, the use of analytical tools, and improved customer interaction. These directions can help businesses achieve increased efficiency, enhanced competitiveness, and sustainable development in the modern digital world.

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## US AND EU EXPERIENCE IN FRANCHISING DEVELOPMENT FOR UKRAINE IN POSTWAR PERIOD

### *Doświadczenie USA i UE w rozwoju franczyzy na Ukrainie w okresie powojennym*

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#### **Streszczenie**

*Artykuł analizuje doświadczenia Stanów Zjednoczonych i Unii Europejskiej w rozwoju franczyzy, przedstawiając je jako modele dla Ukrainy w okresie powojennym. W artykule porównano regulacje prawne, popularne sektory i czynniki wpływające na sukces franczyzy w tych regionach. Omówiono również wyzwania stojące przed ukraińskim rynkiem franczyzy i potencjalne rozwiązania inspirowane doświadczeniami USA i UE. W artykule podkreślono znaczenie dostosowania modeli franczyzy do specyfiki rynku ukraińskiego oraz potrzebę stworzenia stabilnego otoczenia prawnego dla rozwoju tego sektora.*

**Słowa kluczowe:** franczyza, USA, UE, Ukraina, rozwój biznesu, regulacje prawne, porównanie rynków

#### **Abstract**

The article analyzes the experiences of the United States and the European Union in the development of franchises, presenting them as models for Ukraine in the post-war period. The paper compares the legal regulations, the popular sectors, and the factors influencing the success of franchising in these regions. It also discusses the challenges facing the Ukrainian franchising market and potential solutions inspired by the experiences of the US and the EU. The article emphasizes the importance of adapting the franchising models to the specifics of the Ukrainian market and the need to create a stable legal environment for the development of this sector.

**Key words:** franchise, USA, EU, Ukraine, business development, legal regulations, market comparison.

## **Introduction**

The full-scale war launched by Russia against Ukraine on February 24, 2022, has caused a significant damage to the country's economy. In the context of martial law, Ukrainian businesses face several challenges, such as the destruction of infrastructure, logistical disruptions, investment outflows, and exchange rate instability. To restore and develop Ukraine's economy, it is necessary to look for effective business models that can adapt to the new conditions.

One of these models is "franchising", which has proven to be a successful business format in the developed countries such as the United States and the European Union. The experience of these countries in the development of franchising can be useful for Ukraine in the context of post-war reconstruction.

The objective of this study is to analyze the experience of the United States and the EU in the development of franchising, identify the key success factors, and determine the possibilities of adapting these models to Ukrainian realities. It will also assess the potential of franchising for the recovery and development of Ukraine's economy after the war.

To achieve this goal, the methods of theoretical analysis, comparative analysis and generalization are applied. The study's foundation is a comprehensive array of information sources, including scientific publications, statistical data, materials from international organizations, and the experiences of leading countries in franchising.

### **The main problems in organizing a franchise business in Ukraine**

Although franchising in Ukraine is gaining a considerable popularity and is a promising business area, as well as having a positive impact on the country's economic development, entrepreneurs who choose franchising as a model for setting up an enterprise and investing face several challenges. For a more detailed analysis of the current state of franchising in Ukraine, it is necessary to consider the existing problems and prospects for its implementation.

A survey conducted by researchers Stetsiv I.S. and Stetsiv I.I.<sup>1</sup> among Ukrainian entrepreneurs who have chosen franchising as a form of doing business revealed several problems they face when organizing a franchise business in Ukraine. These findings are presented in table 1 below.

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<sup>1</sup> I. S. Stetsiv, Franchise in Ukraine: Problems and ways to solve them and ways to solve them. Management and entrepreneurship in Ukraine: stages of formation and problems of development, "Academic Journals and Conferences" 2019; 1(1): 131-136.



**Table 1.** Rating of problems in organizing a franchise business in Ukraine

| Share of entrepreneurs, %. | Problem  |
|----------------------------|--|
| 28                         | Lack of information on the possibilities of using franchising in business.           |
| 21                         | Lack of stability in the economic and political situation in Ukraine.                |
| 16                         | Lack of capital for initial investments.   |
| 13                         | A complicated lending system for small businesses.                                   |
| 12                         | Imperfection of the legal framework for franchising regulation.                      |
| 7                          | Feeling of insecurity of Ukrainian franchisees in cooperation with foreign partners. |
| 3                          | Lack of transparency in the franchise system.  |

Source: *systematized by the author based on I. S. Stetsiv, Franchise in Ukraine: Problems and ways to solve them and ways to solve them. Management and entrepreneurship in Ukraine: stages of formation and problems of development, "Academic Journals and Conferences" 2019; 1(1): 131-136*

An entrepreneur who chooses franchising may face several challenges. One of them is the lack of experience and knowledge on how to operate and build a franchise business. It is worth noting that there is a lack of training available for small businesses and entrepreneurs in general. Additionally, there is a lack of awareness among potential entrepreneurs about the franchise system itself, as well as a limitation in access to successful domestic franchising examples.

Another important issue is the unstable economic and political situation in Ukraine. This increases the risks, even in franchising, where they are usually lower. This situation has a negative impact on the decision of the Ukrainian entrepreneurs to invest in franchise business, and prevents foreign franchise companies from entering the Ukrainian market. Instability has always been a characteristic of the Ukrainian economy, but the COVID-19 pandemic and full-scale war have further aggravated the situation. The current business environment in Ukraine is making it increasingly challenging for franchisors to plan their operations in the country, which is impeding the growth of franchising in Ukraine.

Many entrepreneurs, who are exploring the Ukrainian franchise market, encounter challenges related to initial investment, including a lack of capital, a complex system of small business lending, and high interest rates for small businesses.

It should be noted that another significant problem is the lack of comprehensive legislation that would regulate franchising in detail. In Ukraine, the Commercial Code and the Civil Code of Ukraine regulate franchising. In 2017, MPs Kirsh O., Bushel O., Yatsenko A., Halasiuk V., and Romanovskiy O. submitted a draft Law of

Ukraine “On Franchising” (Reg. No. 7430 of December 21, 2017), but it was never adopted by the Verkhovna Rada of Ukraine<sup>2</sup>. Experts believe that even if it were adopted, this law would not improve the legal regulation of franchising in Ukraine, as it only set the terms of the franchise agreement, without providing the protection for either franchisors or franchisees.

Thus, the issue of the lack of a specific law regulating franchising remains relevant. This leads to the fact that the Ukrainian franchisees remain unprotected in cooperation with potential foreign partners. One of the key problems is the lack of transparency in the franchise system. While this is a common problem for any business in Ukraine due to the shadow economy, franchising is also subject to these negative impacts.

It is worth noting that despite numerous problems in the Ukrainian franchising market, more and more entrepreneurs are choosing this business model. The main reasons for the prospects of franchising in Ukraine include the following:

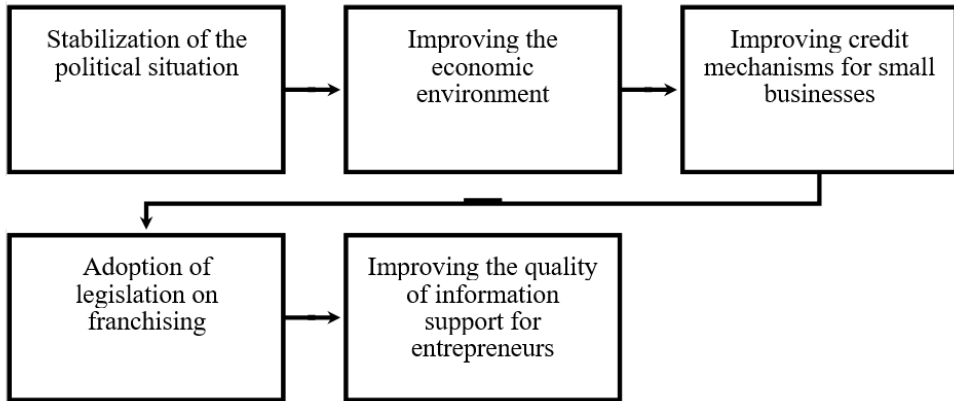
- franchising facilitates easy business scaling, allowing entrepreneurs to focus on growth, which can help them survive crisis periods;
- simplification of enterprise management, the use of the franchise model makes the management process more systematic and efficient;
- the expansion of high-quality franchise formats can accelerate the country’s economic recovery;
- franchising is currently one of the fastest ways to develop a business network;
- franchising strengthens an existing or potential brand by creating a professional environment around it;
- international franchising allows diversifying financial flows and reducing currency risks.

Despite the difficulties that an entrepreneur may face when choosing the Ukrainian market for opening the franchise outlets, franchising remains a popular area in the Ukrainian economy. The growth of the franchise sector is a key priority for Ukraine. Currently, Ukraine is viewed as a reliable partner by foreign entities, creating potential avenues for growth both domestically and internationally. In the future, this will also allow attracting more foreign franchise companies to Ukraine, while improving the system of franchise relations in the country. Therefore, it is important to identify the ways to improve the efficiency of the franchise business in Ukraine.

In light of the aforementioned challenges, we can consider the implementation of the proposed improvement scheme, shown in figure 1.

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<sup>2</sup> Draft Law of Ukraine “On Franchising” of 21.12.2017 No. 7430. Online: <https://ips.ligazakon.net/document/view/XH5QE00G?an=6>.



**Figure 1.** Ways to improve the franchise business in Ukraine

Source: compiled by the author based on Franchising Association of Ukraine. Online: <http://www.franchising.org.ua>

The first priority is to focus on stabilizing the political and economic climate in the country, which will help reduce risks and attract foreign investment. This depends on both the internal conditions and the external factors.

The second step should be to revise the small business lending system at the state level, including the terms of loans. This will allow more entrepreneurs to bring their brands to market. In addition, special legislation for franchising in Ukraine should be developed and introduced. Such a law should cover all aspects of franchising activities and ensure the comprehensive protection of both franchisors and franchisees' rights, both within the country and in cooperation with international partners.

The next crucial step is to enhance the provision of information and support for prospective franchisors and franchisees. This can be achieved by simplifying access to information, increasing transparency, and presenting successful examples of Ukrainian franchisees.

Overall, it can be concluded that franchising has great potential for business development in Ukraine if the existing problems are solved and improved.

## **US and EU experience in franchising development for Ukraine**

The United States and the European Union's markets are the excellent examples of the effective development and operation of the franchise business. It would be beneficial to examine the history of franchising in these regions and identify the factors that contribute to the successful functioning and growth of the companies (brands) using the franchise model to interpret this experience in the realities of Ukraine. The general characteristics of the franchise business in the US and the EU are shown in table 2.

**Table 2.** General characteristics of the franchise business in the US and the EU

| Characteristics                   | USA  | EU   |
|-----------------------------------|--|--|
| <b>History of development</b>     | The largest and oldest franchise market in the world. The beginning of the XX century.           | It has been actively developing since the mid-20th century. Significant differences between member countries.                                    |
| <b>Regulation</b>                 | Federal laws (FTC Franchise Rule) and state laws. Strong protection of franchisees' rights.      | A variety of national laws. In general, there is a high level of protection of franchisees' rights, but with some differences between countries. |
| <b>Popular industries</b>         | Fast food, hotels, car service, retail, fitness.   | Similar to the US, but with a greater emphasis on local brands and franchising in the service sector.  |
| <b>Market size</b>                | The largest in the world. Thousands of franchise systems.  | The second largest market in the world. Germany, France, and the UK account for a significant share.   |
| <b>Cultural peculiarities</b>     | Individualism, entrepreneurship, and the desire for quick results.                               | Collectivism, stability, attention to social issues. Stricter labor relations.   |
| <b>Benefits for franchisees</b>   | A high level of support from the franchisor, a well-known brand, and ready-made business models. | Same as in the US, but with a greater emphasis on partnership and cooperation between franchisor and franchisee.                                 |
| <b>Challenges for franchisees</b> | High competition, strict requirements of the franchisor, and large investments.                  | Similar to the US, but with greater regulatory complexity and cultural differences.  |

Source: systematized by the author based on L. V. Momot, *Globalization of franchising in Ukraine. Scientific Bulletin of Kherson State University, "Economic sciences" 2018; 29(2): 169-173*; E. Nedohibchenko, *Franchising: foreign experience, "Theory and intellectual property practice" 2019; 2: 39-45*; A.R. Volkova, M.L. Varlamova, *Comparative analysis of the experience of franchising business in the USA and the EU. Collection of scientific papers, "Scientific Notes" 2022; 28(3)*

Based on table 2, it can be observed that the EU has more diverse regulations than the US, which can make it difficult to enter this market. European countries have more collectivistic cultures, which can affect the relationship between the fran-

chisor and the franchisee while the US has a much larger and more experienced franchise market.

In the United States, franchising began to develop rapidly in the 1950s after World War II, driven by unmet consumer demand, the availability of franchises, the ideas of veterans returning from the war, and capital received through military pay and the G.I. Bill. The development of franchising in the United States accelerated even further after the passage of the federal trademark law in 1946, which allowed owners to securely enter into license agreements with third parties, which became the basis for modern franchising. Since then, more and more people in the United States have begun to offer their ideas and invest in franchising businesses<sup>3,4</sup>.

As far as the EU is concerned, it can be stated that the first forms of franchising in Europe appeared in the 19th century, but this business model really developed after the success of the US, especially in the 1990s. After the Second World War, just like in the United States, franchising began to develop rapidly in Europe. An important incentive for this was the creation of the Single European Market, which opened up many opportunities for international business. In 1972, the European Franchise Federation, i.e. a non-profit organization that unites national franchise associations of the European countries, was founded in the EU<sup>5,6</sup>. The development of franchising in Europe has been uneven and depended on a particular country, its level of development, trade history and cultural characteristics.

According to the US law, the relationship between the franchisor and the franchisee is regulated at two levels: federal and state. Mostly, the regulation concerns pre-contractual relations, in particular, the requirements for disclosure of information, which are defined in paragraph 436,5 of the Electronic Code of Federal Regulations<sup>7,8</sup>.

In the EU, franchise agreements are regulated at two levels: at the EU level in accordance with European Commission Regulation (EC) No. 330/2010 of April 20, 2010, which applies Article 101(3) of the Treaty on the Functioning of the European Union to categories of vertical agreements and concerted practices. This regulation was in force until 2022<sup>9,10</sup>. In addition, legal regulations are carried out at the level of each individual EU member state.

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<sup>3</sup> A.R. Volkova, M.L. Varlamova, Comparative analysis of the experience of franchising business in the USA and the EU. Collection of scientific papers, "Scientific Notes" 2022; 28(3).

<sup>4</sup> Information resource "California Legislative Information". Online: <https://leginfo.ca.gov/faces/home.xhtml>.

<sup>5</sup> A.R. Volkova, M.L. Varlamova, Comparative analysis of the experience of franchising business in the USA and the EU. Collection of scientific papers, "Scientific Notes" 2022; 28(3).

<sup>6</sup> The European Franchise Federation (EFF)... op. cit.

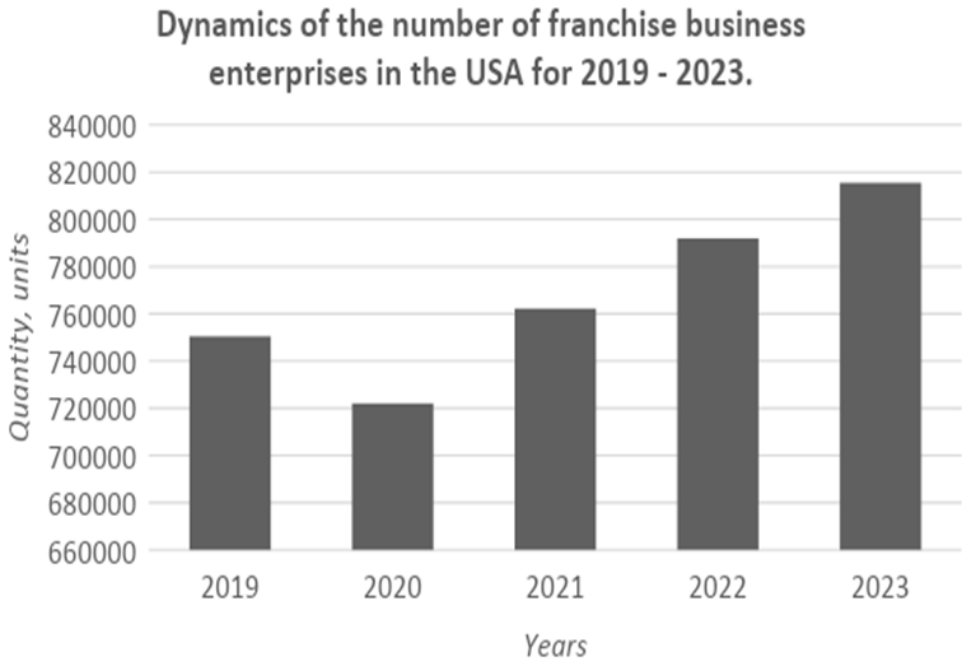
<sup>7</sup> N.S. Sytnyk, D.V. Popovych, Franchising development in Ukraine as a component of the state investment policy, "Business Navigator" 2018;1-2(44): 140-144.

<sup>8</sup> A.R. Volkova, M.L. Varlamova, Comparative analysis... op. cit.

<sup>9</sup> A.R. Volkova, Franchising development trends in Ukraine: XXII International Scientific Conference of Students and Young Scientists "Management of the Development of Socio-Economic Systems: Globalization, Entrepreneurship, Sustainable Economic Growth", Vinnytsia. 2022.

<sup>10</sup> A.R. Volkova, M.L. Varlamova, Comparative analysis... op. cit.

Figure 2 illustrates the dynamics of the number of franchisees in the United States in 2019-2023.



**Figure 2.** Dynamics of the number of franchise businesses in the United States in 2019-2023

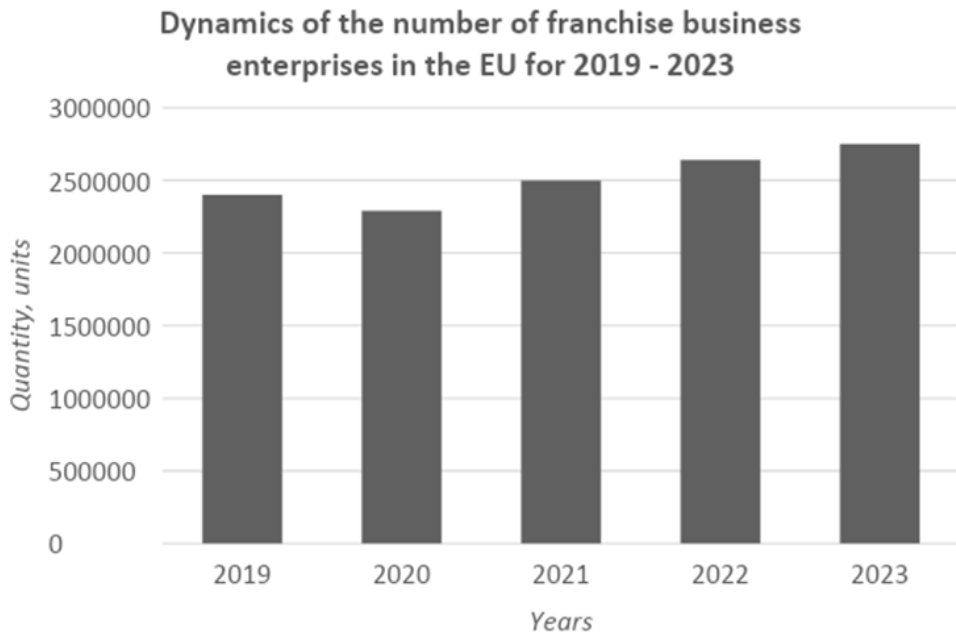
Source: compiled by the author based on American magazine *Entrepreneur*. Online: <https://www.entrepreneur.com/>; International Franchise Association. Online: <https://www.franchise.org/>

Based on figure 2, the United States is by far the leader in the development and operation of franchise businesses. The analysis of the dynamics of the number of franchise companies in the United States from 2019 to 2023 shows steady growth, with the exception of the crisis year of 2020, which indicates that the franchise business continues to attract entrepreneurs to invest in this sector<sup>11,12</sup>.

Today, the EU is also a significant player in the franchising market. Figure 3 presents the dynamics of the number of franchisees in the EU in 2019-2023.

<sup>11</sup> American magazine *Entrepreneur*. Online: <https://www.entrepreneur.com/>.

<sup>12</sup> International Franchise Association. Online: <https://www.franchise.org/>.



**Figure 3.** Dynamics of the number of franchise business enterprises in the EU in 2019-2023

Source: compiled by the author based on International Franchise Association... op. cit., The European Franchise Federation (EFF). Online: <http://www.eff-franchise.com/spip.php?rubrique1>

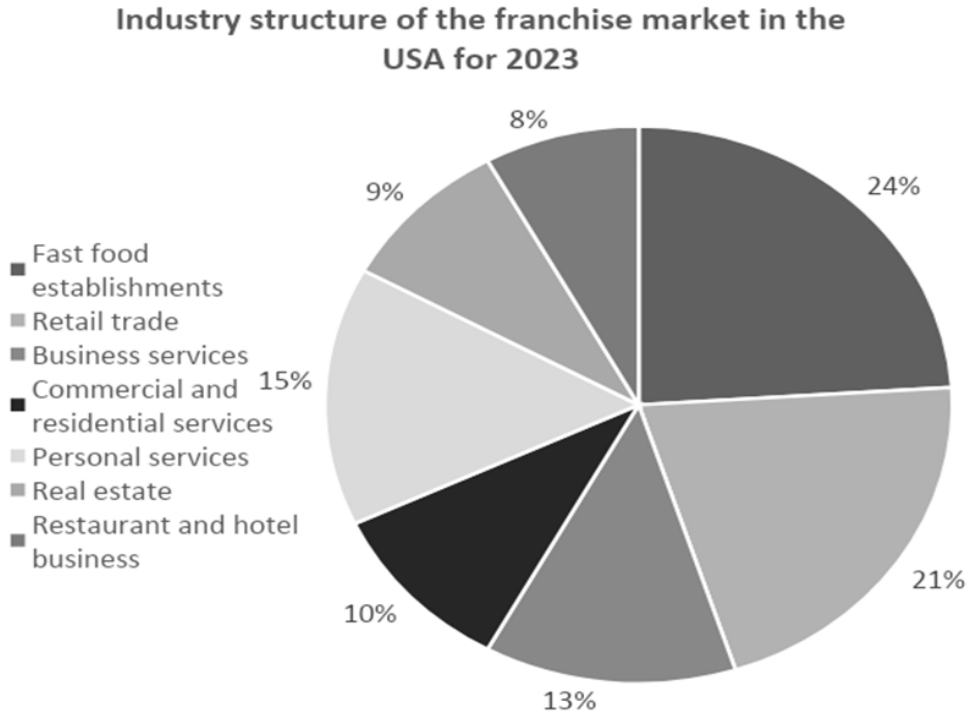
Analyzing figure 3, it can be observed that the number of franchisees in Europe shows an upward trend, similarly to the US, except in 2020.

A comparison of Figures 2 and 3 indicates that the number of franchisees in the EU is higher than in the US. This can be explained by the fact that the EU is made up of many individual countries, which gives a larger overall result. According to the European Franchise Federation, for every 2,500 franchise brands that appear in the United States, there are 8,500 franchise brands in the EU<sup>13,14</sup>.

Figure 4 depicts the industry structure of franchising in the United States in 2023.

<sup>13</sup> International Franchise Association... op. cit.

<sup>14</sup> The European Franchise Federation (EFF). Online: <http://www.eff-franchise.com/spip.php?rubrique1>.



**Figure 4.** Sectoral structure of the franchise market in the US in 2023

Source: compiled by the author based on International Franchise Association... op. cit.; American magazine Entrepreneur... op. cit.

As can be seen from figure 4, in 2023 in the United States, the industry structure of franchising demonstrates the dominance of the fast food sector, which accounts for 24%, and retail, which accounts for 21%<sup>15</sup>. Business services (13%), commercial and residential services (10%), and personal services (15%) also account for a significant share. The real estate sector (9%) and the restaurant and hotel business (8%) have smaller shares<sup>16,17</sup>.

In turn, figure 5 shows the sectoral structure of franchising in the EU in 2023.

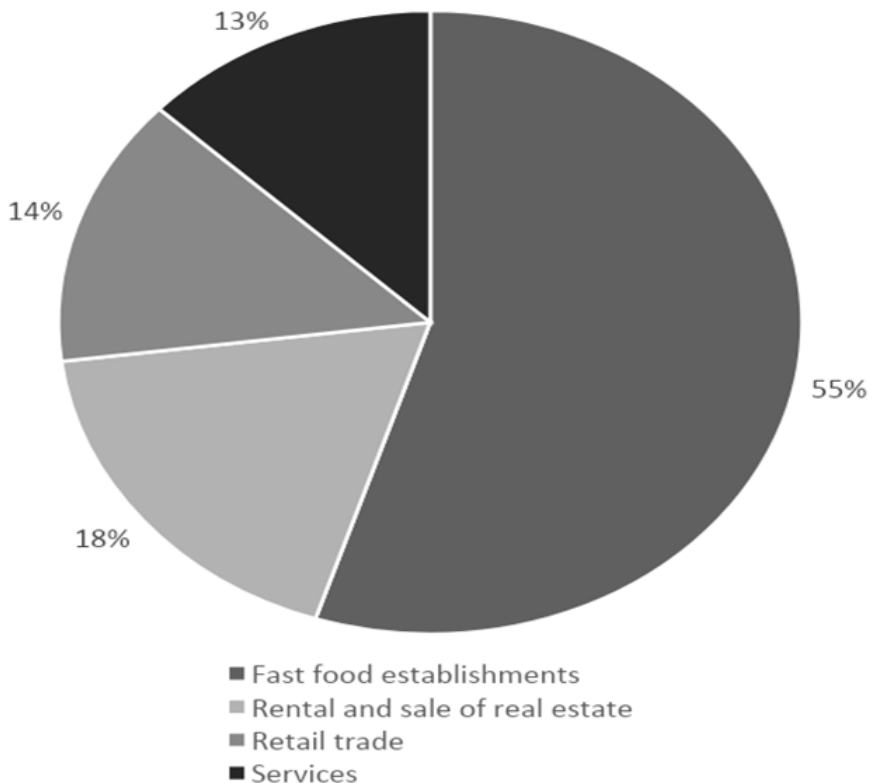
<sup>15</sup> American magazine Entrepreneur... op. cit.

<sup>16</sup> International Franchise Association... op. cit.

<sup>17</sup> American magazine Entrepreneur... op. cit.



### Industry structure of the franchise market in the EU for 2023



**Figure 5.** Sectoral structure of the franchise market in the EU in 2023

Source: compiled by the author based on International Franchise Association... op. cit.; The European Franchise Federation (EFF)... op. cit.

Examining the structure of the franchise sector in the European Union, based on figure 5 above, we can say that fast food outlets occupy the largest market share – 55,3%. Real estate leasing and sales account for 18,2% of the market, retail trade – 13,4%, and services – 13,1%<sup>18,19</sup>.

When assessing the franchise markets in the US and the European Union, one can see their significant integration. The franchise market in the EU has some similarities with the American one. As already mentioned, fast food outlets occupy leading positions in both regions. In Europe, American franchises are at the leading position. This indicates that the European franchise market is characterized by active

<sup>18</sup> International Franchise Association... op. cit.

<sup>19</sup> The European Franchise Federation (EFF)... op. cit.

attraction of foreign franchises and their further expansion within the EU. At the same time, American franchisors are focused not only on domestic expansion but also on global markets, considering franchising an effective way to enter new international markets<sup>20</sup>.

According to the annual ranking of the top 500 franchises in the world published by Entrepreneur magazine<sup>21</sup>, the top five franchises in 2023, are of American origin but focused on global expansion. This suggests a trend toward global expansion of American franchise businesses and a growing interest of foreign franchises in the EU market<sup>22,23</sup>.

Comparing franchising practices in the United States and the European Union, there are numerous similarities between these markets. The main differences lie in their historical development and the management approaches, as the US is a single country, while the EU is a union of several countries. Both markets are quite integrated, with numerous US franchises actively operating in Europe. Both regions are showing positive growth dynamics. The peculiarity of the European franchise market is the significant influence of foreign franchises and their active expansion within the EU. American franchisors, in turn, focus not only on the domestic market but also on the international market, considering franchising as an effective way to enter new foreign markets<sup>24</sup>.

The full-scale war that has unfolded in Ukraine has created new challenges for the country's economy, affecting aspects of society, including the business environment<sup>25</sup>. In the face of unpredictable circumstances, it is important to study how the experience of other countries in the development of franchising can be useful for Ukraine. In particular, the experience of the United States and the European Union in this area can provide Ukraine with valuable lessons for supporting and developing the franchise sector during the crisis.

For Ukraine, which is experiencing economic difficulties due to the war, the American franchising model can be useful. American franchises demonstrate the importance of adapting the business models to the market conditions and applying innovations to overcome crisis situations. For example, the use of technology for remote control and process automation can help the Ukrainian franchises maintain efficiency in the face of instability.

The EU is showing a trend toward attracting international franchises, which could serve as an example for Ukraine. Ukrainian franchisors can learn from their European counterparts how to effectively integrate into international networks, which will not only expand their business but also attract foreign investment. Ukraine

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<sup>20</sup> Information resource "California Legislative Information"... op. cit.

<sup>21</sup> American magazine Entrepreneur... op. cit.

<sup>22</sup> International Franchise Association... op. cit.

<sup>23</sup> The European Franchise Federation (EFF)... op. cit.

<sup>24</sup> A.R. Volkova, M.L. Varlamova, Comparative analysis... op. cit.

<sup>25</sup> A. Simakhova, Post-War Socialization of the Economy: Ukrainian and European Security, "Challenges to national defense in contemporary geopolitical situation" 2022; 1: 71-75.

can use the experience of the United States and the EU to develop its own franchise sector in the context of the ongoing conflict.

First, it is important to ensure that franchise models are adapted to the Ukrainian conditions, which may include the development of new management strategies, the introduction of innovative technologies, and the improvement of the logistics processes with their adaptation to the war.

Secondly, it is necessary to pay close attention to international expansion opportunities. Ukrainian franchisors can study European and American approaches on expanding into international markets, which will allow them to find new sources of income and reduce their dependence on the local market.

Thirdly, it is important to create a favorable environment for franchising development within the country, which includes improving the legal framework, ensuring the stability of financial and tax conditions, and supporting small and medium-sized businesses.

## **Conclusions**

Thus, the experience of the US and the EU in franchising development provides Ukraine with valuable lessons that can help overcome the challenges occurring from the war. The adaptation to the market conditions, the innovative approaches, and the international expansion are the crucial aspects that can form the basis for the recovery and the development of the Ukrainian franchise sector. Attracting foreign franchises and creating a favorable business environment can help Ukraine to restore its economy and ensure sustainable development in the postwar period.

If the existing problems are eliminated and the regulatory framework is improved, franchising in Ukraine has the potential to expand significantly and further influence the economy. Establishing effective support and creating favorable conditions for the development of franchise companies can further enhance their role in the country's economic growth.

The experience of the United States and the European Union can be effective in terms of franchising development in Ukraine, thus, it is essential to learn from these models and create a favorable environment for the development of this form of business expansion in Ukraine by introducing appropriate changes and reforms in this direction. In general, it can be concluded that franchising is an effective business tool for conducting international trade and has a considerable effect on the growth of the global economy.

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## VENTURE CAPITAL INVESTMENTS – CURRENT TRENDS AND DEVELOPMENT FACTORS

### *Inwestycje venture capital – bieżące trendy i czynniki rozwoju*

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#### **Streszczenie**

*W artykule przeanalizowano specyfikę inwestycji venture capital w Ukrainie na obecnym etapie, biorąc pod uwagę doświadczenia światowe, a mianowicie: rozważono istotę i specyfikę venture capital; przedstawiono główne czynniki wpływające na rozwój branży venture capital; przeanalizowano główne trendy wzrostu skali i kierunków finansowania venture capital. Na podstawie ram regulacyjnych zidentyfikowano główne przyczyny, które utrudniają intensyfikację inwestycji venture capital w Ukrainie.*

**Słowa kluczowe:** *venture capital, finansowanie venture, inwestycje, innowacje, polityka inwestycyjna państwa*

#### **Summary**

The article examines the peculiarities of venture capital investment in Ukraine at the present stage, taking into account the world experience, namely: the essence and specifics of venture capital are considered; the main factors influencing the development of the venture capital industry are presented; the main trends in the growth of the scale and directions of venture capital financing are analyzed. Based on the regulatory framework, the main reasons that impede the intensification of venture capital investment in Ukraine are identified.

**Key words:** *venture capital, venture financing, investment, innovation, state investment policy*

## **Introduction**

Global experience shows that ensuring a strategy for sustainable socio-economic development of Ukraine is impossible without creating an effective system of

interaction between science, education, production, and the financial and credit sectors in the development of innovation, an optimal combination of state regulation of this process with market mechanisms, and deepening international cooperation. The country's economic growth is primarily associated with technological advantages and the ability to create and implement innovations. In the current environment of intensified competition in the international market, the main source of economic growth and the key to success are the ability to implement risky and innovative ideas and open support for new projects. The experience of economically developed countries shows that the use and improvement of non-traditional sources of investment is becoming an effective mechanism for creating new and modernizing existing production facilities based on the achievements of the scientific and technological progress. One of these areas is venture capital investment, which helps to solve the problem of lack of financial resources in the high-tech sector and to expand the promising areas of activity<sup>1</sup>.

The purpose of the article is to analyze the global experience in the field of venture capital investment and to outline the prospects for its use in Ukraine.

## **Prerequisites for the development of venture capital investment**

Innovations are realized through investments. Enterprises can use the following methods of investment financing of innovations:

- state budget;
- local budgets;
- extra-budgetary funds: Pension Fund, Social Insurance Fund, State Employment Fund, etc.;
- state insurance system;
- government loans: government loans, external borrowing, international loans, etc.;
- own investment resources of organizations;
- sale of shares, additional issue of shares;
- funds of innovation funds, technology parks, technopolises;
- investment resources of resident investment companies, including mutual investment funds;
- investment resources of resident insurance companies;
- investment resources of resident non-state pension funds;
- bank and commercial loans;
- budget and targeted loans;
- tax credit;

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<sup>1</sup> V. L. Osetskyi, *Investments and Innovations: Problems of Theory and Practice*, Institute of Agrarian Economics of the Ukrainian Academy of Sciences, 2003.

- financial leasing;
- investment resources of foreign investors, including commercial banks, international financial institutions, institutional investors, and organizations<sup>2</sup>.

The experience of the developed countries that employed venture capital to create a competitive economy, convincingly testifies to a significant increase in their manufacturing competitiveness, rapid use of the latest technology in all industries, and employment growth.

Besides, the successful activity of the venture capital has positively influenced such economic factors as:

- orientation of industrial development of the economy to innovative;
- stimulation of production of large structures to implement and use the latest technologies;
- active development of the stock market.

The economic development of the world's leading countries has resulted in a notable shift in the landscape of innovation. Over the past decade, nearly half of all industrial innovations have been founded by small businesses. Numerous problems of enterprises with the granting of bank credit lead them to seek alternative forms of financing their activities.

## **The essence of venture capital**

According to the definition “venture capital is capital invested in new productive risky ventures undertaken by persons other than the owners. Capital invested in a risky venture is provided by banker-buyer institutions, but mainly by institutions specialized in providing it”. Another definition defines “venture capital” as medium – to long-term capital contributed by outside investors to small and medium-sized enterprises characterized by a high degree of innovation. These companies usually operate based on modern solutions, have a new product or service<sup>3</sup>.

Venture capital financing started in the United States in the early sixties of the twentieth century, and in the 1980s its volume reached one billion dollars. This largely began the economy of information technology and biotechnology. In the late nineties, the United States and Europe experienced a boom in venture capital investment. In the United States, from 1990 to 1995, venture capitalists invested an average of \$3-5 billion a year in about a thousand companies. In 1996, 2,000 companies were already invested in, with the amount of investments amounting to more than \$11 billion. In 1998, venture capitalists invested in 3,153 companies worth \$21.7 billion, and in 1999 – in 3,962 companies worth \$59,5 billion. The situation was similar in Europe. The volume of venture capital financing has increased several times since 1996. However, after the bursting of the high-tech financial bubble and the fall of

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<sup>2</sup> O. M. Petruk, S. Z. Moshenskyi, *Theory and practice of venture capital financing*, Ruta 2008.

<sup>3</sup> I. Cooke, P. Mayers, *Introduction to Innovation and Technology Transfer*, Artech House Inc., Boston 1996.

the relevant stock indices in 2000-2002, venture capital funding in the United States declined significantly, and the government launched many direct funding programs (in the form of grants) to somehow compensate for the financial drying up in the innovative areas. Nowadays, venture capital funding is growing again, but not as fast as it was, for example, in 2000. In 2006, venture capital funds invested \$25,5 billion in 3,416 deals in the United States. Venture capital investments in European companies reached EUR 4,12 billion in 2006. The venture capital market of China continues to grow – in 2004 it amounted to \$7 billion, India (\$2,5 billion in 2006), and Israel (\$1,5 billion in 2005)<sup>4,5</sup>.

The difficulty of finding one proper definition of venture capital makes it easier to present the phenomenon through the analysis of its characteristics, which include the following:

- venture capital is a form of financing for small and medium-sized enterprises with a promising product or innovative idea, which have difficulty obtaining a bank loan due to the high risk of investment failure;
- in general, capital is contributed to the company through the acquisition of shares or stocks;
- the acquired shares or stocks may not be publicly traded on any regulated securities market;
- the investor, by contributing capital, acquires certain property rights and also gains the opportunity to participate in management, which can take various forms, ranging from consulting to full assumption of management of the enterprise;
- the investment is temporary, but medium- and long-term, because much is needed to put the enterprise on the path of development;
- the focus of investors not on current profits, but on increasing the value of the company through reinvestment of profits and achieving future profits from the sale of shares<sup>6</sup>.

The main groups of capital donors are private investors, individuals, large companies, pension funds, insurance companies, banks, and public institutions. Venture capital funds can be classified in various ways using different criteria. Examples of divisions are shown in the table below.

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<sup>4</sup> Venture capital: foreign experience and problems of formation in Ukraine, KNEU, Kyiv 2000.

<sup>5</sup> V. G. Gerasymchuk, O. V. Shkolna, Risk management in foreign venture capital financing of innovative projects, "Bulletin of the National University of Lviv Polytechnic. Problems of Economics and Management" 2008; 628: 424-429.

<sup>6</sup> H.W. Chesbrough, Making sense of corporate venture capital, "Harvard business review" 2002; 80(3): 90-99.



**Table 1.** Division of venture capital

| <b>Criteria</b>                  | <b>Divided</b> | <b>Description</b>   |
|----------------------------------|----------------|--|
| <b>Objective</b>                 | commercial     | goal – maximization of profit from shares or stocks  |
|                                  | support        | purpose – any assistance from, for example, developed countries to enterprises of developing countries |
| <b>Method of establishment</b>   | independent    | created on the basis of the capital of private individuals or profit-oriented financial institutions   |
|                                  | dependent      | created by public institutions, companies, banks, and other entities                                   |
| <b>Scope of activity</b>         | universal      | deals with almost all forms of investment in the equity of SMEs  |
|                                  | specialized    | aimed at a specific industry or area, specializes in a certain type of financial instruments           |
| <b>Method of raising capital</b> | open           | raises capital by selling units on the financial market  |
|                                  | closed         | capital is predetermined, the number of shares is fixed  |

*Source: compiled by the author*

The phases of development of innovative business financed under venture capital are presented in table 2.

**Table 2.** The phases of innovative business development financed by venture capital

| <b>Development phase of an innovative venture</b> | <b>Description of the development phase</b>  | <b>Role of VC</b>   |
|---|--|---|
| Seed  | The earliest phase of business development, including its conceptualization, preparation of a business plan, preparatory activities for launching the business.          | Venture capital is for finalizing activities related to the implementation of the idea itself.  |
| Start-up  | The company has been on the market for a short time (usually no more than a year), operates on a small scale and stands at the threshold of marketization of innovation. | Venture capital is most often used to finance final work/activities related to launching production, promoting a new service or technology. |
| Early development                                 | The company operates on the market, has a market-verified product, but lacks the resources to build internal structures and further expansion.                           | Venture capital is intended for building a strong organizational structure of the company and leading it to the growth and expansion phase. |
| Growth and expansion                              | The company is already operating on the market, has a defined position, and usually has an established, but often niche, brand.  | Venture capital is aimed at investing in the company's operations, entering new markets, increasing the volume of orders.                   |

Source: compiled by the author

In Ukraine, venture capital financing institutions were formalized in 2001 with the adoption of the Law of Ukraine “On Joint Investment Institutions (Mutual and Corporate Investment Funds)”<sup>7</sup>. According to Article 4 of this Law, a venture fund is a non-diversified collective investment institution (CII) of a closed-end type that carries out exclusively private (closed) placement of CII securities among legal entities and individuals. An individual may be a member of a venture fund only if he or she purchases securities of such fund for the amount of not less than 1500 minimum wages.

<sup>7</sup> On Venture Capital Investment Companies: Draft Law of Ukraine. Online: <http://www.in.gov.ua/index.php?get=118&id=1495>.

The assets of a venture fund may include debt obligations. Such obligations may be formalized by promissory notes, pledges, loan agreements and in any other way not prohibited by the legislation of Ukraine. Loans at the expense of a venture fund may be granted only to the legal entities in which such venture fund is a member. The assets of a venture fund may consist entirely of real estate, corporate rights and securities that are not admitted to trading on a stock exchange, or securities that have not received a rating in accordance with the law. In order to form their own assets, CII may purchase foreign currency through banking institutions that have the appropriate license. The value of securities of foreign issuers may not exceed 20 percent of the total value of CII's assets (Article 44 of the Law of Ukraine "On Joint Investment Institutions (Mutual and Corporate Investment Funds)"<sup>8</sup>).

### **Current global trends in venture capital financing**

Venture capital investment in Europe falls 61%, startups downsize and refuse to expand. Thousands of European start-ups are struggling to raise funds, and many have to scale back their expansion plans as venture capital funding has fallen sharply due to sluggish economic growth and rising interest rates, according to "The Wall Street Journal".

Venture capital funding has also dropped significantly in the United States, but the slowdown in Europe is particularly deep. According to PitchBook Data, the volume of venture capital funds invested in Europe fell 61% in the first half of this year compared to the same period in 2022, a worse performance than in the US.

The European Bank for Reconstruction and Development, the European Investment Bank and the five members of the bloc are trying to close the funding gap, and earlier this year the pledged €3,75 billion in funding for the European technology companies.

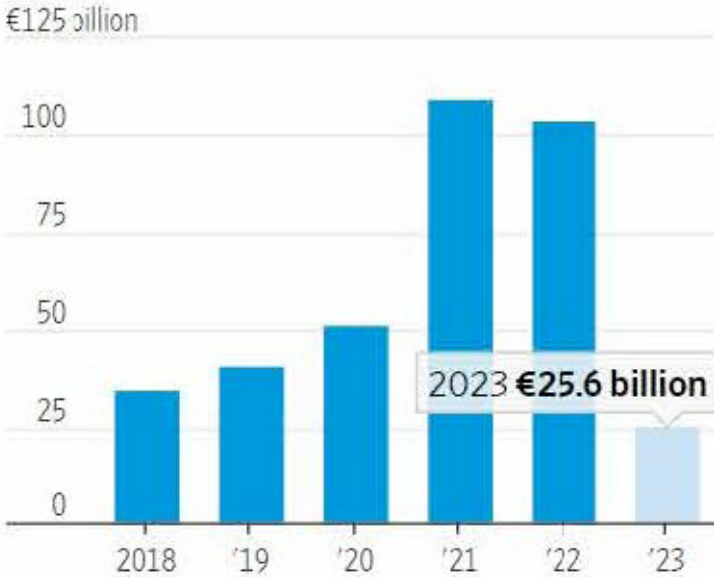
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<sup>8</sup> S. Archiereiev, O. Popadynets, The role of state support for the development of venture capital business to increase the output of high-tech and innovative products. Online: <http://www.niss.gov.ua/Monitor/May08/08.htm>.

## Free Fall

Venture-capital investing in Europe in 2023 is on pace to be far below the last two years.

### VC deal activity



Note: 2023 data is through June 30.

**Figure 1.** Dynamics of venture capital investments in Europe

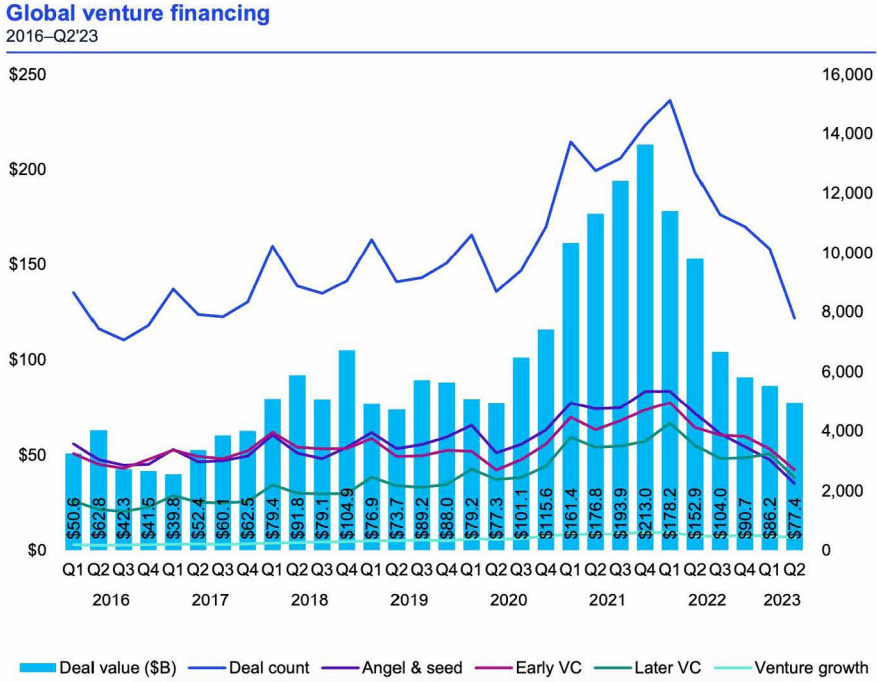
Source: PitchBook Data

Without easy access to funding, startups are cutting costs and scaling back their growth plans. GoStudent, an Austrian digital education company, has cut more than 10% of its workforce and has withdrawn from the US market. Glovo, a Spanish food delivery company, laid off 250 people this year, or about 7% of its workforce. According to Otta's platform, there are half as many tech job openings in Germany as there were a year ago.

PitchBook reports that the amount of money raised by the funds that sell their assets in startups through IPOs or other means, such as selling to private equity firms, is expected to fall by about 80% this year.

The global venture capital investment in the second quarter of 2023 fell to \$77,4 billion in 7,783 deals, down from \$86,2 billion in the previous quarter.

According to the KPMG’s Venture Pulse report for the second quarter of 2023, investments in artificial intelligence and generative AI remained strong.



**Figure 2.** Global venture financing

Source: <https://assets.kpmg.com/content/dam/kpmg/xx/pdf/2022/10/venture-pulse-q3-2022.pdf>

Venture capitalists have focused on artificial intelligence as one of the few sustainable areas of investment in the current market, and startups around the world have sought to highlight their capabilities in this area.

Corporate investors have shown the most interest in the generative AI field, especially global technology giants with the large data sets required to support robust generative AI solutions.

Both Microsoft and Google have already taken significant steps in this area, with Microsoft investing \$10 billion in OpenAI in the first quarter of 2023, along with Chinese tech giants Alibaba, Baidu and Tencent.

In the second quarter of 2023, Alibaba said it had received a significant number of requests for trial access to its Tongyi Qianwen artificial intelligence generation tool, and Baidu announced it had submitted its own Ernie bot artificial intelligence generation tool for regulatory approval, the report said.

Regulatory authorities around the world have also focused on artificial intelligence and are increasingly examining how best to regulate this sector. In the second

quarter of 2023, the EU passed the Artificial Intelligence Act, which sets rules for the use of AI in the region. In particular, the new regulations require that any generative AI systems be tested before being put into commercial use, the report says.

Many global tech giants are developing their own artificial intelligence models following the success of ChatGPT, a chatbot launched by OpenAI a year ago.

ByteDance has many small teams working on various generative artificial intelligence products, including a chatbot codenamed *Grace*. ByteDance has already raised at least 10,000 Nvidia GPUs to support its ambitions. The company has ordered nearly 70,000 A800 chips to be delivered next year, worth about \$700 million.

Alibaba plans to connect all of its products to the artificial intelligence model, including online shopping platform *Taobao* and the mapping tool *Gaode Map*.

Meanwhile, Baidu is developing its own ChatGPT-like project, a generative AI chatbot called Ernie Bot

## **Trends in the Ukrainian venture capital market**

The development of venture capital funds in Ukraine can be divided into two stages according to the formation of venture capital funds of Ukrainian origin. The first stage covers the years 1992-2001, characterized by the creation and operation of seven venture capital funds in Ukraine, at the expense of foreign investment. For the period since 2004, the total investment of these funds amounted to more than \$127,5 million in more than 106 enterprises. However, the directions of investment differ from the traditional venture capital funds towards less risky and traditional industries.

The second stage of the development of the venture capital funds in Ukraine commenced in 2001, after the adoption of the Ukrainian Law “On Joint Investment Institutions (Funds and Company Funds, Investment Funds)”, which continues to the present day. Its main feature is the creation of the venture capital funds by the residents of Ukraine. Thus, according to the data from the Ukrainian Association of Investment Activity, between 2004 and 2010, the number of venture capital funds has increased in 13,9 times, and the net asset value in 63,1 times, the biggest slowdown occurred during the 2008 year of the global financial crisis.

In 2022, the venture capital investment fell 74% compared to 2021, a decline partly due to the global economic slowdown: between 2021 and 2022, the venture capital investment in the EU and the US fell by 20-30%.

3 companies with Ukrainian roots raised  
58% of 2021 funding



**Figure 3.** Ukrainian companies with the largest venture capital funding

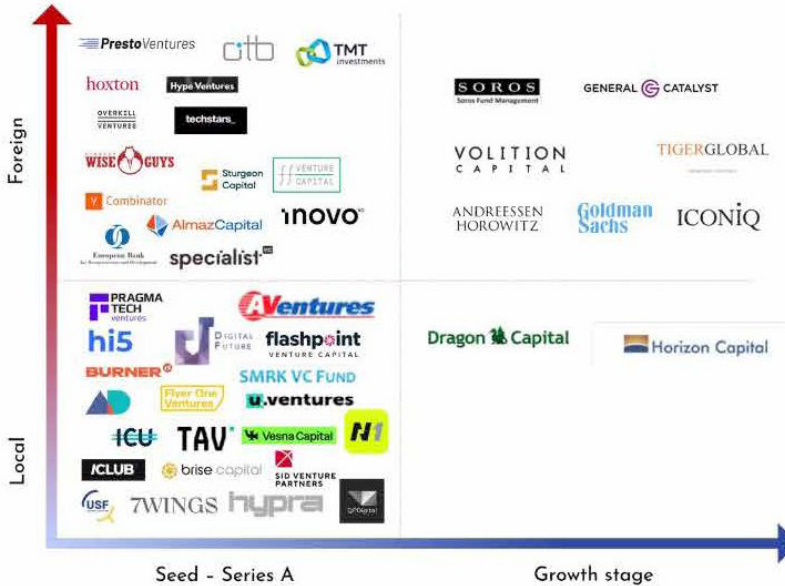
Source: <https://uaspectr.com/2022/04/27/investytsiyi-v-ukrayini-2021-roku-ta-vidbytok-vijny-hto-skilky-ta-koly-investuvav-v-ukrayinski-startapy/>

Most Ukrainian technology companies which focus on the global or US market continued to increase their revenues despite a 74% drop in new investments. Ukrainian investors are most inclined to provide capital to early-stage startups, with investments typically \$1 million. Series A investments, which represent a higher level of capital, are often sought by foreign funds, which tend to focus on Series A startups.

Among the most active Ukrainian investors are: Flyer One Ventures, U.Ventures, Adventures Lab, TAVentures and others. As for foreign investors, they are:

AlmazCapital, TMT and Hype Ventures. The full list can be found below in figure4.

## Fund landscape: most active investors



**Figure 4.** Ukrainian venture capital market representatives

Source: <https://dia.dp.gov.ua/venchurni-investicii-v-ukraini-znizilisya-na-74-u-2022-roci/>

Four Ukrainian startups have already joined the list of unicorns: Grammarly, GitLab, Bitfure and people.ai. Eight more are already approaching that status. They include product companies such as Ajax, Genesis, Creatio, Preply, Restream, airSiate and software developers such as Ciklum and SoftServe.

Thus, according to the official data of the Ministry of Economy, the venture capital market in Ukraine before the war was about 400 million dollars (potential volume reaches 800 billion dollars) and included more than 50 formally registered companies, although no more than ten actually worked, including: the Ukraine Private Equity Fund (22,5 million dollars), SigmaBlazer (100 million dollars) and the most powerful Western NIS Enterprise Fund (150 million dollars), allocated by the U.S. government for investments in the food industry, agriculture, construction materials, and the financial sector of Ukraine. Over the past ten years, Western NIS Enterprise Fund has completed 31 investment transactions totaling \$126 million. The fund financed small and medium-sized enterprises in the form of contributions to the authorized capital. The amount of the contribution ranged from USD 1 to 7,5 million.

As for the Ukrainian startup market after 60 days of war, there was a slowdown in development in the first weeks. Nevertheless, export-oriented enterprises are exhibiting indications of revenue growth. The valuations of Ukrainian food companies



focused on Western markets remain high. However, companies with a focus on Ukraine, including those operating in the e-commerce sector, are encountering significant challenges. In response to the challenging economic circumstances, many companies are resorting to layoffs, cost-cutting measures, and wage reductions.

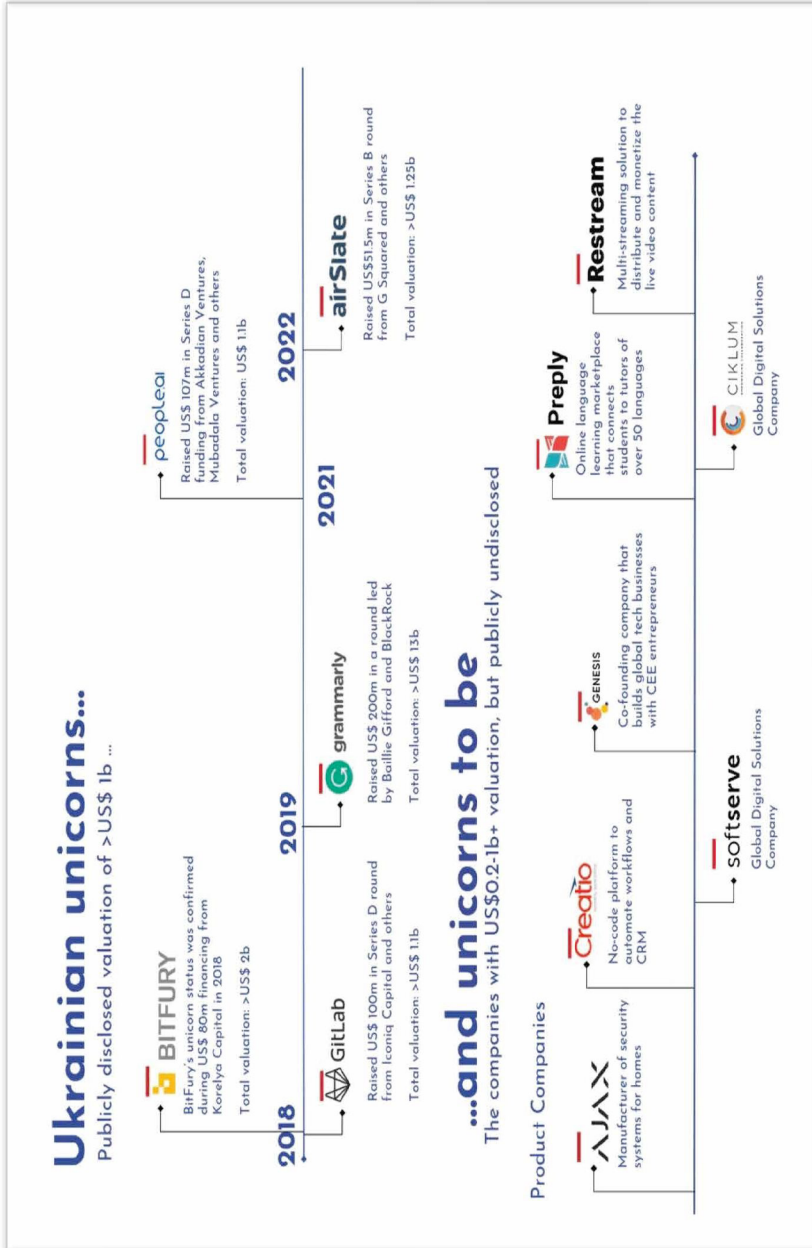


Figure 5. Ukrainian unicorns

Source: <https://uaspectr.com/2022/04/27/investytsiyi-v-ukrayini-2021-roku-ta-vidbytok-vij>

*ny-hto-silkly-ta-koly-investuvav-v-ukrayinski-startapy/*

It is also worth noting that since 2005, venture capital schemes have become very popular in the construction industry. Many investment companies began to create venture capital funds specifically for the purpose of investing in real estate. They were attracted by the dynamic growth of real estate prices, the projected high return on investment in square meters, and the low risks inherent to this business. According to the Ukrainian Association of Investment Business, as of the beginning of 2005, 15% of funds raised by CII were invested in construction and real estate operations<sup>9</sup>.

The growth of venture capital funds can be attributed to a number of factors, with several key influences taking a significant place in their development in recent years:

1. Technological innovation – the rapid development of technology, especially in areas such as artificial intelligence, biotechnology, blockchain and the Internet of Things, is attracting investors to support innovative ideas and start-ups.
2. Easier access to information – thanks to the Internet and the global access to information, investors can assess the potential of new ventures swiftly, which encourages an increase in VC investment.
3. Changing consumer trends – increasing demand for new products and services tailored to changing consumer preferences and needs creates space for innovative startups and VC funds.
4. Government support – some governments offer tax and other incentives to VC investors, helping to increase investment in startups.
5. Flexible business models – new trends in business management, such as the subscription model, digital platforms and the sharing economy, are attracting the attention of VC investors who are looking for the innovative ways to generate profits.
6. Importance of the startup ecosystem – the development of startup ecosystems, such as incubators, accelerators, and mentorship for entrepreneurs, helps create a healthier business environment for startups, which also attracts VC funds<sup>10</sup>.

These factors, both individually and collectively, are influencing the development and dynamics of venture capital funds, contributing to their growth and evolution.

## **Conclusions**

This, venture capital funds represent a powerful tool for Ukraine's innovative development and stand out among other investment institutions for their extensive investment opportunities. However, venture capital institutions in the Ukrainian market operate on different principles than those used in global practice. The

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<sup>9</sup> On venture capital funds for innovative development: Draft Law of Ukraine. Online: <http://www.in.gov.ua/index.php?get=118&id=1499>.

<sup>10</sup> I.V. Lytvyn, Planning of financial support and implementation of innovative projects of venture capital enterprises, "Bulletin of Lviv Polytechnic National University. Management and Entrepreneurship in Ukraine: Stages of Formation and Problems of Solution" 2008; 624: 191-199.

draft laws “On Venture Capital Investment Companies” and “On Venture Capital Funds for Innovative Development” developed by the State Agency of Ukraine for Investment and Innovation are intended to solve this problem, taking into account to some extent the recommendations of the European Venture Capital Association and the EU directives on collective and venture capital investment. However, this requires significant costs and generally raises doubts regarding the advisability of separating the rules aimed at regulating the specifics of the creation and operation of venture (innovation) investment funds into a distinct legislative act. Therefore, in light of the current economic crisis, our view is that it is sufficient for the state to identify priority innovation projects and ensure transparent and fair implementation of existing laws.

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## INCLUSIVE LABOR MARKET DEVELOPMENT THROUGH GREEN ECONOMY AND SOCIAL RESPONSIBILITY

### *Inkluzywny rozwój rynku pracy poprzez zieloną gospodarkę i odpowiedzialność społeczną*

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#### **Streszczenie**

W artykule omówiono globalne wyzwania dla rynku pracy w kontekście przejścia na zieloną gospodarkę. Główna uwaga skupiona jest na zmianach strukturalnych w tradycyjnych sektorach gospodarki oraz konieczności dostosowania siły roboczej do nowych wymagań związanych z wdrażaniem technologii ekologicznych. Artykuł zawiera przegląd danych międzynarodowych, w szczególności raportów OECD, które wskazują na ryzyko utraty miejsc pracy w tradycyjnych branżach oraz nierównomierne tworzenie nowych miejsc pracy w zielonej gospodarce. Zbadano również regionalne dysproporcje, zilustrowane wykresami i tabelami, które pokazują poziom zatrudnienia w zielonych sektorach oraz różnice między regionami i krajami. Analizowane są również ryzyka związane z siłą roboczą, szczególnie potrzeba przekwalifikowania pracowników w sektorach najbardziej podatnych na te zmiany. Szczególną uwagę poświęcono kwestii nierówności płci na rynku pracy. Przedstawiono dane dotyczące luki w zatrudnieniu kobiet w zielonych sektorach, gdzie kobiety są mniej reprezentowane, a także różnice w wynagrodzeniach między mężczyznami a kobietami w tych branżach. Znaczną uwagę poświęcono również roli społecznej odpowiedzialności biznesu (CSR) we wspieraniu inkluzywnego rynku pracy. W artykule przeanalizowano, w jaki sposób CSR przyczynia się do przekwalifikowania pracowników, zapewnienia równego dostępu do nowych miejsc pracy oraz wspierania rozwoju lokalnych gospodarek. Zaproponowano ścieżki zmniejszania nierówności ekonomicznych między regionami, zwiększania inkluzywności oraz promowania równości płci poprzez wdrażanie programów wsparcia rządowego i aktywny udział przedsiębiorstw w projektach społecznie odpowiedzialnych.

**Słowa kluczowe:** inkluzywne podejścia, rynek pracy, zielona gospodarka, odpowiedzialność społeczna, nierówność płci, nierówność ekonomiczna, zatrudnienie

## Summary

The article explores the global challenges for the labor market in the context of the transition to a green economy. The primary focus is on the structural changes in the traditional sectors of the economy and the need for workforce adaptation to the new requirements associated with the implementation of environmental technologies. The paper provides an overview of international data, particularly OECD reports, which highlight the risks of job losses in traditional industries and the uneven creation of new jobs in the green economy. Regional disparities are also examined and illustrated with charts and tables that show the employment levels in green sectors and the differences between regions and countries. Furthermore, the article examines the potential workforce challenges, particularly the necessity for re-training workers in sectors most impacted by these changes. Special attention is given to gender inequality in the labor market. The data on the gender employment gap in green sectors, where women are underrepresented, is included, along with wage disparities between men and women in these industries. Significant attention is also devoted to the role of corporate social responsibility (CSR) in supporting an inclusive labor market. The article analyzes how CSR contributes to workforce retraining, ensuring equal access to new jobs, and fostering local economic development. Pathways for reducing economic inequality between regions, increasing inclusion, and promoting gender equality are proposed through the implementation of government support programs and the active involvement of businesses in socially responsible projects.

**Key words:** inclusive approaches, labor market, green economy, social responsibility, gender inequality, economic inequality, employment

## Introduction

The green economy is gradually becoming one of the key drivers of modern economic development, offering new solutions for combining the economic growth with environmental sustainability and social responsibility. This approach encompasses environmentally safe practices aimed at reducing the impact of human activities on the environment while promoting employment growth, the development of new industries, and increasing social inclusivity.

One of the aspects of the green economy is its ability to create new jobs, particularly in the sectors such as renewable energy, energy efficiency, circular economy, and sustainable agriculture. These sectors not only provide new employment opportunities but also enhance the level of inclusion among different social groups, including women, youth, and the underprivileged<sup>1</sup>.

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<sup>1</sup> N. V. Pavlikha, O. A. Korneliuk, I. O. Tsybaliuk, Metodolohii proiektnoho menedzhmentu dlia tsyrkuliarnykh biznes-modelei: perevahy ta mozhlyvosti [Project management methodologies for circular business models: Benefits and opportunities], "Intelekt" 2023; XXI(3): 74-80.

The green economy is a concept of an economic model that involves the use of environmentally sustainable methods of production and consumption, which minimize negative environmental impacts while promoting social and economic development. This model is considered an alternative path to achieving the economic growth without harming the natural resources and ecosystems.

At the heart of the green economy is the shift away from the traditional resource-intensive and polluting practices in favor of the technologies based on the renewable energy sources, resource reuse, and reduced carbon emissions. According to the UN Development Program, the green economy promotes GDP growth, job creation, and poverty reduction while protecting and restoring the ecological systems<sup>2,3</sup>.

Globally, the transition to a green economy is supported by various initiatives, including the Paris Agreement, where the countries committed to reduce the greenhouse gas emissions and promote energy-efficient technologies. This creates favorable conditions for the development of new markets and job opportunities, allowing a broader range of social groups to participate in the economic activity through inclusive programs and corporate social responsibility initiatives<sup>4</sup>.

The concept of a green economy aligns economic interests with the environmental goals, promoting sustainable development and equitable distribution of the benefits within society.

## **Overview of global labor market challenges related to the transition to a green economy**

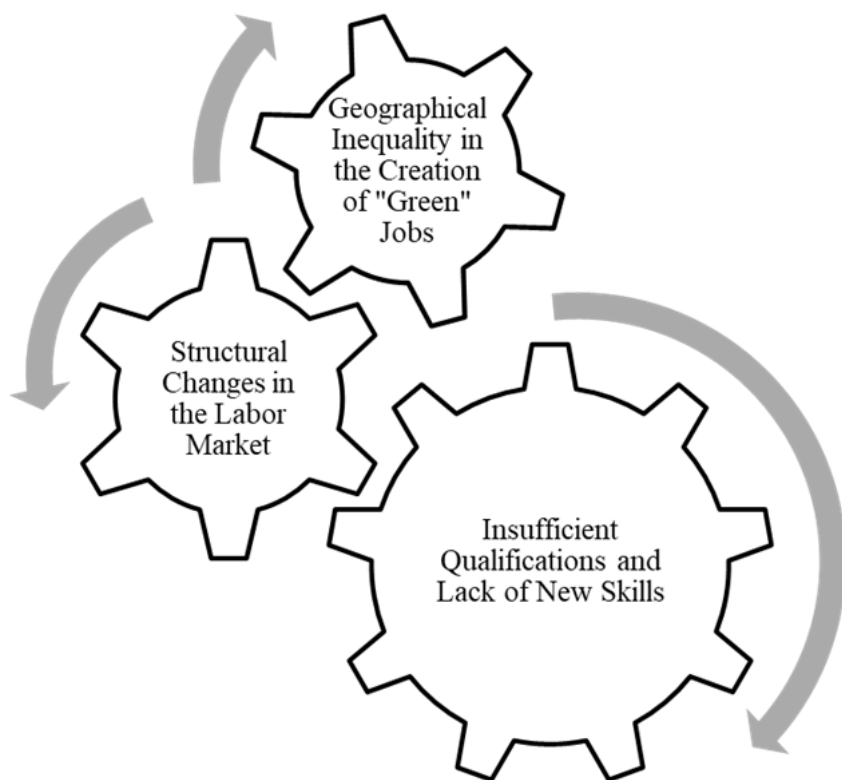
The transition to a green economy is essential in addressing the climate change and the environmental challenges, but it also presents significant challenges for the labor market. These challenges include the need for the workforce to adapt to the new market demands, structural shifts in traditional economic sectors, and the necessity for upskilling the employees to meet the requirements of new green technologies (figure 1).

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<sup>2</sup> OECD, Reporting gender pay gaps in OECD countries: Guidance for pay transparency implementation, monitoring and reform, OECD Publishing 2023.

<sup>3</sup> OECD, OECD Employment Outlook 2023. Artificial Intelligence and the Labour Market. Online: <https://www.oecd-ilibrary.org>.

<sup>4</sup> I. O. Tsybaliuk, Instytuttsii ta instrumenty inkliuzyvnoho rozvytku Yes: dosvid i perspektyvy dlia Ukrainy [in:] EUROPEAN PERSPECTIVE: suchasni vyklyky ta mozhlyvosti dlia Ukrainy, N. V. Pavlikha (ed.), Vezha-Druk, Lutsk 2024, p. 8-28.



**Figure 1.** Labor market risks associated with the transition to a green economy  
*Source: developed by the author*

Traditional industries, such as mining, oil, and gas, are facing significant declines due to the shift toward environmentally friendly energy sources. This leads to job losses, particularly in regions where the economy is heavily dependent on these sectors. According to an OECD report, such transformations may exacerbate economic inequality and require active workforce support from the governments and businesses through retraining programs<sup>5</sup>. In regions dominated by extractive industries, particularly in countries reliant on fossil fuels, the risk of mass unemployment is substantial. To mitigate this risk, it is essential to foster the growth of green economic sectors in tandem with job creation initiatives.

One of the primary challenges is that a significant portion of the workforce lacks the necessary knowledge and skills to work in the green economy. Approximately 40% of the workforce in certain sectors will require retraining to adapt to new environmental standards<sup>6</sup>. This calls for a substantial investment in education programs and

<sup>5</sup> OECD, OECD Employment Outlook 2023... op. cit.

<sup>6</sup> Ibidem.

partnerships between businesses and educational institutions to develop the required competencies.

Despite the overall growth in jobs within the green sectors, their distribution is uneven. Regions with access to the latest technologies and investments benefit more from the transition to a green economy. For example, rural and remote areas may lag in adopting green technologies, which exacerbates inequality and reduces employment opportunities. This creates what is known as the “green divide”, observable both nationally and globally<sup>7</sup>. The gender gap also remains significant, with women making up only 32% of the workforce in these sectors, underscoring the need for inclusive employment approaches and the engagement of vulnerable social groups<sup>8</sup>.

### **The role of corporate social responsibility in supporting inclusive growth**

Corporate social responsibility (CSR) plays a critical role in minimizing the negative impacts of the transition to a green economy and ensuring labor market inclusivity. Companies that implement CSR practices not only work on reducing their environmental footprint but also actively promote the creation of new opportunities for various social groups.

Corporations take responsibility for training their employees in new skills necessary for the work in the green economy by implementing training programs focused on energy-efficient technologies, waste management, and environmental management. For example, CSR initiatives in the renewable energy sectors promote the creation of inclusive job opportunities for women, youth, and vulnerable social groups<sup>9</sup>.

Businesses also play an essential role in expanding labor market access for groups traditionally excluded from the economic processes by actively supporting gender equality in the workplace, reducing the wage gap, and ensuring equal conditions for both men and women in green sectors of the economy<sup>10</sup>.

Socially responsible corporations invest in the development of local communities, particularly in regions with limited access to new technologies and green investments. These investments help create new jobs and reduce economic inequality between regions.

Thus, corporate social responsibility becomes an important tool for fostering inclusive labor market growth in the global transition to a green economy.

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<sup>7</sup> OECD, Jobs [Data set]. Online: <https://data.oecd.org/jobs.htm>.

<sup>8</sup> OECD, Reporting gender pay gaps in OECD countries... op. cit.

<sup>9</sup> Ibidem.

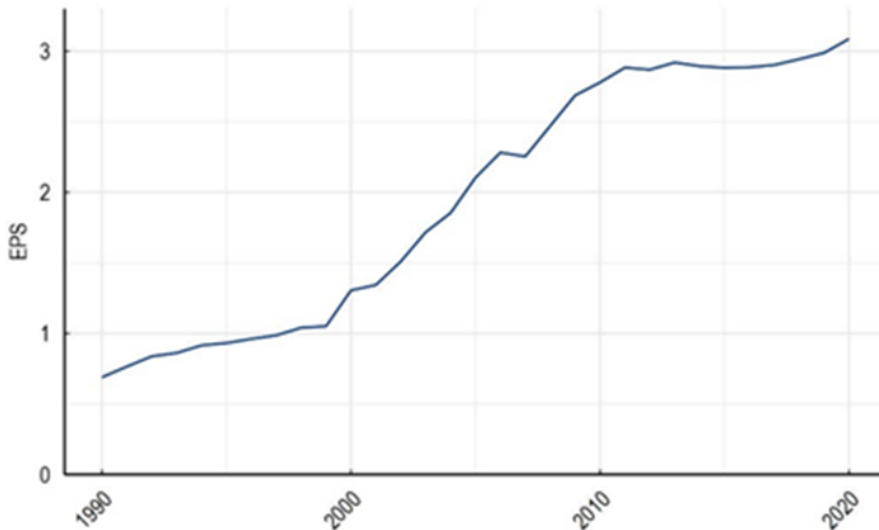
<sup>10</sup> OECD, Gender wage gap [Data set]. Online: <https://doi.org/10.1787/7cee77aa-en>.



## Job creation in the green economy and its impact on local economies

The growth of the green economy has become a major driver of job creation and a tool for supporting sustainable development in local economies. Over the past few decades, the environmental policy has gained prominent importance on the agendas of OECD countries. Governments have been developing and implementing the measures aimed at reducing carbon emissions, air pollution, and improving energy efficiency. However, the impact of these programs on the labor market remained limited for an extended period of time. Only recently the new initiatives have begun to focus more on employment, particularly on job creation in the green sectors.

A significant increase in the stringency of the environmental policies regarding air emissions, energy use, and carbon emissions has been observed in OECD countries over the last three decades. Between 1990 and 2020, the strictness of the environmental policy has increased the most between 2000 and 2010 (figure 2).



**Figure 2.** Environmental Policy Stringency across the OECD, 1990-2020

Source: OECD, *Job creation and local economic development 2023: Bridging the great green divide*, OECD Publishing 2023

These measures are the part of a broader green growth strategy aimed at combining the economic development with environmental protection. However, until recently, the impact of these policies on the labor market remained indirect, and only a few included a direct support for employment.

Efforts to stimulate the green growth in various countries have had a positive effect on the job creation in the sectors such as renewable energy, waste management, energy-efficient construction, and eco-friendly transportation. OECD governments have increasingly implemented programs that promote job creation in these sectors

and provide mechanisms for workforce retraining. Special attention is given to local economies, where significant structural changes occur due to the introduction of environmental standards.

The green growth programs have become a catalyst for change in local economies, not only fostering employment growth but also helping to minimize negative environmental impacts. For instance, countries that actively implement environmentally sustainable technologies experience economic benefits and provide their populations with stable jobs in environmentally significant sectors.

While the green economy is growing rapidly, most jobs in OECD countries are still not directly related to the green sectors or tasks. As of 2021, only 18% of jobs in OECD countries involved a significant share of ‘green’ tasks, either created by the transition to a green economy or modified in response to it. These jobs are primarily concentrated in industries such as renewable energy, energy efficiency, waste management, and sustainable agriculture.

However, this overall figure masks significant regional differences. Some regions exhibit high levels of employment in “green” sectors, while others lag considerably. For example, regions in Southern Europe, such as Greece, Italy, Portugal, and Spain, have a lower proportion of green-related jobs, whereas Baltic and Northern countries (e.g., Lithuania, Sweden, Finland) demonstrate higher employment levels in these sectors. In some countries, such as France, the UK, Luxembourg, and Switzerland, the share of green jobs is also significant.

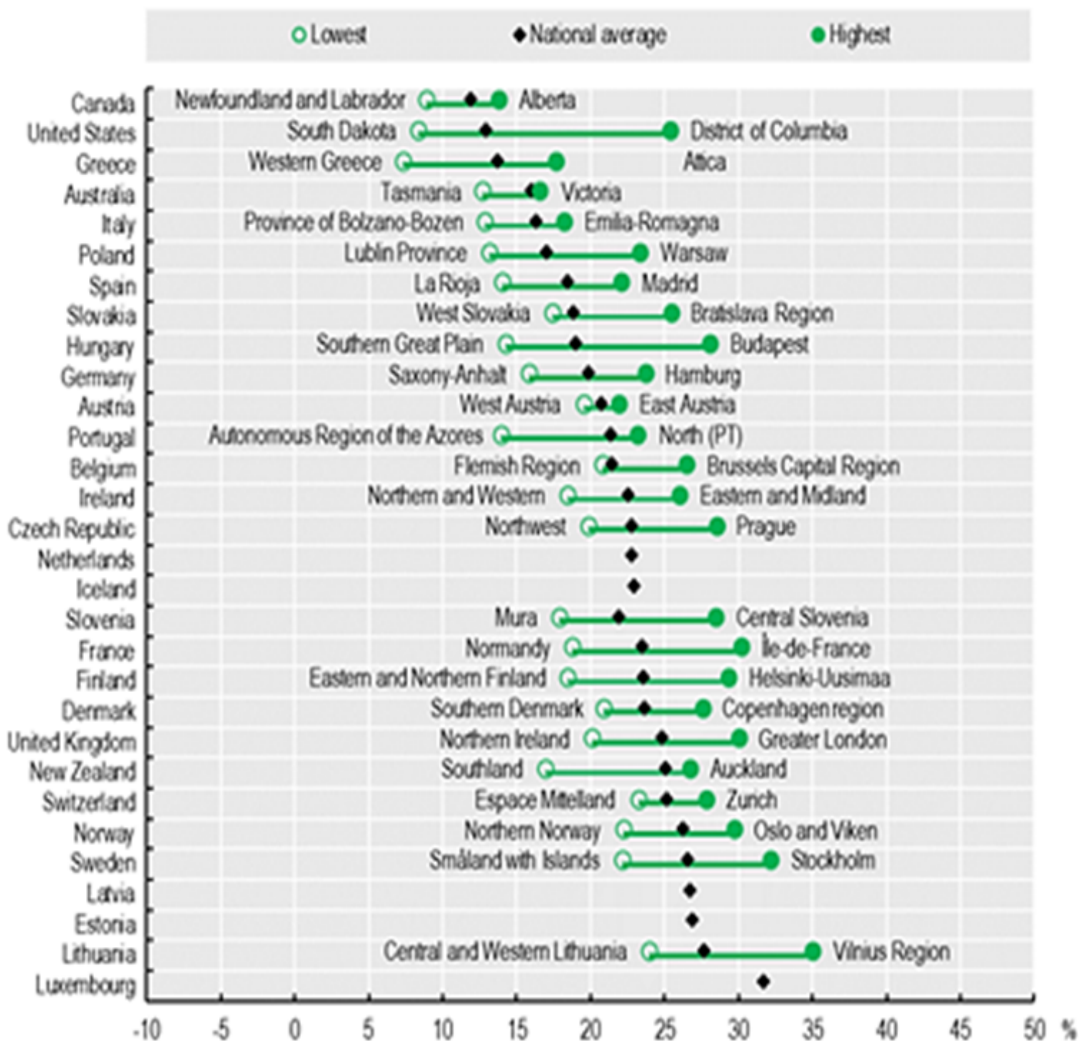
The proportion of such jobs across regions ranges from 7% (in western Greece) to 35% (in the Vilnius region, Lithuania). This highlights the considerable discrepancies between regions within the OECD, emphasizing the uneven implementation of environmental policies at the local labor market level<sup>11</sup>.

These differences also suggest that the labor markets do not adapt equally quickly to the green transition. In regions with lower levels of green jobs, challenges with access to environmental technologies and investments limit employment opportunities in new sectors. This is especially evident in rural and less-developed regions, where the financial or infrastructural barriers constrain the access to the green initiatives. On the other hand, more urbanized and developed regions are quicker to adopt the environmental policies, creating favorable conditions for the development of new professions in renewable energy, recycling, and eco-friendly construction.

Within countries, the share of jobs with “green tasks” shows considerable variation, indicating the uneven implementation of green initiatives even at the national level. As illustrated in figure 2, the percentage of jobs related to green tasks differs significantly both between and within countries. On average, the gap between regions within a single country is 7 percentage points, but in some countries, this figure is much higher.

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<sup>11</sup> OECD, *Job creation and local economic development 2023: Bridging the great green divide*, OECD Publishing 2023.



**Figure 2.** There is significant dispersion in terms of green-task jobs within countries  
 Source: OECD, *Job creation and local economic... op. cit.*

In Hungary, the regional difference reaches 14 percentage points, while in Lithuania, Finland, and France, it is 11 percentage points. In the United States, this gap extends to 17 percentage points, largely due to the high concentration of “green” jobs in the Washington, D.C. area compared to other regions. Interestingly, in 19 out of 25 countries with available data on multiple regions, the capital region has the highest share of jobs with green tasks. Exceptions include Canada, Germany, Italy, Portugal, New Zealand, and Australia, where these trends are less pronounced.

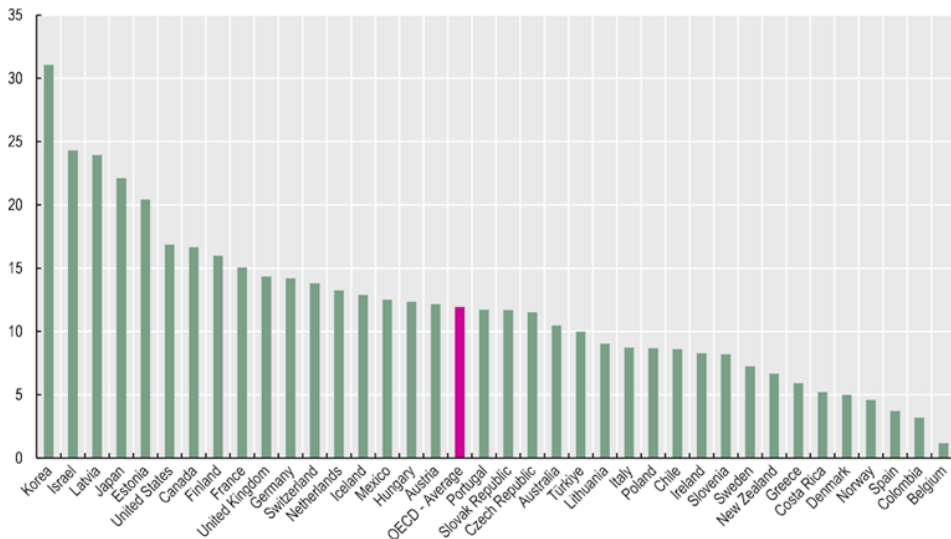
In large countries like Australia, Canada, and the United States, regional variations may be partly obscured due to the vast size of the regions, making it difficult to detect sub-regional differences.

## Labor market gaps: gender and economic aspects

The transition to green economy affects various aspects of the labor market, particularly gender and economic disparities. Despite the growth of new jobs in green sectors, inequality in access to these jobs remains significant, especially for women and low-income groups. The green economy requires the specific skills and qualifications, which are often lacking in these groups. For example, the gender gap in green sector employment persists: only 32% of workers in renewable energy are women, a significantly lower figure compared to the other sectors<sup>12,13</sup>.

Despite considerable efforts to ensure gender equality, the gender wage gap remains a serious issue in the labor market. According to the OECD, on average, women working full-time earn 11,9% less than men in equivalent positions. This means that the average woman earns around 88 cents for every dollar or euro earned by a man in full-time employment<sup>14</sup>. However, this figure can vary significantly depending on the country, ranging from 1,2% in Belgium to 31,1% in South Korea.

The gap widens even further when considering all forms of employment, not just full-time positions. This is because women are more likely to work part-time, while men are more often employed in jobs with longer hours. As a result, women's overall income is lower, as part-time work reduces not only total the earnings but also access to additional wage components such as bonuses and premiums, which are often linked to hourly pay (figure 3).



**Figure 3.** Gender Pay Gap for Full-Time Workers in OECD Countries (2021 or most recent data available)

Source: OECD, *Reporting gender pay gaps in OECD countries...* op. cit.

<sup>12</sup> OECD, *Reporting gender pay gaps in OECD countries...* op. cit.

<sup>13</sup> OECD, Jobs [Data set]. Online: <https://data.oecd.org/jobs.htm>.

<sup>14</sup> Ibidem.

Moreover, the regional data highlights significant economic disparities between the developed and the underdeveloped regions of the world, where the access to new 'green' jobs is limited due to a lack of investments and technologies. This particularly affects employees living in extreme poverty. In 2023, approximately 241 million workers worldwide were living in extreme poverty, earning less than \$2,15 per day per person, based on purchasing power parity (PPP). Between 2020 and 2021, the share of workers living in extreme poverty decreased, largely due to a reduction in working poverty rates in lower-middle-income countries.

However, in 2023, despite the overall employment growth and the stabilization of extreme poverty rates, the number of workers living in such conditions increased by about one million people. A similar trend was observed in the segment of moderate poverty: the number of workers living in moderate poverty (earning less than \$3,65 per day per person in PPP terms) increased by nearly 8,4 million in 2023. Only in countries with upper-middle incomes, a reduction in the number of workers living in moderate poverty took place.

**Table 1.** Poverty Rates Among Employed Persons

| Country group                 | Working poverty | Rates (percentages) |      |      |      | Numbers (millions) |       |       |       |
|-------------------------------|-----------------|---------------------|------|------|------|--------------------|-------|-------|-------|
|                               |                 | 2020                | 2021 | 2022 | 2023 | 2020               | 2021  | 2022  | 2023  |
| World                         | Extreme         | 7,7                 | 7,3  | 7,1  | 6,9  | 248,0              | 241,6 | 240,1 | 241,1 |
|                               | Moderate        | 12,5                | 12,1 | 12,2 | 12,2 | 402,7              | 401,4 | 414,9 | 423,4 |
| Low-income countries          | Extreme         | 38,9                | 38,5 | 38,7 | 39,0 | 90,5               | 92,7  | 96,7  | 100,6 |
|                               | Moderate        | 26,6                | 26,4 | 26,5 | 26,7 | 61,9               | 63,5  | 66,3  | 68,9  |
| Lower-middle-income countries | Extreme         | 12,8                | 11,8 | 10,9 | 10,2 | 139,3              | 132,0 | 127,3 | 124,7 |
|                               | Moderate        | 26,1                | 25,6 | 25,2 | 24,7 | 283,7              | 287,6 | 294,8 | 302,1 |
| Upper-middle-income countries | Extreme         | 1,4                 | 1,2  | 1,2  | 1,1  | 17,9               | 16,7  | 15,9  | 15,6  |
|                               | Moderate        | 4,3                 | 3,7  | 3,9  | 3,8  | 56,9               | 50,0  | 53,6  | 52,0  |

Source: *International Labour Office, World employment and social outlook: Trends 2024, International Labour Organization 2024*

Countries with upper-middle incomes demonstrate the highest readiness for the green economy. This group of countries has shown the most favorable conditions for implementing "green" initiatives due to the availability of technologies, investments, and supportive policies. For the upper-middle-income countries, such as certain European and Latin American nations, the level of readiness for the green economy is rated as high.

The lack of investments and technology in the underdeveloped regions significantly limits the access to employment opportunities in green sectors. This highlights

the importance of the active policies to support low- and middle-income countries by attracting investments and introducing modern technologies that would boost the employment levels and reduce poverty.

## **Green economy and gender equality through the lens of corporate social responsibility**

Corporate social responsibility (CSR) plays a vital role in narrowing these gaps. Companies implementing CSR programs not only focus on the environmental sustainability but also actively support inclusive labor market programs. This includes initiatives aimed at promoting gender equality, creating programs for upskilling women and vulnerable social groups, and expanding opportunities for low-income individuals through educational and retraining programs.

Today, many international corporations run programs to support women's employment in renewable energy and other green economy sectors. These programs aim to ensure equal access to new opportunities, including professional training, internships, and inclusive employment policies<sup>15,16</sup>.

The need to strengthen corporate responsibility for work-related outcomes is reinforced by the latest 2024 report from the International Labour Organization (ILO) on global trends. According to this report, approximately 435 million people worldwide are deprived of stable income through work. Millions more face deteriorating working conditions, declining real wages, job instability, or lack of social protection<sup>17</sup>.

In light of these challenges, changes in employment and labor conditions are on the agenda. To ensure greater transparency and accountability in labor relations, a global public consultation on proposed revisions to several Global Reporting Initiative (GRI) standards is ongoing until October 2024. These revisions cover the key areas such as:

- GRI 402: Labor and Management Relations,
- GRI 401: Employment,
- GRI 202: Market Presence.

This process, led by an expert group that includes representatives of workers, employers, and the ILO, aims to align labor standards with international business and human rights requirements, particularly those set by the ILO, the UN, and the OECD.

In addition to these standards, two rounds of consultations on working conditions and the protection of workers' rights will be held over the next 12 months. A total of 11 GRI standards are expected to be updated, with a special focus on human

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<sup>15</sup> OECD, Reporting gender pay gaps in OECD countries... op. cit.

<sup>16</sup> I. Tsybaliuk, N. Pavlikha, Analysis of income structure of the population and the role of the inclusive labor market in reducing social vulnerability, "Transactions of Kremenchuk Mykhailo Ostrohradskyi National University" 2023; 4(141): 33-41.

<sup>17</sup> Global Reporting Initiative, Blueprint to advance transparency and accountability for labor impacts. Online: <https://www.globalreporting.org/news/news-center/blueprint-to-advance-transparency-and-accountability-for-labor-impacts/>.

rights and due diligence in business practices<sup>18</sup>. The areas covered by these standards include:

- Employment – management of non-standard employment forms, fair recruitment, internships, protection of personal data, and termination of employment.
- Wages and working hours – assessment of living wages, gender pay gaps, and social protection coverage.
- Significant changes for workers – consultation with employees regarding reassignment, retraining, and termination of employment.

Several countries and companies have already implemented successful programs aimed at achieving gender equality through socially responsible initiatives. For example, in Sweden and Norway, gender equality is a mandatory part of the corporate reporting. Companies actively implement programs that ensure equal access to jobs, particularly in green economy sectors such as the renewable energy.

Siemens actively supports programs that increase the number of women in green sectors through inclusive employment strategies. Their programs include training and support for women in engineering, energy, and environmental management, displaying a successful example of CSR promoting greater inclusivity.

Green initiatives, such as the transition to renewable energy sources and the implementation of energy-efficient technologies, hold significant potential for improving gender equality. Since these sectors are new and rapidly growing, they offer opportunities for women to be employed on equal terms with men. Specifically, initiatives such as training and retraining programs in the renewable energy sector help ensure equal access to new professions and reduce the gender pay and employment gaps.

This demonstrates that the green economy can serve as a platform not only for achieving environmental goals but also for fostering social justice and inclusive growth.

## **The role of government and business policies in reducing inequalities through inclusive approaches**

Government policies play a crucial role in addressing gender and economic inequalities in the labor market during the transition to a green economy through inclusive approaches. Many OECD countries have already implemented initiatives aimed at ensuring equal access to new jobs in the green sectors. One such policy is gender pay gap reporting, which allows governments and companies to track gender inequality and develop strategies to reduce it<sup>19,20</sup>.

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<sup>18</sup> Ibidem.

<sup>19</sup> I. Tsymbaliuk, N. V. Pavlikha, *Inkluzyvna ekonomika: shliakh do sotsialnoi rivnosti ta ekonomichnoho rozvytku*, Vezha-Druk, Lutsk 2023.

<sup>20</sup> I. Tsymbaliuk, N. Pavlikha, *Inclusive economy in contemporary management models: Definition, global challenges, and its role in achieving sustainable development [in:] Modern management tools in the latest models of socioeconomic development*, Higher School of Social and Economic, Przeworsk 2023, p. 102-119.

Governments also actively promote retraining programs for employees, particularly those with low skill levels, enabling the vulnerable groups to integrate into new green economy sectors and improving their chances of employment. Subsidy programs, the creation of state funds to support “green” initiatives, and collaboration with private companies contribute to engaging women and the youth in the new fields. Countries like Germany and France actively promote policies that reduce the economic disparities through regional green growth programs<sup>21,22</sup>.

Many governments implement active labor market policies aimed at supporting the workers affected by the technological changes and the transition to ecological production models. Key areas of focus include retraining, skill enhancement, and the creation of new employment opportunities in sectors linked to the green economy such as renewable energy, waste management, and eco-friendly construction<sup>23,24</sup>.

Key strategies include:

- Investment in workforce retraining. Governments promote training programs for workers in sectors affected by automation or ecological changes. For example, in OECD countries, the demand for professionals in renewable energy and environmental management is rising, and policies are aimed at ensuring equal access to such opportunities<sup>25</sup>.
- Support for vulnerable groups. In Asian countries, support programs include subsidies for those affected by crises and skill enhancement initiatives that help integrate women, youth, and migrants into new jobs in the green economy<sup>26</sup>.

Governments and the private sector actively collaborate to achieve inclusivity in the green economy. An example is the cooperation between the companies and governments in implementing training and retraining programs. For instance, within the framework of the GRI standards reporting, companies are required to adhere to transparent labor practices, including supporting the employment of women, youth, and other vulnerable populations in the new green economy sectors<sup>27</sup>.

Inclusive approaches to training and skill development are the essential tools for ensuring equal opportunities in the green economy. Governments and companies focus on developing skills needed for work in emerging sectors such as the renewable energy and the environmental management. According to the World Economic Forum, more than half of the workforce will require additional training to remain competitive amid the rapid changes in the labor market<sup>28</sup>.

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<sup>21</sup> OECD, Jobs [Data set]... op. cit.

<sup>22</sup> N. V. Pavlikha, I. Tymbaliuk, N. L. Khomiuk et al, Bezpeka staloho rozvytku rehioniv ta terytorialnykh hromad Ukrainy na zasadakh inkluzyvnoho zrostantia. Vezha-Druk, Lutsk 2023.

<sup>23</sup> World Economic Forum, The Future of Jobs Report 2023. Online: <https://www.weforum.org>.

<sup>24</sup> N. V. Pavlikha, I. Tymbaliuk, O. V. Uniha et al, Ekonomika dobrobutu: rehuliuвання dokhodiv naselennia ta rozvytok rynku pratsi, Vezha-Druk, Lutsk 2022.

<sup>25</sup> OECD, OECD Employment Outlook 2023... op. cit.

<sup>26</sup> Asian Development Bank, Strengthening Active Labor Market Policies to Drive an Inclusive Recovery in Asia. Online: <https://www.adb.org>.

<sup>27</sup> Global Reporting Initiative, Blueprint to advance transparency... op. cit.

<sup>28</sup> World Economic Forum, The Future of... op. cit.



Through these strategies, workers gain access to new opportunities in the growing sectors, and the labor market becomes more inclusive, considering gender, age, and socio-economic factors.

The private sector also holds a significant potential to reduce gender and economic inequalities through the implementation of inclusive business models and policies. Companies that emphasize sustainability and inclusion actively promote training programs for the vulnerable groups, ensure equal working conditions, and provide career growth opportunities. Such initiatives help close wage and employment gaps, creating a fairer labor market.

Thus, the synergy between government and private initiatives is crucial for building an inclusive labor market during the transition to a green economy. Through joint efforts in corporate social responsibility and government policies, significant inequality reduction can be achieved, fostering conditions for sustainable economic development.

## **Conclusions**

The article analyzes the key challenges that the labor market is confronted with during the transition to a green economy, particularly the structural changes in traditional industries and the need for workforce retraining. It is established that the shift to green economy involves the risk of job losses in traditional sectors, such as the mining industry, while new opportunities arise in green sectors, where job creation is uneven both at the regional and national levels. This underscores the need for a more flexible approach to government policies and support programs for regions lagging in the adoption of green technologies. At the same time, the implementation of stricter environmental standards creates conditions for the growth of new economic sectors, which in turn generates local employment opportunities.

The green transition impacts employment structures in OECD countries unevenly. Only a small portion of the population works in sectors where green tasks play a central role, highlighting the necessity to strengthen the policies supporting inclusive labor market development and create opportunities for the workforce retraining in regions falling behind in the green transition. Despite the overall growth of employment in green sectors, this development remains uneven, requiring additional efforts from both governments and businesses to support regions struggling to implement green technologies. Combating economic inequality remains a challenge for the green economy, particularly in countries where the gap between the rich and the poor continues to widen, and new jobs in green sectors are not accessible to the most vulnerable populations.

A significant issue identified in the study is gender inequality in the labor market during the green transition. Women are significantly underrepresented in environmentally critical sectors, and the gender pay gap remains a substantial problem. This calls for the development of inclusive policies aimed at increasing the number of

women in the green sectors and eliminating inequality in the availability of emerging employment opportunities.

The role of corporate social responsibility (CSR) in supporting the inclusive development of the labor market is crucial for minimizing the negative impacts of the green economy transition. Socially responsible businesses can play a leading role in retraining workers, ensuring equal opportunities for various social groups, and contributing to local community development.

Thus, for a successful transition to a green economy, active government support in the form of workforce retraining programs is essential, along with collaboration with the businesses to implement socially responsible initiatives. This will help reduce the socio-economic inequality and ensure equal access to new job opportunities in green economic sectors.

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## RYNEK PRACY POLSKI W OBLICZU ZMIAN DEMOGRAFICZNYCH

### *Poland's labour market in the face of demographic change*

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#### **Summary**

*The paper addresses the demographic changes impacting Poland's labor market, including population decline, low birth rates, and an aging population. These trends will reduce the workforce and strain the economy. Key findings highlight that, by 2050, Poland's population is projected to decrease to 33,9 million, with a significant rise in the median age, which will challenge workforce sustainability and economic growth. The authors propose several solutions to mitigate these challenges, including policies to: increase labor force participation among older adults, implement age management in workplaces, encourage pro-family policies to boost birth rates, attract skilled immigrants to fill workforce gaps. They conclude that proactive social and economic policies will be essential to maintain labor market stability and support economic resilience in the face of demographic shifts.*

**Key words:** *demographic changes, labor market, population decline, Poland, social policy, pro-family policies*

#### **Streszczenie**

W artykule omówiono zmiany demograficzne wpływające na polski rynek pracy, w tym spadek liczby ludności, niski wskaźnik urodzeń i starzenie się społeczeństwa. Tendencje te spowodują zmniejszenie siły roboczej i obciążenie gospodarki. Kluczowe ustalenia podkreślają, że do 2050 r. populacja Polski zmniejszy się do 33,9 mln, przy znacznym wzroście mediany wieku, co będzie stanowić wyzwanie dla stabilności siły roboczej i wzrostu gospodarczego. Autorzy proponują kilka rozwiązań w celu złagodzenia tych wyzwań, w tym politykę mającą na celu: zwiększenie aktywności zawodowej wśród osób starszych, wdrożenie zarządzania wiekiem w miejscach pracy, zachęcanie do polityki prorodzinnej w celu zwiększenia liczby urodzeń, przyciągnięcie wykwalifikowanych imigrantów w celu wypełnienia luk w sile roboczej.

Podsumowując, proaktywna polityka społeczna i gospodarcza będzie niezbędna do utrzymania stabilności rynku pracy i wspierania odporności gospodarczej w obliczu zmian demograficznych.

**Słowa kluczowe:** zmiany demograficzne, rynek pracy, spadek liczby ludności, Polska, polityka społeczna, polityka prorodzinna

## **Wprowadzenie**

Przemiany demograficzne są obecnie jednym z ważniejszych problemów, które wpłyną na kondycję gospodarczą Polski. Zmiana krajobrazu demograficznego powoduje istotne zmiany w strukturze gospodarczej danego kraju. Liczba ludności Polski spadła poniżej 38 mln, a w niedalekiej przyszłości Polska będzie jednym z najszybciej wyludniających się krajów świata. Obecnie w Polsce występuje etap powolnego starzenia się ludności przy jednoczesnym spadku liczby narodzin. Efektem tej sytuacji będzie pojawienie się w przyszłości wysokiego odsetka osób, które osiągną wiek poprodukcyjny, co spowoduje w przyszłości kluczowe zmiany w obszarze rynku pracy.

Aby móc ocenić i ustalić konsekwencje prognozowanych zmian demograficznych, należy zapoznać się ze specyfikacją funkcjonowania rynku pracy w Polsce. Przemiany demograficzne spowodują w przyszłości spadek podaży zasobów ludzkich na rynku pracy w Polsce na skutek starzejącego się społeczeństwa i niskiego współczynnika dzietności. Istotne jest więc podjęcie działań, które przyczynią się do poprawy kondycji polskiego rynku pracy w nadchodzących latach.

## **Cel artykułu**

Celem jest przedstawienie danych dotyczących obecnych trendów demograficznych oraz prognoz demograficznych w Polsce. Istotą tej pracy jest analiza i interpretacja zebranych danych demograficznych obrazujących sytuację demograficzną Polski. Celem głównym artykułu jest ustalenie wpływu zmian demograficznych w Polsce w odniesieniu do funkcjonowania polskiego rynku pracy oraz przedstawienie działań, które usprawnią funkcjonowanie rynku pracy w odniesieniu do prognoz demograficznych.

Ważnym elementem jest uwzględnienie obszaru polityki społecznej i gospodarczej w stosunku do przemian demograficznych zachodzących w Polsce. Rolą państwa wobec nadchodzących zmian demograficznych będzie prowadzenie odpowiedzialnej polityki ekonomicznej, aby w jak najlepszy sposób zaspokoić interesy całego społeczeństwa. Niezbędne będą działania, które pozwolą tak skorygować mechanizm rynku pracy, aby nastąpił widoczny efekt wzrostu efektywności gospodarowania.

## Badanie prac naukowych

Pierwszym artykułem, skupiającym się na analizie wpływu zmian demograficznych na polski rynek pracy, jest artykuł „Zmiany demograficzne a rynek pracy w Polsce” autorstwa Karoliny Dreli, opublikowany w „Pracach Naukowych Uniwersytetu Ekonomicznego we Wrocławiu”. W niniejszym artykule przedstawiono analizę liczby ludności Polski oraz prognozę liczby ludności w odniesieniu do ekonomicznych grup wieku. Problemem poruszonym w artykule jest zjawisko depopulacji i starzenia się społeczeństwa w Polsce. Głównym celem artykułu jest określenie wpływu negatywnych trendów demograficznych na rynek pracy w Polsce, wraz z próbą przedstawienia rozwiązań oraz działań, które zminimalizują i odwrócą tendencję niekorzystnych zmian demograficznych.

Autorka stwierdza, że zmieniająca się struktura i wielkość zasobów pracy powodują powstawanie niedoborów na rynku pracy. Wskazuje na zmiany w proporcji osób w wieku produkcyjnym i poprodukcyjnym oraz na niedostateczną podaż zasobów pracy. Autorka podkreśla potrzebę działań mających na celu przeciwdziałać negatywnym skutkom zmian demograficznych na rynek pracy w Polsce; stwierdza, że działania takie jak: zwiększanie populacji osób w wieku produkcyjnym, aktywizacja zawodowa osób biernych zawodowo czy też kompleksowe zarządzanie wiekiem przyczynią się do poprawy stabilności polskiego rynku pracy w przyszłości. Artykuł ten jest cennym źródłem informacji na temat obecnej i prognozowanej sytuacji demograficznej Polski, który pozwala na lepsze zrozumienie trendów i kierunków tych zmian oraz na podjęcie skutecznych działań usprawniających funkcjonowanie rynku pracy w Polsce w obliczu nadchodzących zmian demograficznych.

Kolejną publikacją, mówiącą o wpływie zmian demograficznych na rynek pracy w Polsce, jest artykuł „Kryzys demograficzny i jego konsekwencje dla rynku pracy” Marty Kielkowskiej opublikowany w „Zeszytach Naukowych Politechniki Rzeszowskiej”, gdzie autorka prezentuje obecną i przyszłą sytuację demograficzną Polski. Problemem poruszonym w artykule jest starzenie się społeczeństw europejskich jako proces przyczyniający się do zmian struktur wieku ludności. W artykule opisano zachodzące procesy demograficzne w Polsce oraz ich wpływ na rynek pracy.

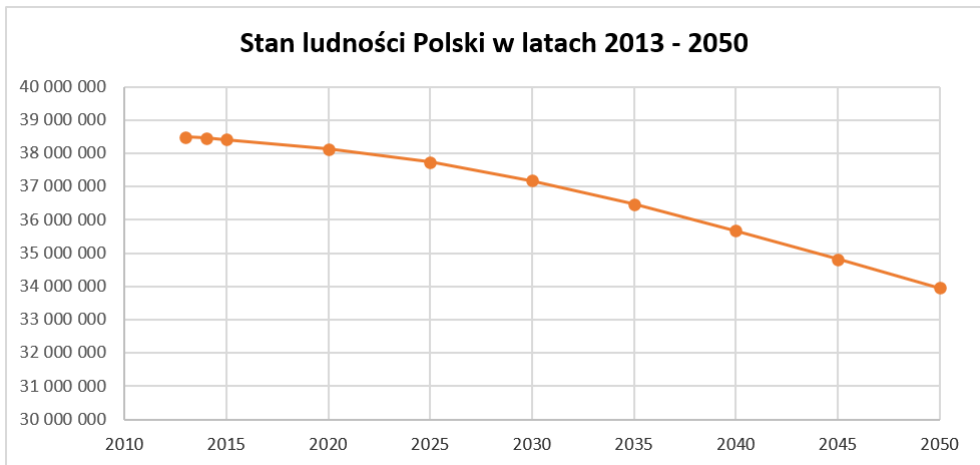
Autorka uważa, że przemiany polityczne i światopoglądowe ukształtowały „nowy porządek demograficzny”, którego główną cechą jest gwałtowne starzenie się struktur wieku. W wyniku „nowego porządku demograficznego” nastąpi spadek podaży pracy na skutek zmniejszania się liczby osób w wieku produkcyjnym. W swoim artykule M. Kielkowska opisuje sposoby ograniczenia negatywnych skutków zmian demograficznych w odniesieniu do rynku pracy w Polsce. Według autorki, wydłużenie obecnego wieku emerytalnego, prowadzenie skutecznej polityki prorodzinnej czy prowadzenie odpowiedzialnej polityki migracyjnej przygotowują polski rynek pracy do nowej sytuacji ludnościowej<sup>1</sup>.

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<sup>1</sup> M. Kielkowska, Kryzys demograficzny i jego konsekwencje dla rynku pracy, „Zeszyty Naukowe Politechniki Rzeszowskiej” 2013; XVIII(20): 33–45.

## Część główna

W obliczu nadchodzących zmian demograficznych (rys. 1) wyzwaniem dla Polski w kolejnych latach stanie się ograniczenie negatywnych skutków w strukturze ludności oraz utrzymanie optymalnego poziomu wzrostu gospodarczego. Jednym z celów dla polityki społeczno-ekonomicznej na tle starzenia się społeczeństwa w Polsce będzie zapewnienie stabilności rynku pracy w odniesieniu do nadchodzących zmian demograficznych. Proces starzenia się społeczeństwa w Polsce spowoduje spadek liczby osób, które znajdują się w wieku produkcyjnym, czyli spadek potencjalnych pracowników. Bardzo niepokojącym zjawiskiem w bieżącej sytuacji demograficznej Polski jest też niski współczynnik dzietności. Aby móc mówić o tzw. zastępowalności pokoleń, współczynnik dzietności powinien wynosić więcej niż 2,0, co będzie oznaczało, że każda kobieta w wieku rozrodczym rodzi średnio nieco więcej niż dwójkę dzieci.



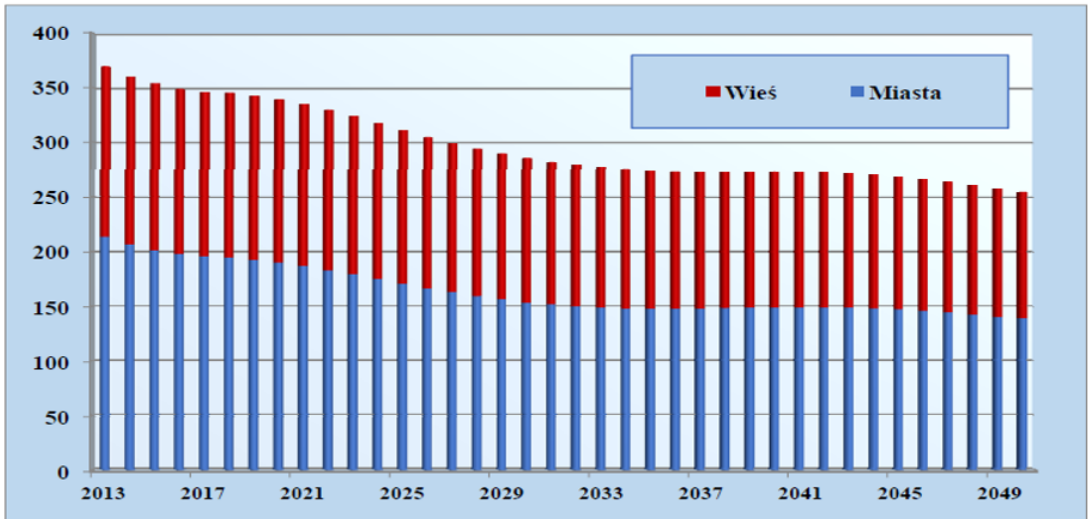
**Rys. 1.** Stan i prognoza ludności Polski w latach 2013–2050

*Źródło: opracowanie własne na podstawie danych GUS*

Jak widać z rysunku, w roku 2020 liczba ludności Polski pod koniec roku wyniosła 38 268 tys., natomiast w roku 2021 już tylko 38 036,1 tys., tj. obniżyła się względem poprzedniego roku o ponad 200 tysięcy. Analizując dane GUS prognoza stanu ludności Polski w roku 2025 wyniesie około 37,7 mln. W roku 2050 prognoza stanu ludności Polski według danych GUS wyniesie około 33,9 mln, co spowoduje ubytek stanu ludności Polski o blisko 4,2 mln w stosunku do roku 2020. Prognozowane zmiany ludności wynikać będą z przebiegu procesu starzenia się społeczeństwa i wolnego wymierania populacji oraz niskiej liczby urodzeń w Polsce.

Na podstawie przedstawionych graficznie danych, informujących o prognozowanej liczbie urodzeń w Polsce w latach 2013–2050 (rys. 2), możemy zaobserwować

niekorzystne zmiany demograficzne, które powodują powolny i sukcesywny spadek liczby urodzeń. Liczba urodzeń żywych w roku 2050 zmniejszy się o ponad 40 tys. w stosunku do roku 2020. Prognozowany spadek liczby urodzeń wystąpi zarówno na obszarach miejskich, jak i terenach wiejskich. Niska liczba urodzeń przyczyni się do niekorzystnych zmian w strukturze ludności Polski zwiększając intensywność procesu starzenia się społeczeństwa. Sukcesywne starzenie się polskiego społeczeństwa spowoduje ubytek zasobów siły roboczej na rynku pracy.



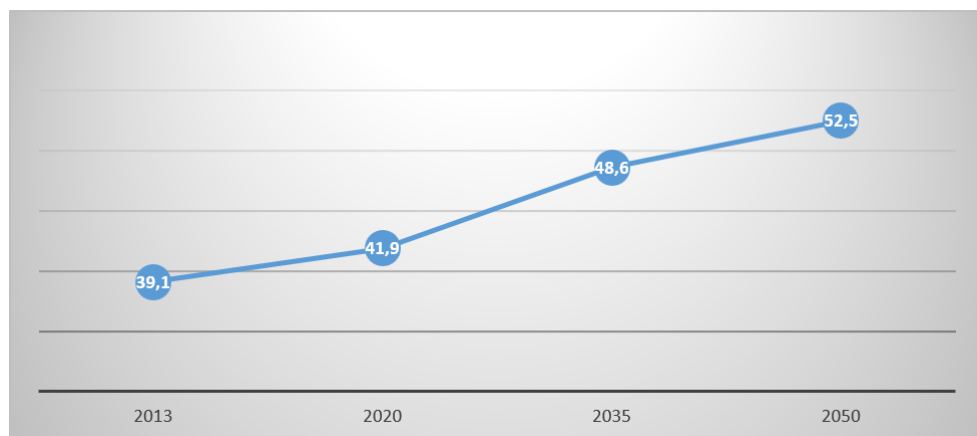
<sup>a</sup> 2013 r. - dane rzeczywiste; 2013 – actual data

**Rys. 2.** Prognozowana liczba urodzeń dla Polski w latach 2013–2050, tys. os.

Źródło: GUS, *Prognoza ludności Polski na lata 2014–2050*, Warszawa 2014, s. 11

Rys. 3 prezentuje medianę wieku ludności Polski w latach 2013–2050. Mediana jest to wartość liczbowa, która zajmuje środkowe miejsce w szeregu liczb. W roku 2013 mediana wieku ludności Polski wyniosła 39,1 co oznacza, że wiek środkowy ludności wyniósł ponad 39 lat. W roku 2050 prognoza GUS zakłada, że wiek środkowy populacji Polski wzrośnie do ponad 52 lat i będzie wyższy w stosunku do roku 2013 o 13,4 roku. Interpretując te wyniki można dojść do wniosku, że proces starzenia ludności Polski jest bardzo gwałtowny, a Polska może znaleźć się w gronie najstarszych społeczeństw Europy.

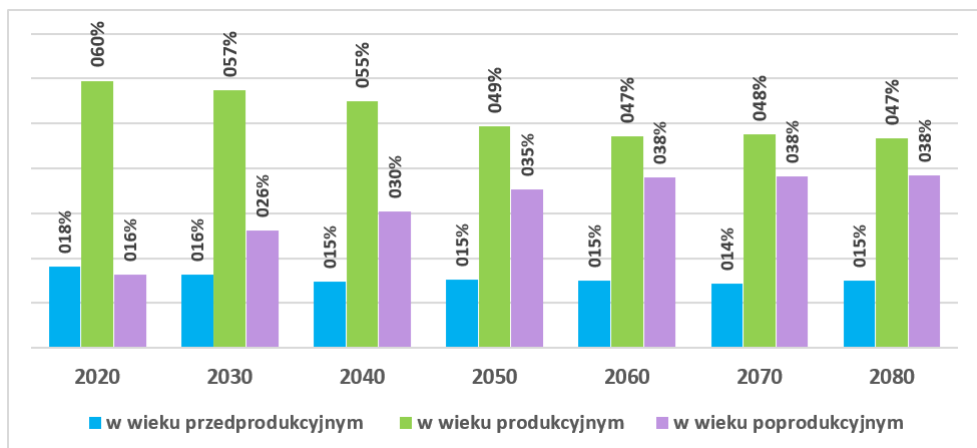




**Rys. 3.** Mediana wieku ludności Polski w latach 2013–2050

Źródło: opracowanie własne na podstawie danych GUS

Na skutek wzrostu mediany wieku ludności Polski w przyszłości, nastąpi wzrost osób w wieku poprodukcyjnym, które z powodu swojego wieku i stanu zdrowia nie będą mogły już pracować. Skutkiem wzrostu liczby osób w wieku poprodukcyjnym będzie zmniejszenie się liczby osób w przedziale wieku produkcyjnego, co w konsekwencji doprowadzi do pojawienia się niedoboru na rynku pracy z powodu trudności w znalezieniu wykwalifikowanych oraz odpowiednich pracowników. Taka sytuacja będzie odzwierciedleniem kształtowania się niekorzystnej relacji struktury rynku pracy pod względem wielkości popytu i podaży na pracę (rys. 4, tab. 1).



**Rys. 4.** Prognoza ekonomicznych grup wieku ludności Polski według danych ZUS

Źródło: opracowanie własne na podstawie danych Departamentu Statystyki i Prognoz Aktualnych ZUS

**Tabela 1.** Prognozowana liczba ludności Polski w ekonomicznych grupach wieku (w mln)

| Wiek/Rok         | 2020 | 2030 | 2040 | 2050 | 2060 | 2070 | 2080 |
|------------------|------|------|------|------|------|------|------|
| Przedprodukcyjny | 7,0  | 6,6  | 6,0  | 5,9  | 5,8  | 5,4  | 5,3  |
| Produkcyjny      | 22,8 | 21,4 | 19,7 | 17,3 | 16,0 | 15,6 | 14,8 |
| Poprodukcyjny    | 8,6  | 9,8  | 10,8 | 12,1 | 12,1 | 11,2 | 10,2 |

Źródło: opracowanie własne na podstawie danych Departamentu Statystyki i Prognoz Aktualnych ZUS

Analizując prognozę dotyczącą ekonomicznych grup wieku ludności w Polsce można zauważyć, że w niedalekiej przyszłości spadnie liczba osób w wieku produkcyjnym, a wzrośnie liczba osób w wieku poprodukcyjnym. Populacja osób w wieku produkcyjnym będzie cały czas maleć, osiągając w 2060 r. poziom o 7,0 mln osób niższy niż w 2022 r., a w 2080 r. już o ponad 9,2 mln niższy niż w 2022 r., tzn. o 41,4% mniej niż w 2022 r. Spadek liczby ludności w wieku produkcyjnym będzie główną przyczyną pojawienia się niedoboru pracowników na polskim rynku pracy w przyszłości. Wobec zmian w strukturze ludności należy zastanowić się, jakie działania powinien podjąć rząd w polityce gospodarczej i społecznej, aby zapewnić stabilność i efektywność rynku pracy w Polsce.

Spadek liczby osób w wieku produkcyjnym spowoduje zmiany nie tylko w strukturze rynku pracy w Polsce, ale również w funkcjonowaniu gospodarki oraz poziomie wzrostu PKB. Będą to zmiany w wielkości zasobów siły roboczej jako całości (nastąpi zmniejszenie liczby osób mogących podjąć pracę), a także ich kompozycji (m.in. zwiększenie odsetka pracowników w wieku przedemerytalnym)<sup>2</sup>.

Starzenie się społeczeństwa i spadek liczby potencjalnych pracowników (osób w wieku produkcyjnym) wpłynie niekorzystnie na stan finansów publicznych z powodu problemów ze wzrastającymi wydatkami na pokrycie świadczeń emerytalno-rentowych. Konsekwencją zmniejszającego się udziału ludności w wieku produkcyjnym będą problemy związane z wydajnością systemu emerytalnego.

W związku z rosnącą świadomością tego problemu zmieniają się cele polityki rynku pracy<sup>3</sup>. Wyzwaniem w kontekście starzejącego się społeczeństwa i spadku liczby osób kwalifikujących się do grupy w wieku produkcyjnym, będzie prowadzenie takiej polityki gospodarczej, która spowoduje utrzymanie stabilności i efektywności rynku pracy w Polsce w przyszłości.

Pierwszym ważnym zadaniem polityki społeczno-gospodarczej kraju powinno być zwiększenie aktywności zawodowej wśród osób starszych (rys. 5). Większy

<sup>2</sup> K. Dreła, Zmiany demograficzne a rynek pracy w Polsce, „Prace Naukowe Uniwersytetu Ekonomicznego we Wrocławiu” 2017; 489: 78–89.

<sup>3</sup> Raport tematyczny, Starzenie się społeczeństwa – wyzwanie dla rynku pracy, aktywizacja pracowników 50+, Monitoring rynku pracy, PARP – Centrum Rozwoju MŚP, 2020.

odsetek osób w wieku produkcyjnym na rynku pracy w Polsce spowoduje wzrost dochodów do budżetu państwa, zabezpieczenie dochodów gospodarstw domowych oraz zwiększenie wysokości przyszłej emerytury. Do zwiększenia aktywności zawodowej wśród osób starszych możemy zaliczyć takie działania jak: podtrzymywanie optymalnej aktywności zawodowej wśród pracowników zróżnicowanych wiekowo, realizowanie programów aktywizacyjnych skierowanych do osób bezrobotnych oraz odpowiednie i kompleksowe zarządzanie wiekiem. Zarządzanie wiekiem polega na realizacji działań, które pozwalają na bardziej racjonalne i efektywne wykorzystanie zasobów ludzkich dzięki uwzględnianiu potrzeb i możliwości pracowników w różnym wieku<sup>4</sup>.

|   |  |
|---|--|
| <b>Propozycje działań po stabilizacji polskiego rynku pracy</b> | zwiększenie aktywności zawodowej wśród osób starszych  |
|   | realizacja procesu zarządczego ukierunkowanego na model zarządzania wiekowo zespołem pracowników                   |
|   | zwiększenie szansy na zatrudnienie starszych pracowników   |
|   | realizacja programów aktywizacyjnych skierowanych do osób starszych oraz dla osób bezrobotnych i biernych zawodowo |
|   | ukształtowanie kierunku polityki rynku pracy na pozyskiwanie dodatkowej siły roboczej wśród cudzoziemców           |
|   | prowadzenie innowacyjnej polityki migracyjnej ukierunkowanej na pozyskiwaniu talentów z zagranicy                  |
|   | zatrzymanie młodych ludzi na rodzimym rynku pracy  |

**Rys. 5.** Propozycje działań po stabilizacji polskiego rynku pracy

*Źródło: opracowanie własne*

Kolejnym działaniem przyczyniającym się do poprawy sytuacji na rynku pracy w Polsce w obliczu nadchodzących zmian demograficznych jest realizacja programów aktywizacyjnych skierowanych do osób starszych i biernych zawodowo na rynku pracy. Jednym z przykładów aktywnej polityki państwa jest tworzenie specjalnych programów skierowanych do osób biernych zawodowo, mających na celu zwiększenie ich aktywności zawodowej. Włączanie bezrobotnych do tych programów, podtrzymuje ich aktywność zawodową i zwiększa rozmiary efektywnej podaży pracy<sup>5</sup>. Mobilizacja osób starszych i biernych zawodowo przyczyni się do częściowej redukcji problemu związanego z malejącymi zasobami siły roboczej. Promowanie programów

<sup>4</sup> [https://www.ciop.pl/CIOPPortalWAR/appmanager/ciop/pl?\\_nfpb=true&\\_pageLabel=P30001831335539182278&html\\_tresc\\_root\\_id=21878&html\\_tresc\\_id=1912&html\\_klucz=19558&html\\_klucz\\_spis=](https://www.ciop.pl/CIOPPortalWAR/appmanager/ciop/pl?_nfpb=true&_pageLabel=P30001831335539182278&html_tresc_root_id=21878&html_tresc_id=1912&html_klucz=19558&html_klucz_spis=)

<sup>5</sup> E. Kwiatkowski, *Bezrobocie podstawy teoretyczne*, PWN, Warszawa 2002, s. 312.

dotyczących aktywności zawodowej, głównie wśród osób starszych, wymaga stworzenia odpowiednich warunków pracy oraz przystosowania tej grupy społecznej do ich stanu zdrowia oraz potrzeb.

Niezwykle istotnym celem polityki gospodarczej jest zapobieganie odpływowi siły roboczej z Polski do rynku pracy za granicą. Priorytetowe jest zwiększanie aktywności ekonomicznej wśród osób młodych. W 2060 r. ponad połowa Europejczyków przekroczy 50. r.ż., a zatem konieczne staje się już teraz adresowanie do ludzi bardzo młodych programów aktywizujących zawodowo, zdrowotnych i kreujących pomyślną starość<sup>6</sup>. Na skutek pojawienia się w przyszłości nadwyżki popytu na pracę w stosunku do podaży, rynek pracy w Polsce przekształci się w rynek pracy pracownika. Działania władz państwowych powinny obejmować swoim zakresem zapewnienie ludziom odpowiednich warunków pracy głównie pod względem finansowo-stabilizacyjnym, aby nie musieli oni opuszczać rodzimego rynku pracy. Aspekt finansowy jest bardzo istotny, ponieważ to głównie ten czynnik decyduje o emigracji ludzi do kraju, gdzie wynagrodzenie za pracę jest znacznie wyższe. W tym aspekcie kluczowe jest tworzenie nowych miejsc pracy oraz wspieranie młodych ludzi, którzy dopiero wchodzi na rynek pracy i chcą podjąć swoją pierwszą pracę w życiu.

Abym zapewnić stabilność i efektywność polskiego rynku pracy wobec starzejącego się społeczeństwa, istotne jest wdrożenie odpowiedzialnej polityki migracyjnej. Dokonywane, zwłaszcza w ciągu ostatnich sześciu lat, zmiany przepisów regulujących politykę zatrudnienia cudzoziemców w Polsce ewidentnie zmiernają w kierunku otwierania dla obcokrajowców polskiego rynku pracy<sup>7</sup>. Pozyskiwanie siły roboczej z zagranicy pozwoli na wypełnienie luki w deficytowych sektorach na polskim rynku pracy. Ponadto zatrudnienie wykwalifikowanej kadry pracowniczej i specjalistów sprowadzonych z zagranicy pozwoli na zwiększenie innowacyjności polskiej gospodarki. Napływ siły roboczej z zagranicy spowoduje też pojawienie się dodatkowych wpływów z podatków oraz zapewni stabilizację podaży na rynku pracy w Polsce.

Istotnym aspektem w celu zapewnienia stabilnego rynku pracy w kontekście nadchodzących zmian demograficznych jest prowadzenie przez państwo odpowiedzialnej i skutecznej polityki społecznej, ukierunkowanej na politykę rodzinną. Istotne są działania w zakresie prowadzonej polityki rodzinnej, które przyczynią się do zwiększenia liczby posiadanych dzieci przez polskie społeczeństwo. Zwiększenie współczynnika dzietności, czyli liczby posiadanych dzieci, które w przyszłości staną się osobami aktywnymi zawodowo na rynku pracy w Polsce, przyczyni się do wzrostu liczby osób w wieku produkcyjnym i tym samym spowoduje poprawę demograficznej struktury wieku na rynku pracy. Wzrost populacji w wieku produkcyjnym na rynku pracy spowoduje mniejsze obciążenie utrzymywania ludzi starszych, głównie w wieku poprodukcyjnym, przez osoby aktywne zawodowo.

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<sup>6</sup> Starzenie się społeczeństw – problem demograficzny czy wyzwanie współczesności? | EPALE. Online: (europa.eu).

<sup>7</sup> Zaspokajanie potrzeb polskiego rynku pracy poprzez migracje: Raport krajowy ESM, Ministerstwo Spraw Wewnętrznych i Administracji, Warszawa 2010.

## **Podsumowanie**

Na podstawie zebranych danych stwierdzono, że liczba ludności Polski systematycznie się zmniejsza. Stwierdzono też, że Polska będzie jednym z najbardziej wyludniających się państw Europy. W roku 2050 prognoza stanu ludności Polski według danych GUS wyniesie około 33,9 mln, co spowoduje ubytek stanu ludności o blisko 4,2 mln w stosunku do roku 2020. Prognozowany ubytek ludności Polski w przyszłości wynikać będzie z wielkości prognozowanych urodzeń oraz starzenia się społeczeństwa. Prognozy demograficzne dla Polski zakładają podniesienie mediany wieku ludności do 52 lat w roku 2050 oraz dużą liczbę zgonów w przeszłości.

Zmiany demograficzne istotnie wpłyną na strukturę polskiego rynku pracy w przyszłości. Populacja osób w wieku produkcyjnym będzie sukcesywnie spadać osiągając w 2060 r. poziom o 7,0 mln osób niższy w stosunku do roku 2022 r. Natomiast w roku 2080 populacja osób w przedziale wieku produkcyjnego zmniejszy się o 41,4% względem roku 2022 r. Starzenie się społeczeństwa i spadek liczby potencjalnych pracowników spowodują niedobory na rynku pracy i zmiany w funkcjonowaniu gospodarki oraz zmiany w kształtowaniu wartości PKB.

Punktem docelowym pracy było poznanie uwarunkowań społecznych i ekonomicznych spowodowanych przez zmiany demograficzne, które dotyczyły rynku pracy. W celu poprawy funkcjonowania rynku pracy w Polsce i redukcji niedoborów należy realizować odpowiedzialną politykę gospodarczą ukierunkowaną na aktywne działania polityki państwa na rynek pracy. Działania ukierunkowane na zwiększenie aktywności zawodowej wśród osób starszych, realizowanie programów aktywizacyjnych skierowanych do osób starszych oraz do osób bezrobotnych czy prowadzenie odpowiedzialnej polityki migracyjnej, przyczynią się do poprawy kondycji polskiego rynku pracy w obliczu nadchodzących przemian demograficznych.

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## ROLA PARTYCYPACJI SPOŁECZNEJ W KSZTAŁTOWANIU BEZPIECZNEGO ŚRODOWISKA LOKALNEGO – ANALIZA NA PRZYKŁADZIE WYBRANYCH PROGRAMÓW SPOŁECZNYCH MIASTA LUBLIN

### *The role of social participation in shaping a safe local environment – an analysis on the example of selected social programs of the city of Lublin*

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#### **Summary**

*This article aims to examine the role of social participation in shaping a safe local environment. An analysis of two selected social programmes implemented in Lublin has made it possible to assess their impact on building a safe and sustainable environment. The “School Civic Budget” initiative allows the school community to express their needs and gives young people a real impact on their environment. In addition, it promotes civic and social attitudes and develops young people’s interpersonal skills. The ‘Plan for Neighbourhoods’ programme involves the local community in the spatial planning and development process of their neighbourhood. The initiative fosters cooperation between different institutions and organisations, such as local authorities, public services and NGOs. Through the implementation of social programmes targeting different social groups and the use of diverse participatory tools, it is possible to build a safe and sustainable local environment.*

**Key words:** *public participation, safe local environment, social programmes*

#### **Streszczenie**

Artykuł ma na celu zbadanie roli partycypacji społecznej w kształtowaniu bezpiecznego środowiska lokalnego. Analiza dwóch wybranych programów społecznych, realizowanych w Lublinie, pozwoliła ocenić ich wpływ na wspomniany proces. Inicjatywa „Szkolny Budżet Obywatelski” umożliwia społeczności szkolnej wyrażenie swoich potrzeb oraz daje młodym ludziom realny wpływ na swoje otoczenie. Ponadto, promuje postawy obywatelskie i społeczne oraz rozwija umiejętności interpersonalne młodzieży. Program „Plan dla Dzielnic” angażuje lokalną społeczność

w proces planowania przestrzennego i rozwoju swojej dzielnicy. Inicjatywa ta sprzyja współpracy między różnymi instytucjami i organizacjami, takimi jak lokalne władze, służby publiczne oraz organizacje pozarządowe. Dzięki realizacji programów społecznych skierowanych do różnych grup społecznych oraz wykorzystaniu zróżnicowanych narzędzi partycypacyjnych, możliwe jest budowanie bezpiecznego i zrównoważonego środowiska lokalnego.

**Słowa kluczowe:** partycypacja społeczna, bezpieczne środowisko lokalne, programy społeczne

## **Wprowadzenie**

Partycypacja społeczna w środowisku lokalnym pełni bardzo ważną rolę, jest zarówno elementem różnego rodzaju procesów politycznych i rozwoju lokalnego, jak i świadectwem postaw kulturowych i obywatelskich. W ostatnich latach coraz większą uwagę zwraca się na rolę partycypacji społecznej w budowaniu bezpiecznego środowiska lokalnego. W Polsce prowadzonych jest wiele inicjatyw, które podkreślają rolę społeczności lokalnej w tym procesie.

Głównym celem podjętych badań jest zbadanie roli partycypacji społecznej w kształtowaniu bezpiecznego środowiska lokalnego. Analiza dotyczy identyfikacji wpływu zaangażowania mieszkańców na poprawę warunków życia i bezpieczeństwa. W tym celu odwołano się do pojęcia partycypacji społecznej, definiowanej w literaturze w sposób niejednoznaczny. Zwrócono uwagę na przykładowe narzędzia włączania społeczności w podejmowanie decyzji ich dotyczących. Artykuł porusza problematykę kształtowania bezpiecznego środowiska lokalnego oraz znaczenia programów społecznych w tym procesie. Analizie poddano dwa programy partycypacyjne realizowane na terenie miasta Lublina – „Szkolny Budżet Obywatelski” oraz „Plan dla Dzielnic”.

W opracowaniu wykorzystano teoretyczne metody badawcze takie jak analiza i krytyka piśmiennictwa, a także wnioskowanie. W części empirycznej zastosowano również metodę studium przypadku (case study), która pozwoliła na wszechstronną analizę wspomnianych programów. Wyniki badań stanowią głos w dyskusji nad możliwościami partycypacji społecznej na rzecz bezpieczeństwa.

## **Pojęcie partycypacji społecznej**

Partycypacja społeczna jest kluczowym obszarem badawczym w naukach społecznych, budzącym coraz większe zainteresowanie w kontekście zachodzących zmian (m.in. politycznych, ekonomicznych). Współczesne społeczeństwa coraz bardziej dążą do zaangażowania obywateli w procesy decyzyjne i działania publiczne, co stawia partycypację społeczną w centrum uwagi badaczy i praktyków.



W ujęciu semantycznym partycypować oznacza uczestniczyć lub brać udział, stąd też termin „partycypacja społeczna” oznacza uczestnictwo mieszkańców w życiu publicznym<sup>1</sup>. W literaturze dostępnych jest wiele definicji tego terminu, co powoduje, że jest to pojęcie wieloznaczne i nieprecyzyjne oraz stosowane selektywnie przez różne środowiska naukowe. Partycypacja społeczna jest kategoryzowana według dyscyplin naukowych takich jak prawo, nauki o zarządzaniu, politologia oraz socjologia<sup>2</sup>. Ponadto, znajduje się w zainteresowaniu specjalistów z zakresu urbanistyki oraz planowania przestrzennego. W każdej z tych dyscyplin wyróżnić można ujęcie szerokie, obejmujące jej wymiary oraz wąskie, odnoszące się do konkretnego zagadnienia. W odniesieniu do myśli głównej opracowania warto scharakteryzować partycypację społeczną na gruncie nauk politologicznych oraz socjologicznych, a także zwrócić uwagę na uczestnictwo społeczności na poziomie lokalnym. W ujęciu politologicznym, partycypacja społeczna to narzędzie do angażowania obywateli w życie publiczne oraz forma redystrybucji władzy na poszczególne jej szczeble<sup>3</sup>. W tym rozumieniu partycypacja będzie tożsama z redystrybucją władzy, która pozwala na włączenie ludzi wykluczonych z procesów decyzyjnych, politycznych i gospodarczych. W tym ujęciu partycypacja staje się synonimem władzy obywatelskiej. Partycypacja w ujęciu socjologicznym akcentuje jej znaczenie w organizacji życia społecznego, wskazując przyczyny i stopień zaangażowania obywateli w życie publiczne, a także identyfikuje mieszkańców z problemami sprawowania władzy<sup>4</sup>. W tym rozumieniu eksponuje potrzeby przynależności i samorealizacji jednostek.

Partycypacja społeczna rozumiana jest również jako uczestnictwo społeczności na poziomie lokalnym, które oznacza „uczestniczenie w aktywności samorządowej, w partiach politycznych, w działaniach i instytucjach pozarządowych i innych instytucjach zajmujących się sprawami lokalnymi, a także aktywność wokół parafii i grup religijnych”<sup>5,6</sup>. Partycypacja w tym rozumieniu jest zróżnicowana i obejmuje wiele różnych form aktywności, co wskazuje na szeroki zakres możliwości, w jakie jednostki mogą się angażować na poziomie lokalnym. Natomiast uczestnictwo i zaangażowanie mieszkańców podkreśla znaczenie instytucji samorządowych, partii politycznych oraz organizacji pozarządowych jako głównych platform zaangażowania obywatelskiego.

Partycypacja społeczna nazywana jest również horyzontalną, wspólnotową, stowarzyszeniową lub kolektywną. Wobec powyższych definicji uznać można, że odnosi się ona do udziału jednostek lub grup w działaniach zbiorowych, podejmowanych w najbliższym środowisku, do ich współpracy w osiągnięciu wspólnego celu. Przykładami

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<sup>1</sup> I. Pietraszko-Furmanek, *Partycypacja społeczna w środowiskach lokalnych*, Oficyna Wydawnicza AFM, Kraków 2012, s. 61.

<sup>2</sup> M. Wójcicki, *Pojęcie, istota i formy partycypacji społecznej w procesie planowania przestrzennego*, „Rozwój Regionalny i Polityka Regionalna” 2013; 24: 170–171.

<sup>3</sup> Tamże.

<sup>4</sup> Tamże.

<sup>5</sup> G.A. Almond, S. Verba, *The Civic Culture*, New Jersey 1963.

<sup>6</sup> B. Lewenstein, *Wspólnota społeczna a uczestnictwo lokalne*, Instytut Stosowanych Nauk Społecznych Uniwersytetu Warszawskiego, Warszawa 1999, s. 28.

partycypacji społecznej są: członkostwo jednostki w organizacjach pozarządowych, zaangażowanie w pracę wolontariatu lub stowarzyszeń, udział w przedsięwzięciach społecznych lub gospodarczych, a także wspieranie rozwoju lokalnych inicjatyw.

W niniejszym opracowaniu przyjęto, że partycypacja społeczna rozumiana jest jako „udział mieszkańców w formalnych i nieformalnych procesach samoorganizacji, zmierzających do polepszania warunków życia w społeczności lokalnej”<sup>7</sup>. W tym rozumieniu zaznacza się szczególnie jej zakres – dotyczy funkcjonowania społeczności lokalnej, a zatem najbliższego otoczenia jednostki.

## **Narzędzia partycypacji społecznej**

Narzędzia partycypacji społecznej to metody lub mechanizmy umożliwiające aktywne zaangażowanie społeczności w procesy podejmowania decyzji, planowania, lub działania mające wpływ na ich życie lub otoczenie. Wśród nich wyróżnić można m.in.: wywiady końcowe; zebrania i spotkania; skrzynki na sugestie i komentarze; gadające ściany; tablice informacyjne i białe tablice do pisania; plakaty i ulotki; grupy fokusowe; ankiety i kwestionariusze; zajęcia twórcze<sup>8</sup>. Narzędzia partycypacyjne można podzielić na narzędzia komunikacji jednostronnej, narzędzia komunikacji ze sprzężeniem zwrotnym oraz partycypacji zaangażowanej<sup>9</sup>. Te pierwsze dotyczą metod wykorzystujących komunikację pomiędzy władzą, a społecznością. Ich cechą charakterystyczną jest to, że przebiegają tylko w jedną stronę. Zaliczamy do nich m.in.: komunikaty i informacje wywieszane w urzędach lub na stronach internetowych urzędów; artykuły i ogłoszenia w prasie lokalnej; informacje w folderach, ogłoszeniach oraz ulotkach.

Kolejne narzędzia komunikacji ze sprzężeniem zwrotnym wywołują interakcję – pozwalają władzy otrzymać informację od społeczności lokalnej na temat oceny, opinii czy akceptacji konkretnego działania. Do nich zaliczają się m.in.: pozyskiwanie informacji poprzez ankiety, punkty konsultacyjne; pozyskiwanie informacji dzięki spotkaniom, np. konsultacje społeczne, debaty publiczne; pozyskiwanie informacji poprzez stałe gremia dyskusyjne, np. forum społeczności lokalnej, forum internetowe, a nawet cykliczne zebrania wiejskie<sup>10</sup>.

Do narzędzi partycypacji zaangażowanej zalicza się takie typy działań, które wymagają inicjatywy ze strony społeczności lokalnej. Są to m.in.: budżet partycypacyjny, konsultacje instytucjonalne; fora oraz komisje dialogu społecznego.

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<sup>7</sup> B. Lewenstein, Między zarządzaniem a współrzędzeniem. Obywatelskie modele rozwoju społeczności lokalnej, [w:] B. Lewenstein, J. Schindler, R. Skrzypiec (red.), *Partycypacja społeczna i aktywizacja w rozwiązywaniu problemów społeczności lokalnych*, Wydawnictwa Uniwersytetu Warszawskiego, Warszawa 2010, s. 29.

<sup>8</sup> Feansta Participation Working Group, *Partycypacja: poradnik*. Online: <https://www.feantsa.org/>.

<sup>9</sup> N. Lauriusz, *Wprowadzenie do partycypacji społecznej w Polsce*, [w:] *Partycypacja społeczna w Polsce. Atlas dobrych praktyk*, M. Ćwiklicki, M. Frączka (red.), Fundacja Gospodarki i Administracji Publicznej, Kraków 2013, s. 36.

<sup>10</sup> Tamże.

Narzędzia partycypacji społecznej powinny umożliwić społecznościom udział w demokratycznych procesach, dialogach i konsultacjach. Stosowanie różnorodnych narzędzi w programach społecznych jest istotne, ponieważ umożliwia lepsze zrozumienie potrzeb i perspektyw społeczności, co prowadzi do bardziej skutecznych rozwiązań.

## **Kształtowanie bezpiecznego środowiska lokalnego**

Bezpieczeństwo lokalne jest najbardziej odczuwalną kategorią bezpieczeństwa. Najczęściej jest utożsamiane z bezpośrednią życiową przestrzenią, gdyż najbardziej odczuwalne jest to bezpieczeństwo, na podstawie którego człowiek buduje perspektywę życia swojego i swoich najbliższych<sup>11</sup>. Kształtowanie bezpiecznego środowiska lokalnego związane jest więc najbardziej zauważalnym aspektem bezpieczeństwa dla jednostki. Jest to bezpieczeństwo związane z codziennym życiem i otoczeniem, które ma bezpośredni wpływ na to, jak człowiek postrzega swoją perspektywę życiową oraz jak buduje swoje plany i relacje z najbliższymi. Jest to bezpieczeństwo, które najbardziej wpływa na codzienne decyzje i komfort życia mieszkańców.

Za Tadeuszem Plichem i Ireną Lepalczyk przyjmując, „Środowisko lokalne oprócz zbiorowości społecznej zamieszkującej niewielki, względnie zamknięty obszar, oznacza również cały system instytucji służących organizacji życia zbiorowego, takich jak: kościoły, szkoły, instytucje usługowe, urzędnictwo socjalne lub rekreacyjne oraz mechanizmy regulujące zachowania jednostkowe i stosunki międzyludzkie, a więc obyczajowość, normy moralne, autorytety i wzory zachowań. Można powiedzieć, że środowisko lokalne ma sens terytorialny, demograficzny, instytucjonalny, kulturowy i regulacyjny”<sup>12</sup>. Społeczność lokalna znaczyć będzie zbiorowość związaną z pewnym terytorium, w ramach której wytworzyła się sieć odrębnych instytucji i interakcji społecznych oraz poczucie przynależności do tej zbiorowości<sup>13</sup>. Na podstawie przytoczonych definicji wskazać można że społeczność lokalna jest podmiotem środowiska lokalnego. Do innych podmiotów zaliczyć można instytucje lub organizacje takie jak kościoły, szkoły, kluby sportowe. Niektóre z nich często działają w ramach tzw. trzeciego sektora, inaczej nazywanego organizacjami pozarządowymi. Zakres działalności tych instytucji jest szeroki, najczęściej skierowany na pomoc w rozwiązywaniu problemów lokalnej społeczności, zapobieganiu marginalizacji i włączaniu jednostek w życie publiczne.

Na kształtowanie bezpiecznego środowiska lokalnego wpływ ma wiele czynników. Są to m.in. zapewnienie porządku i bezpieczeństwa publicznego, dostęp do instytucji edukacyjnych i oświatowych; dbałość o lokalny rynek pracy; dostęp do sieci handlowej i usługowej zaspokajającej zasadnicze potrzeby egzystencjalne; dostęp

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<sup>11</sup> A. Babiński, Wymiar bezpieczeństwa lokalnego – wybrane zagadnienia, „Zeszyty Naukowe SGSP” 2020; 75(3): 153.

<sup>12</sup> T. Pilch, I. Lepalczyk, Pedagogika społeczna. Człowiek w zmieniającym się świecie, Wydawnictwo Żak, Warszawa 2003, s. 15.

<sup>13</sup> Hasło: społeczność lokalna, [w:] Internetowa encyklopedia PWN.

do świadczeń opieki społecznej; istnienie sieci łączności i przepływu informacji wewnątrz środowiska lokalnego i na zewnątrz tego środowiska; dostęp do terenów rekreacyjnych<sup>14</sup>. Czynniki te w różnym stopniu mogą oddziaływać na konkretne środowiska lokalne.

Daniel Drozdowski zwraca uwagę, że „(...) zapewnienie bezpieczeństwa lokalnego powinno być utożsamiane z wysiłkami na rzecz lokalnej prokreacji i edukacji, wolności, praworządności, dobrobytu oraz odpowiedzialności, a także tego, co jest z tym bezpośrednio lub pośrednio związane. Problemy społeczne dotykające wiele środowisk lokalnych, w tym bezrobocie i pauperyzacja, skutkują patologią i rosnącą przestępczością<sup>15</sup>. Lokalne problemy społeczne przekładają się m.in. na: wzrost poziomu zjawisk o charakterze chuligańskim; nasilenie aktów wandalizmu; wzrost liczby przestępstw popełnionych przez osoby pod wpływem alkoholu lub środków odurzających; bierność i brak poczucia odpowiedzialności mieszkańców; rozwój anonimowości; niewłaściwa organizacja i zagospodarowanie przestrzeni publicznej sprzyjające zachowaniom aspołecznym; niski poziom zaufania do formacji ochronnych bezpieczeństwa i porządku publicznego oraz mała gotowość do uczestniczenia w przedsięwzięciach partnerskich. Konsekwencją nasilenia lokalnych problemów i innych zagrożeń jest destabilizacja więzów społecznych, narastające poczucie braku bezpieczeństwa oraz inne szkodliwe dla jednostki skutki w wymiarze grupowym i indywidualnym<sup>16</sup>.

W kontekście omawianej tematyki, partycypacja społeczna jest kluczowym narzędziem przeciwdziałania lub ograniczania możliwych zagrożeń, a w konsekwencji kształtowania bezpiecznego środowiska lokalnego. Powtarzając za Katarzyną Struzińską, bezpieczna społeczność lokalna odznacza się tym, że jej mieszkańcy włączają się w różnorodne działania na jej rzecz, są gotowi przyjąć na siebie odpowiedzialność za dobro wspólne oraz wykazują się inicjatywą<sup>17</sup>. Samoorganizacja i angażowanie się mieszkańców w rozwiązywanie lokalnych problemów oraz ponoszenie odpowiedzialności są zatem istotnymi elementami kształtowania bezpiecznego środowiska lokalnego.

Rozwój partycypacji społecznej na rzecz bezpieczeństwa lokalnego jest możliwy między innymi dzięki edukacji społeczeństwa oraz zwiększania świadomości na jej temat. Edukacja w tym zakresie pomaga zrozumieć zagrożenia dla bezpieczeństwa w społecznościach, takie jak przemoc, przestępczość czy inne problemy społeczne. Pozwala to na wcześniejsze rozpoznawanie sytuacji i podjęcie odpowiednich działań. Ponadto, programy edukacyjne na temat partycypacji społecznej angażują do współpracy różne grupy społeczne, formacje obronne, instytucje edukacyjne

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<sup>14</sup> A. Lisowski, *Potrzeby społeczne i ich diagnozowanie*, [w:] *Polityka społeczna, globalna i lokalna*, A. Kurzynowski (red.), Szkoła Główna Handlowa w Warszawie, Warszawa 1999, s. 114.

<sup>15</sup> D. Drozdowski, *Podstawowe elementy bezpieczeństwa lokalnego*, „Rocznik Bezpieczeństwa Międzynarodowego” 2016; 10(1): 204–205.

<sup>16</sup> Tamże.

<sup>17</sup> K. Struzińska, *Aktywność społeczna mieszkańców a budowanie bezpiecznych wspólnot lokalnych*, Wydawnictwo JAK, Kraków 2017, s. 192.

i lokalne władze w celu opracowywania skutecznych strategii zapobiegania przestępczości i poprawy bezpieczeństwa. Edukacja partycypacyjna w dziedzinie bezpieczeństwa promuje zaangażowanie obywatelskie, czyli aktywne uczestnictwo obywateli we współtworzeniu bezpiecznych i przyjaznych społeczności. Dzięki edukacji partycypacyjnej społeczności zdobywają wiedzę na temat polityki bezpieczeństwa, procesów decyzyjnych oraz roli różnych instytucji w zapewnianiu bezpieczeństwa publicznego.

## **Znaczenie programów społecznych w budowaniu bezpiecznego środowiska lokalnego**

Inicjowanie przedsięwzięć i włączanie różnych grup społecznych do udziału w programach partycypacyjnych odgrywa kluczową rolę w budowaniu bezpiecznego środowiska lokalnego. Jest to widoczne m.in. we: współpracy społecznej; zrozumieniu potrzeb lokalnych; uwzględnianiu różnych perspektyw; partycypacyjnym podejmowaniu decyzji; wzmocnieniu poczucia przynależności oraz wspólnoty; edukacji i świadomości społecznej oraz ograniczaniu działań przestępczych.

Współpraca przejawia się poprzez inicjowanie społecznych przedsięwzięć i programów, które angażują różne grupy społeczne, sprzyjają budowaniu współpracy i wzmocnianiu więzi społecznych. Umożliwia to także lepsze zrozumienie różnorodności potrzeb i wyzwań występujących w danej społeczności. Dzięki temu można skuteczniej reagować na lokalne problemy. Angażowanie mieszkańców w inicjatywy bezpieczeństwa lokalnego przyczynia się do uwzględniania różnorodnych perspektyw i doświadczeń. Pozwala to na lepsze dostosowanie strategii bezpieczeństwa do realnych potrzeb mieszkańców. Udział różnych grup społecznych w programach i inicjatywach promuje partycypacyjne podejmowanie decyzji. Kiedy mieszkańcy mają możliwość współdecydowania o kwestiach dotyczących bezpieczeństwa, są bardziej zaangażowani i ufni wobec działań podejmowanych przez władze lokalne. Ponadto, w lokalnym środowisku wzmacnia się poczucie wspólnoty i odpowiedzialności. Zaangażowanie społeczności lokalnej, zwłaszcza osób z różnych środowisk i grup wiekowych, może przyczynić się do skutecznego zapobiegania przestępczości poprzez zwiększenie czujności i monitorowania lokalnego otoczenia.

## **Wybrane programy społeczne w Lublinie**

W Lublinie od 2017 r. funkcjonuje Biuro Partycypacji Społecznej – samodzielna komórka organizacyjna urzędu miasta<sup>18</sup>. Jednostka ta odpowiada za wszelkie sprawy dotyczące partycypacji społecznej mieszkańców, prowadzenie konsultacji społecznych, organizacji budżetu obywatelskiego, realizacji inicjatyw lokalnych oraz

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<sup>18</sup> K.M. Jarmołowicz, *Media społecznościowe w procesie budowy społeczeństwa obywatelskiego Lublina, „Kognitywistyka i Media w Edukacji” 2016; 2: 34.*

współpracy z organizacjami pozarządowymi<sup>19</sup>. Wśród szczegółowych jej zadań znajdują się:

1. Kreowanie polityki partnerstwa społecznego.
2. Prowadzenie spraw i zadań dotyczących partycypacji społecznej mieszkańców miasta Lublin.
3. Organizacja, wspieranie i określanie zasad procesu konsultacji dla komórek organizacyjnych, stanowisk pracy w departamentach i jednostek organizacyjnych.
4. Organizacja procesu budżetu obywatelskiego oraz monitorowanie jego realizacji.
5. Zarządzanie projektami wybranymi do realizacji w procesie budżetu obywatelskiego i realizowanymi przez komórki organizacyjne, stanowiska pracy w departamentach i jednostki organizacyjne.
6. Zarządzanie i organizacja procesu naboru wniosków oraz koordynowanie i monitorowanie realizacji zadań publicznych w trybie inicjatywy lokalnej.
7. Prowadzenie postępowań administracyjnych w sprawach o zwrot dotacji udzielonych podmiotom spoza sektora finansów publicznych w zakresie zadań biura.
8. Koordynacja współpracy miasta Lublin z organizacjami pozarządowymi.
9. Współdziałanie z komórkami organizacyjnymi, stanowiskami pracy w departamentach i jednostkami organizacyjnymi w zakresie współpracy z organizacjami pozarządowymi, w szczególności w zakresie udzielania dotacji na realizację zadań publicznych.
10. Inicjowanie i współorganizowanie szkoleń dotyczących w szczególności budowania społeczeństwa obywatelskiego oraz podnoszenia jakości pracy organizacji pozarządowych w sferze zadań publicznych, pozyskiwania środków pozabudżetowych.
11. Koordynacja polityki miasta Lublin w zakresie równego traktowania, w tym przeciwdziałania dyskryminacji.

Biuro Partycypacji Społecznej prowadzi następujące działania, wspierające inicjatywy społeczne: Budżet Obywatelski, Inicjatywa Lokalna, „Szkolny Budżet Obywatelski”, „Zielony Budżet”, Współpraca z organizacjami pozarządowymi, Konsultacje Społeczne, „Plan dla Dzielnicy”<sup>20</sup>.

Jednym ze wspomnianych działań partycypacyjnych, prowadzonych na terenie Lublina, jest „Szkolny Budżet Obywatelski”<sup>21</sup>. W 2021 r. uruchomiono pilotażową edycję programu, drugą edycję w 2022 r., trzecią w roku 2023, czwartą w 2024 r.

Do programu mogą zgłaszać się placówki oświatowe takie jak: szkoły podstawowe, ponadpodstawowe, placówki oświatowo-wychowawcze, placówki zapewniające opiekę i wychowanie uczniom w okresie pobierania nauki poza miejscem stałego zamieszkania, młodzieżowe ośrodki wychowawcze i socjoterapii oraz specjalne ośrodki szkolno-wychowawcze.

O zapotrzebowaniu na tego typu programy świadczą dane dotyczące zgłoszonych projektów (placówek) oraz liczbie wybranych zgłoszeń. W pierwszej edycji

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<sup>19</sup> K. Jakubowski, Jak wpływać na to, co dzieje się w mieście? Poradnik dla mieszkańców Lublina, Fundacja Wolności, Lublin 2019, s. 16.

<sup>20</sup> Biuro Partycypacji Społecznej Miasta Lublina. Online: <https://lublin.eu/mieszkanicy/partycypacja/>.

<sup>21</sup> Na potrzeby opracowania stosowany będzie również skrót Szkolny Budżet Obywatelski - SBO.

udział wzięło 10 placówek oświatowych; w drugiej – 20 placówek (tyle też dokonano zgłoszenia); w trzeciej – wybrano 20 placówek z liczbą 34 projektów (dokonano 42 zgłoszeń); w czwartej edycji wybrano 24 placówki (z 40 zgłoszeń)<sup>22</sup>. Zainteresowanie projektem z roku na rok wzrasta.

„Szkolny Budżet Obywatelski” to „proces, w którym o przeznaczeniu części szkolnego budżetu (wyznaczonej najczęściej przez dyrekcję lub rodziców) decyduje społeczność szkolna. Uczniowie i uczennice, a także rodzice, nauczyciele i nauczycielki czy inni pracownicy i pracowniczki szkoły, zgłaszają pomysły, tworzą projekty, a następnie sami wybierają te, które ich zdaniem są najbardziej atrakcyjne i potrzebne”<sup>23</sup>. Celem „Szkolnych Budżetów” jest rozwój aktywności oraz wzrost kompetencji wśród uczniów i młodzieży w zakresie działań społecznych.

Realizacja SBO przynosi wymierne korzyści w postaci wprowadzenia konkretnych zmian w szkołach i innych placówkach oświatowych. Ponadto daje uczniom, rodzicom i pracownikom szkoły możliwość wyartykułowania potrzeb i problemów. Wśród zrealizowanych projektów znalazły się m.in.: „biała skrzynka”; „rozwijanie przez czytanie”; nagłośnienie imprezy szkolnej; strefy relaksu; aranżacje sal i pracowni; mobilne miasteczko rowerowe; zakup sprzętu; wyposażenie sal i pracowni w sprzęt komputerowy<sup>24</sup>. Wśród innych korzyści wyróżnić można m.in.:

- kształtowanie postaw demokratycznych wśród uczniów;
- rozwijanie odpowiedzialności społecznej dzięki podejmowaniu decyzji dotyczących wykorzystania środków publicznych;
- kształtowanie wspólnoty szkolnej poprzez budowę poczucia wspólnoty i dumy z uczestnictwa w życiu szkoły;
- podnoszenie świadomości społecznej poprzez zwracanie uwagi na lokalne problemy oraz możliwości ich rozwiązania;
- umacnianie relacji społecznych.

Wśród zrealizowanych projektów znaczną część stanowią te, które wypełniają czas młodzieży, pomagają rozwijać zainteresowania i pasje. W odniesieniu do myśli głównej artykułu warto wyartykułować te korzyści, które mają wpływ na kształtowanie bezpiecznego środowiska lokalnego. Jest to zaangażowanie dzieci i młodzieży w konstruktywne zajęcia, takie jak sport, sztuka, czy działalność społeczna, przyczyniających się do zapobiegania ich potencjalnemu zaangażowaniu się w negatywne działania. Zajęcia pozaszkolne rozwijają umiejętności interpersonalne, kompetencje społeczne i kreatywność, co może przekładać się na lepsze perspektywy zawodowe oraz mniejsze ryzyko różnego rodzaju problemów. Ponadto, regularne spotkania i aktywności grupowe budują więzi między młodymi ludźmi oraz między różnymi

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<sup>22</sup> Szkolny Budżet Obywatelski miasta Lublina. Online: <https://lublin.eu/mieszkanicy/partycypacja/szkolny-budzet-obywatelski/aktualnosci/>.

<sup>23</sup> Szkolny Budżet Partycypacyjny – wskazówki dla początkujących, Fundacja Pole Dialogu, Fundacja Pracownia Badań i Innowacji Społecznych „Stocznia”, Warszawa 2019.

<sup>24</sup> Lista projektów sfinansowanych w ramach środków „Szkolnego Budżetu Obywatelskiego” w 2021 r. w konkursie finansowanym przez gminę Lublin. Online: <https://lublin.eu/mieszkanicy/partycypacja/szkolny-budzet-obywatelski/aktualnosci-/podsumowanie-i-edycji-i-nowy-start-szkolnych-budzetow-obywatelskich,5,4997,1.html>.

grupami społecznymi, co przyczynia się do wzmocnienia spójności społecznej i wzajemnego zaufania. Poprzez udział w tym i podobnych programach możliwe jest kształtowanie postaw prospołecznych opartych na empatii, odpowiedzialności i szacunku wobec innych osób. Powielanie takich wzorców zmniejsza podatność na negatywne wpływy rówieśników angażujących się w różnego rodzaju destrukcyjne działania.

„Szkolny Budżet Obywatelski” to inicjatywa doceniona nie tylko przez lokalną społeczność, lecz również na arenie międzynarodowej. Projekt ten oraz „Wymyślmy wspólnie Lublin” to finaliści europejskiego konkursu The Innovation in Politics Awards 2024 w kategorii Demokracja<sup>25</sup>. Jury konkursu uznało te partycypacyjne działania Lublina za wybitny przykład innowacji politycznej w Europie. Skalę tego sukcesu uzmysławia fakt, że spośród 334 zgłoszeń (z 26 krajów, spośród których 314 spełniło kryteria), dwa projekty z Lublina znalazły się w gronie dziesięciu najlepszych w swojej kategorii.

Kolejną inicjatywą partycypacyjną realizowaną na terenie Lublina jest „Plan dla Dzielnic”, którego główną ideą jest tworzenie dzielnic wygodnych, bezpiecznych, a także przyjaznych i wyposażonych w infrastrukturę potrzebną mieszkańcom<sup>26</sup>.

Ich tworzenie opiera się na poszczególnych etapach. Pierwszym z nich są spotkania, w których udział biorą prezydent miasta i jego zastępcy, miejscy planiści, dyrektorzy wydziałów i instytucji miejskich, a także mieszkańcy, rady, lokalni działacze i liderzy<sup>27</sup>. Celem spotkań jest wypracowanie założenia planu dla konkretnych dzielnic Lublina. Kolejnym etapem są spacer, będące możliwością przyjrzenia się bieżącym problemom z bliska. Udział w tym etapie jest otwarty dla wszystkich zainteresowanych. Ostatnim etapem są *warsztaty*, podczas których uczestnicy pracują nad planem rozwoju danej dzielnicy, tworzą wizję jej przyszłości. Warsztaty stanowią podsumowanie cyklu spotkań i spacerów w konkretnej dzielnicy i opracowanie ostatecznego dokumentu – „Planu dla Dzielnicy”.

Realizacja wszystkich trzech etapów zwieńczona jest tworzeniem opracowań wskazujących priorytety rozwojowe w konkretnej dzielnicy w perspektywie najbliższych lat. Lublin od wielu lat stara się sukcesywnie rozwijać swoje dzielnice wyposażając je w biblioteki, ośrodki kultury, obiekty rekreacyjne oraz szkoły. Wprowadzane rozwiązania z jednej strony powinny chronić tereny zielone, z drugiej umożliwiać budowę i rozbudowę nowych obiektów.

Warto spojrzeć na „Plan dla Dzielnic” w odniesieniu do myśli głównej opracowania. Inicjatywa ta ma istotny wpływ na partycypację społeczną oraz kształtowanie bezpiecznego środowiska lokalnego. Programy „Plan dla Dzielnic” angażują lokalną społeczność w proces planowania przestrzennego i rozwoju swojej dzielnicy. Poprzez organizowanie spotkań, konsultacji publicznych, warsztatów czy ankiet, mieszkańcy

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<sup>25</sup> The Innovation in Politics Awards 2024. Online: <https://innovationinpolitics.eu/awards/>.

<sup>26</sup> Idea tworzenia „Planów dla Dzielnic”. Online: <https://lublin.eu/mieszkanicy/partycypacja/plany-dla-dzielnic/o-planach-dla-dzielnic/>.

<sup>27</sup> Lublin wspólnie z mieszkańcami chce kształtować przyszłość dzielnic. Online: <https://lublinews.pl/lublin/lublin-z-mieszkancami-chce-ksztaltowac-przyszlosc-dzielnic/>.



mają okazję wyrazić swoje potrzeby, sugestie i obawy dotyczące lokalnego otoczenia. To z kolei buduje zaufanie i zwiększa zaangażowanie społeczności w podejmowanie decyzji dotyczących ich dzielnic. Gdy mieszkańcy czują się zaangażowani, są bardziej skłonni do udziału w działaniach mających na celu poprawę bezpieczeństwa i jakości życia w swojej okolicy. Ponadto, „Plany dla Dzielnic” mogą wspierać i promować lokalne inicjatywy mające na celu poprawę bezpieczeństwa i jakości życia. Przykładem może być promowanie parków miejskich, stworzenie bezpiecznych tras rowerowych czy rozwój lokalnej infrastruktury sportowej i rekreacyjnej. Programy „Plan dla Dzielnic” sprzyjają współpracy między różnymi instytucjami i organizacjami, takimi jak lokalne władze, służby publiczne, organizacje pozarządowe. Wspólne planowanie i realizacja działań prowadzą do skuteczniejszego rozwiązywania problemów lokalnych, w tym tych dotyczących bezpieczeństwa. Działania podejmowane w ramach „Planu dla Dzielnic” mają na celu kształtowanie przestrzeni publicznej w sposób zapewniający bezpieczeństwo i dostępność dla wszystkich mieszkańców. Poprzez projektowanie ulic przyjaznych dla pieszych i rowerzystów, poprawę oświetlenia czy instalowanie monitoringu miejskich, programy te przyczyniają się do zmniejszenia zagrożeń oraz podnoszą poziom komfortu i bezpieczeństwa życia w dzielnicach.

## **Podsumowanie**

W ogólnym rozumieniu partycypacja społeczna oznacza uczestniczyć lub brać udział w jakimś przedsięwzięciu. W kontekście kształtowania bezpiecznego środowiska lokalnego, oznacza to aktywne zaangażowanie mieszkańców w życie publiczne, udział w programach społecznych oraz inicjowanie działań mających pozytywny wpływ na lokalną społeczność. Narzędzia partycypacji społecznej rozumiane jako instrumenty lub metody pozwalają na angażowanie społeczności w podejmowanie decyzji, które mają wpływ na ich życie lub otoczenie. Stosowanie zróżnicowanych narzędzi partycypacyjnych pozwala na lepsze rozumienie lokalnych potrzeb i uwzględnienie perspektyw społeczności, które przyczyniają się do wprowadzania skuteczniejszych rozwiązań.

Partycypacja społeczna odgrywa kluczową rolę w kształtowaniu bezpiecznego środowiska lokalnego, gdyż w istotny sposób wpływa na przeciwdziałanie lub ograniczenie możliwych zagrożeń, poprawę jakości życia oraz propagowanie prospołecznych postaw i wzorców. Dlatego też ważne jest inicjowanie społecznych przedsięwzięć i włączanie w ich realizację różnych grup społecznych.

Analiza dwóch programów społecznych realizowanych w Lublinie – „Szkolny Budżet Obywatelski” oraz „Plan dla Dzielnic” – podkreśla istotne znaczenie uczestnictwa społecznego w budowaniu bezpiecznego środowiska lokalnego. Pierwszy z programów, skierowany do społeczności szkolnej, daje możliwość uczniom, nauczycielom i rodzicom na wyartykułowanie potrzeb i problemów. Program ten nie tylko uczy o partycypacji społecznej, ale także daje młodym ludziom realny wpływ

na swoje otoczenie, kształtując ich postawy obywatelskie i społeczne oraz rozwijając umiejętności interpersonalne.

Inicjatywa „Plan dla Dzielnic” ma na celu tworzenie wygodnych i bezpiecznych dzielnic, które są wyposażone w potrzebną mieszkańcom infrastrukturę. Inicjatywa ta angażuje lokalną społeczność w proces planowania przestrzennego i rozwoju swojej okolicy. Poprzez spotkania, spacerunki i warsztaty mieszkańcy mają okazję wyrazić swoje potrzeby, sugestie i obawy dotyczące lokalnego otoczenia.

Omówione programy wspierają kształtowanie bezpiecznego środowiska lokalnego poprzez promowanie inicjatyw społecznych, wzmacnianie współpracy międzysektorowej i projektowanie przestrzeni publicznej z myślą o bezpieczeństwie i komforcie mieszkańców.

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## STATISTICAL AND ECONOMETRIC DATA – VERIFICATION AND MANAGEMENT IN ECONOMICS, FINANCE AND TRANSPORT & LOGISTIC MANAGEMENT

### *Dane statystyczne i ekonometryczne – weryfikacja i zarządzanie w ekonomii, finansach oraz zarządzaniu transportem i logistyką*

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#### **Streszczenie**

*Współczesne społeczeństwo określane jest mianem „społeczeństwa informacyjnego”. Oznacza to, że obecnie informacje i dane, wiedza i sposoby ich przekazywania stały się jednymi z najcenniejszych i niezbędnych elementów funkcjonowania dzisiejszego świata. We współczesnym społeczeństwie i gospodarce dane (informacje) tworzą ze sobą rozległe i gęste sieci, stanowiąc de facto jego podstawę. Ogromny wzrost znaczenia odpowiedniej selekcji i zarządzania danymi wynika z modelu współczesnej gospodarki, która ma charakter kapitałochłonny. Oznacza to, że zwiększenie produktywności w każdej dziedzinie zależy od inwestycji kapitałowych, które obecnie polegają głównie na wdrażaniu nowych technologii. To, w połączeniu z nieustającą konkurencją na rynku, prowadzi do znacznego wzrostu zapotrzebowania na nowe metody produkcji, które są przecież niczym innym jak właśnie informacjami (danymi). Dlatego też firmy koncentrują się obecnie przede wszystkim na poszukiwaniu „know-how”, które jest istotnym elementem rentowności przedsiębiorstwa. Konieczne stało się zatem ciągle wprowadzanie innowacji, gdyż ich brak może zachwiać fundamentami najpotężniejszych światowych korporacji.*

**Słowa kluczowe:** zarządzanie danymi, racjonalność ekonomiczna, dane finansowe, nowe technologie, rentowność, modelowanie ekonometryczne

## **Summary**

Modern society is termed “information society”. This means that nowadays information and data, knowledge and ways of transmitting them have become some of the most valuable and necessary elements in the functioning of today’s world. In today’s society and economy, data (information) form extensive and dense networks with each other, constituting its de facto basis. The huge increase in the importance of appropriate selection and management of data is due to the model of the modern economy, which is capital-intensive in nature. This means that increasing productivity in any field depends on capital investment, which now consists mainly of implementing new technologies. This, combined with the ever-unrelenting competition in the market, leads to a significant increase in demand for new production methods, which are, after all, nothing but information (data) precisely. Therefore, companies are now focusing primarily on the search for “know-how”, which is an important element of the company’s profitability. It has therefore become necessary to constantly innovate, as failure to do so can shake the foundations of the world’s most powerful corporations.

**Key words:** data management, economic rationality, financial data, new technologies, cost-effectiveness, econometric modelling

## **Introduction**

Data is a specific collection of numbers or text, which can take various forms. Data is any collection that can be collected, presented, or processed. As for processing, it can be computer-based, system-based, or even thought-based. Thus, we do not always need a device to process data, because it can be processed mentally. Data can determine the characteristics of an object, thing, phenomenon.

The forms and forms in which data can appear are various, data can be expressed, among other things, through:

- signs,
- illustrations,
- film recordings,
- sound recordings,
- symbols,
- diagrams,
- speech,
- signals.

We can refer to sets of numbers, or words, as data. However, if we don’t know what they represent and what they indicate, we can’t call them data, just ordinary

information. That is, it is important that the data have a specific purpose of usefulness. Thematic collections and compilations of information on a given topic are referred to as datasets. We can store data sets in a permanent form through the process of data archiving. Data archiving involves transferring a specific set of data to a storage location for storage purposes. Data archiving also allows data to be reused as required. Data archiving is most often carried out using technological devices, such as a computer. A popular form of data archiving that is practically used by everyone, for example, is email archiving. Data is useful in many areas of life and science. For example, they have applications in mathematics and physics, where, for example, known and unknown values are defined by data. In everyday speech, that is, in everyday life, we define data as ordinary information (messages), thanks to which we can start, for example, the process of inference or logical thinking. We often subject data to a certain segregation, according to the relevant categories. Hence we associate data with tables or sheets. Proper arrangement of data facilitates at least the processing of data<sup>1,2</sup>.

In a world of widespread computerization and highly developed technologies, data is associated with computers that need it for purposes such as computing. Data can be very impressive, even huge, and used in use even if only over the Internet. When processing important and data over the Internet, it is important to use appropriate systems to protect against the outflow of data, so that the law or the interests of the company in question are not violated.

The following are examples of data types:

- alphanumeric data,
- open data,
- public data,
- so-called Big Data,
- textual data,
- ordinary personal data,
- sensitive personal data,
- binary data,
- statistical data,
- input data,
- output data,
- text data,
- and others.

We deal with data in our daily lives. Often we don't even realize it (widespread computerization, or even in the form of our thought processes). Data is a set and structure of tags, which are described in a value that can be understood by specific audiences. Arranged and properly processed, they facilitate work and show, for example, the

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<sup>1</sup> E. Gorczyca, *Informacja naukowa z elementami naukoznawstwa*, Wydawnictwo Szkolne i Pedagogiczne, Warszawa 1991.

<sup>2</sup> U. Kłosiewicz-Górecka, *Źródła informacji i rodzaje potrzeb informacyjnych przedsiębiorstwa oraz przydatność informacji w zarządzaniu firmą*, „Marketing i Rynek” 2015; 4: 9-15.

scale of a phenomenon. Data management is an administrative process that involves acquiring, validating, storing, protecting and processing the required data to ensure that information is available, reliable and timely for users. Organizations and enterprises have quite recently been using massive amounts of data to make business decisions and gain deep insights into customer behavior, trends and opportunities to create exceptional customer experiences.

To add up the vast amount of knowledge that businesses collect, analyze and store today, companies are looking into data management solutions and platforms. Data management solutions make processing, validation and other essential functions simpler and less time-consuming.

Leading data management platforms allow companies to leverage Big Data from all data sources, in real time, to more easily engage with customers and increase customer lifetime value (CLV). Data management software is important because we are creating and consuming data at an unprecedented rate. The best data management platforms give companies and organizations a 360-degree view of their customers, and thus the full visibility needed to gain the deep, critical insights into consumer behavior that give brands a competitive advantage.

While some companies are good at collecting data, they don't manage it tolerably well to make sense of it. Simply collecting data is not enough; companies and organizations must understand from the outset that data management and analysis will only be effective if they first think about how they gain value from their data. They will then go beyond data collection with effective systems for processing, storing and validating data, including as effective analytical strategies. Another knowledge management challenge arises when companies categorize data and organize it without first considering the answers they hope to get from the information. Each stage of knowledge collection and management must lead to the acquisition of relevant data and its analysis to extract the useful information needed to make data-driven business decisions<sup>3,4</sup>.

The best thing to do through data management, and ultimately get the insights needed to make data-driven decisions, are to start with a business question and get the information needed to answer that question. Companies need to gather massive amounts of data from a variety of sources, and then use best practices when reviewing methods for storing and managing information, cleaning and extracting information, and then analyzing and visualizing the information to inform their business decisions. It's important to remember that data management best practices end with better analytics. By properly managing and preparing information for analysis, companies optimize their Big Data. Several organizations and businesses should strive to implement several data management best practices. It is with the help of knowledge management platforms that organizations are empowered to collect, sort and store

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<sup>3</sup> W. Flakiewicz, *Systemy informacyjne w zarządzaniu. Uwarunkowania, technologie, rodzaje*, C.H. Beck, Warszawa 2002.

<sup>4</sup> K. Woźniak, *System informacji menedżerskiej jako instrument zarządzania strategicznego w firmie*, Akademia Ekonomiczna w Krakowie, Kraków 2005.

their information, and then repackage it in a visualized way in which it is useful to marketers. The best performing data management platforms are able to manage all information from all data sources in a central location, giving marketers and executives the most accurate business and customer information available. A data management platform Data management is an initiative to handle the vast amount of knowledge, both structured and unstructured, that floods businesses every day. Only with the best data management practices are organizations ready to leverage their data and get the information they need to create actionable insights.

### **The need for seasonal adjustment of time series in the context of data reliability**

A time series is a sequence of observations showing the development of the examined phenomenon in subsequent periods (days, months, quarters, years, etc.). In the time series, it is possible to distinguish several components resulting from the influence of various factors on a given phenomenon. The following time series components are distinguished<sup>5</sup>:

1. A development tendency, called a trend, expresses a long-term tendency to unidirectional changes (increase or decrease) in the value of the variable under study. It is considered as a consequence of a fixed set of factors.
2. Cyclical fluctuations (cyclical component) are expressed in the form of long-term, rhythmic fluctuations of the value of the series around the development trend. They are usually associated with the business cycle of the economy.
3. Seasonal fluctuations (seasonal component) are fluctuations in the value of a series around its development trend with a period not exceeding one year. They represent effects that repeat with a certain regularity, every year in the same periods. They usually reflect the influence of the weather (related mainly to the succession of the seasons) or the calendar.
4. The residual part, i.e. not subject to explanation (not attributable to the listed sources of variability), is called a random (non-systematic) component. It contains random fluctuations of the series around the systematic part, which are difficult to identify a priori.

The components listed in points 1 to 3 are referred to as systematic, as they form a systematic part of the series, i.e. they can be explained. In addition, within the systematic part of the series, calendar effects can be distinguished, which are not purely seasonal. The effects resulting from the influence of the calendar may reflect: differences between the length (number of days) of individual periods – 28, 29, 30, 31 days for months, 90, 91, 92, 93 for quarters, differences between the number of different days of the week in a period, structure of days holidays, taking into account movable holidays and national holidays, etc. They can be repeatable from year to year (e.g. the

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<sup>5</sup> G. G. Judge, W. E. Griffith, R. C. Hill, H. Luetkepohl, T. S. Lee, *The theory and practice of econometrics*, Wiley and Sons, New York 1985.



number of days in a month – except for February, the occurrence of fixed holidays) or specific for each year (e.g. the arrangement of days of the week, the occurrence of movable holidays). Recurring effects are an integral part of the seasonal component. Other calendar effects are usually not included in the seasonal component, but they are treated in a similar way from the point of view of seasonal adjustments (i.e. removed from the adjusted series) and can be treated as a separate, specific component of the systematic part of the series. Their analysis and elimination from the adjusted series is performed at a separate stage of the seasonal adjustment procedures, the so-called working day alignment. The components of the time series may be connected by a relationship: additive, multiplicative and additive-multiplicative.

In the case of additive seasonality, we are dealing with seasonal effects consisting in underestimating or overestimating the value of a phenomenon in periods of the same type, e.g. in all January, or e.g. in the second quarter of each year, by an approximately constant value throughout the observation period. In the case of multiplicative seasonality, the seasonal effects are approximately constant in percentage terms, i.e. the higher the values of the phenomenon, the higher the seasonal fluctuations. The additive indicator is added to the trend value, the multiplicative indicator is multiplied.

The occurrence of a seasonal component in a time series leads to problems with interpreting changes in the phenomenon from period to period. In order to properly analyze current trends in short-term indicators, it is necessary to eliminate seasonal influences, otherwise it is only legitimate to compare them for periods of the same name (e.g. January 2004 to January 2003) and only within a given country.

Seasonal adjustment of a time series consists in removing the seasonal component from the series (a balanced series is a combination of all components, except for the seasonal component). In order to perform this operation, in the case of most seasonal adjustment methods, it is necessary to extract all components, i.e. perform decomposition.

The seasonal adjustment procedure can be divided into two stages. The first is referred to as pre-adjustment, the second is the actual decomposition and elimination of seasonal effects.

During the initial alignment procedure, the following steps are usually performed<sup>6,7,8</sup>:

- determining the nature of the relationship between the components (whether it is additive or multiplicative), e.g. by testing the need for an initial logarithmic transformation,
- detection of outliers (unusual disturbances) occurring in a series,
- equalization by working days,

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<sup>6</sup> Compare: S. S. Maiti, B. N. Mukherjee, A note on the distributional properties of the Jöreskog-Sörbom fit indices, "Psychometrika" 1990; 55: 721-726.

<sup>7</sup> S. G. Makridakis, Forecasting, planning, and strategy for the 21st century, Free Press, London 1990.

<sup>8</sup> D. F. Morrison, Multivariate statistical methods, McGraw-Hill, New York 1990.

- initial model identification,
- determination of the projected values of the series beyond the observation period (“extension” of the series at its ends), if it is necessary from the point of view of the applied equalization method.

The occurrence of unusual disturbances in the series, which are the result of sporadic, irregular events, causes – if they are not identified and properly treated – distortions in the series analysis and makes modeling them difficult or even impossible. Therefore, special algorithms are used to detect such disturbances and then eliminate their impact by appropriately including in the model, correcting or excluding observations from the analysis. The equalization procedures used distinguish the following types of disorders by testing for their presence and treating them accordingly:

- single outlier observations (AO), when the disturbance concerns a single observation, after which the series returns to the previous trajectory, e.g. strike, weather anomalies, registration errors;
- level change (LS), which occurs when a disturbance causes a change in the value of a phenomenon, which persists in subsequent periods, i.e. the phenomenon continues to develop at a changed level, its trajectory is shifted – e.g. changes in nomenclature, changes in definitions;
- transient change (TC), when the perturbation effect gradually wears off and the series returns to its previous trajectory, but it takes several consecutive periods.

In order to implement the working-day adjustment, various regressor variants are tested: for individual days of the week, their combinations, the leap year effect and the Easter effect. For the system of regressors considered optimal, the effects of working days are estimated and eliminated from the series. The output of the initial adjustments is a series “cleaned” of the effects analyzed at this stage, devoid of “disturbances” that hinder the actual analysis of seasonality. It is carried out in the second stage of the equalization procedure and includes<sup>9,10</sup>:

- decomposition of the series into components,
- assignment of regression effects to individual components,
- proper seasonal adjustment, consisting in removing the seasonal component from the series,
- diagnostics of the model, the obtained series decomposition and alignment.

All activities carried out during both main stages of the procedure are highly parameterized, i.e. they depend on the choice of the alignment method, its variant and the determination of the values of many parameters. These choices can be made by a built-in algorithm in an automatic procedure (based on statistical criteria) or by an analyst performing the alignment process in an interactive mode. Complete elimination of the influence of the analyst’s decision on the adjustment process is not possible, because even in the automatic mode it is necessary to at least set the threshold

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<sup>9</sup> See more: R. Scheines, Causation, indistinguishability, and regression, [in:] *SoftStat '93. Advances in statistical software 4*, F. Faulbaum (ed.), Gustav Fischer Verlag, Stuttgart 1994.

<sup>10</sup> S. S. Schiffman, M. L. Reynolds, F. W. Young, *Introduction to multidimensional scaling: Theory, methods, and applications*, Academic Press, New York 1981.

values for statistical criteria, and the use of the interactive mode is often beneficial for the quality of adjustments.

The identification of the model is of particular importance for the course of the alignment procedure and the quality of the obtained results. The model should describe the studied reality as best as possible and be validated by appropriate statistical tests available to the analyst in the adjustment procedures. Taking into account the postulate of stability, it is also advisable to avoid frequent model changes.

In practice, two commonly used seasonal adjustment procedures are<sup>11</sup>:

1. X12-ARIMA is a development of the X11-ARIMA and X11-ARIMA/88 systems. Decomposition, i.e. separation of components (trend, cyclical component, seasonal component, residual component) is carried out by using an appropriate algorithm based on the use of moving average filters, often referred to as X-11 filters. Although the name of the procedure uses the term ARIMA (Autoregressive Integrated Moving Average), the model is only used to estimate regression coefficients and extend the series to obtain the theoretical values needed to calculate moving averages at the ends of the series.
2. Tramo/Seats method (TRAMO – Time series Regression with ARIMA noise, Missing observations, and Outliers/SEATS – Signal Extraction in ARIMA Time Series). Tramo/Seats is a method strictly based on the ARIMA methodology, using it not only as an auxiliary tool for forecasting and smoothing the series, but also as a basic tool for proper decomposition (separation of components).
3. Both procedures for seasonal adjustment of time series are recommended by Eurostat. The Central Statistical Office uses the Tramo/Seats method for seasonal adjustments of published time series<sup>12</sup>.

## **Multi-equation models in the process of creating reliable data**

As in single-equation models, we have explanatory and explanatory variables. In a single equation, we have one explanatory variable. We usually write it on the left side of the equation. On the other hand, on its right side there are variables explaining the development of the dependent variable. In multi-equation models, the variables are divided into endogenous variables and exogenous variables. The variables explained by the model are called endogenous variables, while exogenous variables are those whose values are determined outside the model, and a variable corresponding to the constant is attached to them.

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<sup>11</sup> Statistica PRO website.

<sup>12</sup> Selected websites with information on seasonal adjustment of time series: Eurostat. Online: <http://www.forum.europa.eu.int/Public/irc/dsis/eurosam/home>; OECD. Online: <http://stats.oecd.org/glossary/detail.asp?ID=2398>; European Central Bank. Online: <http://www.ecb.int/pub/pdf/other/stat-seasonadjustmenten.pdf>; Bank of Spain. Online: <http://www.bde.es/servicio/software/econome.htm>; U.S. Census Bureau. Online: <http://www.census.gov/srd/www/x12a/>; Statistics Denmark. Online: <http://www.dst.dk/upload/seasonal.pdf>.

The next criterion for the classification of variables concerns the situation when we have a multi-equation dynamic model, where there are variables from different periods. Endogenous and exogenous variables can be time-lag and non-time-lag. Non-lagging variables refer to the current periods and lagging variables refer to earlier periods.

Endogenous non-lagged variables are usually called concurrent variables. Time-lagged endogenous variables and lagged and non-lagged exogenous variables are referred to as predetermined variables. This division is important from the point of view of estimating model parameters.

Structural and reduced form of the model. The individual equations of the model determine the relationships between the variables. The multi-equation model is therefore a description of the structure of the relationship system. Therefore, in the econometric literature, such a record of a multi-equation model that shows the real relationships between variables is called the structural form of the model. To formally define what we mean by this, let's denote:

- $y_{it}$  – observation of the  $i$ -th endogenous variable in the period  $t$ ,  $i = 1, 2, \dots, m$ ;
- $With_{i.e}$  – observation of the  $j$ th variable predetermined in the period  $t$ ,  $j = 1, 2, \dots, k$ ;
- $\beta_{il}$  – parameter for the  $l$ -th non-lagged endogenous variable in the  $i$ -th equation,  $l, i = 1, 2, \dots, m$ ;
- $\gamma_{ij}$  – parameter with the  $j$ -th variable predetermined in the  $i$ -th equation,  $i = 1, 2, \dots, m$ ;  $j = 1, 2, \dots, k$ .

If we have a model consisting of equations:

$$y_{1t} = \sum_{l=2}^m \beta_{1l}y_{lt} + \sum_{j=1}^k \gamma_{1j}z_{jt} + \epsilon_{1t},$$

$$y_{2t} = \sum_{l=2}^m \beta_{2l}y_{lt} + \sum_{j=1}^k \gamma_{2j}z_{jt} + \epsilon_{2t},$$

$$y_{mt} = \sum_{l=1}^{m-1} \beta_{ml}y_{lt} + \sum_{j=1}^k \gamma_{mj}z_{jt} + \epsilon_{mt},$$

This, by transferring all interdependent variables and predetermined variables to the left side of the equations, gives the structural form of the model:

$$y_{1t} - \sum_{l=2}^m \beta_{1l}y_{lt} - \sum_{j=1}^k \gamma_{1j}z_{jt} = \epsilon_{1t},$$

$$y_{2t} - \sum_{l=2}^m \beta_{2l}y_{lt} - \sum_{j=1}^k \gamma_{2j}z_{jt} = \epsilon_{2t},$$

$$y_{mt} - \sum_{l=1}^{m-1} \beta_{ml}y_{lt} - \sum_{j=1}^k \gamma_{mj}z_{jt} = \epsilon_{mt},$$

Individual equations of the structural form of the model are called structural equations. We will present the structural form of the model using the matrix notation:

$$BY_t + \Gamma Z_t = \varepsilon_t, t = 1, 2, \dots, n.$$

Where:

B – matrix of parameters with non-lagged endogenous variables:

$$B = \begin{pmatrix} 1 & -\beta_{12} & \dots & -\beta_{1m} \\ \beta_{21} & 1 & \dots & -\beta_{2m} \\ \dots & \dots & \dots & \dots \\ \beta_{m1} & -\beta_{m2} & \dots & 1 \end{pmatrix}$$

$\Gamma$  – matrix of parameters with predetermined variables:

$$\Gamma = \begin{pmatrix} -\gamma_{11} & -\gamma_{12} & \dots & -\gamma_{1k} \\ -\gamma_{21} & -\gamma_{22} & \dots & -\gamma_{2k} \\ \dots & \dots & \dots & \dots \\ -\gamma_{m1} & -\gamma_{m2} & \dots & -\gamma_{mk} \end{pmatrix}$$

$Y_t$  – vector observations of non-lagged endogenous variables in period t:

$$Y_t = \begin{pmatrix} y_{1t} \\ y_{2t} \\ \dots \\ y_{mt} \end{pmatrix}$$

$W_t$  – vector of observations of predetermined variables in period t:

$$W_t = \begin{pmatrix} z_{1t} \\ z_{2t} \\ \dots \\ z_{kt} \end{pmatrix}$$

$\varepsilon_t$  – vector of random components in period t:

$$\varepsilon_t = \begin{pmatrix} \varepsilon_{1t} \\ \varepsilon_{2t} \\ \dots \\ \varepsilon_{mt} \end{pmatrix}$$

For the estimation of the parameters of some types of models, it is necessary to introduce the concept of the reduced form of the model. In the reduced form, the explanatory variables are only predetermined variables. In order to go from the structural form to the reduced form of the model, the parameter matrix for the jointly correlated variables B must be non-singular. Then there is an inverse matrix  $B^{-1}$ . Multiplying  $BY_t + \Gamma Z_t = \varepsilon_t$  left-hand side by  $B^{-1}$ , we get:

$$B^{-1}BY_t + B^{-1}\Gamma Z_t = B^{-1}\varepsilon_t$$

$B^{-1}B = I$ , so we can write the above relationship as:

$$Y_t = -B^{-1}\Gamma Z_t + B^{-1}\epsilon_t$$

Denoting  $\Pi = -B^{-1}\Gamma$  and  $\eta_t = B^{-1}\epsilon_t$ , we get the reduced form of the model:

$$Y_t = \Pi Z_t + \eta_t$$

The elements of the matrix  $\Pi$  are denoted as  $\pi_{ij}$ ,  $i = 1, 2, \dots, m$ ;  $j = 1, 2, \dots, k$ , so we have:

$$y_{1t} = \pi_{11}z_{1t} + \pi_{12}z_{2t} + \dots + \pi_{1k}z_{kt} + \eta_{1t},$$

$$y_{2t} = \pi_{21}z_{1t} + \pi_{22}z_{2t} + \dots + \pi_{2k}z_{kt} + \eta_{2t},$$

$$y_{mt} = \pi_{m1}z_{1t} + \pi_{m2}z_{2t} + \dots + \pi_{mk}z_{kt} + \eta_{mt}.$$

In the reduced form of the model, non-lagged endogenous variables are explained by fixed variables.

**Classification of multi-equation models.** Due to the relationships between non-time-lagged endogenous variables, multi-equation models are divided into simple models, recursive models and models with interdependent equations. The classification of multi-equation models is carried out on the basis of a matrix of structural parameters with non-lagged endogenous variables. Therefore, a matrix  $B$  of the structural form  $BY_t + \Gamma Z_t = \epsilon_t$  is considered.

The model is a simple model if  $B$  is an identity matrix:

$$B = \begin{pmatrix} 1 & 0 & \dots & 0 \\ 0 & 1 & \dots & 0 \\ \dots & \dots & \dots & \dots \\ 0 & 0 & \dots & 1 \end{pmatrix}$$

recursive model, if  $B$  is a triangular matrix:

$$B = \begin{pmatrix} 1 & 0 & \dots & 0 \\ \beta_{21} & 1 & \dots & 0 \\ \dots & \dots & \dots & \dots \\ \beta_{m1} & -\beta_{m2} & \dots & 1 \end{pmatrix}$$

or can be reduced to a triangular matrix after appropriate renumbering of endogenous variables, and a model with interdependent equations, if it is not a simple or recursive model. In the simple model, no non-lagging endogenous variable is used as an explanatory variable in any equation.

**Identification problem.** Based on the previously presented way of transition from the structural form to the reduced form of the model, we conclude that if the matrix  $B$  is non-singular, then the matrix  $\Pi$  can always be determined from the formula  $\Pi = -B^{-1}\Gamma$ . The reverse is much more difficult. It consists in solving the system of equations  $B\Pi = -\Gamma$ , i.e. determining the elements of the matrix  $B$  and  $\Gamma$ . In the general case, the matrix  $B$  has  $m^2 - m$ , and the matrix  $\Gamma$  has  $m \cdot k$  unknown elements, and there are  $m$  equations. Therefore, it is not always possible to determine the parameters of the structural form on the basis of the parameters of the reduced form of the model. This problem is called the identification problem.

A model is identifiable if all parameters of the structural form can be determined from the parameters of the reduced form. In addition to the identifiability of the entire model, we will consider the identifiability of its individual structural equations. A given structural equation is identifiable if all parameters can be determined from the reduced form. Of course, the model is traceable when each structural equation is traceable.

Three situations can occur in the identification problem<sup>13,14,15</sup>:

1. It is not possible to determine all the parameters of the structural equation based on the knowledge of the parameters of the reduced form of the model. The equation is then unidentifiable.
2. Based on the knowledge of the parameters of the reduced form of the model, the parameters of the structural equation can be clearly determined. The equation is then called uniquely identifiable.
3. If the parameters of the structural equation can be determined on the basis of the parameters of the reduced form in an ambiguous way, then we are talking about an ambiguously identifiable equation.

The identification problem boils down to determining whether the system of equations  $B\Pi = \Gamma$  has a solution. This arrangement can be written as:

$$\begin{pmatrix} 1 & -\beta_{12} & \dots & -\beta_{1m} \\ \beta_{21} & 1 & \dots & -\beta_{2m} \\ \dots & \dots & \dots & \dots \\ \beta_{m1} & -\beta_{m2} & \dots & 1 \end{pmatrix} \begin{pmatrix} -\Pi_{11} & -\Pi_{12} & \dots & -\Pi_{1k} \\ -\Pi_{21} & -\Pi_{22} & \dots & -\Pi_{2k} \\ \dots & \dots & \dots & \dots \\ -\Pi_{m1} & -\Pi_{m2} & \dots & -\Pi_{mk} \end{pmatrix} = \begin{pmatrix} -\gamma_{11} & -\gamma_{12} & \dots & -\gamma_{1k} \\ -\gamma_{21} & -\gamma_{22} & \dots & -\gamma_{2k} \\ \dots & \dots & \dots & \dots \\ -\gamma_{m1} & -\gamma_{m2} & \dots & -\gamma_{mk} \end{pmatrix}$$

Let's consider  $i$ th row matrix  $\Gamma$ . Notations:  $m_1$ -number of non-lagged endogenous variables in the  $i$ -th equation of the structural form of the model, excluding  $y_i$ ;  $m_2$ -number of other Endogenous variables present in the model;  $k_1$ -number of predetermined variables appearing in the examined equation;  $k_2$ -number of other predetermined variables present in the model. Thus, we have the relations:  $1 + m_1 + m_2 = m$  and  $k_1 + k_2 = k$ , where  $m$  is the number of all non-lagged endogenous variables and  $k$  is the number of all predetermined variables present in the model.

In order to be able to determine the parameters in the  $i$ -th equation of the structural form of the model, the individual elements of the  $i$ -th row of the matrix  $B\Pi$  must be equal to the individual elements of the  $i$ -th row of the  $\Gamma$  matrix. We have  $k$  equations, because all elements of the  $i$ -th row of matrix  $\Gamma$  are  $k$  and  $m_1+k_1$  unknowns, because in the  $i$ -th structural equation there are  $m_1$  unknown elements of the  $i$ -th row of matrix  $B$  and  $k_1$  unknown elements of the  $i$ -th row of matrix  $B$  and  $k_1$  unknown elements of the  $i$ th row of matrix  $B$  and  $k_1$  unknown elements of the  $i$ th row of  $\Gamma$ .

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<sup>13</sup> See: F. L. Schmidt, J. E. Hunter, Eight common but false objections to the discontinuation of significance testing in the analysis of research data, [in:] What if there were no significance tests, L. L. Harlow, S. A. Mulaik, J. H. Steiger (ed.), Lawrence Erlbaum Associates, New York 1997.

<sup>14</sup> A. J. Shepherd, Second-Order Methods for Neural Networks, Springer, New York 1997.

<sup>15</sup> D. F. Speckt, Probabilistic Neural Networks, "Neural Networks" 1990; 3(1): 109-118.

To determine the solution, the number of equations should be greater than or equal to the number of unknowns:  $k \leq k_1 + k_2$ . Thus, taking into account the relation  $k = k_1 + k_2$ , we have obtained with the required condition  $k_2 \geq m_1$ .

The obtained result is known in the econometric literature as the dimension condition. It can be formulated as follows:

- A necessary condition for the identifiability of a given structural equation is that the number of predetermined variables in the model that are not present in this equation is greater than or equal to the number of non-lagged endogenous variables in this equation minus one.
- Adding  $m_2$  to both sides of the inequality  $k_2 \geq m_1$  gives  $m_2 + k_2 \geq m - 1$ .
- The dimension conclusion can be formulated in the equivalent form:
- A necessary condition for the identifiability of a given structural equation is that the number of variables (together interdependent and predetermined) not present in this equation is greater than or equal to the total number of non-lagged endogenous variables minus one.
- In case  $k_2 = m$ , the equation can be uniquely identified, while if  $k_2 > m_1$ , it is ambiguously identifiable.

The dimension condition is a necessary but not sufficient condition. For the structural equation of the model to be traceable, the dimension condition must be met. However, it may happen that even though the dimension condition is met, the equation is not identifiable. In the literature, the necessary and sufficient condition of traceability is called the order condition. This condition requires examining the order of the corresponding submatrix  $\Pi$ . A necessary and sufficient condition can be formulated as a necessary and sufficient condition for the  $i$ -th equation of a model consisting of  $m$  equations to be identifiable is that the matrix formed from the parameters of the variables that are present in the model but not in the  $i$ -th equation is of order  $m - 1$ .

## **Indirect method of least squares**

The indirect method of least squares is applicable to the estimation of parameters of models with uniquely identifiable interdependent equations. The idea is to use the evaluations of the parameters of the reduced form to obtain the evaluations of the parameters of the structural form. Procedure: the indirect method of greatest squares is as follows:

1. We reduce the model to the reduced form:  
$$Y = \Pi Z + \eta$$
2. We estimate the parameters of the reduced form using the classic method of least squares using the following formula:  
$$P = (Z^T W I T H)^{-1} W I T H^T Y$$



Where:

$$P^T = \begin{pmatrix} P_{11} & P_{12} & \dots & P_{1k} \\ P_{21} & P_{22} & \dots & P_{2k} \\ \dots & \dots & \dots & \dots \\ P_{m1} & P_{m2} & \dots & P_{mk} \end{pmatrix}$$

evaluation of the  $\Pi$  matrix of reduced form parameters

$$\text{WITH} = \begin{pmatrix} Z_{11} & Z_{12} & \dots & Z_{1k} \\ Z_{21} & Z_{22} & \dots & Z_{2k} \\ \dots & \dots & \dots & \dots \\ Z_{n1} & Z_{n2} & \dots & Z_{nk} \end{pmatrix}$$

matrix of observations of fixed variables occurring in the model

$$Y = \begin{pmatrix} Y_{11} & Y_{12} & \dots & Y_{1m} \\ Y_{21} & Y_{22} & \dots & Y_{2m} \\ \dots & \dots & \dots & \dots \\ Y_{n1} & Y_{n2} & \dots & Y_{nm} \end{pmatrix}$$

matrix of observations of jointly interdependent variables occurring in the model.

3. Estimates of structural form parameters are obtained by solving a system of equations

$$BP^T = -\Gamma$$

EXAMPLE 1. We will consider a model describing the relationship between the value of fixed assets in PLN million (K), employment in thousands and People (Z), investment outlays in PLN million (I) and production in thous. Pieces (P) of the form:

$$K = \beta_{12}Z + \gamma_{11}I + \gamma_{13}X + \varepsilon_1$$

$$Z = \beta_{21}K + \gamma_{22}P + \gamma_{23}X + \varepsilon_2$$

In this model, X is a variable taking values equal to unity.

The observations of the individual variables in seven consecutive years are given in the table below:

| t | $k_t$ | $\text{With}_t$ | $\text{and}_t$ | $p_t$ | $x_t$ |
|---|-------|-----------------|----------------|-------|-------|
| 1 | 60    | 3.4             | 1.1            | 22    | 1     |
| 2 | 62    | 3.5             | 1.5            | 24    | 1     |
| 3 | 65    | 3.7             | 1.4            | 25    | 1     |
| 4 | 66    | 3.7             | 1.7            | 28    | 1     |
| 5 | 68    | 3.9             | 1.7            | 29    | 1     |
| 6 | 69    | 4.1             | 1.9            | 33    | 1     |
| 7 | 72    | 4.1             | 1.6            | 32    | 1     |

The reduced form of the estimated model is as follows:

$$K = p_{11}I + p_{12}P + P_{13}X + \eta_1$$

$$Z = p_{21}I + p_{22}P + P_{23}X + \eta_2$$

First, we estimate the parameters of the reduced form using the classical least squares method for both equations simultaneously. The matrix of observations of model interdependent variables and the matrix of observations of predetermined variables are as follows:

$$Y = \begin{pmatrix} 60 & 3,4 \\ 62 & 3,5 \\ 65 & 3,7 \\ 66 & 3,7 \\ 68 & 3,9 \\ 69 & 4,1 \\ 72 & 4,1 \end{pmatrix} \quad Z = \begin{pmatrix} 1,1 & 22 & 1 \\ 1,5 & 24 & 1 \\ 1,4 & 25 & 1 \\ 1,7 & 28 & 1 \\ 1,7 & 29 & 1 \\ 1,9 & 33 & 1 \\ 1,6 & 32 & 1 \end{pmatrix}$$

Performing subsequent calculations according to the formula  $P = (Z^T WITH)^{-1} WITH^T Y$  we get:

$$WITH^T Z = \begin{pmatrix} 17,37 & 306 & 10,9 \\ 306 & 5423 & 193 \\ 10,9 & 193 & 7 \end{pmatrix}$$

$$(WITH^T WITH)^{-1} = \frac{1}{73,18} \begin{pmatrix} 712 & -38,30 & -52,70 \\ -38,3 & 2,78 & -17,01 \\ -52,7 & -17,01 & 561,51 \end{pmatrix}$$

$$WITH^T Y = \begin{pmatrix} 724,1 & 41,44 \\ 12834 & 734,50 \\ 462 & 26,40 \end{pmatrix}$$

$$P = \begin{pmatrix} -4,5122 & -0,2371 \\ 1,1871 & 0,0778 \\ 40,3281 & 1,9969 \end{pmatrix}$$

P matrix<sup>T</sup>the values of the parameters of the reduced form of the estimated model are as follows:

$$P^T = \begin{pmatrix} -4,5122 & 1,1871 & 40,3281 \\ -0,2371 & 0,0778 & 1,9969 \end{pmatrix}$$

Hence, the model reduced after estimation has the following form:

The parameter matrix B for endogenous variables without time lags K and Z and the parameter matrix  $\Gamma$  for predetermined variables I, P and X in structured form are as follows:

$$B = \begin{pmatrix} 1 & -\beta_{12} \\ -\beta_{21} & 1 \end{pmatrix} \quad \Gamma = \begin{pmatrix} -\gamma_{11} & 0 & -\gamma_{13} \\ 0 & -\gamma_{22} & -\gamma_{23} \end{pmatrix}$$

Therefore, the system of equations  $BP^T = -\Gamma$  takes the form:

$$\begin{pmatrix} 1 & -\beta_{12} \\ -\beta_{21} & 1 \end{pmatrix} \begin{pmatrix} -4,5122 & 1,1871 & 40,3281 \\ -0,2371 & 0,0778 & 1,9969 \end{pmatrix} = \begin{pmatrix} -\gamma_{11} & 0 & -\gamma_{13} \\ 0 & -\gamma_{22} & -\gamma_{23} \end{pmatrix}$$

After performing the appropriate operations on the matrices, we obtain the following systems of equations:

$$\begin{aligned} -4.5122 + 0.2371\beta_{12} &= \gamma_{11} \\ 1.1871 - 0.0778\beta_{12} &= 0 \\ 40.3281 - 1.9969\beta_{12} &= \gamma_{13} \end{aligned}$$

and

$$\begin{aligned} 4.5122\beta_{21} + 0.2371 &= 0 \\ -1.1871\beta_{21} + 0.0778 &= \gamma_{22} \\ -40.328\beta_{21} + 1.9969 &= \gamma_{23} \end{aligned}$$

From the first equation we get:

$$\beta_{12} = 15.2584 \quad \gamma_{11} = -0.8944 \quad \gamma_{13} = 9.8586$$

From the second:

$$\beta_{21} = 0.0525 \quad \gamma_{22} = 0.0155 \quad \gamma_{23} = 0.1203$$

The final estimated model is as follows:

$$\begin{aligned} K &= 15.2584 Z - 0.8944 I + 9.8586 \\ Z &= 0.0525K + 0.0155P + 0.1203 \end{aligned}$$

EXAMPLE 2. The following model with interdependent equations was built:

$$\begin{aligned} P_t &= \beta_{12} WITH_t + \gamma_{211} S_t + \gamma_1 + \varepsilon_1 \\ WITH_t &= \beta_{23} k_t + \gamma_2 + \varepsilon_2 \\ k_t &= \beta_{32} WITH_t + \gamma_{232} AND_t + \gamma_3 + \varepsilon_1 \end{aligned}$$

Where:

- P – production in thous. pcs.,
- Z – employment in thous. people,
- K – value of fixed assets in PLN million,
- S – raw material consumption in thous. Tone,
- I – investment outlays in PLN billion.

Observations from the next 11 years are given in the table below:

| t  | p <sub>t</sub> | With <sub>t</sub> | k <sub>t</sub> | p <sub>t</sub> | i <sub>t</sub> |
|----|----------------|-------------------|----------------|----------------|----------------|
| 1  | 46             | 3.4               | 24             | 2.3            | 1.0            |
| 2  | 48             | 3.4               | 25             | 2.4            | 1.1            |
| 3  | 49             | 3.5               | 25             | 3.2            | 1.1            |
| 4  | 52             | 3.7               | 26             | 3.4            | 1.0            |
| 5  | 52             | 3.8               | 27             | 3.4            | 1.1            |
| 6  | 54             | 3.8               | 27             | 3.4            | 1.2            |
| 7  | 57             | 3.9               | 28             | 3.3            | 1.1            |
| 8  | 59             | 4.0               | 29             | 3.4            | 1.3            |
| 9  | 59             | 4.3               | 31             | 3.5            | 1.5            |
| 10 | 60             | 4.5               | 33             | 3.5            | 1.6            |
| 11 | 61             | 4.8               | 35             | 3.6            | 1.7            |

The first and third equations are uniquely identifiable, and the second equation is ambiguously identifiable.

The reduced form of the model after estimating the parameters using the classical method of least squares is as follows:

$$P_t = 5.7338 S_t + 11.8721 I_t + 20.9805$$

$$WITH_t = 0.2888 S_t + 1.4339 I_t + 1.1991$$

$$k_t = 1.6339 S_t + 11.9946 I_t + 7.9565$$

We determine the values of the evaluations of the structural parameters of the first and third equations of the original model. We get the following system of equations:

$$\begin{pmatrix} 1 & -\beta_{12} & 0 \\ 0 & 1 & -\beta_{23} \\ 0 & -\beta_{31} & 1 \end{pmatrix} \begin{pmatrix} 5.7338 & 11.8721 & 20.9805 \\ 0.2888 & 1.4339 & 1.1991 \\ 1.6339 & 11.9946 & 7.9565 \end{pmatrix} = \begin{pmatrix} \gamma_{11} & 0 & \gamma_1 \\ 0 & 0 & \gamma_2 \\ 0 & \gamma_{32} & \gamma_3 \end{pmatrix}$$

For the first equation we have a system of equations:

$$5.7338 - 0.2888\beta_{12} = \gamma_{11}$$

$$11.8721 - 1.4339\beta_{12} = 0$$

$$20.9805 - 1.1991\beta_{12} = \gamma_1$$

After solving this system, we have:  $\beta_{12} = 8.2796$   $\gamma_{11} = 3.3427$   $\gamma_1 = 11.0524$

For the third equation of the structural form we have the following system of equations:

$$-0.2888\beta_{31} + 1.6339 = 0$$

$$-1.4339\beta_{31} + 11.9946 = \gamma_{32}$$

$$-1.1991\beta_{31} + 7.9565 = \gamma_3$$

Hence we get:  $\beta_{31} = 5.6576$   $\gamma_{32} = 3.7720$   $\gamma_3 = 1.1726$

The above calculations result in the following equations:

$$P_t = 8.2796Z_t + 3.3427S_t + 11.0524$$

$$k_t = 5.6576Z_t + 3.7720 I_t + 1.1726$$

## Consumer theory – spending systems

The consumer theory known from microeconomics explains how income is spent on the purchase of goods and services using a behavioral model that assumes that consumer preferences reflect utility functions and that in an optimal consumption plan we maximize utility under a budget constraint.

To illustrate this, suppose we have  $D$  goods that have positive prices  $p = \begin{bmatrix} p_1 \\ \vdots \\ p_D \end{bmatrix}$  and the set of possible consumption plans  $q = \begin{bmatrix} q_1 \\ \vdots \\ q_D \end{bmatrix}$  denoted as  $Q$ . Then the optimal consumption plan  $q^* = \begin{bmatrix} q_1^* \\ \vdots \\ q_D^* \end{bmatrix}$  when  $m > 0$  is reached, it must meet the following conditions:

$$U(q^*) = \max u(q) \text{ for } q \in Q$$

$$p^T q^* = m$$

where  $u(q)$  is the utility function for the consumption plan  $q$ . The solution to this optimization problem is the system  $D$  of the demand function:

$$q_j^* (m; p_1, \dots, p_d), j = 1, \dots, D,$$

representing the optimal consumption  $D$  of goods at given prices  $p_1, \dots, p_d$  and given income  $m$ . Demand  $q_j^*(m; p_1, \dots, p_d)$  corresponds to the optimal monetary expenditure:

$$In_j^* (m; p_1, \dots, p_d) = p_j q_j^*(m; p_1, \dots, p_d).$$

Expenditure measurement errors or imperfect income allocations must be accounted for in the  $D$ -equation model, resulting in the following  $D$ -equation model:

$$y_{t1} = W_1^* (m_t; p_{t1}, \dots, p_{tD}) + \xi_{t1}$$

$$y_{tD} = W_d^* (m_t; p_{t1}, \dots, p_{tD}) + \xi_{tD}$$

where  $t$  is the observation number,  $y_t = [y_{t1} \dots y_{tD}]$  is the  $t$ th observed expenditure vector for all  $D$  goods, and  $\xi_{t,e}$  are random components representing errors in income allocation and expenditure measurement.

### EXAMPLE 1. Linear spending system

Suppose that consumer preferences are characterized by the so-called Stone – Geary utility function:

$u(q) = \prod_{j=1}^D (q_j - \mu_j)^{\delta_j}$ , where  $q_j > \mu_j \geq 0$ ,  $\mu_j$  is the necessary purchase of the  $j$ th good,  $\delta_j > 0$  ( $j = 1, \dots, D$ ) and  $\sum_{j=1}^D \delta_j = 1$ . The above utility function leads to the following  $D$ -equational expenditure model:

$$y_{t1} = \mu_1 p_{t1} + \delta_1 (m_t - \sum_{j=1}^D \mu_j p_{j,e}) + \xi_{t1}$$

$$y_{tD} = \mu_d p_{tD} + \delta_d (m_t - \sum_{j=1}^D \mu_j p_{j,e}) + \xi_{tD}$$

where  $\mu_j p_{j,e}$  is the necessary expenditure for the  $j$ th good ( $j = 1, \dots, D$ ), the difference in brackets is the so-called free decision fund, i.e. the part of income that remains after all necessary expenses have been made,  $\delta_j$  is interpreted as the share of spending on the  $j$ th good in the free decision fund.

The expenditure of an individual consumer depends on his income and on the prices of goods, while these expenditures do not affect the level of income and prices. In the model of a linear expenditure system, expenditures are linearly dependent on exogenous variables, hence its name.

A linear expenditure system can be presented in a matrix notation as:

$$y_t + x_t \Gamma = \xi_t$$

Where:

$$y_t = [y_{t1} y_{t2} \dots y_{tD}]$$

$$x_t = [p_{t1} p_{t2} \dots p_{tD} m_t]$$

$$\xi_t = [\xi_{t1} \xi_{t2} \dots \xi_{tD}]$$

$$(\delta_1 - 1) \mu_1 \delta_2 \mu_1 \dots \delta_d \mu_1$$

$$\delta_1 \mu_2 (\delta_2 - 1) \mu_2 \dots \delta_d \mu_2$$

$$\Gamma = \delta_1 \mu_d \delta_2 \mu_d \dots (\delta_d - 1) \mu_d; -\delta_1 - \delta_2 \dots -\delta_d$$

When estimating the model, remember that:

1. matrix  $\Gamma$  of dimensions  $(D+1) \times D$ , has  $(D+1)D$  elements that are functions of only  $2D - 1$  free structural parameters  $\mu_1, \dots, \mu_D, \delta_1, \dots, \delta_{D-1}$   
( $\delta_d = 1 - \delta_1 - \dots - \delta_{D-1}$ )
2. so that the budget constraint  $[y_{t1} + \dots + y_{tD} = m_t]$  was met, the random components of the individual equations must add up to zero:  $\xi_{t1} + \dots + \xi_{tD} = 0$ , so they must be linearly related.

## Exponential smoothing

Exponential smoothing has become very popular as a forecasting method for many types of time series. This method was developed independently by Brown and Holt. Brown worked for the US Navy during World War II where he was assigned to develop a target tracking system used to locate submarines for fire control purposes. He later applied the technique to forecast demand for spare parts. Simple exponential smoothing model would be to consider each observation as consisting of a constant ( $b$ ) and a random component (epsilon), that is:  $X_t = b + [ALFA - 1]$ . The constant  $b$  is relatively stable, that is, it can change slowly over time. If this is the case, one way to determine the true value of  $b$ , and therefore the systematic or predictable part of

the series, is to compute a type of moving average where the current and immediately preceding (“younger”) observations are given more weight than the corresponding older observations. Simple exponential smoothing performs such a weighting where older observations are assigned exponentially smaller weights. The formula for simple exponential smoothing looks like this:  $s_t = X_t + (1-r) \times S_{t-1}$ ; where:  $X_t$  – the observed values of the series, and  $S_t$  – the smoothed values.

Following a recursive procedure, each new smoothed value is computed as a weighted average of the current observation and the previous smoothed observation; the previous smoothed observation was computed again from the previous observed value and the smoothed value before the previous observation, etc. Thus, consequently, each smoothed value is a weighted average of the previous observations, with the weights decreasing exponentially depending on the value of the parameter (alpha). If ALFA is equal to 1 (one), then previous observations are completely ignored; If ALFA is 0 (zero), then the current case is completely ignored, and the smoothed value consists entirely of the previous smoothed value (which in turn is computed from the smoothed case before it, etc.; thus all smoothed values will be equal to the initial smoothed value  $S_0$ ). Intermediate values ALFA will give intermediate smoothed values<sup>16</sup>.

Although much research has been done on the theoretical properties of (simple and complex) exponential smoothing, the method gained popularity mainly because of its usefulness as a forecasting tool<sup>17,18</sup>. For example, an empirical study by Makridakis et al. (1982, Makridakis, 1983) showed that simple exponential smoothing produced the best one-period-ahead predictions out of 24 other time-series methods and using various measures of forecast accuracy (see also Gross and Craig, 1974 for other empirical examples). Thus, regardless of the theoretical model of the process behind the observed time series, simple Exponential Smoothing often provides quite accurate predictions.

Choosing the best parameter value ALFA( alpha). Gardner<sup>19</sup> considers various theoretical and empirical arguments for choosing a particular value for the equalization parameter. Of course, according to the formula presented earlier, should be between 0 (zero) and 1 (although Brenner<sup>20</sup> describes equalization for the ARIMA model where  $0 < A < 2$ ). Gardner (1985) reports that practitioners generally recommend that a value be less than 0.3. In practice, the smoothing parameter is often selected by a network search of the parameter space; that is, different solutions are tried starting, for example, with a value  $A = 0.1$  to  $B = 0.9$ , with an increment of 0.1. Then chooses A so as to obtain the least sum of squares (or least mean square) of the

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<sup>16</sup> [https://www.statsoft.pl/textbook/stathome\\_stat.html?https%3A%2F%2Fwww.statsoft.pl%2Ftextbook%2Fstimser.html](https://www.statsoft.pl/textbook/stathome_stat.html?https%3A%2F%2Fwww.statsoft.pl%2Ftextbook%2Fstimser.html)

<sup>17</sup> See more: E. McKenzie, General exponential smoothing and the equivalent ARMA process, “Journal of Forecasting” 1984; 3: 333-344.

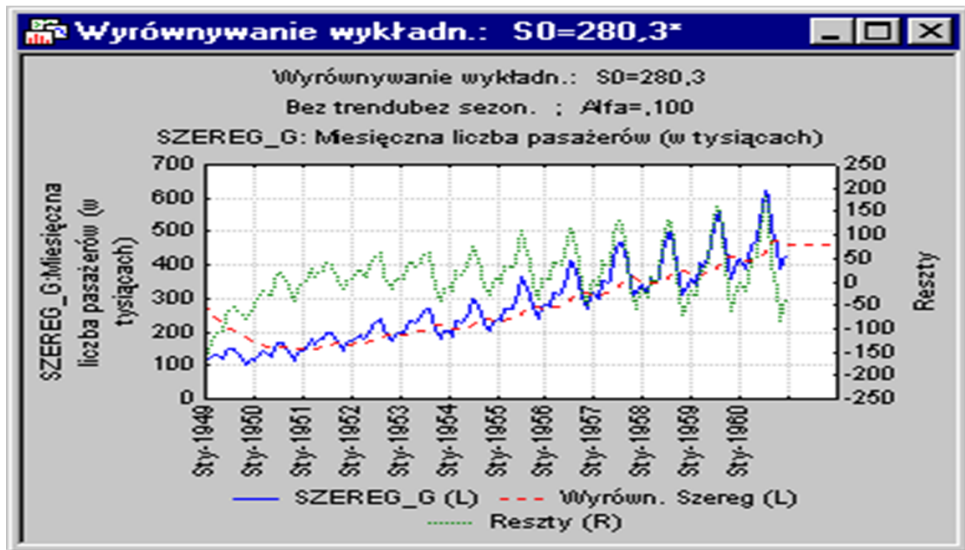
<sup>18</sup> E. McKenzie, Comments on ‘Exponential smoothing: The state of the art’ by E. S. Gardner, “Journal of Forecasting” 1985; 4: 32-36.

<sup>19</sup> E. S. Gardner Jr., Exponential smoothing: The state of the art, “Journal of Forecasting” 1985; 4: 1-28.

<sup>20</sup> J. L. Brenner, Difference equations in forecasting formulas, “Management Science” 1968; 14: 141-159.

difference between the empirical values and the values projected one period ahead; it is called ex post mean square error, abbreviated ex post MSE.

The easiest way to assess the accuracy of forecasts obtained at a specific value ALFA is to plot the observed values and forecasts one step ahead. This plot may also contain residuals (scaled on the right side of the y-axis), based on which it is easy to identify areas of better and worse fit.



Source: *statistica STAT*

Visually checking the accuracy of predictions is often the most powerful method for determining whether the current exponential equalization model fits the data. In addition to the ex post MSE criterion, there are other statistical measures of error that can be used to determine the optimal value of a parameter (see Makridakis, Wheelwright and McGee, 1983):

- Mean Error – The mean error (ME) value is calculated as the simple arithmetic mean error value (the average difference between the observed and forecast values one period ahead). Of course, the disadvantage of this measure is that positive and negative error values cancel each other out, so this measure is not a good indicator of overall fit.
- Mean Absolute Error – The value of the mean absolute error (MAE) is calculated as the average of the absolute values of the forecast error. If this value equals 0 (zero), the fit (forecast) is perfect. Compared to the value of the mean squared error, this measure of fit is less sensitive to outliers, that is, extremely large error values will affect the MAE value less than the MSE value. Sum of squares of the residuals (SSE), variance of the residual component. These values are calculated as the sum or mean of the square of the residuals, respectively. This is a very commonly used indicator of lack of fit in statistical fitting procedures.



- Percentage error (PE) – All of the above measures are based on the actual error value. However, it may seem reasonable to express the lack of fit in terms of the relative deviation of the predictions one step ahead of the observed values, that is, relative to the magnitude of the observed values. For example, when trying to predict monthly turnover, which can fluctuate severely (e.g., seasonally) from month to month, we may be satisfied if our prediction “hits the target” with about 10% accuracy. In other words, from a forecasting perspective, absolute errors may not be as interesting as relative errors. Various metrics have been proposed for estimating absolute error. The first, the percentage error value, is calculated as:  $PE_t = 100 \cdot (X_t - F_t) / X_t$ ; where:  $X_t$  is the observed value at time  $t$ , and  $F_t$  denotes the forecast (smoothed value).
- Mean percentage error (MPE) – this value is calculated as the average of the PE values. Mean absolute percentage error (MAPE). As with the mean error value (ME, see above), a mean percentage error close to 0 (zero) can be the result of positive and negative percentage errors canceling each other out. Thus, a better measure of relative overall fit is the mean absolute percentage error. In addition, this measure is usually easier to interpret than the variance of the residual component. For example, knowing that the average forecast deviates by 5% from actual values is a useful result in itself, while knowing that the variance of the residual component is equal to 30.8 is not directly interpretable.

Automatic search for the best value of the parameter. The quasi-Newtonian function minimization procedure (the same as in ARIMA models ) is used to minimize either the mean squared error or the mean absolute percentage error. In most cases, this procedure is more efficient than network search (especially when more than one parameter needs to be determined), and the optimal value can be identified relatively quickly. The first smoothed value of  $S_0$ . The last issue, which we have not addressed so far, is the problem of the initial value or how to start the smoothing process. If we go back to the formula shown above, we see that in order to calculate the smoothed value (forecast) for the first observation in the series, we need a value of  $S_0$ . Depending on the choice of value (i.e., when it is close to zero), the initial value of the smoothing process can affect the quality of forecasts for many observations. As with most other aspects of exponential equalization, it is advisable to choose the initial value that gives the best predictions. On the other hand, in practice, when we have many preceding observations before the actual forecasted values, the initial value will not affect the forecasts as much, because its influence will fade due to exponentially decreasing weights (the older the observation, the less its influence on the forecast will be).

## Conclusions

Data management is an administrative process that involves acquiring, validating, storing, protecting and processing the required data to ensure that information is available, reliable and timely for users. Organizations and enterprises have quite

recently been using massive amounts of data to make business decisions and gain deep insights into customer behavior, trends and opportunities to create exceptional customer experiences.

To add up the vast amount of knowledge that businesses collect, analyze and store today, companies are looking into data management solutions and platforms. Data management solutions make processing, validation and other essential functions simpler and less time-consuming.

Leading data management platforms allow companies to leverage Big Data from all data sources, in real time, to more easily engage with customers and increase customer lifetime value (CLV). Data management software is important because we are creating and consuming data at an unprecedented rate. The best data management platforms give companies and organizations a 360-degree view of their customers, and thus the full visibility needed to gain the deep, critical insights into consumer behavior that give brands a competitive advantage.

While some companies are good at collecting data, they don't manage it tolerably well to make sense of it. Simply collecting data is not enough; companies and organizations must understand from the outset that data management and analysis will only be effective if they first think about how they gain value from their data. They will then go beyond data collection with effective systems for processing, storing and validating data, including as effective analytical strategies.

Another knowledge management challenge arises when companies categorize data and organize it without first considering the answers they hope to get from the information. Every step of knowledge gathering and management must lead to the acquisition of relevant data and its analysis in order to extract the useful information needed to make data-driven business decisions.

The best thing to do through data management, and ultimately get the insights needed to make data-driven decisions, are to start with a business question and get the information needed to answer that question. Companies need to gather massive amounts of data from a variety of sources, and then use best practices when reviewing methods for storing and managing information, cleaning and extracting information, and then analyzing and visualizing the information to inform their business decisions.

It's important to remember that data management best practices end with better analytics. By properly managing and preparing information for analysis, companies optimize their Big Data.

A mature organization is able to run many different projects simultaneously, during which it excels at managing data, applications, budgets and available resources. Each project accomplishes its goals and often reaches the set business objective with more or less slippage. During the course of projects, business users are confronted with the same data from different source systems, but it appears in different standards, resulting in additional time needed for reconciliation and verification. End users of analysis and reports encounter inconsistencies between different reports and don't know where the inconsistencies come from, as neither source has adequate documentation or it is difficult to access.

From these examples, it can be seen that implementing a comprehensive data management strategy is first and foremost a time-saver, but also a much better use of any organization's existing resources. By implementing the right data management culture, organizations also have a chance to avoid data security incidents that can significantly damage their reputation.

Modern companies such as Interamerican, which wants to become a fully digital insurance company, know that trust is of paramount importance in terms of customer retention. The company focused on data governance as part of the rollout of its data management strategy, which involved identifying data owners, data processing locations, analyzing risks, and putting in place appropriate security policies. The company felt that these were key aspects that would reassure customers that their data was safe.

A comprehensive data management strategy can be thought of as a journey map that systematizes all data activities. This will ensure that every data processing or analysis activity will either use existing elements or add new ones that can be easily retrieved and used by others. In addition, all initiatives will be carried out with respect to relevant policies and procedures, ensuring an appropriate level of security and trust in the organization.

A comprehensive data management strategy consists of four key elements:

The first is identification. Here we are talking about processes to identify data and its meaning, as well as to catalog it. To support this, the recently popular data catalogs (data catalogs) found in solutions supporting data governance processes from various vendors are used.

The second element is storage and sharing. The main goal is to create mechanisms that are simple, but also secure and accessible. This is where virtualization mechanisms can help, allowing data stored in different ways to be shared in one place. It is worth highlighting a fundamental change in the approach to data sharing. It is crucial to implement reusability thinking in every data sharing process, even one-off ones. Related to reusability is the documentation and standardization of data, so that each subsequent user can find and retrieve it independently.

The third element is processes. Processes are supposed to support individual users in independently obtaining the necessary ready-to-use data from various systems. To get ready-to-use data, users must have free access to both the appropriate tools and the processes that will prepare it.

The last element is data governance, that is, the implementation, communication and management of policies and mechanisms for the effective use of data. Nowadays there are simply too many different systems and data sources for individuals to remember. It shouldn't be the case that knowledge of an organization's key resource – data – is passed verbally between individuals within the company.

The idea of a comprehensive data management strategy is not to build a perfect solution that will anticipate all possible cases. The strength lies in its ability to evolve with the entire organization. When new needs arise, existing mechanisms should be able to detect them. In addition, necessary changes should be identified

and implemented to develop existing procedures or processes. A comprehensive data management strategy is a plan of action and conduct for today's and future data management needs.

The next step in building a competitive advantage is to apply advanced analytics to key business processes. With the right data culture, embedding your operations strategy on analytics can begin to yield tangible benefits in a short period of time.

For years, the European Union has placed great emphasis on data sharing between countries and institutions, in order to improve the lives of citizens, strengthen European companies and achieve the mission of a united Europe, and to develop a data-driven economy.

The task of the new Data Governance Act regulations is primarily to increase market confidence in the sharing process and to ensure the security of processed data. For companies and government institutions, this means benefits in terms of sharing information and promoting their activities, but also the need to develop data management policies.

Free flow of data is a priority in the development of EU digital policy. In its data strategy, the Commission described a vision of a common European data space, a single “market” for data where it could be used regardless of its country of origin.

The idea is to realize the potential of using voluntarily shared data for general interest purposes. Such purposes include health care, combating climate change, improving mobility, facilitating the production of official statistics or improving the delivery of public services.

The draft European Data Governance Act, published in November 2020, is a strategic level document. Thus, we won't find in it provisions on maintaining the data model, overseeing its quality or security. Instead, there are guidelines clearly indicating the need for Data Governance activities due to the overarching goal of ensuring that each entity has control over the processing and exchange of data. This assumption is shared by entities that share data (providers), as well as those who use it - intermediaries and recipients. Such a sense of oversight should increase the level of public confidence in the use of data and the development of various solutions, including business ones, and contribute to strengthening the mechanisms that define the rules for data exchange in accordance with other regulations in force across Europe, such as RODO.

The risk that member states will increasingly regulate data issues in an uncoordinated manner, fragmenting the single “market” for data access, has also been recognized.

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## SELECTED ISSUES OF MODELLING AND SIMULATION IN THE TEACHING OF ECONOMIC COURSES IN TRANSPORT, LOGISTICS AND MANAGEMENT

### *Wybrane zagadnienia modelowania i symulacji w dydaktyce przedmiotów ekonomicznych z zakresu transportu, logistyki i zarządzania*

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#### **Streszczenie**

*Ekonomia matematyczna to generalnie kierunek w ekonomii zajmujący się badaniem szeroko pojętych zjawisk gospodarczych przy użyciu różnorodnych technik matematycznych, takich jak analiza szeregów czasowych czy programowanie dynamiczne. Współczesna ekonomia w coraz większej mierze odwołuje się do tych metod (choćby poprzez modele równowagi ogólnej gospodarki itp.), niemniej podział na matematyczny i instytucjonalny nurt w ekonomii jest wciąż widoczny. Jednymi z podstawowych zagadnień ekonomii matematycznej są modele wzrostu gospodarczego, równowagi ogólnej oraz analizy elastyczności cenowej, dochodowej, krzyżowej i efektywności społecznej, wymiany, konsumenta czy producenta.*

**Słowa kluczowe:** *ekonomia matematyczna, symulacje, prognozowanie, podejmowanie decyzji, ekonomia menedżerska, efektywność, racjonalność, logistyka, transport*

## Summary

Mathematical economics is generally a direction in economics that deals with the study of broad economic phenomena using a variety of mathematical techniques, such as time series analysis or dynamic programming. Modern economics increasingly refers to these methods (if only through general equilibrium models of the economy, etc.), but the division between the mathematical and institutional strands in economics is still apparent. Some of the basic issues of mathematical economics are models of economic growth, general equilibrium and analyses of price elasticity, income, cross-elasticity and social efficiency, exchange, consumer or producer.

**Key words:** mathematical economics, simulation, forecasting, decision-making, managerial economics, efficiency, rationality, logistic, transport

## Introduction

Simulation is the process of reproducing the properties of a given phenomenon (process) or space that occur in nature but are difficult to study and repeat. It allows you to conduct measurements and research at a selected place and time; making-based on given model and using spreadsheets, appropriate calculations, which then allow us to get an idea of the efficiency of the model or constitute a basis for drawing conclusions about the behavior of the system described by the economic model. The reason for creating simulation models is not only the desire to learn about reality and the laws governing it, but also to explore the possibilities of influencing the phenomena surrounding us, to study phenomena in other conditions and in the future<sup>1,2,3,4,5</sup>. A mathematical model is a set of symbols and mathematical relations along with absolutely strict rules for operating them. Symbols and relationships refer to specific elements of the reality we study. The model describes a given phenomenon using variables whose values may belong to various values, e.g. integers, real numbers, logical

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<sup>1</sup> More: J. Górka, W. Orzeszko, W. Wata, *Mathematical economics: materials for exercises*, C.H. Beck Publishing House, Warsaw 2009.

<sup>2</sup> M. Gruszczyński, M. Podgórska, *Econometrics*, SGH, Warsaw 2004.

<sup>3</sup> E. Panek, *Mathematical economics*, AE in Poznań, Poznań 2003.

<sup>4</sup> E. Panek, *Fundamentals of mathematical economics. Materials for exercises*, AE in Poznań, Poznań 2002.

<sup>5</sup> T. Tokarski, *Mathematical economics. Macroeconomic models*, PWE, Warsaw 2011.



values, etc.<sup>6,7,8,9,10,11,12,13</sup>. Mathematical modeling is used in many areas of life, mainly in those where there is repeatability or similarity of events, i.e. in economic sciences.

Economic decisions are those whose consequences we consider in terms of profits and losses, so before we make them, we analyze the situation, establish decision selection criteria and look for optimal solutions. In such cases, methods of quantitative research of regularities occurring in economic phenomena, which could be broadly called econometrics, turn out to be helpful. Economic research uses a variety of methods developed by many disciplines of mathematics, primarily mathematical analysis, linear algebra, probability theory, mathematical statistics, mathematical programming, operations research, the theory of stochastic processes, differential and difference equations, stochastic differential equations, etc. Mathematical modeling is present in macro and microeconomics, business management, marketing, economic logistics, transport economics, regional management, finance, banking and insurance.

In practice, simulation methods can be divided into two basic classes<sup>14,15,16,17</sup>:

- deterministic simulation – random components of the model are omitted, which – in linear models – means operating with the expected values of individual variables,
- stochastic simulation – the random component and the properties of its distribution are taken into account (vprogramthen an appropriate subroutine must be built into the computational engine that generates the implementation of the random component and takes into account the actual properties of its distribution).

An economic model is used to obtain a simplified view of reality. Trying to present the entire economic reality is pointless and doomed to failure due to the infinite number of details. The simplifying assumptions of an economic model may concern any issue:

- e.g. earningsociety(every citizen has the same salarynational average),
- state foreign policy (the state does not maintain any economic relations with foreign countries),
- or basic economic categories such asprice: (the price for a given service will not change within two years) orinflation(it will remain constant within two years).

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<sup>6</sup> More: W. Kulapa, *Mathematical aspects of economics*, Cardinal Stefan Wyszyński University Publishing House, Warsaw 2008.

<sup>7</sup> H. Kordzikowski, *Life insurance contract*, Faktor, Wrocław 1999.

<sup>8</sup> W. Ronka-Chmielowiec, *Risk in insurance - assessment methods*, AE, Wrocław 1997.

<sup>9</sup> T. Sangowski, *Business insurance*, Poltext, Warsaw 1998.

<sup>10</sup> T. Bednarski, *Elements of mathematics in economic sciences*, Oficyna Ekonomiczna, Warsaw 2004.

<sup>11</sup> S. Kanas, *Fundamentals of mathematical economics*, PWN, Warsaw 2011.

<sup>12</sup> E. Panek, *Mathematical...* op. cit.

<sup>13</sup> E. Panek, *Fundamentals...* op. cit.

<sup>14</sup> L. R. Klein, *Lectures on econometrics*, North-Holland, Amsterdam 1983, pp. 108-140.

<sup>15</sup> A. Maciąg, *Forecasting and simulation in the enterprise*, PWE, Warsaw 2013, p. 149-150.

<sup>16</sup> M. Pawlak, *Symulacja Monte Carlo w analizie ryzyka projektów inwestycyjnych*, „Zeszyty Naukowe Uniwersytetu Szczecińskiego. Finanse, Rynki Finansowe, Ubezpieczenia” 2012; 51: 83-94.

<sup>17</sup> Z. Pawłowski, *Elements of econometrics – textbook*, PWN, Warsaw 1981, p. 302-307.

Types of economic models:

- permanent income model,
- diffusion model,
- hierarchy of effects model,
- IS-LM model,
- one-step preference model,
- Solow growth model,
- Baumol-Allais-Tobin (BAT) model.

Conducting a simulation enables the analysis of the process in various variants, which are verified virtually, so they do not affect the process activity in real time. However, based on well-developed control parameters consistent with the actual situation, it can be concluded with high probability that the analyzed process variant has a chance of being implemented in economic reality. Every simulation requires the definition of basic principles<sup>18</sup>:

- in the case of complex processes subject to simulation, it is necessary to select the appropriate tool used for simulation and detailed modeling of the parameters of the analyzed process and the system in which it operates, define the input data and determine the goal;
- in the case of flexible processes subjected to simulation, it is necessary to frequently change the values of control parameters;
- basing the analysis on average parameter values carries the risk of incorrect interpretations;
- the simulation must be performed at the appropriate time to achieve the greatest benefit.

The simulation model design procedure includes the following stages:

- identification of the object being simulated using one of two approaches: top-down, in which the main process is detailed into sub-processes and activities; bottom-up, which starts with defining all activities and, in the next stage, grouping them into sub-processes and main processes;
- developing diagrams of the process being simulated using IT tools (the number of hierarchy levels depends on the detail of the analyzed process);
- collecting input data and parameters and then entering them into the simulation model;
- model verification, which involves comparing the behavior of the simulation model with the actual behavior of a given system.

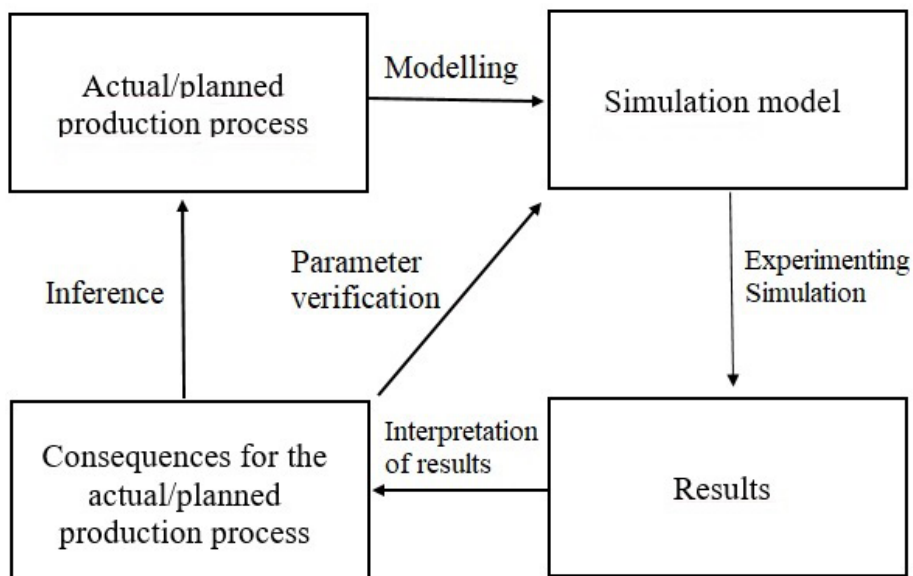
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<sup>18</sup> Citation: A. Koliński, B. Śliwczynski, P. Golińska-Dawson, The use of simulation as a tool supporting the process of assessing production efficiency in manufacturing enterprises, "e-mentor" 2018; 3(75): 80-90.

## Simulation

Simulation is one of the methods of quantitative analysis of decision-making problems, the main advantage of which is the ability to evaluate solutions without the need to implement them in the market reality. A very common solution is to use spreadsheets for simulation, but they can only be used for simple simulation processes that do not require graphical representation. Specialized simulation programs enable simulations in a wide analytical range and often require the programming of dedicated macrodefinitions. The complexity of the production process makes the construction of simulation models time-consuming and error-prone<sup>19</sup>.

The methodology for carrying out simulation verification is based on the basic assumption of multiple simulation, presented in Figure 1.



**Figure 1.** Classic multiple simulation process setup

Source: K. H. Dullinger, *Simulation in der Logistik – new Anwendungsfelder*, “LogForum” 2009; 5(3): 2

The effectiveness assessment model should include an analysis of the process both in economic (financial and cost) terms and in operational terms. The goals and measures of the production process efficiency analysis should result from the company’s vision and strategy. An analysis of the efficiency of the production process should be considered complete when it refers not only to those measures that concern past results, but also to measures that allow for anticipating the impact on future results.

<sup>19</sup> G. Kłosowski, The use of computer simulation in controlling the furniture production flow, “Enterprise Management” 2011; 2: 29-37.

Process simulation capabilities have a significant impact not only on the implementation of production processes, but also logistics throughout the supply chain.

## Marginal function

Mathematical economics is a major ineconomics, which studies economic phenomena and processes based on techniques mathematical. One of the basic issues of mathematical economics are model economic growth and job search. For most people, economics, due to numbers, is associated with mathematics and this is partly why they do not intend to deal with it. However, just as knowledge of mathematics is certainly useful in everyday life, economics is not a science detached from reality<sup>20,21,22,23,24,25,26,27,28,29,30</sup>. The reason for creating models is not only the desire to learn about reality and the laws governing it, but also to explore the possibilities of influencing the phenomena surrounding us, examining phenomena in other conditions and in the future.

## Assumptions

$R = [0, \infty]$ . Function  $C: R \rightarrow R$  describes the cost of producing a certain good depending on the number of units produced. For  $x \in R$ , the quantity  $C(x)$  means the cost of producing  $x$  units of the good. We will call function  $C$  the total cost function. Further, for  $x > 0$ , the quantity:  $c(x) = C(x)$ . Therefore, the function  $c: (0, \infty) \rightarrow R$  is called the average cost function. Let  $x_0 \in R_+$ ,  $\Delta x > 0$  then the difference quotient<sup>31</sup>:

$$\frac{C(x_0 + \Delta x) - C(x_0)}{\Delta x},$$

means the average cost of producing additional  $\Delta x$  units of a good at the production level  $x_0$ .

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<sup>20</sup> More: T. Tokarski, *Mathematical economics. Microeconomic models*, WNT, Warszawa 2011.

<sup>21</sup> H. U. Gerber, *Life insurance mathematics*, Springer-Verlag, Berlin 1990.

<sup>22</sup> D. Bego, S. Fischer, R. Dorenbusch, *Microeconomics*, PWE, Warsaw 2007.

<sup>23</sup> W. Kulapa, *Mathematical aspects...* op. cit.

<sup>24</sup> H. Kordzikowski, *Life insurance...* op. cit.

<sup>25</sup> W. Ronka-Chmielowiec, *Risk...* op. cit.

<sup>26</sup> T. Ssangowski, *Business...* op. cit.

<sup>27</sup> T. Bednarski, *Elements...* op. cit.

<sup>28</sup> S. Kanas, *Fundamentals...* op. cit.

<sup>29</sup> E. Panek, *Mathematical...* op. cit.

<sup>30</sup> E. Panek, *Fundamentals...* op. cit.

<sup>31</sup> Analysis cited from: *Fundamentals of Mathematical Economics*. Online: <https://docplayer.pl/56946316-1-zastosowanie-rachunku-ro-niczkowy-i-caakowy-w-ekonomii.html>.

$$C'(x_0) := \lim_{\Delta x \rightarrow 0} \frac{C(x_0 + \Delta x) - C(x_0)}{\Delta x},$$

if it exists, we call it the seamstress (marginal) cost of production at the production level  $x_0$ . Assuming the differentiability of the function  $C$ , the function  $C_0$  is called the marginal cost function. We also have that for small  $\Delta x \Rightarrow C(x_0 + \Delta x) - C(x_0) \approx C_0(x_0) \Delta x$ , which, considering  $\Delta x = 1$  as a small quantity, gives approximate information that if we increase production from level  $x_0$  units by one unit, the production cost will increase by  $C_0(x_0)$ . The production volume  $x_0$  for which the average cost  $c(x)$  of producing a unit of a given good by the enterprise reaches the lowest value is called the technological optimum.

Example – the cost of producing  $x$  units of production for  $x \geq 0$  is determined by the function  $C(x) = x^3 - 60x^2 + 1528x$ . The marginal cost function, i.e. the derivative of function  $C$ , has the form  $C_0(x) = 3x^2 - 120x + 1528$ . For an output of  $x = 5$ , the cost of producing an additional unit will be  $C(6) - C(5) = 7224 - 6265 = 959$ , and the marginal cost has the value  $C_0(5) = 1003$  units, so using the marginal cost interpretation gives a very approximate result. If  $x = 100$ , then the cost of producing an additional unit is  $C(101) - C(100) = 572,569 - 552,800 = 19,769$ , and the marginal cost is  $C_0(100) = 19,528$  units. So we see that even using the value of producing an additional unit of a good approximated by the marginal cost function, we can draw the conclusion that increasing production is more profitable at the level of production  $x = 5$  units than at the level of  $x = 100$  units. Then the average cost is determined by a function of the form:

$$c(x) = \frac{C(x)}{x} = x^2 - 60x + 1528.$$

We therefore have that the minimum value of the function  $c$  is achieved for  $x = 30$ . Therefore, the production volume  $x = 30$  is the technological optimum. Note also that  $c(30) = 628 = C_0(30)$ .

Let  $x_0$  be the technological optimum, then  $c(x_0) = C_0(x_0)$ . Let  $x_0$  be the production quantity. Since  $x_0$  is the technological optimum, then:

$$c'(x_0) = 0 \Leftrightarrow \left( \frac{C(x)}{x} \right)'_{x=x_0} = 0$$

$$\frac{C'(x_0)x_0 - C(x_0)}{x_0^2} = 0$$

Hence:

That is:

$$\frac{C(x_0)}{x_0} = C'(x_0),$$

therefore:  $c(x_0) = C_0(x_0)$ .

The last equality means that the marginal cost curve intersects the average cost curve at the point marking its minimum.

Let's assume that a certain company sells goods. Let  $x \geq 0$  denote the number of

units of the product sold by this plant. Let us denote by  $U(x)$  the total revenue, i.e. the revenue from the sale of  $x$  units of goods. The function  $U : \mathbb{R}^+ \rightarrow \mathbb{R}^+$  is therefore a function of total revenue, i.e. a function describing the amount that the company will receive for selling  $x$  units of goods. Assuming that  $U$  is a differentiable function, the rate of change of the plant's revenue when selling  $x$  units is:

$$U'(x) = \lim_{\Delta t \rightarrow 0} \frac{\Delta U}{\Delta x} .$$

As in the case of cost,  $U_0$  is called the marginal revenue function. Therefore, marginal revenue  $U_0$  is equal to the increase in sales if we increase it by an additional unit of goods. Let's assume that a certain plant produces and sells a product. Let  $Z(x)$  denote the total profit of the enterprise when producing and selling  $x$  units of the product.

The function  $Z : \mathbb{R}^+ \rightarrow \mathbb{R}^+$  is called the total profit function. Therefore:  $Z(x) = U(x) - C(x)$  for  $x \geq 0$ , where  $U(x)$  means revenue and  $C(x)$  the total cost of producing  $x$  units of a given product. Hence, if  $x_0$  is the production volume for which the company achieves maximum profit, then  $C_0(x_0) = U_0(x_0)$ , i.e. the marginal cost for production of  $x_0$  is equal to the marginal revenue for  $x_0$ .

Example – the sales price of the product is  $r$  wine  $p(x) = 40 - 0.03x$ , where  $x$  is the number of units of the product. The total cost of  $x$  units of a product in a certain plant is given by the formula  $C(x) = 0.01x^2 + 20x + 225$ . For what production volume is the profit per unit of product the highest?

$C'(x) = 0.02x + 20$ ,  $Z(x) = xp(x) - C(x) = 20x - 0.04x^2 - 225$ ,  $Z_0(x) = -0.08x + 20$ .

Let  $x_0$  be the production volume corresponding to the maximum profit, then  $U_0(x_0) = C_0(x_0)$ , whence  $x_0 = 250$ .

## Functional flexibility

Economic models (or parts of models) are often expressed using mathematical functions. A function is a measure of the sensitivity of one variable to changes in another, used in economics. For example supply elasticity measures the response of the quantity offered (supply) of the goods to the change of its price<sup>32</sup>. Demand elasticity- is a concept used to measure the strength with which demand responds to changing prices. This concept is based on the assumption that income and other prices have not changed<sup>33,34</sup>. Price elasticity of demand is the ratio of the relative (percentage) change in the quantity demanded to the relative (percentage) change in its price. Cross price elasticity of demand for good  $i$  relative to changes in the price of good  $j$  is the relationship between the relative (percentage) change in the demand for

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<sup>32</sup> T. C. Bergstrom, H. R. Varian, *Microeconomics – exercises*, PWN, Warsaw 2003.

<sup>33</sup> M. Rekowski, *Introduction to microeconomics*, Polsoft-Akademia, Poznań 1994.

<sup>34</sup> D. Rommer, *Macroeconomics for advanced*, PWN, Warsaw 2000.

good  $i$  and the relative (percentage) change in the price of the good. Income elasticity of demand is the ratio of the relative (percentage) change in demand for a specific good to the relative (percentage) change in income. Arc elasticity of demand is the ratio of the change in one variable to the relative change in another variable, measured on a discrete interval between two points on the curve. It can be measured directly<sup>35</sup>. Point elasticity is the limit of arc elasticity when the distance between these points approaches zero. Point elasticity cannot be measured directly; it can be measured by statistical inference based on current observations<sup>36</sup>. The elasticity of imports with respect to domestic demand determines the ratio of the growth rate of imports to the growth rate of domestic demand<sup>37</sup>.

In economics, functions often describe cause and effect. The variable on the left side of the equation is the explained variable (“effect”). The variables on the right are explanatory variables (“causes”). For example,  $y = b + mx$ . A variable is a quantity that can take on a certain range of values. In the above equation of the line,  $x$  and  $y$  are variables, with  $x$  on the horizontal axis,  $y$  on the vertical axis, and  $b$  and  $m$  are parameters determining the shape of the line<sup>38</sup>. For example, in the equation:  $y = 10 + 4x$ , describing a specific linear function, the parameter  $b$  is 10 and the parameter  $m$  is equal to 4<sup>39</sup>. Let  $f: (a, b) \rightarrow \mathbb{R}$ ,  $((a, b) \subset \mathbb{R}^+)$ ,  $x_0 \in (a, b)$  and let  $\Delta x$  be an increment such that  $(x_0 + \Delta x) \in (a, b)$ . The relative increase in the value of the function  $f$  for the argument  $x_0$  and the increase  $\Delta x$  is the number:  $\frac{\Delta y}{y} := \frac{f(x_0 + \Delta x) - f(x_0)}{f(x_0)}$ , as long as  $f(x_0) \neq 0$ .

Number  $\frac{\Delta x}{x_0}$  we call the relative argument increment for the argument  $x_0$ . The average elasticity  $[E_{x_0, \Delta x} f]$  of the function  $f$  in the interval  $(x_0, x_0 + \Delta x)$  is the ratio of the relative increase of the function to the relative increase of the argument:

$$\frac{f(x_0 + \Delta x) - f(x_0)}{f(x_0)} \cdot \frac{x_0}{\Delta x}$$

The elasticity of the function  $f$  at the point  $x_0$  is called the limit (if it exists):  $\lim_{\Delta x \rightarrow 0} E_{x_0, \Delta x} f$  and we denote  $E_{x_0} f$ . For example, if  $\Delta x = 0.01x_0 = 1\% x_0$ , then:

$$E_{x_0} f \approx E_{x_0, \Delta x} f = \frac{f(x_0 + \Delta x) - f(x_0)}{f(x_0)} \cdot 100\%$$

The elasticity  $E_{x_0} f$  is therefore (approximately) a measure of the average percentage increase in the value of the function  $f$ , corresponding to an increase in the value of the argument  $x$  by 1%.

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<sup>35</sup> P. A. Samuelson, W. D. Nordhaus, *Economics*, PWN, Warszawa 2004.

<sup>36</sup> J. Black, *Dictionary of Economics*, PWN, Warsaw 2008.

<sup>37</sup> J. Bremond, J. F. Couet, M. M. Salort, *Compendium of knowledge about economics*, PWN, Warsaw 2005.

<sup>38</sup> Quoted in: S. A. Greenlaw, D. Shapiro, W. Karpa, P. Maszczyk, *Microeconomics – basics*, OpenStax Poland, Warsaw 2022.

<sup>39</sup> Quoted in: T. Warowny, A. Surowiec, *Quantitative market analysis*, Lublin University of Technology, Lublin 2019.

Therefore, if  $f(x_0) \neq 0$ , then:  $E_{x_0}f = f'(x_0) \frac{x_0}{f(x_0)}$  therefore:  

$$\lim_{\Delta x \rightarrow 0} E_{x_0, \Delta x}f = \lim_{\Delta x \rightarrow 0} \frac{f(x_0 + \Delta x) - f(x_0)}{\Delta x} \cdot \frac{x_0}{f(x_0)} = f'(x_0) \frac{x_0}{f(x_0)}$$

If the argument  $x$  of the function  $f$  increases  $op\%$  from a certain initial value  $x_0$ , then the value of the function changes by  $q\%$ , where:  $q \approx pE_{x_0}f$ . Let  $x_0$  be the initial value. Suppose that the argument  $x$  increased  $op\%$ , which caused the value of the function to change by  $oq\%$  (counting from  $f(x_0)$ ), then:  $f(x_0 + \frac{p}{100}x_0) - f(x_0) = \frac{q}{100}f(x_0)$

We have that:  $f(x_0 + \Delta x) - f(x_0) \approx f'(x_0)\Delta x$ , hence:

$$E_{x_0}f = \frac{x_0}{f(x_0)} f'(x_0) \approx \frac{x_0}{f(x_0)} \frac{f(x_0 + \Delta x) - f(x_0)}{\Delta x}$$

By accepting  $\Delta x = p : 100 \times X_0$ , then:  $E_{x_0}f \approx \frac{x_0}{f(x_0)} \frac{\frac{p}{100} \cdot f'(x_0)}{\frac{p}{100}x_0} = \frac{q}{p}$ , therefore  $q \approx pE_{x_0}f$ .

Example: We will calculate the elasticity of the function:  $f(x) = \frac{2x}{x+8}$ ,  $x > 0$  at the point  $x_0 = 2$ .

$$\text{Because } f'(x) = \frac{16}{(x+8)^2}, \text{ therefore: } E_{x_0}f = \frac{1}{2}(x+8) \frac{16}{(x+8)^2} = \frac{8}{x+8}.$$

For  $x_0 = 2$  we have  $E_2 f = 0.8$ . This means that if  $x_0 = 2$  increases by 1%, the value of  $f$  will increase by approximately 0.8%. We will compare this result with the exact result<sup>40</sup>:  $f(x_0 + 0.01x_0) = f(2 + 0.02) = f(2.02) = \frac{2 \cdot 2.02}{2.02 + 8} = \frac{4.04}{10.02} = \frac{202}{501}$  and  $f(x_0) = f(2) = \frac{4}{10} = 0.4$ .

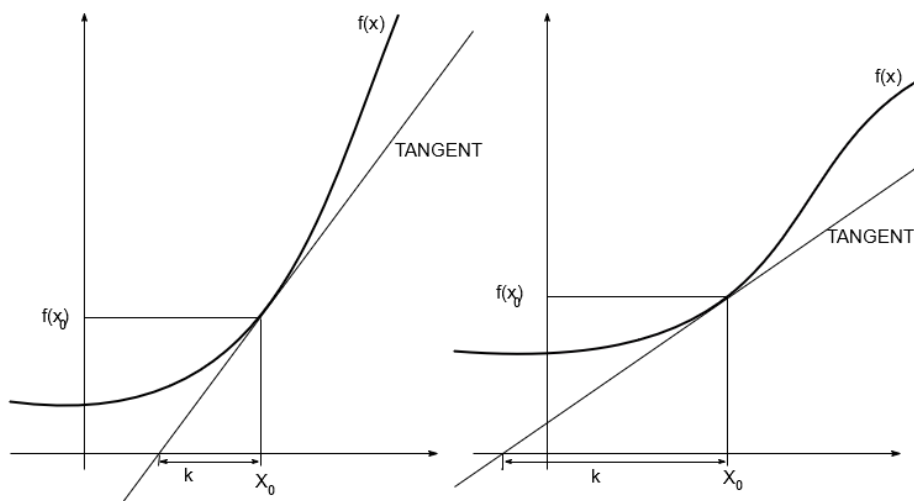
$$\text{Therefore: } \frac{f(x_0 + 0.01x_0)}{f(x_0)} \cdot 100\% = \frac{\frac{202}{501}}{0.4} \cdot 100\% = \frac{202}{501} \cdot \frac{10}{4} \cdot 100\% = \frac{505}{501} \cdot 100\% \approx 100.7984032 \text{ i.e. the in-}$$

crease was 0.7984032%. Using the formula for the elasticity of a function at a point, the solution is much shorter. The value of  $pE_{x_0}f$  is exactly equal to the percentage by which the value of the function increases as the argument  $op\%$  increases, if the function is linear. This results directly from the fact that for a linear function  $f$  the formula holds:  $f(x_0 + \Delta x) - f(x_0) = f'(x_0)\Delta x$ .

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<sup>40</sup> Quoted from: T. Warowny, A. Surowiec, *Quantitative... op. cit.*





**Figure 2.** Flexibility of the function  $f$  at point  $X_0$

Source: own study

## Flexibility of cost functions and their calculation

Let  $C : \mathbb{R}^+ \rightarrow \mathbb{R}^+$  denote the total cost function ( $C(x)$  denotes the total cost of producing  $x$  units of the product). Assume that  $C$  is differentiable. Then the cost elasticity (assuming that  $C(x) > 0$ ) is  $E_x C = \frac{x}{C(x)} C'(x)$ .

If  $c$  denotes the average cost function, then<sup>41</sup>:  $E_x C = \frac{C'(x)}{c(x)}$ .

The elasticity of total cost is therefore equal to the ratio (quotient) of total cost to average cost.

For average cost  $c$  we have:  $E_x c = \frac{x}{c(x)} c'(x)$

The elasticity of total cost is one greater than the elasticity of average cost:  $E_x C + 1 = E_x c$ .

$$E_x c = \frac{x}{c(x)} c'(x) = \frac{x}{\frac{C(x)}{x}} \cdot \left( \frac{C(x)}{x} \right)' = \frac{x^2}{C(x)} \cdot \frac{x C'(x) - C(x)}{x^2} = \frac{x}{C(x)} C'(x) - 1 = E_x C - 1$$

Division calculation allows you to determine the unit cost of a product by dividing the total cost by the number of products or services produced. The unit cost is determined in this calculation according to the formula:

<sup>41</sup> Quoted from: T. Warowny, A. Surowiec, Quantitative... op. cit.

$$k_j = K_c : X_j^{42}$$

Simple division calculation with an inventory of unfinished production - in practice, a company produces, in addition to the finished product, the so-called a work-in-progress product that is an element of unfinished production. Therefore,  $k_j = K_c - K_c$  work in progress:  $X_j$ . We can also express it by the formula:  $k_j = K_c : (X_j + X \text{ unfinished production} \times \% \text{ of throughput})$

Example – a manufacturing company incurred the following costs: direct materials – PLN 3,550, direct wages – PLN 2,485, departmental costs – PLN 1,775, total costs – PLN 7,810. In the current month, 80 pieces of product and 40 pieces of semi-finished products processed at 50% from the point of advancement of the production process were produced. Moreover, it is known that the planned cost of producing semi-finished products is as follows: direct materials – PLN 710, direct wages – PLN 497, departmental costs – PLN 355, total costs – PLN 1,562.

Determine the unit cost of producing the two variants:

- I variant:  $k_j = 7810 - 1562 : 80 = 78.10$ ;
- II variant:  $k_j = 7810 : 80 + (40 \times 0.5) = 78.10$ .

Simple division calculation using processing costs. The processing cost is the sum of direct wages and departmental costs. Unfinished production can be reported from the point of view of incurred processing costs (this is due to the fact that in the case of production of both finished products and unfinished production, we will always use 100% of the basic materials, while in the case of unfinished production, processing costs are consumed according to the actual level of advancement). In the case of this calculation, unit calculation of material and unit calculation of processing are performed separately. This situation can be presented according to the following formulas:

- $k_j = k_j \text{ materials} + k_j \text{ processing}$  [Processing cost = direct wages + department costs];
- $k_j \text{ of processing} = (\text{direct wages} + \text{departmental costs}) : (X_j + X \text{ of unfinished production} \times \% \text{ of processing})$ .

## **Optimization models**

Optimization models that originate from mathematical decision theory and operations research. Their aim is to support the process of selecting the right solution and making the optimal decision. The optimal decision in the sense of managerial economics is one that, under the conditions of a specific criterion, the so-called objective function and constraints assumes obtaining such values that allow the model

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<sup>42</sup> Quoted from: <http://qmamfinanse.pl/rachunek-kosztow/metody-kalkulu-kosztow/> [date 30/03/2023].

to be optimized by obtaining maximum benefits or minimum losses<sup>43,44,45</sup>. If the problem is presented using an optimization model, we usually use mathematical programming methods to solve it.

Example – let's assume that to produce two products X and Y we need two raw materials A and B. As a result of sales, we obtain the following amounts: profit for a unit of product<sup>46</sup>.

**Table 1.** Standards of unit consumption of individual raw materials

| Raw material | Unit consumption of raw material per unit of product |     |
|--------------|--|-----|
|              | X  | Y   |
| A            | a11  | a12 |
| B            | a21  | a22 |

Where:  $a_{ij}$  consumption of the  $i$ -th raw material for the production of the  $j$ -th product

To build a mathematical model, we should have information about the available quantities of individual raw materials. Let's assume that we have: raw material A\* in the amount of A units and raw material B in the amount of B\*. The decision-making task is to develop a production plan that, taking into account existing conditions, will allow achieving maximum profit.

The linear programming model, the solution of which is the basis for the decision, can be presented as follows:  $Z1 \cdot X + Z2 \cdot Y \Rightarrow \max$ . Which means that we want to obtain the highest possible profit from the production of products X and Y.

Assumptions:  $\alpha_{11} \cdot X + \alpha_{12} \cdot Y \leq A^*$ ;  $\alpha_{21} \cdot X + \alpha_{22} \cdot Y \leq B^*$ , which means that the production volume cannot be higher than the available raw material allows. Since we cannot have negative production, therefore:  $x \geq 0$  i  $Y \geq 0$ .

In the mathematical sense, we call the presented task an optimization one, in which the extreme of the function (objective) must be determined under the adopted constraints.

Many decision-making problems are solved using simulation models. The simulation process consists in the fact that, using a model, the decision-maker tries to describe reality as best as possible. Models of this class are used for such complex situations when optimization methods fail. Simulation modeling can also be used to complement optimization models such as linear programming. Then we can check more elements and determine the effects of changing restrictions or different

<sup>43</sup> E. Urbanowska-Sojkin, P. Banaszyk, H. Witczak, Strategic management of the enterprise, PWE, Warsaw 2017.

<sup>44</sup> Collective work, Company management. Strategies, structures, decisions, identity, PWE, Warsaw 2007.

<sup>45</sup> M. E. Porter, Competitive Strategy, PWE, Warsaw 1992.

<sup>46</sup> <https://edu.pjwstk.edu.pl/wyklady/poz/scb/index39.html>.

developments in profit and cost ratios. Simulation as a technique supporting planning decisions is used in large organizations that have appropriate resources. In economic practice in Poland, simulation modeling is used, among others, for macroeconomic modeling of economic and social processes. Such models are used here for planning, among others: state budget and public funds or public debt, or modeling various demographic processes. Simulation models on a microeconomic scale are used in the process of developing and projecting business plans. Forecasting models are used to make decisions about the future. The basis for these decisions is to determine whether the examined value will develop favorably or unfavorably in the future. In the latter situation, we will be dealing with the so-called warning forecast. Forecasts are an important element in making planning decisions, both short-term and long-term. Forecasting models are used by both small and large organizations. Models of this type are used for strategic planning, especially for building business plans.

Econometric methods are used to solve the most complex economic problems. The tool for analyzing the decision-making problem is a descriptive econometric model. The process of learning the mechanism of a decision-making problem involves building the so-called parameter estimation model and inference based on it. An econometric model is a formal description of the stochastic dependence of a distinguished quantity, phenomenon or course of an economic process (phenomena, processes) on the factors that shape them, expressed in the form of a single equation or system of equations. The structure of each equation is determined by: the explained variable, explanatory variables (non-random or random) having established economic content, structural parameters, a random variable (traditionally called the random component) with unknown content and a specific type of functional relationship between the explained variable and the explanatory variables and the random component. The relationships between economic phenomena are very complex and multidirectional. The examined decision-making problem is influenced by many economic, social, demographic, natural, etc. phenomena, and the impact of these factors is diverse.

Example – from economic theory we know that there is a negative relationship between the volume of demand and the price of a given good. We can write:  $q = f(c)$ . This is an economic model (mathematical economics model), where:  $q$  – demand for tomatoes in kg,  $c$  – price of tomatoes in PLN/kg. However, we know that this is only a model and it can take various forms.

We can write, for example:  $q = f(c, d, cw, cp, s, p \dots)$ , where:  $q$  – volume of demand for tomatoes in kg,  $c$  – price of tomatoes in PLN/kg.

According to the concept of the econometric model:  $qt = f(ct, dt, cwt, cpt, st, pt, \dots Et)$  – theoretical form of the econometric model, which will be estimated for  $T$  observations ( $t = 1, 2, \dots, T$ ) to verify the a priori assumption (apriori) economic theory, etc.

A development trend model in which the development of a phenomenon over time is described and examined (economic, social, regional, local growth, etc.). Decision-making games are a tool that allows you to analyze and predict rational

behavior of people in competitive situations. The premise is that we can represent almost any situation as a game. The tools used in decision-making games are intended to determine the relationship between customers and competitors on price changes as well as the introduction of a new product to the market. The simplest situation can be described using the so-called model. a two-player game with a sum of winnings equal to zero.

Graphical models are used to support the decision-making process regarding work organization. Graphical models are presented on the basis of methods supporting decisions in the process of planning and implementing design work, even for large and complex problems such as Gantt charts and network charts. A Gantt chart is a graphical way of planning and control. Actions are the basic element. The project consists of individual activities, which are presented using horizontal lines. For each activity, its duration and start and end dates are specified. The relationships between activities are shown using vertical lines. For those activities that are particularly important, charts are supplemented by setting so-called milestones. Such a milestone may be the date of making a decision regarding: delivering a product to customers, developing project assumptions, purchasing a computer system, etc. Milestones determine selected completion dates for individual stages of the entire project. The advantage of Gantt charts is their transparency. Non-specialists can also benefit from their help. At any time, we can determine what activities have already been completed, what activities are being implemented and what activities are planned to be implemented.

## Dynamic models in economics

Let us assume that we are dealing with  $n \geq 1$  branches of the economy. Let  $t$  denote discrete time, representing the sequential number of a certain period in which we assume that the production of individual branches is constant. Let further be  $X_i(t)$  the global volume of production of  $i$  – this branch ( $i = 1, \dots, n$ ) in period  $t$ ,  $x_{ij}(t)$  the volume of production of  $i$  – this branch consumed by  $j$  – this branch in period  $t$ ,  $Y_i(t)$  the final production volume of the  $i$  – branch in period  $t$ . We assume that the global production vector and the production volumes of individual branches consumed by other branches and the final production are functions of discrete time<sup>47,48</sup>:

- $N \cup \{0\} \ni t \rightarrow X^-(t) = [X_1(t), \dots, X_n(t)]^T$  global production vector,
- $N \cup \{0\} \ni t \rightarrow x_{ij}(t)$ ,
- $N \cup \{0\} \ni t \rightarrow Y^-(t) = [Y_1(t), \dots, Y_n(t)]^T$  final production vector.

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<sup>47</sup> D. Curtis, I. Irvine, *Macroeconomics Theory, Models & Policy*, Lyryx, 2017.

<sup>48</sup> R. Dornbush, S. Fischer, *Macroeconomics*, McGraw-Hill Publishing Company, New York 1987.

During each period, we assume that the same assumptions are met as in the case of the open static model. For a fixed  $t$ , all properties, including the solution formula, are true for this model. We also assume that the input matrix in  $A$  is a constant matrix (having the same terms for all periods in)<sup>49</sup>.

Model derivation – we assume that in each subsequent period  $t + 1$  we want to increase production compared to the previous period  $t$ . We can do this by allocating part of the final product  $Y^-(t)$  to investments.

Let's set  $t \Rightarrow Y^-(t) = S^-(t) + C^-(t)$ , where:  $S^-(t)$  – investment vector,  $S^-(t) = [S_1(t), \dots, S_n(t)]^T$ , i.e. the product that will be used as an input in the next period  $t + 1$ ,  $C^-(t)$  – vector of pure final product,  $C^-(t) = [C_1(t), \dots, C_n(t)]^T$ , (not used in the next period  $t + 1$  as an input in any industry).

We further assume that for each  $i = 1, \dots, n$   $S_i(t)$  is distributed among investments in each of the  $i$  branches of the economy ( $j = 1, \dots, n$ ), i.e.

$S_i(t) = \sum_{j=1}^n s_{ij}(t)$ , for  $i = 1, \dots, n$ , where  $s_{ij}(t)$  is the amount of investment in the  $i$  – branch allocated to investments in the  $j$  – branch.

Let us assume that the size of  $s_{ij}$  is proportional to the increase in the global production of the  $j$ -th branch in the period  $t + 1$ , i.e.  $s_{ij}(t) = z_{ij}(X_j(t + 1) - X_j(t))$  for  $i = 1, \dots, n, j = 1, \dots, n$ , where the constant  $z_{ij}$  is the so-called investment factor.

Consequently, towards  $S_i(t) = \sum_{j=1}^n s_{ij}(t) = \sum_{j=1}^n z_{ij}(X_j(t + 1) - X_j(t))$  for  $i = 1, \dots, n$ .

$$\text{That is } \begin{bmatrix} S_1 \\ \vdots \\ S_n \end{bmatrix} = \begin{bmatrix} z_{11} & \cdots & z_{1n} \\ \vdots & \ddots & \vdots \\ z_{n1} & \cdots & z_{nn} \end{bmatrix} \begin{bmatrix} X_1(t + 1) - X_1(t) \\ \vdots \\ X_n(t + 1) - X_n(t) \end{bmatrix}$$

Denoting the investment coefficient matrix by  $Z = [z_{ij}]_{i=1, \dots, n, j=1, \dots, n}$  we have:  $\bar{S}(t) = Z \cdot (\bar{X}(t + 1) - \bar{X}(t))$ .

Using the equation of the static Leontiev model (during period  $t$ , the tested model is static)<sup>50,51,52,53</sup>  $S_i(t) = \sum_{j=1}^n s_{ij}(t) = \sum_{j=1}^n z_{ij}(X_j(t + 1) - X_j(t))$

<sup>49</sup> Quoted in: T. Warowny, A. Surowiec, Quantitative... op. cit.

<sup>50</sup> C. Alpha Chiang, Foundations of mathematical economics, PWE, Warsaw 1994.

<sup>51</sup> C. Alpha Chiang, Elements of dynamic optimization, WSHiFM, Warsaw 2002.

<sup>52</sup> J. Growiec, Economic growth and technological progress, [in:] Sketches on the dynamics and stabilization of the economy, W. Pachó (ed.), SGH, Warsaw 2008, p. 43-85.

<sup>53</sup> G. Klima, Programowanie dynamiczne i modele rekursywne w ekonomii: zagadnienia analityczne i metody numeryczne z przykładowymi implementacjami w języku Matlab/Octave, „Materiały i studia / Zeszyt / Narodowy Bank Polski, Departament Analiz Makroekonomicznych i Strukturalnych” 2005; 201: 176.

$$(I - A) \bar{X}(t) = \bar{Y}(t) = \bar{S}(t) + \bar{C}(t) = Z \cdot (\bar{X}(t+1) - \bar{X}(t)) + \bar{C}(t)$$

We have:  $Z^{-1}(I - A) \bar{X}(t) = \bar{X}(t+1) - \bar{X}(t) + Z^{-1} \bar{C}(t)$  i.e. the equation of the dynamic Leontiev model:  $\bar{X}(t+1) = (Z^{-1} - Z^{-1}A + I) \bar{X}(t) - Z^{-1} \bar{C}(t)$ .

Model solution – assume that the matrices A and Z are given and (I – A) and Z are non-singular. Let us also assume that the values of the initial pure final product  $C^-(0)$  and the initial investment vector  $S^-(0)$  are given, and therefore the size of the initial final product is given  $Y^-(0) = S^-(0) + C^-(0)$ . Then from the formula for

solving the static Leontiev model:  $S_i(t) = \sum_{j=1}^n s_{ij}(t) = \sum_{j=1}^n z_{ij}(X_j(t+1) - X_j(t))$

We obtain:  $X^-(0) = (I - A)^{-1} Y^-(0)$ . Using the equation:  $\bar{X}(t+1) = (Z^{-1} - Z^{-1}A + I) \bar{X}(t) - Z^{-1} \bar{C}(t)$ . We have:

$$\bar{X}(1) = (Z^{-1} - Z^{-1}A + I) \bar{X}(0) - Z^{-1} \bar{C}(0)$$

Now knowing the value of the global production vector  $X^-(1)$  for the period  $t = 1$ , we can calculate the value of the final production vector for this period  $Y^-(1) = (I - A)X^-(1)$ .

At this point, we can again decide what part of the final product  $Y^-(1)$  we will allocate to the investment  $S^-(1)$ , and what part will constitute the pure final product  $C^-(1)$ .

Please remember that:  $Y^-(1) = S^-(1) + C^-(1)$ , and that all vector coordinates  $S^-(1)$  and  $C^-(1)$  should be non-negative. Given the vectors  $X^-(1)$  and  $C^-(1)$ , we can recalculate the value of the global product for the next period:

$$\bar{X}(2) = (Z^{-1} - Z^{-1}A + I) \bar{X}(1) - Z^{-1} \bar{C}(1)$$

Continuing this procedure, we generate a sequence of production vectors  $\{\bar{X}(t)\}_{t=0}^{\infty}$ . This sequence is called the economic development path. From a formal point of view, the solution of Leontiev's dynamic model is a sequence of global production vectors that is a solution of the equation:  $\bar{X}(t+1) = (Z^{-1} - Z^{-1}A + I) \bar{X}(t) - Z^{-1} \bar{C}(t)$ , with the initial condition  $X^-(0) = X_0$ , where the vector  $C^-(t)$  is defined for all  $t = 0, 1, \dots$ . The fact that the vector  $C^-(t)$  is given in advance means that what part of the final product  $Y^-(t)$  we spend on the investment  $S^-(t) = Y^-(t) - C^-(t)$  for all  $t = 0, 1, \dots$ . For the model to make economic sense it must be fulfilled the non-negativity condition of the vector  $S^-(t)$ , i.e. that:  $C^-(t) \leq Y^-(t) = (I - A)X^-(t)$  for  $t = 0, 1, \dots$

## Economic dynamic models with discrete time

We have already dealt with the dynamic model when discussing Leontiev's model. Dynamic models are models in which variables are time-dependent. We will limit ourselves to the situation where time is a discrete time representing the number of the next period. As in the case of Leontiev's model, the model is static during each

period, and the change in variable values occurs after the transition to the next period. Such models are described using difference equations<sup>54,55,56,57</sup>.

Spider web model – the model is a dynamic model with discrete time  $t = 0, 1, 2, \dots$ . We are considering the market of a certain, single good. The purpose of the model is to determine such a price path  $\{P(t)\}_{t=0}^{\infty}$  for a given good so that demand completely meets supply for each period. Therefore, let  $t = 0, 1, 2, \dots$  consecutive number of the period,  $Q_s(t)$  supply for the good in period  $t$  (number of units of the good sought by the consumer in period  $t$ ),  $Q_d(t)$  demand for the good in period  $t$  (the number of units of the good supplied by producers in period  $t$ ), and  $P(t)$  the price per unit of the good in period  $t$ .

Assumptions<sup>58</sup>:

1. The quantity demanded  $Q_d(t)$  depends linearly on the price  $P(t)$  for the same period. The relationship is a decreasing function. We assume that  $Q_d(t) \geq 0$ .
2. The quantity of supply  $Q_s(t)$  depends linearly on the price  $P(t-1)$  from the previous period. Dependency is an increasing function. We assume that  $Q_s(t) \geq 0$ .
3. The linear nature of demand and supply is identical for each period in.
4. In each period, demand is completely balanced by supply.

Model equations:

- $Q_d(t) = \alpha - \beta P(t)$
- $Q_s(t) = -\gamma + \delta P(t-1)$
- $Q_d(t) = Q_s(t)$

for  $t = 1, 2, \dots$ , where  $\alpha, \beta, \gamma, \delta > 0$  (parameters).

Comments:

1. The situations described by the model occur in agriculture, where sowing precedes harvesting. The demand for a given product depends on the current price, but the supply, resulting from the size of sowing, is determined based on prices from the previous period.

2. For the equations to make economic sense, the conditions of non-negativity of the variables must be met. These conditions lead to the caveat that price path  $\{P(t)\}_{t=0}^{\infty}$  should meet the condition:

$$\frac{\gamma}{\delta} \leq P(t) \leq \frac{\alpha}{\beta} \text{ for } t = 0, 1, 2, \dots \quad \frac{\gamma}{\delta} \leq \frac{\alpha}{\beta}$$

In particular, a condition must be met  $\frac{\gamma}{\delta} \leq \frac{\alpha}{\beta}$  or equivalently  $\beta\gamma - \alpha\delta \leq 0$ .

Parameter interpretation:

- $\alpha$  – maximum value of demand (at zero price),
- $\beta$  – the marginal value of demand representing consumers' sensitivity to price changes,

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<sup>54</sup> Quoted in: C. Alpha Chiang, Foundations... op. cit.

<sup>55</sup> C. Alpha Chiang, Elements... op. cit.

<sup>56</sup> J. Growiec, Economic growth... op. cit.

<sup>57</sup> G. Klima, Dynamic programming... op. cit.

<sup>58</sup> Quoted in: Warowny T., Surowiec A., Quantitative... op. cit.



- $\gamma$  – a coefficient ensuring positive supply starting from a certain minimum price  $P_1 \geq 0$ ,
  - $\delta$  – the marginal value of supply representing producers' sensitivity to price changes.
- Model solution – we are looking for the price path  $\{P(t)\}_{t=0}^{\infty}$ , i.e. a sequence satisfying the system:  $Qd(t) = \alpha - \beta P(t)$ ;  $Qs(t) = -\gamma + \delta P(t-1)$  and  $Qd(t) = Qs(t)$ .

Given the equilibrium equation:  $Qd(t) = Qs(t)$  and given  $Qd(t) = \alpha - \beta P(t)$  and  $Qs(t) = -\gamma + \delta P(t-1)$ , then  $\alpha - \beta P(t) = -\gamma + \delta P(t-1)$ , hence given the fact that  $\beta \neq 0$ ,  $P(t) = -\frac{\delta}{\beta}P(t-1) + \frac{\alpha + \gamma}{\beta}$ .

It is a first-order linear non-homogeneous difference equation. The totality of solutions to the homogeneous equation is:  $P_o(t) = c \left(-\frac{\delta}{\beta}\right)^t$ ,  $t = 0, 1, 2, \dots$ , where  $c$  is an arbitrary constant. We are looking for a specific solution to the non-homogeneous equation among the constant solutions  $P_s(t) = k$ ,

therefore

$$k = -\frac{\delta}{\beta}k + \frac{\alpha + \gamma}{\beta}$$

from where

because  $\beta + \delta > 0$ .

$$k = \frac{\alpha + \gamma}{\beta + \delta}$$

Hence, the totality of solutions to Eq  $P(t) = -\frac{\delta}{\beta}P(t-1) + \frac{\alpha + \gamma}{\beta}$  is the form:  $P(t) = c \left(-\frac{\delta}{\beta}\right)^t + \frac{\alpha + \gamma}{\beta + \delta}$ ,  $t = 0, 1, 2, \dots$ . If we know the value of  $P(0) = P_0$ , then  $P(0) = c + \frac{\alpha + \gamma}{\beta + \delta}$ .

Consequently, the solution to Eq  $P(t) = -\frac{\delta}{\beta}P(t-1) + \frac{\alpha + \gamma}{\beta}$  with the initial condition  $P(0) = P_0$  is the price path  $P(t) = \left(P_0 - \frac{\alpha + \gamma}{\beta + \delta}\right) \left(-\frac{\delta}{\beta}\right)^t + \frac{\alpha + \gamma}{\beta + \delta}$ ,  $t = 0, 1, 2, \dots$

For the solution to make economic sense, it must be assumed that  $P(t)$  satisfies the condition  $P(t) = c \left(-\frac{\delta}{\beta}\right)^t + \frac{\alpha + \gamma}{\beta + \delta}$ ,  $t = 0, 1, 2, \dots$

You should at least make sure that  $\frac{\gamma}{\delta} \leq P_0 \leq \frac{\alpha}{\beta}$ .

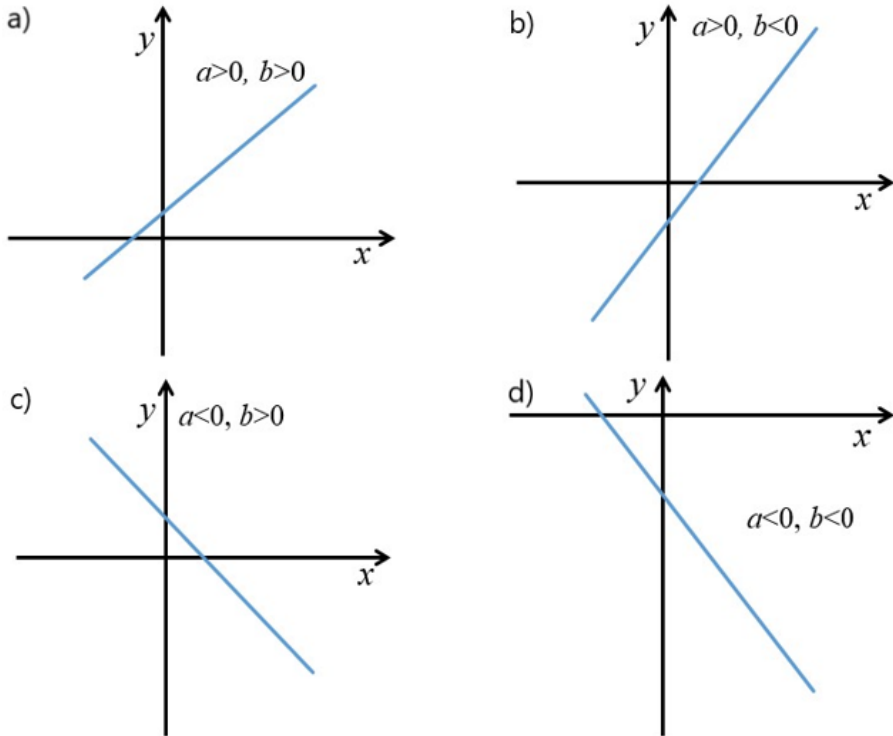
Properties of the price path<sup>59</sup>: if  $P_0 = \frac{\alpha + \gamma}{\beta + d}$ , this  $P(t) = \frac{\alpha + \gamma}{\beta + d}$ . We are then dealing with a permanent solution. Note that the condition  $\beta\gamma - \alpha\delta \leq 0$  implies that  $\frac{\gamma}{\delta} \leq P(t) \leq \frac{\alpha}{\beta}$  for  $t = 0, 1, 2, \dots$ . Let's assume that  $P_0 > \frac{\alpha + \gamma}{\beta + \delta}$  (due to economic reasons, this situation cannot arise  $P_0 < \frac{\alpha + \gamma}{\beta + d}$ ). Let's consider three cases.

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<sup>59</sup> Quoted in: T. Warowny, A. Surowiec, Quantitative... op. cit.

## Functions and their properties

Linear function. The linear function of one variable  $x$  has the form:  $y = f(x) = ax + b$ , where  $a$  is called the slope coefficient and  $b$  is called the intercept. This function is increasing when  $a > 0$ , constant when  $a = 0$  and decreasing when  $a < 0$ . A linear function of  $m$  variables has the form:  $f(x_1, x_2, \dots, x_m) = a_0 + a_1x_1 + a_2x_2 + \dots + a_mx_m$ ,  $a_i \neq 0$ ,  $i = 1, 2, \dots, m$ . In particular, for  $m = 2$  we get  $f(x_1, x_2) = a_0 + a_1x_1 + a_2x_2$ <sup>60</sup>.



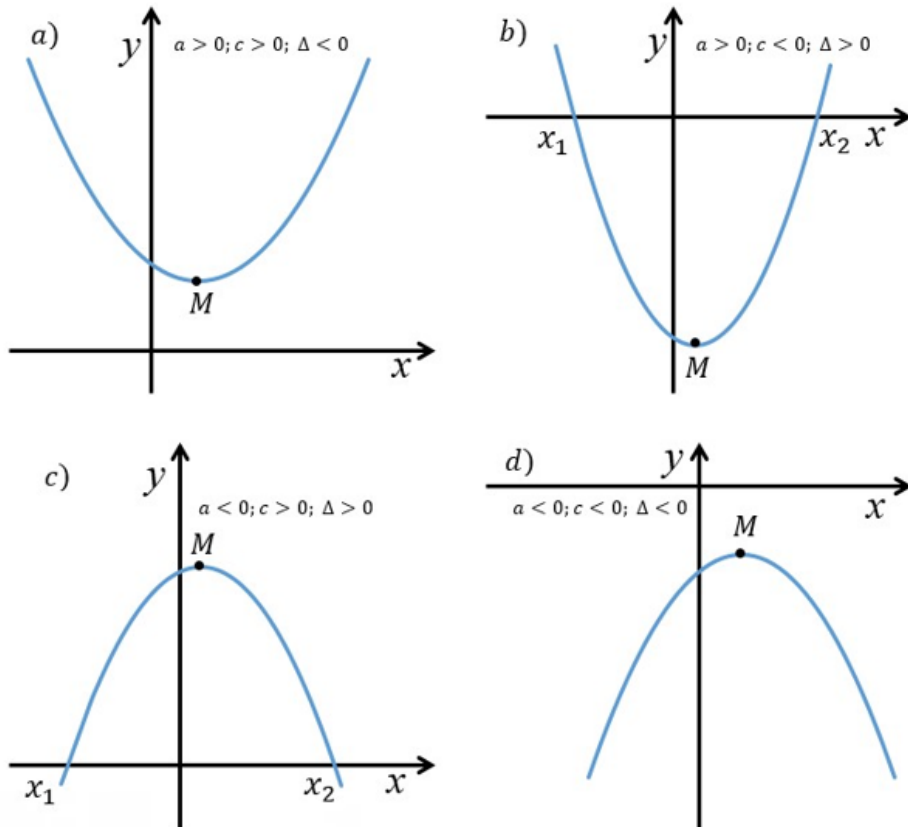
**Figure 2.** Graphs of linear functions of one variable

Source: T. Warowny, A. Surowiec, *Quantitative market analysis*, Lublin University of Technology, Lublin 2019, p. 140

Nonlinear functions – a polynomial function of degree  $m$  has the form  $f(x) = a_0 + a_1x + a_2x^2 + \dots + a_mx^m$ ,  $a_m \neq 0$  when  $m = 0$ :  $f(x) = a_0$  (constant function); when  $m = 1$ :  $f(x) = a_0 + a_1x$  (linear function); when  $m = 2$ :  $f(x) = a_0 + a_1x + a_2x^2$  (quadratic function), etc. The  $m$ th degree polynomial has at most  $m$  real zeros and at most  $m-1$  extrema. For  $a_m > 0$  there is  $\lim_{x \rightarrow \infty} f(x) = \infty$ , and for  $a_m < 0$  there is  $\lim_{x \rightarrow \infty} f(x) = -\infty$ .

<sup>60</sup> Ibidem.

A quadratic function is often written in the form:  $y = ax^2 + bx + c$ ,  $a \neq 0$ . The graph of a quadratic function is a parabola pointing upwards when  $a > 0$  or downwards when  $a < 0$ . Depending on the sign,  $\Delta = b^2 - 4ac$  quadratic function has two zeros when  $\Delta > 0$ , which are equal  $x_1 = \frac{-b-\sqrt{\Delta}}{2a}$ ,  $x_2 = \frac{-b+\sqrt{\Delta}}{2a}$ , has one zero place when  $\Delta = 0$  is equal  $x_{1,2} = \frac{-b}{2a}$  and there are no zeros when  $\Delta < 0$ <sup>61,62,63</sup>.



**Figure 3.** Graphs of quadratic functions

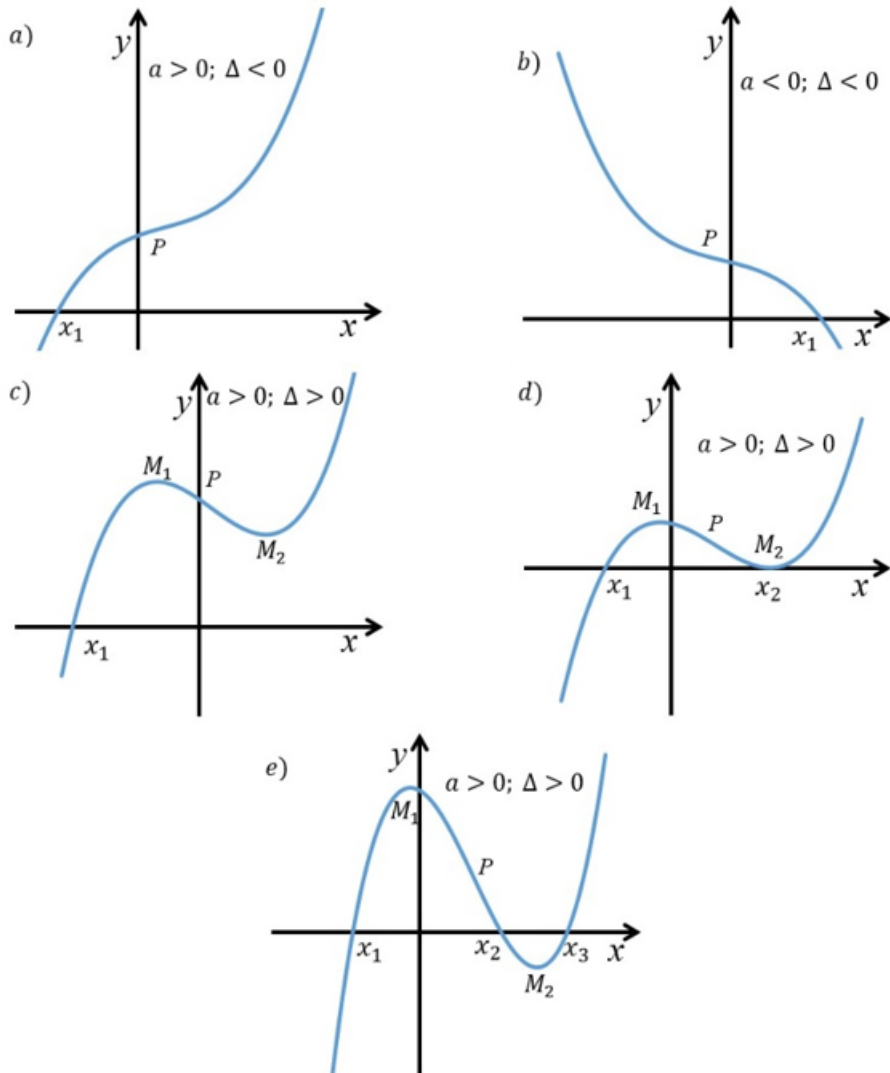
Source: T. Warowny, A. Surowiec, *Quantitative market analysis*, Lublin University of Technology, Lublin 2019, p. 142

Let us denote the coordinates of the vertex of the parabola by  $(p, q)$ . Then  $p = \frac{-b}{2a}$ ,  $q = \frac{-\Delta}{4a}$ . The quadratic function reaches its extreme at point  $p$ . The value of the extreme is  $q$ . It is the minimum of the function when  $a > 0$  and the maximum when  $a < 0$ .

<sup>61</sup> B. Gawronska-Nowak, G. Walerysiak, *Economic decisions. Quantitative approach*, PWE, Warsaw 2005.

<sup>62</sup> R. Głowacki, J. Kramer, L. Babinski, *Market analysis*, PWE, Warsaw 1981.

<sup>63</sup> M. Gruszczynski, M. Podgórska, *Econometrics ... op. cit.*



**Figure 4.** Graphs of cubic functions

Source: T. Warowny, A. Surowiec, *Quantitative market analysis*, Lublin University of Technology, Lublin 2019, p. 143

The cubic function has the form  $y = ax^3 + bx^2 + cx + d$ , and  $\Delta = b^2 - 3ac$ . The graph of the cubic function is a cubic parabola, the shape of which depends on the signs of the parameter  $a$  and the value  $\Delta = b^2 - 3ac$ . If  $\Delta \leq 0$ , the function is increasing when  $a > 0$  and decreasing when  $a < 0$ .

If  $\Delta > 0$ , then the cubic function has two extrema at points M1 and M2, then:

$$M_1 \left( -\frac{b + \sqrt{\Delta}}{3a}, d + \frac{2b^3 - 9abc - (6ac - 2b^2)\sqrt{\Delta}}{27a^2} \right)$$

$$M_2 \left( -\frac{b - \sqrt{\Delta}}{3a}, d + \frac{2b^3 - 9abc + (6ac - 2b^2)\sqrt{\Delta}}{27a^2} \right),$$

A cubic function can have one, two or three zeros.

A cubic curve has an inflection point  $P = \left(-\frac{b}{3a}, \frac{2b^3 - 9abc}{27a^2} + d\right)$  and intersects the y axis at the point with coordinates (0, d).

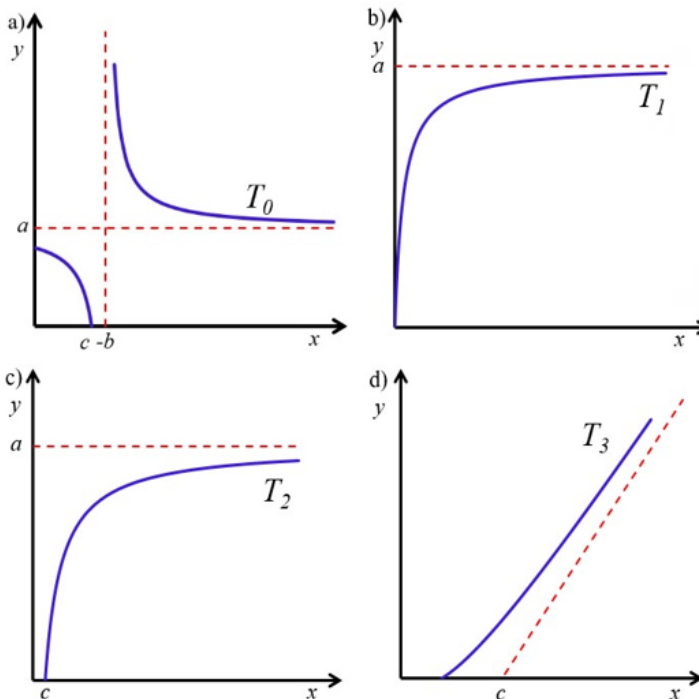
Törnquist functions. There are four types of Törnquist functions depending on the type of consumer good or service:

Zero-type Törnquist function  $T_0$ :  $y = \frac{a(x-c)}{x+b}$ ,  $a, c > 0, b < -c, 0 \leq x \leq c$  or  $x > -b$ .

Törnquist function of the first type  $T_1$ :  $y = \frac{ax}{x+b}$ ,  $a, b > 0, x \geq 0$ .

Törnquist function of the second type  $T_2$ :  $y = \frac{a(x-c)}{x+b}$ ,  $a, c, b > 0, x \geq c$ .

Törnquist function of the third type  $T_3$ :  $y = \frac{ax(x-c)}{x+b}$ ,  $a, c, b > 0, x \geq c$ .



**Figure 5.** Graphs of Törnquist functions

Source: T. Warowny, A. Surowiec, *Quantitative market analysis*, Lublin University of Technology, Lublin 2019, pp. 143-145

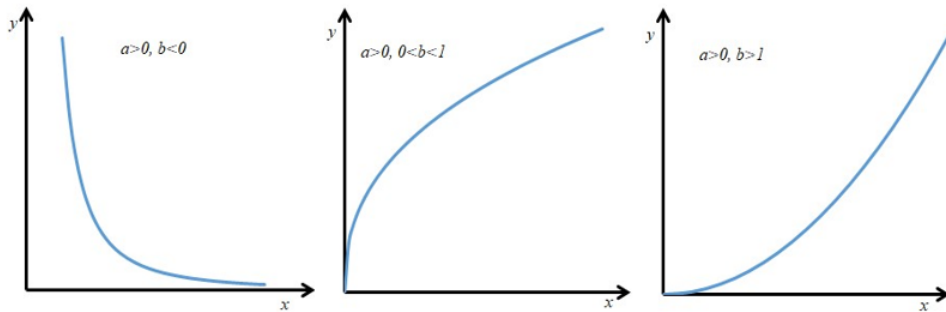
It can be said that<sup>64,65,66,67,68,69,70,71</sup>:

- The Törnquist function of type 0, in the interval  $[0,c]$  is strictly concave, in the interval  $(-b, \infty)$  it is strictly convex, in the interval  $[0,c]$  it decreases more and more rapidly, and in the interval  $(-b, \infty)$  it decreases more and more slowly.
- The Törnquist function type 1 is strictly concave in the interval  $[0, \infty)$  and grows more and more slowly.
- The Törnquist function type 2 is strictly concave in the interval  $[c, \infty)$  and grows more and more slowly.
- The type 3 Törnquist function is strictly convex in the interval  $[c, \infty)$  and grows faster and faster.

The power function is of the form  $f(x) = ax^b$ ,  $a > 0$ .

If  $b = 1$  then  $f(x)$  is a function  $E_f(x) = \frac{x}{f(x)} f'(x)$   
linear ( $y = ax$ ).

If  $b = -1$  then  $f(x)$  is a hyperbolic function ( $y = \frac{a}{x}$ ). It is worth noting that the power function is characterized by constant elasticity. If  $x > 0$  if  $f(x) > 0$  and  $f(x) = ax^b$  and then  $E_f(x) = x \frac{abx^{b-1}}{ax^b} = b$ .



**Figure 6.** Power function graphs with different values of parameters  $a, b$

Source: own study

A power function of many variables has the form  $f(x_1, x_2, \dots, x_m) = \alpha_0 x_1^{\alpha_1} x_2^{\alpha_2} \dots x_m^{\alpha_m}$ ,  $\alpha_0 \neq 0$ .

<sup>64</sup> Based on: H. Mruk, Market Analysis, PWE, Warsaw 2003.

<sup>65</sup> S. Mynarski, Market analysis. Problems and methods, PWN, Warsaw 1987.

<sup>66</sup> M. Nasiłowski, Market system. Fundamentals of micro- and macroeconomics, Key Text Publishing House, Warsaw 2010.

<sup>67</sup> E. Nowak, Decision-making cost accounting, PWN, Warsaw 1994.

<sup>68</sup> M. Osinska, Contemporary econometrics, Dom Organizatora, Toruń 2007.

<sup>69</sup> S. Owsiak, Fundamentals of finance, PWE, Warsaw 2011.

<sup>70</sup> W. Rzymowski, Econometrics in examples and tasks, KAPRINT, Lublin 1999.

<sup>71</sup> W. Samuelson, Managerial economics, Polish Economic Publishing House, Warsaw 2009.

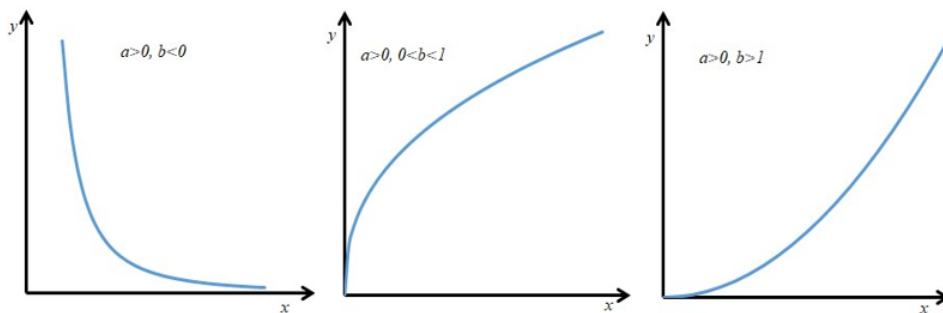
In the special case when  $m = 2$ , we obtain a power function of two variables  $f(x_1, x_2) = \alpha_0 x_1^{\alpha_1} x_2^{\alpha_2}$ .

It is easy to prove that for every  $i = 1, 2, \dots, m$  there is:  $E_{f, x_i} = \frac{x_i}{f(x_1, x_2, \dots, x_m)} \frac{\partial f(x_1, x_2, \dots, x_m)}{\partial x_i} = \alpha_i$ , which means that a power function of many variables has elasticity constants with respect to each of the variables  $x_i$ ,  $i = 1, 2, \dots, m$ . A very important property of this function is homogeneity.

It consists in the fact that for any number  $n > 0$  the equality holds:  $f(nx_1, nx_2, \dots, nx_m) = n^{\alpha_1 + \alpha_2 + \dots + \alpha_m} f(x_1, x_2, \dots, x_m)$ .

The exponential function of one variable has the form  $T(x) = ab^x = ae^{cx}$ ,  $b > 0$ ,  $b \neq 1$ ,  $b = e^c$ .

If  $b = 1$  then  $y = a$  is a constant function.



**Figure 7.** Graphs of the exponential function for different values of parameter  $b$   
Source: own study

It is worth noting that the elasticity function for the exponential function is linear.

Reducing a polynomial function of degree  $m$  to linear form. In the equation:  $f(x) = a_0 + a_1x + a_2x^2 + \dots + a_mx^m$ , where  $a_m \neq 0$ , let's use the following substitutions:  $x = x_1$ ,  $x^2 = x_2$ ,  $x^3 = x_3$ , ...  $x^m = x_m$ . Then the function  $y = a_0 + a_1x + a_2x^2 + \dots + a_mx^m$  will take the form:  $y = a_0 + a_1x_1 + a_2x_2 + \dots + a_mx_m$ .

Reducing hyperbolic functions to linear form. In Eq  $y = \frac{a}{x}$  we can use substitution  $\tilde{x} = \frac{1}{x}$ . Then the function  $y = \frac{a}{x}$  will take the linear form  $y = a\tilde{x}$ . To bring this equation into a linear form, let us consider the inverses of both sides of this equation, obtaining:  $\frac{1}{y} = \frac{1 + bx}{a} = \frac{1}{a} + \frac{b}{a}x$ .

Substituting appropriately:  $\tilde{y} = \frac{1}{y}$ ,  $\tilde{a} = \frac{1}{a}$ ,  $\tilde{c} = \frac{b}{a}$ , we get a linear form:  $\tilde{y} = \tilde{a} + \tilde{c}x$ , where  $\tilde{a} = \frac{1}{a}$ ,  $\tilde{c} = \frac{b}{a}$ .

Reducing the Törnquist function to linear form can be reduced to linear form in two ways. Method 1. Consider the inverses of both sides of the equation

$$T_1: y = \frac{ax}{x+b}, \quad a, b > 0, \quad x \geq 0.$$

Proceeding similarly to functions  $y = \frac{a}{1 + bx}$ , we receive  $\frac{1}{y} = \frac{x + b}{ax} = \frac{1}{a} + \frac{b}{a} \frac{1}{x}$ .

Substituting appropriately  $\tilde{y} = \frac{1}{y}$ ,  $\tilde{x} = \frac{1}{x}$ ,  $\tilde{a} = \frac{1}{a}$ ,  $\tilde{c} = \frac{b}{a}$ , we get the linear form  $\tilde{y} = \tilde{a} + \tilde{c}\tilde{x}$ , where  $\tilde{a} = \frac{1}{a}$ ,  $\tilde{b} = \frac{\tilde{c}}{\tilde{a}}$ .

Method 2 - multiplying both sides of the equation  $T_1: y = \frac{ax}{x + b}$ ,  $a, b > 0$ ,  $x \geq 0$  by  $x + b$  we get:  $yx + by = ax$  or  $xy = ax - by$ .

Substituting  $xy = z$  -  $b = \beta$ , we obtain a linear model with two explanatory variables, without an intercept of the form  $z = ax + \beta y$ .

To the Törnquist function  $T_2: y = \frac{a(x - c)}{x + b}$ ,  $a, c, b > 0$ ,  $x \geq c$

To make it linear, both sides of this equation must be multiplied by the denominator, which gives  $yx + yb = ax - ac$ . After dividing both sides of the equation by  $b$  and rearranging the terms, we obtain the linear form  $y = \beta_0 + \beta_1x + \beta_2z$ , where:  $z = yx$ ,  $\beta_0 = -\frac{ac}{b}$ ,  $\beta_1 = \frac{a}{b}$ ,  $\beta_2 = -\frac{1}{b}$ , that is:  $a = -\frac{\beta_1}{\beta_2}$ ,  $b = -\frac{1}{\beta_2}$ ,  $c = -\frac{\beta_0}{\beta_1}$ .

To make a Törnquist function of the third type  $T_3: y = \frac{ax(x - c)}{x + b}$ ,  $a, c, b > 0$ ,  $x \geq c$

To achieve a linear form, we proceed similarly to the second type of Törnquist function by multiplying both sides of this equation by the denominator, which gives:  $yx + yb = ax^2 - acx$ .

After dividing both sides of the equation by  $bx$  and rearranging the terms, we obtain the linear form  $z = \beta_0 + \beta_1x + \beta_2y$ , where:  $z = \frac{y}{x}$ ,  $\beta_0 = -\frac{ac}{b}$ ,  $\beta_1 = \frac{a}{b}$ ,  $\beta_2 = -\frac{1}{b}$ , that is  $a = -\frac{\beta_1}{\beta_2}$ ,  $b = -\frac{1}{\beta_2}$ ,  $c = -\frac{\beta_0}{\beta_1}$ .

Reducing the power function to linear form. To make a power function of one variable:  $f(x) = ax^b$ ,  $a > 0$ . To bring this equation into a linear form, this equation must be logarithmed on both sides, e.g. using the logarithm with base  $e$ , which gives  $\ln y = \ln(ax^b)$ .

Using the properties of the logarithm  $\ln a^b = b \ln a$  and  $\ln(ab) = \ln a + \ln b$ , we obtain  $\ln y = \ln a + b \ln x$ . Substituting  $\tilde{y} = \ln y$ ,  $\tilde{x} = \ln x$ ,  $\tilde{a} = \ln a$  into the equation, respectively, we obtain the linear form  $\tilde{y} = \tilde{a} + b\tilde{x}$ , where  $a = \exp(\tilde{a})$ .

Applying a power function of two variables  $f(x_1, x_2) = \alpha_0 x_1^{\alpha_1} x_2^{\alpha_2}$  to a linear form requires, as in the case of a power function of one variable, two-sided logarithmization  $\ln y = \ln(\alpha_0 x_1^{\alpha_1} x_2^{\alpha_2})$ , which gives:  $\ln y = \ln \alpha_0 + \alpha_1 \ln x_1 + \alpha_2 \ln x_2$ , or  $\tilde{y} = \tilde{a}_0 + \alpha_1 \tilde{x}_1 + \alpha_2 \tilde{x}_2$ , where:  $\tilde{y} = \ln y$ ,  $\tilde{x}_1 = \ln x_1$ ,  $\tilde{x}_2 = \ln x_2$ ,  $\tilde{a}_0 = \ln \alpha_0$ ,  $\alpha_0 = \exp(\tilde{a}_0)$ .

In the case of a power function of many variables  $f(x_1, x_2, \dots, x_m) = \alpha_0 x_1^{\alpha_1} x_2^{\alpha_2} \dots x_m^{\alpha_m}$ ,  $\alpha_0 \neq 0$  proceed in the same way as in the case of a power function of one or two variables. The following equation is then obtained  $\ln y = \ln(\alpha_0 x_1^{\alpha_1} x_2^{\alpha_2} \dots x_m^{\alpha_m}) = \ln \alpha_0 + \alpha_1 \ln x_1 + \alpha_2 \ln x_2 + \dots + \alpha_m \ln x_m$ , i.e. the appropriate linear form:  $\tilde{y} = \tilde{a}_0 + \alpha_1 \tilde{x}_1 + \alpha_2 \tilde{x}_2 + \dots + \alpha_m \tilde{x}_m$ , where:  $\tilde{y} = \ln y$ ,  $\tilde{x}_1 = \ln x_1$ ,  $\tilde{x}_2 = \ln x_2$ , ...,  $\tilde{x}_m = \ln x_m$ ,  $\tilde{a}_0 = \ln \alpha_0$ ,  $\alpha_0 = \exp(\tilde{a}_0)$ .



To go from the exponential form to the linear form, the equation  $f(x) = abx = aecx$ ,  $b > 0$ ,  $b \neq 1$ , must be logarithmized on both sides,  $b = ec$ , e.g. using the natural logarithm, and using the properties  $\ln a\beta = \ln a + \ln \beta$  and  $\ln(\alpha\beta) = \ln \alpha + \ln \beta$ , we obtain  $\ln y = \ln(abx)$ , i.e.  $\ln y = \ln a + x \ln b$ . Substituting  $\tilde{y} = \ln y$ ,  $\tilde{a} = \ln a$ ,  $\tilde{b} = \ln b$  in the equation  $\ln y = \ln a + x \ln b$  gives the linear form  $\tilde{y} = \tilde{a} + \tilde{b}x$ . The parameters  $a$  and  $b$  are  $a = \exp(\tilde{a})$  and  $b = \exp(\tilde{b})$ , respectively. ( $\tilde{b} = c$  in the equation  $f(x) = abx = aecx$ , where  $b > 0$ ,  $b \neq 1$ ,  $b = ec$ ).

## Conclusions

Quantitative methods make it possible to carry out analyses of socio-economic phenomena, thus supporting decision-making and objective grading of the existing situation. In addition, they make it possible to recognise the mechanisms of functioning of economic systems, identify the existing determinants of economic phenomena, as well as predict the effects of actions taken and changes in the processes under study. They thus create the premises for determining future socio-economic development. Quantitative methods are also used to verify economic theories and even circulating views and opinions. The application of quantitative methods in the broader economic sciences enables proper planning and organisation of economic activities at various levels.

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## MECHANISMS FOR ENSURING STATE REGULATION OF THE LOGISTICS SERVICES MARKET IN THE CONTEXT OF SUSTAINABLE DEVELOPMENT

### *Mechanizmy zapewniające państwową regulację rynku usług logistycznych w kontekście zrównoważonego rozwoju*

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#### **Streszczenie**

Sektor logistyczny jest jednym z kluczowych elementów gospodarki, który ma znaczący wpływ na produktywność, dystrybucję towarów i usług oraz ogólną konkurencyjność kraju. W Ukrainie, podobnie jak w wielu innych krajach, obserwuje się stały wzrost popytu na usługi logistyczne, napędzany zarówno przez czynniki wewnętrzne, jak i zewnętrzne. Aby jednak rynek ten funkcjonował efektywnie, potrzebne są jasne i przejrzyste państwowe mechanizmy regulacyjne, które zapewnią równowagę między interesami państwa, biznesu i konsumentów. Obecna państwowa regulacja rynku usług logistycznych w Ukrainie boryka się z takimi problemami, jak niedoskonałe ramy prawne, niewystarczające wsparcie instytucjonalne, brak przejrzystości i słaba koordynacja z innymi sektorami. W związku z tym proponuje się rozważenie pewnych aspektów, które przyczynią się do bardziej skutecznej regulacji rynku usług logistycznych.

**Słowa kluczowe:** mechanizmy wsparcia, regulacje państwowe, rynek usług logistycznych, zrównoważony rozwój, procesy regulacyjne

#### **Summary**

The logistics sector is one of the critical elements of the economy, which significantly influences productivity, distribution of goods and services, and the country's overall competitiveness. In Ukraine, as well as in many other countries, there is a steady growth in the demand for logistics services driven by internal and external factors. However, for this market to function efficiently, clear, and transparent state

regulatory mechanisms must balance interests between the state, business, and consumers. The current state regulation of the logistics services market in Ukraine has such problems as an imperfect legal framework, insufficient institutional support, lack of transparency, and poor coordination with other sectors. Therefore, it is proposed that a collaborative approach be adopted to consider certain aspects that will contribute to more effective regulation of the logistics market, ensuring that all stakeholders' voices are heard and their interests are taken into account.

**Key words:** support mechanisms, state regulation, logistics services market, sustainable development, regulatory processes

## Introduction

The logistics services market is a vital sector of the economy that plays a pivotal role in the efficiency of the production and distribution of goods and services, as well as the overall competitiveness of the national economy. In Ukraine, as in many other countries, there is a steady upward trend in demand for logistics services driven by both internal and external factors, underscoring its significance.

For the efficient functioning of the logistics services market, it is imperative to establish clear and transparent government regulation mechanisms. These mechanisms, by ensuring a balance between the interests of the state, business, and consumers, will provide a sense of security and confidence in the proposed changes.

Given the existing challenges, we propose certain aspects of effective state regulation of the logistics services market. This proposal, with its comprehensive solutions, aims to address the imperfect regulatory framework, institutional insufficiency, lack of transparency, and weak coordination with other industries, instilling a sense of hope and optimism about the future of the market.

Ukraine has several legal acts regulating the logistics activities, but they often need to be more cohesive, contain contradictions, and be updated to reflect the current challenges. The absence of a single government agency responsible for the comprehensive logistics regulation leads to a dispersion of powers and complicates the coordination of actions of various government agencies. Decision-making processes for regulating the logistics services market are often non-transparent, which limits public and business participation in the process of policymaking. The regulation of logistics is not sufficiently coordinated with the regulation of other economic sectors, making it difficult to solve complex problems.

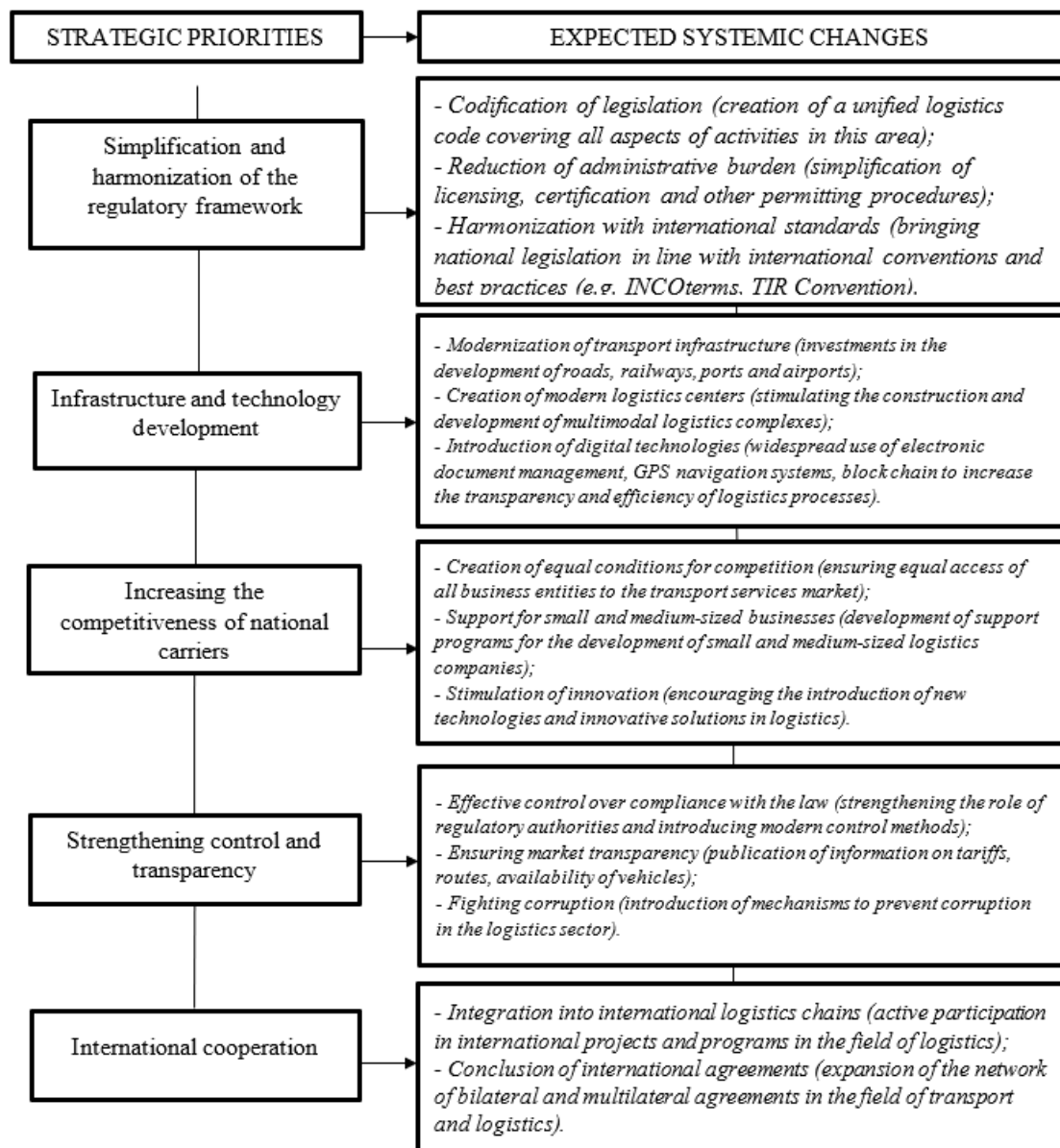
The state regulation of the logistics services market in Ukraine faces several problems and challenges that hinder the development of logistics infrastructure and reduce the competitiveness of the national economy. Limited state budget resources lead to underinvestment in the infrastructure, lack of modern equipment and software, and insufficient support for the research. This, in turn, reduces the efficiency of the logistics processes and increases their cost. Widespread corruption schemes in the logistics sector lead to inefficient use of budget funds, impede competition, and

create additional barriers to business. Insufficient integration into global logistics networks limits Ukraine's export potential and reduces its competitiveness on the global market. The lack of a clear division of powers and coordination between central executive authorities and local governments complicates the implementation of state policy in the logistics sector. Complicated and unclear procedures for obtaining permits and frequent changes in legislation create additional barriers and reduce the industry's investment attractiveness. The lack of the qualified personnel in the logistics sector hinders the introduction of new technologies and the efficiency of logistics processes. Lagging behind global trends in the digital transformation of logistics, the need for a single state platform for information exchange and the low level of process automation contribute to the insufficient regulation of the logistics services market<sup>1</sup>.

To this end, we offer the author's vision of effective state regulation of the logistics services market, which will be one of the mechanisms to ensure it from the point of view of the strategic priorities and the expected systemic changes (figure 1).

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<sup>1</sup> H. Pavlova, I. Babii, D. Volovik, Establishment Of Logistics At The Level Of International Economic Relations, "Innovation and Sustainability" 2022; 2: 139–146.



**Figure 1.** Effective state regulation of the logistics services market

Source: compiled by the authors

## Literature review

The history of the emergence of logistics has been studied by a large number of both domestic and foreign scholars; some of them are: Babiy I.V., Volovyk D.V., Pavlova G.E., Kharsun L., Dychkovskiy R.<sup>2,3,4,5,6</sup>.

At the same time, the issues of institutionalism and regulatory processes in the logistics sector were the focus of the works of Novosad O.V., Pavlova O.V., Pavlova M.M. Novosad O., Pavlov K., Pavlova O., Pinchuk A., Serhiychuk O., Wołowiec T., Zaichuk K.<sup>7,8,9,10,11</sup>.

In our opinion, insufficient attention has been paid to a comprehensive approach to studying the institutional framework for regulating the logistics services market in the country and its regions.

## Methods

The efficient functioning of the logistics services market within the overall macroeconomic system requires a comprehensive analysis and synthesis of the logistics processes at different levels of management. This implies the development of a comprehensive methodology based on a solid foundation of logistics concepts. Despite significant achievements in the scientific apparatus of logistics, there are still disagreements about understanding its essence and role in shaping the institutional environment.

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<sup>2</sup> K. Pavlov, O. Pavlova, L. Ilyin et al, Assessment of Innovation and Investment Attractiveness of the Western Ukrainian Regional Market of Tourist Services, "ECONOMICS" 2023; 11(1): 45-68.

<sup>3</sup> O. M. Pavlova, O. V. Novosad, A. V. Murzina et al, Development of entrepreneurship in the field of IT business in the conditions of change and communication, "Actual problems of innovative economy and law" 2024; 2: 124-130.

<sup>4</sup> M. Kononenko, O. Khomanko, E. Cabana et al, Using the methods to calculate parameters of drilling and +blasting operations for emulsion explosives, "Acta Montanistica Slovaca" 2023; 28(v28/i3), 655–667.

<sup>5</sup> M. Kononenko, O. Khomenko, I. Kovalenko et al, Determining the performance of explosives for blasting management, "Rudarsko-Geološko-Naftni Zbornik" 2023; 38(3): 19–28.

<sup>6</sup> K. Pavlov, O. Pavlova, T. Kotsko et al, Functioning efficiency of the electricity market of the western region of Ukraine, "Polityka Energetyczna – Energy Policy Journal" 2023; 26(2), 47-64.

<sup>7</sup> O. M. Pavlova, Human capital development in the context of European integration changes and economic challenges, "International scientific journal "Internauka"" 2024; 6: 1-17.

<sup>8</sup> O. M. Pavlova, K. V. Pavlov, Logistics interaction between the subjects of the gas transportation industry: implementation mechanism and prospects, "International scientific journal "Internauka"" 2020; 3(35): 46-51.

<sup>9</sup> T. Wołowiec, K. Pavlov, O. Pavlova, K. Zaichuk, Tourist Services of the Western Region of Ukraine: Rating and Analysis, "ECONOMICS" 2022; 10(1): 183-198.

<sup>10</sup> O. M. Pavlova, O. V. Novosad, A. V. Murzina et al, Development of entrepreneurship in the... op. cit.

<sup>11</sup> O.M. Pavlova, K. Pavlov, A. Bortnik et al, Methodological Approaches to Project Evaluation in Business, Logistics and Trade, "Deleted Journal" 2024; 4(4): 1-15.



## Results

An analysis of the state regulation of the logistics services market in Ukraine has revealed several problems that hinder the development of this industry. To improve the efficiency of the logistics system, systemic changes are required:

1. Improvement of the regulatory framework, i.e. codification of legislation, reduction of administrative burden, and harmonization with international standards.
2. Modernization of the infrastructure will be carried out based on the development of the transport network, the creation of modern logistics centers, and the introduction of digital technologies.
3. Creating a favorable business environment by ensuring the equal conditions for competition, supporting small and medium-sized businesses, and stimulating innovation.
4. Strengthening control and transparency in the context of effective control over compliance with the law, ensuring market transparency and fighting corruption.
5. International cooperation, including integration into international logistics chains and the conclusion of international agreements, offers a potential for a more promising future for the Ukrainian logistics industry.

Codification of legislation in the field of logistics is the process of systematizing and unifying all legal acts regulating activities in this area into a single code. Such an approach is one of the most effective ways to simplify and harmonize the regulatory framework, which, in turn, contributes to the development of the logistics business and increases its transparency.

The expediency of codification lies in that a single code with clear and understandable wording greatly simplifies the procedures for obtaining permits, accounting, and reporting for business entities. Eliminating duplication of norms and contradictions in different legal acts reduces bureaucratic barriers and shortens the time for paperwork. Clearly defined market rules allow the businesses to plan their activities more efficiently and reduce the risks associated with unexpected changes in legislation<sup>12</sup>.

The development of a logistics code is a complex and lengthy process that requires the involvement of a wide range of stakeholders. Each participant, from the government officials to the logistics experts, is instrumental in shaping the future of the industry.

The implementation of codification requires joint efforts from the state, the businesses, and the expert community. It is essential to ensure the broad engagement of all stakeholders to develop an effective and balanced logistics code. Each participant's contribution is essential, as codification of logistics legislation is a technical task and an essential tool for modernizing Ukraine's economy and integrating it into global economic processes.

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<sup>12</sup> Z. Siryk, O. Hrafska, K. Pavlov, B. Samoilenko, R. Chorny, Sustainable development trends in the Ukrainian logistics market, "E3S Web Conf." 2024; 567: 1-11.

One of the critical challenges Ukrainian businesses encounters, especially in the logistics sector, is the excessive administrative burden. The multiplicity of laws, regulations, different interpretations, and constant changes in the regulatory environment create significant difficulties for entrepreneurs. Reducing the number of permits will make it possible to cancel the unnecessary permits (the ones that are not justified or duplicate the other ones); the transition to the declarative principle will replace some permitting procedures, because of which a business entity will independently declare compliance with the requirements of the law. The optimization of permitting procedures will reduce the time required for their consideration and the number of required documents<sup>13</sup>.

Harmonization with the international standards is a pivotal strategic priority for Ukraine. This will involve bringing the national legislation in line with the international conventions and best practices in the field of logistics (e.g. INCOTerms, TIR Convention). Specific measures may include adopting these international standards into the Ukrainian law and providing training and support to businesses to ensure compliance. This will facilitate international trade and increase the competitiveness of Ukrainian exporters.

Modernization of the transport infrastructure, creation of modern logistics centers, and introduction of digital technologies are critical factors in developing the infrastructure and technology in Ukraine. These measures are closely interconnected and create a synergistic effect that contributes to increased transportation efficiency, reduced logistics costs, and increased competitiveness of the Ukrainian economy. In particular, we see the expediency of modernizing the transport infrastructure in increasing the speed and efficiency of transportation, which will reduce the delivery time of goods and passengers and the logistics costs.

However, Russia's full-scale invasion of Ukraine has significantly changed the country's logistics processes. The blockade of seaports in the Black Sea and the temporary occupation of the Sea of Azov have led to significant difficulties in transporting goods. In addition, the suspension of air travel, the destruction of logistics centers, and the relocation of production and business to safer regions have become some of the necessary steps to adapt to the new conditions<sup>14</sup>.

Auto logistics became the primary mechanism of cargo delivery in the first months of the war. However, the export of agricultural products, which had been established, stopped due to the blockade of seaports. The government is taking steps to improve the logistics situation. In particular, two new projects are planned to optimize road transportation. The first is the creation of a "Green Corridor" between the Reni – Giurgiulesti – Galati checkpoints (Ukraine – Moldova – Romania). The other

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<sup>13</sup> M. S. Seheda, O. S. Beshta, P. F. Gogolyuk et al, Mathematical model for the management of the wave processes in three-winding transformers with consideration of the main magnetic flux in mining industry, "Journal of Sustainable Mining" 2024; 23(1), 20–39.

<sup>14</sup> I. Nastyh, Logistics in Ukraine: changing focus and prospects for recovery. Online: [https://propertytimes.com.ua/industrialnaya\\_nedvizhmost/logistika\\_v\\_ukrayini\\_zmina\\_fokusa\\_ta\\_perspektivi\\_vidnovlennya](https://propertytimes.com.ua/industrialnaya_nedvizhmost/logistika_v_ukrayini_zmina_fokusa_ta_perspektivi_vidnovlennya).

is the launch of trucks through Krasnoilk-Vicova de Sousse, which is currently used only for empty trucks. As for rail transportation, there is a significant lack of railroad crossings in the border regions of Ukraine, which complicates exports and imports, so it is already necessary to increase the number of railroad crossings<sup>15</sup>.

Nevertheless, the modernization of the infrastructure in line with the European standards will allow Ukraine to strengthen its presence in the European market. Although the modernization of transport infrastructure is a long and complex process, its successful implementation will allow Ukraine to achieve significant progress in its socio-economic development, improve the population's quality of life, grow the economy, and strengthen the country's international position.

The modern logistics center is a multifunctional complex that provides comprehensive services for storing, processing, and distributing goods. It is equipped with modern technologies that automate processes, improve accounting accuracy, and ensure the safety of goods. The creation of such centers will help to ensure the necessary conditions for storing various types of goods, including perishable items, electronics, and pharmaceuticals, taking into account their specific requirements, performing additional operations with goods, such as packaging, labeling, order picking, organizing the delivery of goods to end users or other participants in the supply chain, collecting, processing and analyzing information on the movement of goods, which will optimize the logistics processes.

The benefits of creating modern logistics centers are manifold. They include reduced logistics costs, such as optimization of warehouse processes, reduced order processing time, fewer errors in fast delivery, and accurate order fulfillment. Importantly, the creation of these centers will also lead to the creation of new jobs, thereby increasing the competitiveness of the national economy. One of the most promising areas of the logistics development is the creation of the multimodal logistics complexes that will allow combining different modes of transport (road, rail, water, air) at a single site, which will greatly simplify transshipment operations and reduce the time of cargo delivery. In addition, modern logistics centers can significantly improve the quality of customer service, ensuring that end users receive their goods in a timely and efficient manner.

Today, Ukraine is in need of the high-quality logistics terminals and logistics complexes with a full range of 3PL and 4PL services. Foreign investors acknowledge this and see the economic potential of the logistics business in Ukraine. To address this need, the construction of a logistics hub is planned for 2024, a significant and promising step towards the future of the logistics industry in Ukraine. This initiative holds great potential for the growth and modernization of the logistics sector in Ukraine<sup>16</sup>.

Digital transformation affects all areas of our lives, and logistics is no exception. The introduction of digital technologies in logistics processes radically changes the

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<sup>15</sup> Ibidem.

<sup>16</sup> I. Nastych, Logistics in Ukraine: changing focus and prospects for recovery... op. cit.

approach to supply chain management, increasing efficiency, transparency, and adaptability to changing market conditions. GPS navigation systems and machine learning algorithms allow for calculation of the optimal delivery routes, considering road conditions, traffic jams, and other factors that minimize fuel costs and travel time. Special sensors and software can track cargo movement at all delivery stages, increasing transportation transparency and safety. Robotic systems and warehouse management systems (WMS) help optimize the processes of receiving, storing, and shipping goods, reduce the likelihood of errors, and increase productivity. Transitioning from paper to electronic formats will speed up the information processing, reduce errors, and improve data security. Collecting and analyzing large amounts of data will facilitate identifying patterns, forecasting demand, optimizing inventory, and making more informed decisions. Block chain technology, with its decentralized and tamper-proof nature, will ensure high data security and transparency, which is especially important for tracking the origin of goods and combating counterfeiting.

Implementing digital technologies in logistics may have benefits, such as route optimization, process automation, error reduction, savings on fuel, personnel, and warehouse space, fast delivery, real-time cargo tracking, and information transparency. These benefits translate into more efficient and transparent logistics, enabling companies to offer their customers faster delivery, accurate tracking, and more competitive pricing. This, in turn, can lead to increased customer satisfaction and loyalty, ultimately enhancing the company's competitiveness on the market.

The future of digital logistics is incredibly promising. As technologies advance, the cost of their implementation will decrease, and the level of automation will increase. This will pave the way for more efficient, flexible, and sustainable logistics systems that can effectively meet the demands of the modern market.

Establishing a level playing field is a cornerstone of a healthy market, and the logistics services market is no exception. This principle ensures that all market participants, regardless of their size, ownership, or other factors, have equal opportunities to conduct business without any unfair advantages or restrictions.

The level playing field in the logistics services market is influenced by factors such as the regulatory environment, i.e. clear, transparent, and non-discriminatory rules of the game, absence of excessive regulation and bureaucratic barriers, access to infrastructure, a fair and transparent tax system that does not create advantages for individual companies, control over compliance with antitrust laws, transparency of public procurement, etc.

We propose to create equal conditions for competition in the logistics services market using the following principles.

Decentralization plays a crucial role in acknowledging regional specifics and providing a more flexible response to local needs. However, it is essential to establish clear criteria and limits of powers for the local authorities to prevent regulatory discrepancies:

- simplification of procedures, which includes a reduction in the number of permits, replacing some of the permitting procedures with a declarative principle

when a business entity declares that its actions comply with the requirements of the law, shortening the review period and reducing the number of required documents;

- support for small and medium-sized businesses, for which the financial support programs will be developed, consultations will be provided, and training and seminars will be organized. Preferential tax rates for small businesses will be established, and special conditions for small and medium-sized enterprises to participate in public procurement will be developed;
- attracting private investment, which will be accompanied by a reduction in corruption; ensuring the protection of investors' rights; simplifying the business registration procedure; developing investment projects in the logistics sector that will be of interest to investors; providing state guarantees for investors involved in the implementation of investment projects in the logistics sector, and attracting funds from international financial institutions to finance investment projects;
- strengthen control over compliance with antitrust laws through creating an effective antitrust regulation system, regular market monitoring, fair investigation of violations, and application of effective sanctions.

Therefore, the state's role in creating equal conditions for competition in the logistics services market is crucial. This element of the mechanism for ensuring the state regulation is one of the key factors in the development of the industry. It will increase the efficiency of logistics processes, reduce transportation costs, increase exports, and improve the quality of customer service. This is a significant area where state support and innovation can make a substantial impact.

Small and medium-sized businesses are the driving force behind the economic development of any country, including Ukraine. They provide job opportunities, stimulate innovation, and promote competition. Therefore, state support for small and medium-sized businesses, which can lead to increased employment, accelerated innovation, and enhanced competitiveness, is not just a priority area of economic policy, but a promising avenue for the future.

The state supports small and medium-sized businesses by providing loans on preferential terms or with state guarantees, non-refundable financial assistance for implementing innovative projects, and reducing the tax burden for small businesses. In terms of non-financial assistance, we should emphasize such elements as providing advice on business, marketing, finance, etc., organizing training and seminars for entrepreneurs, providing access to information on markets, technologies, and government programs, reducing the number of permits and simplifying procedures for obtaining them, building industrial parks, technology parks, and other infrastructure facilities necessary for the development of small and medium-sized businesses.

The prospects for this expected systemic change include expanding access to financing, simplifying administrative procedures, improving the efficiency of government programs, and cooperation with business associations. Support for small and medium-sized businesses is not just one of the critical factors in Ukraine's economic growth, but a testament to the integral role these businesses play in our country's progress.

Stimulating innovation is not just an integral part of the logistics sector's development, but also a beacon of progress. New technologies and approaches help to optimize processes, reduce costs, and improve the quality of services. This link in the large mechanism of regulating the logistics services market will not just increase efficiency, reduce costs, and improve the quality of services, but it will also inspire a new era of logistics.

We propose to stimulate such innovations in logistics, which can be applied to develop the Internet of Things (IoT) for real-time cargo tracking, implement artificial intelligence to optimize routes and forecast demand, use block chain to ensure transparency and security of supply chains and develop mobile applications for customers and employees. We also see the feasibility of using green technologies, such as environmentally friendly fuels and vehicles, optimizing routes to reduce CO<sub>2</sub> emissions, using recyclable packaging materials, and new business models that include the creation of platforms for connecting carriers and cargo owners and developing new services such as last-mile delivery or fulfillment. Implementing such technologies and approaches can increase the efficiency of logistics processes, reduce costs, and ensure high-quality services.

As shown in figure 1, a strategic priority of effective state regulation of the logistics services market leads to expected changes such as effective control over compliance with the law, ensuring market transparency, and combating corruption.

In particular, the tools of effective control include scheduled and unscheduled inspections of business entities, which allow for the detection of violations of the law at early stages, the use of data analysis software, GPS navigation systems, drones, etc., which increase the efficiency of control and reduce costs, simplify control procedures, reduce the number of bureaucratic barriers and increase transparency. The involvement of civil society organizations and citizens in monitoring compliance with the law will provide additional information on violations. In contrast, cooperation with international organizations and other countries will allow for the exchange of experiences and implementation of the best international practices.

By implementing modern control methods, increasing transparency, and fighting corruption, we can create a level playing field, ensure consumer protection, and increase the investment attractiveness of the industry.

An equally important element is market transparency, which requires publishing information on tariffs, routes, availability of vehicles, carrier licenses, inspection results, etc. This entails the creation of a unified electronic register of business entities providing logistics services, the development of convenient online services for finding information on logistics services, and the guarantee that information is available to all stakeholders. Establishing mechanisms for public control over the activities of logistics companies, encouraging citizens to report violations, involving business representatives in the development and implementation of transparency measures, and participating in international initiatives to ensure transparency in transport corridors will make the logistics services market in Ukraine more transparent, efficient, and attractive to investors.

The critical areas of fighting corruption in the logistics sector include transparency and openness, strengthening control, reducing discretionary powers, and preventing conflicts of interest.

The importance of fighting corruption in logistics lies in a transparent and predictable market that attracts investment. An effective fight against corruption increases trust in the country as a reliable partner for business. All market participants receive equal opportunities. Reducing corruption will help optimize costs and improve the quality of services. Thus, a comprehensive approach to fighting corruption in the logistics sector, including transparency, control, prevention of conflicts of interest, and witness protection, is a prerequisite for developing the logistics sector and the country's economy. Implementing these measures will create a favorable environment for businesses, increase the efficiency of logistics processes, and ensure sustainable economic development.

The strategic priority is international cooperation that encompasses systemic changes such as integration into international logistics chains and the conclusion of international agreements. These agreements, as depicted in figure 1, play a crucial role in facilitating global trade and economic development.

Since integration into international logistics chains involves inclusion of the national economy or individual companies into the global flows of goods and services, it should be highlighted that this implies active participation in international trade and the creation of efficient delivery and distribution systems in the global market.

The access to global markets will allow companies to expand their customer base and increase sales. The access to the global supply chains will enable companies to purchase raw materials and components at more favorable prices. The development of exports and investments in logistics will create new jobs, and cooperation with international companies will stimulate technological development and increase the competitiveness of the national economy. It is worth noting that the primary function of modern transport corridors is to deliver goods via the shortest route and as quickly as possible. At the same time, such operations include transporting goods from one mode of transport to another, handling, packaging, sorting, etc.<sup>17</sup>.

The international network of transport corridors is defined by the Declarations of the First (31.10.1991, Prague), Second (14-16.03.1994, Crete), and Third (23-25.06.1997, Helsinki) European Transport Conferences. The Cretan Conference finally approved the routes of the first ten trans-European international transport corridors, later called "Cretan"<sup>18</sup>.

Considering the strategies of integration into the international logistics chains through the development of transport infrastructure, simplification of customs procedures, support for small and medium-sized businesses, development of logistics services, and staff training, we can firmly state that the logistics sector is efficient.

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<sup>17</sup> O. M. Sohatska, R. E. Zvarych, V. M. Panasyuk et al, International logistics, "Wunu.edu.ua" 2022.

<sup>18</sup> Kh. Prytula, Y. Kalat, I. Kyryk, Areas Of Influence Of International Transport Corridors As A New Object Of The State Regional Policy Of Ukraine For The Period Up To 2027, "Efektyvna Ekonomika" 2020; 11: 1-8.

Here is an example of countries that have successfully integrated into the international logistics chains<sup>19</sup>:

- China – due to significant investments in infrastructure development and the creation of special economic zones, it has become one of the largest exporters in the world;
- Singapore has become one of the leading logistics centers in Asia due to its strategic location and developed port infrastructure;
- Germany is known for its high-quality goods and efficient logistics system.

Thus, integration into international logistics chains is an important factor in the development of the national economy. It helps increase exports, create new job opportunities, and improve competitiveness.

The conclusion of international agreements is a complex process that involves interaction between states and international organizations to regulate the international relations in various areas, including economics, politics, and culture. These documents establish the rules of the game in the international arena, define the rights and obligations of states, and outline cooperation in various fields. Agreements can be a tool for the peaceful settlement of disputes between states and create a legal basis for the activities of international organizations such as the UN, the World Trade Organization, etc.

The importance of international agreements for Ukraine cannot be overstated. These agreements, whether they pertain to free trade, investment, or other areas, open new markets for Ukrainian goods and services. They also facilitate the development of cooperation with other countries and may contain provisions that protect the rights of Ukrainian citizens and companies abroad. Overall, international agreements are a cornerstone of international relations, fostering cooperation between states, the resolution of global problems, and the development of international trade.

In summary, implementing the proposed strategic priorities and expected systemic changes will increase the efficiency of logistics processes, reduce costs, increase exports, improve the quality of customer service, and ensure the sustainable development of Ukraine's economy. However, as already mentioned, the successful implementation of the proposed reforms is possible only if the government, businesses, and the public cooperate closely. The public's role in this process is crucial, as their support and active participation will contribute to creating a modern and efficient logistics system that will meet the requirements of the 21<sup>st</sup> century.

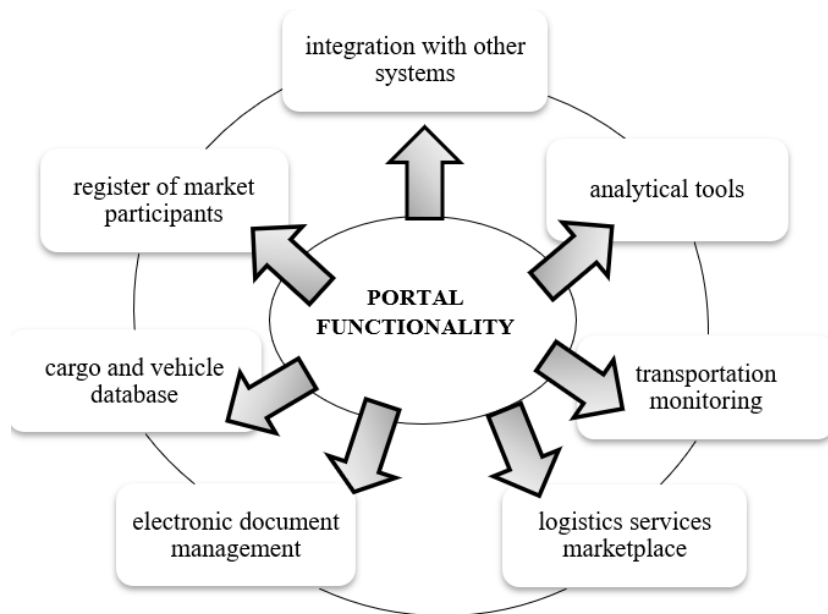
One critical mechanism of modern state regulation of the logistics market is the creation of a single digital portal for the logistics services. The primary purpose of this portal is to centralize information and simplify interaction between all participants in the logistics chain by increasing the market transparency.

Figure 2 presents the portal's functionality (a set of capabilities and tasks that a digital portal of logistics services can perform).

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<sup>19</sup> B. V. Samoilenko, K. V. Pavlov, O. M. Pavlova, O. M. Serhiychuk, Analysis of the development of the Ukrainian logistics services market in the context of European integration processes, "International scientific journal "Internauka" 2024; 10: 1-18.





**Figure 2.** Functionality of a single digital portal of logistics services

*Source: compiled by the authors*

A digital portal, as a tool for efficient management of logistics processes, is designed to be user-friendly, providing a wide range of services for various participants in the logistics chain. It is constituted of the essential elements depicted in figure 2.

1. The register of market participants includes a simple and intuitive registration procedure for all participants (carriers, freight forwarders, cargo owners, etc.), detailed information about each participant (contacts, licenses, certificates, vehicle fleet, etc.), as well as a quick search for reliable partners by various criteria.
2. The cargo and vehicle database contains a detailed description of the cargo (type, weight, dimensions, and special requirements), transportation route, status and characteristics of vehicles (type, carrying capacity, dimensions), availability, and technical condition.
3. We propose to create an electronic document flow for the documents such as way-bills, contracts, customs declarations, etc. This system will significantly reduce paperwork, streamline processes, and ensure the legal force of documents through electronic digital signatures. A centralized storage of all transportation-related documents will be formed, making it easier to access and manage important information.
4. The logistics services marketplace will include offer publication, i.e. carriers can publish their transportation offers, service search (cargo owners can quickly find the necessary logistics services at the best price), and online booking (the ability to order logistics services online).
5. Transportation monitoring should include GPS tracking (real-time tracking of vehicle movements), status change notification (receiving notifications of

- changes in the status of cargo (receipt, dispatch, delivery, etc.)), route analytics (optimizing delivery routes based on traffic data), and other factors.
6. Analytical tools will consist of market statistics (analysis of market trends, supply, and demand for logistics services), personalized analytics (individual reports for each user with an analysis of their activities), and forecasting (prediction of future market trends).
  7. Integration with other systems will be formed by electronic customs (automatic data exchange with customs authorities), banking system (payment for services through online banking), and warehouse management system (integration with warehouse management systems).

The advantages of such a portal are manifold and substantial. It will increase the market transparency by making all the information about market participants and their services readily available online. The automation of routine operations and reduction of paperwork will lead to a significant decrease in administrative burden. This, in turn, will increase the efficiency of the logistics processes, create a level playing field for all participants, and support management decision-making. Overall, the portal will revolutionize the logistics sector in Ukraine, making it more efficient, transparent, and conducive to business development<sup>20</sup>.

Therefore, creating a single digital portal for logistics services is an important step towards modernizing the logistics sector in Ukraine. This tool will increase the efficiency of the logistics processes, simplify the interaction between market participants, and create favorable conditions for business development.

The development and implementation of the National Logistics Development Strategy is a critical mechanism for ensuring state regulation of the logistics services market. This comprehensive document defines priorities, goals, and measures for the development of the country's logistics sector in the medium and long term. It is an essential tool for ensuring the competitiveness of the national economy, increasing the efficiency of foreign trade, and improving the population's quality of life. The strategy will guide and coordinate efforts to modernize the logistics sector, making it more efficient, competitive, and beneficial for the economy and the population.

It is the national logistics development strategy that promotes the integrated development of the logistics infrastructure, technologies, and human resources, it creates favorable conditions for attracting investment in the logistics sector, improves production and export efficiency, reduces administrative barriers and simplifies business procedures, and improves the availability of goods and services and reduces their cost.

The critical elements of the national logistics development Strategy include the construction of new roads, railways, ports, and airports, modernization of the customs system through simplification of customs procedures, introduction of electronic document management, development of logistics centers, including the creation of modern warehouses, terminals and other logistics facilities, support for innovation

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<sup>20</sup> L. G. Kharsun, Logistics services for trade flows between Ukraine and the EU countries, "Ekonomika Ukrainy" 2016; 4: 112-121.

by stimulating the development and implementation of new technologies in logistics, development of human resources through advanced training of logistics specialists, cooperation with international organizations, and the creation of a new logistics hub.

The national Strategy for logistics development is not just a plan, but also a powerful tool that can transform our country into a modern logistics hub. This transformation will not only contribute to economic prosperity but also significantly improve the quality of life for our population.

By establishing a state fund for the logistics development, we are unleashing a powerful tool that can significantly influence the development of our logistics infrastructure. This fund has the potential to increase the competitiveness of our national economy, promote innovation, and provide stable financing for strategic logistics projects, instilling a sense of optimism and confidence in our proposed changes.

The primary purpose of creating such a fund is to provide the financial resources for the construction and modernization of logistics infrastructure, support for innovative projects, human capital development, and cooperation with international organizations.

The sources of funding may include the state budget, namely direct allocations, investments of state-owned banks in lending to the fund's projects, raising funds from domestic and foreign investors, donations in the form of grants from international organizations, and funds from customs payments, which are partially directed to the development of logistics.

In the course of the fund's work, projects will be selected for funding based on a competitive selection process or by a government order. It will be possible to provide grants, loans, and investments depending on the type of project and its implementation stage. The funds received from the fund will be monitored and controlled, and the effectiveness of investments and the impact of projects on the development of the logistics sector will be assessed.

It is advisable to outline the benefits of creating the fund, which include:

- increased investment in logistics;
- accelerating the development of logistics infrastructure;
- increasing the competitiveness of the national economy;
- creation of new job opportunities;
- increase in foreign trade.

The successful operation of the State Logistics Development Fund requires the following:

- creation of transparent mechanisms for managing the fund, involvement of independent experts;
- introduction of a monitoring and audit system;
- involvement of business representatives in the decision-making process;
- exchange of experience with other countries.

## **Discussion**

Thus, creating a state fund for logistics development is an essential step toward modernizing the logistics sector and increasing the competitiveness of the national economy. However, for the Fund to be successful, it is necessary to ensure a transparent management system and effective control and involvement of all stakeholders.

It is worth noting that Ukraine has introduced several important legislative mechanisms that facilitate the attraction of private investment. These include public-private partnerships, the creation of the industrial parks, and state support for investment projects involving significant investments (over EUR 12 million). The laws governing these areas are constantly being improved. There has also been an increase in support from the international financial institutions. However, there are specific difficulties in implementing these mechanisms, including a lack of investor confidence in the judicial system, risks associated with the war, and low capacity of the responsible government agencies. Ukraine's potential in logistics is indeed significant. This is due to the interest of investors in the country's capabilities, business re-formatting in the context of the war, and the gradual development of the western and central regions despite the numerous difficulties observed today. The main obstacle to attracting foreign investment is military risks, such as a high probability of damage and destruction of logistics facilities<sup>21</sup>.

In general, the analysis of the presented mechanisms of state regulation of the logistics market, i.e. the creation of a single digital portal for logistics services, the development of a national Strategy for the development of logistics, and the formation of a state fund for the development of logistics, leads to the conclusion that they are complementary and synergistic.

A single digital portal, as a key component of the digital transformation of the logistics sector, serves as a tool for the operational management of logistics processes. It ensures transparency, efficiency, and accessibility of information for all market participants. The portal's role in the digital transformation is significant, as it not only facilitates the integration with other government systems but also paves the way for the adoption of the advanced technologies such as IoT, AI, and blockchain in the logistics sector.

The National Logistics Development Strategy, with its inspiring strategic vision, defines the long-term goals and priorities for the industry's development. It creates a robust framework for the implementation of specific projects and activities, providing a beacon of hope for the future of logistics development. This strategy also plays a pivotal role in coordinating the efforts of the state, business, and the public.

The State Logistics Development Fund, a catalyst for growth, provides the necessary financial resources to implement the strategic projects envisaged by the national strategy. It plays a crucial role in accelerating infrastructure development, supporting innovation, and most importantly, promoting private investment. This emphasis on

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<sup>21</sup> I. Nastych, *Logistics in Ukraine: changing focus and prospects for recovery...* op. cit.

private investment encourages the audience about the potential for growth in the logistics sector.

## **Conclusions**

The synergy of these mechanisms allows to:

1. Create an effective management system for the logistics sector. The digital portal provides operational management, the strategy determines the direction of development, and the fund provides financial resources.
2. Increase the competitiveness of the national economy because developed logistics reduces production costs, improves the quality of services, and promotes export growth.
3. Attract additional investment, as transparency, efficiency, and government support make the logistics sector attractive to investors.
4. Create new job opportunities, as the development of logistics stimulates the creation of new jobs in various segments of the economy.
5. Improve the population's quality of life, as developed logistics ensures the availability of goods and services and reduces their cost.

Taking into account the specific features of the presented mechanisms, it is necessary to indicate the perspective visions, in particular:

1. Expanding the functionality of the digital portal, such as integrating with new systems, developing analytical tools, and personalizing services.
2. Deepen cooperation between the state and business in the context of jointly identifying logistics development priorities and involving business in the development and implementation of the strategy.
3. Involvement of international experience, including cooperation with international organizations and companies to implement advanced technologies and practices.
4. The development of green logistics will result from stimulating environmentally friendly technologies and vehicles.

Thus, the comprehensive application of these mechanisms will allow Ukraine to become a modern logistics hub, contributing to economic growth, improving the population's quality of life, and strengthening the country's international position.

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## ROAD TRANSPORTATION LAW – SELECTED LEGAL AND ECONOMIC CONDITIONS IN POLAND AND BULGARIA

### *Ustawa o transporcie drogowym – wybrane uwarunkowania prawne i ekonomiczne w Polsce i Bułgarii*

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#### **Streszczenie**

*Ustawa o transporcie drogowym wprowadziła obowiązek przechowywania dokumentacji związanej ze zleconymi przewozami przez okres 5 lat. Jest to istotne zabezpieczenie, które ma na celu ułatwienie ewentualnych kontroli i zapewnienie możliwości weryfikacji zgodności realizowanych usług z obowiązującymi przepisami. To podkreśla zobowiązanie branży do transparentności i przestrzegania najwyższych standardów etycznych. Nowelizacja ustawy o transporcie drogowym wprowadziła bardziej rygorystyczne wymogi i zaostrzyła sankcje, bowiem zakłada zwiększenie bezpieczeństwa, sprawiedliwości i efektywności. Jest to krok w stronę wyeliminowania nieuczciwej konkurencji i podniesienia ogólnego poziomu zaufania do branży transportowej. Dla spedytorów, nadawców oraz przewoźników oznacza to konieczność dostosowania się do nowych wymogów. Może się to okazać wyzwaniem, ale jednocześnie otworzyć przed nimi nowe możliwości rozwoju w bardziej zorganizowanym i transparentnym środowisku.*

**Słowa kluczowe:** *ustawa o transporcie drogowym, branża transportowa, bezpieczeństwo, efektywność, spedycja, ekonomika transportu*

#### **Summary**

The Road Transport Act has introduced the obligation to keep the documentation related to the outsourced transport for a period of 5 years. This is an important safeguard to facilitate possible inspections and to ensure that the compliance of



the services performed with the regulations in force can be verified. This underlines the industry's commitment to transparency and compliance with the highest ethical standards. The amendment to the Road Transport Law has introduced stricter requirements and increased sanctions, as it aims to increase safety, fairness, and efficiency. This is a step towards eliminating unfair competition and raising the general level of trust in the transport industry. For those engaged in the forwarding, shipping, and transportation of goods, this signifies the necessity to adapt to the recently introduced requirements. This may prove challenging, but at the same time, it offers new opportunities for growth in a more organized and transparent environment.

**Key words:** road transport law, transport industry, safety, efficiency, shipping, economic of transportation

## Introduction

Adopted by the Sejm of the Republic of Poland of the third term, at its 118th session on 6 September 2001, The Act on Road Transport (consolidated text: Journal of Laws of 2007, No. 125, item 874 as amended) replaced two previously binding acts: the Act of 2 August 1997 on conditions of international road transport (Journal of Laws No. 106, item 677 as amended) and the Act of 29 August 1997 on conditions of domestic road passenger transport (Journal of Laws No. 141, item 942 as amended). The Act is regarded as a comprehensive regulatory measure that extends beyond the scope of the preceding legislation it supersedes. In fact, the Act on Road Transport regulates the issues related to the access to the profession of a road transport operator and the access to the market, thus, implementing part of the *acquis communautaire* into the Polish law. The provisions of the Road Transport Act filled a gap in the national law, and in the pre-accession period, they were assessed as the implementation of the assumptions of the Polish Negotiation Position in the area of "Transport Policy" and Priority 9 of the National Programme of Preparation for Membership (NPPC 2000).

In fact, the following acts of Community law were implemented into national law by the Act on Road Transport:

1. Council Regulation (EEC) No. 684/92 of 16 March 1992 on common rules for the international carriage of passengers by coach and bus (OJ L 74, 20.03.1992, p. 1, as amended);
2. Council Regulation (EC) No. 11/98 of 11 December 1997 amending Regulation (EEC) No 684/92 on common rules for the international carriage of passengers by coach and bus (OJ L 4, 08.01.1998, p. 1 as amended);
3. Council Directive 96/26/EC of 29 April 1996 on admission to the occupation of road haulage operator and road passenger transport operator and mutual recognition of diplomas, certificates and other evidence of formal qualifications intended to facilitate for these operators the right to freedom of establishment in national and international transport operations (OJ L 124, 23.05.1996, p. 1, as amended);

4. Council Directive 98/76/EC of 1 October 1998 amending Directive 96/26/EC on admission to the occupation of road haulage operator and road passenger transport operator and mutual recognition of diplomas, certificates and other evidence of formal qualifications intended to facilitate for these operators the right to freedom of establishment in national and international transport operations (OJ L 277, 14.10.1998, p. 17);
5. Council Directive 76/914/EEC of 16 December 1976 on the minimum level of training for drivers in road transport (OJ L 357, 29.12.1976, p. 36);
6. Directive 1999/62/EC of the European Parliament and of the Council of 17 June 1999 on the charging of heavy goods vehicles for the use of certain infrastructures (OJ L 187, 20.07.1999, p. 42 as amended);
7. Council Directive 88/599/EEC of 23 November 1988 on standard checking procedures for the implementation of Regulation (EEC) No 3820/85 on the harmonisation of certain social legislation relating to road transport and Regulation (EEC) No 3821/85 on recording equipment in road transport (OJ L 325, 29.11.1988, p. 55 as amended);
8. Council Regulation (EEC) No 4060/89 of 21 December 1989 on the elimination of controls performed at the frontiers of Member States in the field of road and inland waterway transport (OJ L 390, 30.12.1989, p. 18, as amended);
9. Council Regulation (EEC) No 3912/92 of 17 December 1992 on controls carried out within the Community in the field of road and inland waterway transport in respect of means of transport registered or put into circulation in a third country (OJ L 395, 31.12.1992, p. 6);
10. Council Regulation (EEC) No 3916/90 of 21 December 1990 on measures to be taken in the event of a crisis in the market in the carriage of goods by road (OJ L 375, 31.12.1990, p. 10);
11. Council Directive No 106/92 EEC of 7 December 1992 on the establishment of common rules for certain types of combined transport of goods between Member States (OJ L 368, 17.12.1992, p. 38);
12. Directive 2006/22/EC of the European Parliament and of the Council of 15 March 2006 on minimum conditions for the implementation of Council Regulations (EEC) Nos 3820/85 and 3821/85 concerning social legislation relating to road transport activities and repealing Council Directive 88/599/EC (OJ L 102, 11.4.2006, p. 35, as amended).

The EU rules find their implementation into the Bulgarian legal system through numerous separate legal acts. The primary source of Bulgarian road transportation law is the Automobile Transport Act (Prom. SG. 82/17 Sep 1999), but the Roads Act, the Road Traffic Act, the Rail Transport Act as well as various by-laws are also of particular relevance in the matter. The core of the Automobile Transport Act is composed under nine chapters. The first one contains general provisions, the second provides for licensing and registration rules, the third governs rules on internal transport, chapter four regulates international transport and the rest of the act is mainly focused on the arrangements related to the integration of technical tools, legal documentation, supervision and administrative liability.

## **The subject matter of the Road Transport Act in Poland and of the Automobile Transport Act in Bulgaria**

The regulation of Article 1 of the Road Transport Act, together with Article 3 of this Act, determines the material scope of the Road Transport Act. Therefore, it is essential to determine the scope of matters that are regulated by the provisions of the Road Transport Act. The present wording of the commented provision has been in force since 1 January 2012, by virtue of Article 1 of the Act of 16 September 2011 amending the Road Transport Act and certain other acts (Journal of Laws No. 244, item 1454). The material scope of the Act is a compilation of three main thematic categories. The first, the most extensive group of provisions of the Road Transport Act (Chapter 1-8), concerns the rules of undertaking and pursuing economic activity in the field of road transport and non-commercial road transport, including the rules of access to the profession of road transport operator and the access to the road transport market.

The second category of regulations (Chapters 9 and 10) explains the norms pertaining to the establishment and the principles of operation of the Road Transport Inspection as a specialized service authorized to exercise control over road transport in accordance with the provisions of the Act and the norms concerning the supervision and control of entities engaged in road transport, drivers or other entities performing other activities related to this transport. On the other hand, the third group of provisions (Chapter 11 and Annexes 1-3) defines the responsibility of four groups of entities:

1. those carrying out road transport - including in particular road haulers and those carrying out own-account road transport,
2. entities performing other road transport activities,
3. persons managing transport,
4. drivers,

for infringements of obligations or conditions of performing road transport revealed as a result of control.

The wording of Article 1(1) of the Act makes it possible to distinguish two basic types of road transport: road transport and non-commercial road transport (also known as road transport for personal use). These two basic types of carriage, due to the route of carriage, are divided into national and international, subject to further subdivisions into carriage of passengers or goods by road. Within the scope of national road transport, road transport by taxi is also distinguished.

Article 2 indicates “*expressis verbis*”, i.e. the respect for the principle of reciprocity in international law and the possibility for foreign carriers to perform road transport on the territory of the Republic of Poland. This provision is *ius dispositivum* in nature, indicating the possibility of different regulations in international agreements ratified by the Republic of Poland. The prerequisites for an entrepreneur to perform foreign road transport on the territory of the Republic of Poland are the entrepreneur’s possession of the permits to perform this type of carriage that is obtained on

the basis of the legal regulations in force in the country of his/her registered office and must comply with the conditions specified in the Road Transport Act.

The Bulgarian Automobile Transport Act (ATA) provides the conditions and the order for:

1. the public national and international transport of passengers and cargo by vehicles, carried out by Bulgarian or foreign carriers;
2. private transport;
3. the control at implementing of the transport of items 1 and 2;
4. the special rules of the contracts for transport of passengers and cargo.

In the territory of the Republic of Bulgaria, the Minister of Transport, Information Technology and Communications is responsible for the implementation of the state policy on the automobile transport of passengers and cargo. The coordination and control of activities in performing road transport of passengers and cargo is assigned to the Executive Agency “Automobile administration”, which is a corporate body at budget support at the Ministry of Transport, Information Technology and Communications with headquarters in Sofia and with regional units.

Pursuant to Article 3, para. 1 of the Automobile Transport Act, the Ministry of Transport, Information Technology and Communications analyses and prognosticates the functioning of the transport market. In this connection, the carriers are obligated to submit statistical information on the transport activity carried out by them, in accordance with the order and in a form, established by the Ministry of Transport, Information Technology and Communications and by the Chairman of the National Institute of Statistics. In case of crisis on the transport market regarding the transport, the Ministry of Transport, Information Technology and Communications can, for a definite types of transports:

1. stop the licensing and registration of new carriers;
2. establish restriction of the expansion of the activity of the existing carriers on the market and the number of vehicles.

According to Article 5, para. 1 of the Automobile Transport Act, the prices for the public transport of passengers and cargo shall be formed freely on the basis of the demand and offer. The carriers are obliged to announce to their clients the prices and the conditions of the transport in a way established by the Ministry of Transport, Information Technology and Communications.

## **Definitions related to road transport**

Article 4 of the Road Transport Act is of fundamental importance to the whole of the Act under comment, as it constitutes a kind of “glossary” of the Act, containing twenty-three legal definitions. The priority importance of the provisions of Article 4 is reflected in the jurisprudence of the Supreme Court, which in its judgment of 15 January 1993, III ARN 89/92, POP 1993, z. 4, item 70, expressed the view that it is a recognised rule of interpretation to deviate from the colloquial meaning of

words and concepts when the legislator defines words or concepts (terms) in the legal language, creating the so-called normative definitions. Thus, when interpreting legal provisions, including the provisions of the Road Transport Act, one should first take into account the understanding of the concepts defined in the Act in the legal sense and not in their meaning functioning in colloquial language.

#### 1. National road transport

National road transport is defined as undertaking and carrying out the business of transporting persons and goods. In doing so, it should be emphasised that:

- the motor vehicle in which this type of carriage is carried out should be registered in the country;
- carriage takes place in the territory of the Republic of Poland, i.e. the route, the place of commencement or termination of the journey and the journey as well as the road are located in the territory of the Republic of Poland.

The definition of the national road transport formulated in Article 4(1) additionally includes a definition of a motor vehicle, stating that this term should also be understood as a combination of vehicles consisting of a motor vehicle and a trailer or semi-trailer. Similarly, the Supreme Administrative Court in Warsaw stated in its justification of the judgement of 8 August 2007, I OSK 1305/06, LEX No. 382720, that “a vehicle unit is undoubtedly a car with a trailer, as these vehicles are connected with each other in such a way that they constitute a single driving unit”.

On the other hand, pursuant to Article 2(33), a motor vehicle is considered to be a motor vehicle which can reach a speed of more than 25 km/h, with the exception of an agricultural tractor. National road transport is a type of the economic activity. The legal definition of this notion is contained in Article 2 of the A.s.d.g., which states that “economic activity is gainful manufacturing, construction, commercial, service activity, as well as exploration, prospecting and extraction of minerals from deposits, and professional activity, performed in an organised and continuous manner”.

#### 2. International road transport

International road transport should be understood, as in the case of national transport, as the carriage of persons or goods by motor vehicles or combinations of vehicles. The characteristic feature of this type of road transport, however, is that the journey is made between points A and B, but, significantly, crossing the border of the Republic of Poland.

#### 3. Road transport

The definition of road transport set out in Article 4(3) of the Act has been constructed in the form of a list. Indeed, the legislator indicates that the concept of road transport includes four types of activity:

- national road transport;
- international road transport;
- so called “fractional road transport for own needs”, i.e. road transport performed by an entrepreneur auxiliary to his/her economic activity, not fulfilling all the conditions specified in Article 4, point 4 of the Act;

- economic activity in the field of intermediation in the carriage of goods, i.e. forwarding as referred to in Art. 794 of the Act of 23 April 1964 of Civil Code (Journal of Laws No. 16, item 93, as amended); in accordance with the thesis represented in the case law, activities undertaken within the framework of a forwarding contract may consist in providing advice, concluding transport agreements, drawing up transport documents, collecting the consignment from the consignor or carrier, handing over the consignment to the consignee. These may also include other organisational and legal activities related to carriage, such as finding a carrier, preparation of consignment notes, or conclusion of a carriage contract with a carrier on behalf of the principal and payment of remuneration for carriage to the carrier (judgment of the SA in Warsaw of 19 December 2007, VI ACa 400/07, OSA 2009, z 12, item 42).

Having regard, in particular, to the legal definitions of national and international road transport, it is reasonable to conclude that road transport is a type of economic activity, and the entity performing such an activity has the status of an entrepreneur. It should be emphasised that the performance of road transport will take place even when an entity does not conduct business activity on a permanent basis (in an organised and continuous manner), is not entered in the register of business activity or in the register of entrepreneurs in the National Court Register, but actually provides a service of transport of persons or goods for a fee (even on a one-off basis), corresponding to the defined road transport (cf. the judgment of the Supreme Administrative Court in Warsaw of 20 January 2009, II GSK 670/08, LEX No. 478526). On the other hand, the mere entry of a particular entity in the register of economic activity does not cause that entity to be perceived as an entrepreneur in all aspects of its activity. The performance of road transport cannot be understood as all factual activities connected with the movement of a vehicle on roads. This is because it is not about performing such activities, but about conducting business activity consisting in providing transport services (cf. the judgment of the Supreme Administrative Court in Warsaw of 8 January 2009, II GSK 638/08, LEX No 484876).

An entrepreneurial individual who is registered and authorised to carry out road transport (holding a licence) may also carry out transport for private purposes, without any connection with his or her business activity. In other words, the term “private” is used to describe a context that is personal, non-professional, and non-service-oriented. The adjective ‘private’, therefore, qualifies the purpose of the journey as devoid of professional, business characteristics, separating the transport from the business activity performed. Accordingly, a journey undertaken for vacation purposes, to visit family, or to make a household purchase would be considered private. However, a trip that is not commercial but still related to business activities would not be classified as private.

4. Non-commercial carriage by road – own-account carriage

Pursuant to the definition contained in Article 4(4) of the Act, non-commercial carriage by road, interchangeably referred to as own-account carriage, should

be understood not as a specific type of economic activity, but as any journey of a vehicle (even performed once) on public roads with or without passengers, loaded or unloaded, intended for gratuitous domestic and international carriage of passengers or goods by road, performed by an entrepreneur auxiliary to his/her main economic activity. The essential criterion for a journey to be classified as own-account road transport is the servile nature of that journey in relation to the entrepreneur's principal economic activity. It should also be emphasised that unlike road transport, it is a non-profit, unpaid transport, i.e. the entrepreneur bears the costs of transport on his/her own, necessary for the performance of his/her registered basic business activity, other than transport activity, in this case – commercial activity (Judgment of the Provincial Administrative Court in Warsaw of 21 March 2007, VI SA/Wa 1955/06, LEX no. 329761).

In addition, it should be borne in mind that four conditions must be cumulatively met in order for a journey to be considered as own-account transport: concerning the driver, the vehicle, the cargo or persons transported, and being outside the scope of the subject matter of the economic activity of tourism services. The legislator has defined in detail the criteria for non-commercial own-use carriage, indicating that:

- the motor vehicles used for carriage are driven by the entrepreneur or his/her employees;
  - the entrepreneur holds the legal title to dispose of the motor vehicles;
  - in the case of a cargo journey, the goods transported are the property of the trader or have been sold, bought, hired, leased, produced, extracted, processed or repaired by the trader or the purpose of the journey is to carry passengers or goods to or from the undertaking for its own needs as well as the transport of its employees and their families;
  - the carriage is not carriage in the course of a business activity of tourist services.
- Numerous definitions in the field of the Bulgarian road transportation law are attached to the Automobile Transport Act. According to the Additional provisions (para. 1, points 1-5, 14, 17 and 26) of said act:
- “public transport” is the transport carried out at the expense of another person or against payment and economic benefit, which is carried out by the motor vehicle;
  - “transport of passengers” is the activity of a person who provides services for the transportation of passengers by motor vehicle at someone else's expense or against payment or economic benefit;
  - “transport of cargo” means the transportation of cargo by a motor vehicle carried out by a person at someone else's expense or against payment by motor vehicles designed and equipped to transport cargo, as well as the empty courses made in connection with the transport;
  - “transport at own expense” is:
    - the transportation of cargoes without remuneration, intended solely for the benefit of the undertaking or resulting from the undertaking, con-

ducted with the assistance of road vehicles operated by drivers employed under a contract of employment with the person responsible for the undertaking, when the undertaking does not constitute the individual's primary source of income and the transportation is intended to deliver cargo to the individual, constitutes a separate economic activity. The account to which the transport is implemented, the dispatch of cargoes, the transportation of cargoes within the framework of the enterprise or for the person's own needs outside the enterprise, and the ownership of the cargoes, whether implemented by the person or sold, purchased, leased, produced, obtained, processed, or amended by them, are all relevant factors, or

- the transportation of passengers without remuneration for non-commercial or non-business purposes, intended solely for the individual's own activity or arising from their own activity, performed by one's own or hired road vehicles without a driver, operated by drivers employed by the individual at their own expense, when the transportation in question is not their primary activity;
- “carrier” is every individual or corporate body registered as an entrepreneur, carrying out transport of cargo or passengers by vehicles used for this purpose;
- “international transport” is every transport of cargo or passengers during which a state border is crossed;
- “permit” is a document issued in a form established by the Ministry of Transport, Information Technology and Communications, giving right to fulfil definite types of transport;
- “taxi transport” encompasses the transportation of passengers in vehicles with a maximum of seven seats, which may be either registered carriers or drivers operating on behalf of a registered carrier but for their own account. The service is provided to clients at a prearranged point of destination.

### **Requirement to operate a motor vehicle used for transport by the entrepreneur or his employees**

This requirement is fulfilled when the vehicle is driven personally by the entrepreneur or his employee. Given the variety of forms of entrepreneurial activity, it is clear that this requirement will be met where the entrepreneur is a natural person carrying out an economic activity. However, in the case where the entrepreneur is a legal person (e.g. a limited liability company, joint-stock company, cooperative) or an organisational unit without legal personality (general partnership, limited partnership, limited joint-stock partnership), it seems advisable to recognise that a partner of such a company authorised to conduct the affairs of the company should be understood as the entrepreneur or the entrepreneur's employee. It is worth pointing



out that the analysed premise of non-commercial road transport raises the necessity to examine whether the driver of the vehicle is an entrepreneur performing this transport or it is his/her employee. As indicated by the WSA in Warsaw in its ruling of 17 April 2007, VI SA/Wa 322/07, LEX No. 329753, the fact that a person who is not an entrepreneur's employee was in the car cabin next to the driver at the time of the inspection does not lead to the conclusion that the inspected transport was not transport for own needs.

The provisions of the Road Transport Act do not contain a legal definition of the concept of an employee, therefore, the definition resulting from Article 2 of the Act of 26 June 1974 should be applied in this respect – Labour Code (consolidated text: Journal of Laws of 1998, No. 21, item 94, as amended). The correctness of such position is confirmed by the jurisprudence of administrative courts. The Supreme Administrative Court in Warsaw indicated in its legal justification to the judgment of 24 July 2007 that if the legislator had considered it possible to use the term 'employee' in a sense other than that of the Code, he/she would undoubtedly have included a different definition of this notion in the Act on Road Transport (judgment of the Supreme Administrative Court in Warsaw of 24 July 2007, I OSK 1254/06, LEX No. 366189). Similarly, the WSA in Warsaw, in its judgment of 11 May 2005, VI SA/Wa 2136/04, unpublished, stated that the term 'his/her employees' used by the legislator in the Road Transport Act is unambiguous and does not leave any interpretation doubts obliging to apply an interpretation of the provisions other than a grammatical one, as the Road Transport Act, when using the term employee, does not define this term specifically for this branch of law and for this reason the legal definition of this term should have been applied.

The content of the hypothesis of the provision of Article 4(4)(a) of the Act clearly indicates that there is no requirement to employ an employee as a driver, there is only the necessity for the person driving the vehicle to be in an employment relationship with the controlled entrepreneur (cf. the judgment of the WSA in Warsaw of 7 February 2006, VI SA/Wa 1853/05, LEX No. 220069). Nevertheless, it should be emphasised that the above statement is subject to modification in cases where the person driving the vehicle is the entrepreneur's spouse. The starting point for consideration of the issue in question is the content of Article 23 of the Act of 25 February 1964 of Family and Guardianship Code (Journal of Laws No. 9, item 59, as amended), according to which spouses have equal rights and obligations in marriage. They are obliged to live together, to help each other and to be faithful to each other and to work together for the good of the family they have established by their union.

The jurisprudence of administrative courts in the area of own-account transport performed by an entrepreneur in a situation where the spouse of the entrepreneur who is not employed is driving the vehicle, clearly indicates the possibility to recognise transport performed in this manner as own-account transport. It is worth quoting at this point the thesis that: "It remains in contradiction with the purposive interpretation of the provision of Article 4(4)(a) of the Road Transport Act of 6 September 2001 (...) the assertion of the authority that, in order for transport to be deemed

to be performed for own needs, the driver driving the vehicle – the entrepreneur’s spouse – must be employed by the entrepreneur” (cf. the judgment of the WSA in Warsaw of 12 April 2007, VI SA/Wa 2265/06, LEX No. 329695). Similarly, the WSA in its judgment of 20 October 2006, VI SA/Wa 978/06, LEX No. 334527, stated that “(...) the provision of assistance by a spouse in the course of the other spouse’s business activity is a normal consequence of the spouses’ cooperation for the benefit of the family they have created and is not subject to payment (...) a person who assists his or her spouse in the latter’s economic activity and in so doing carries out certain physical work or technical acts on behalf of the self-employed spouse acts on behalf of the self-employed spouse and such acts must be regarded as having been carried out by the self-employed spouse”.

### **Requirement for the entrepreneur to have a title to dispose of motor vehicles**

The prerequisite in question is the entrepreneur’s obligation to hold the legal title to dispose of the motor vehicle in which the trip is being made. This means that it is sufficient for the entrepreneur to hold any valid legal title to dispose of the vehicle, which results from an agreement, even an oral one, even if it is an unnamed agreement (cf. the judgment of the WSA in Warsaw of 9 January 2006, VI SA/Wa 1273/05, LEX No. 220825). The legal title to dispose of a vehicle should be understood as the right in rem, thus not only the ownership right (the supreme right in rem, including the owner’s ‘full power’ over his/her thing), but also other limited rights in rem. As legal title to dispose of a vehicle, the following should be mentioned in particular:

1. usufruct – a limited right in rem, defined in Article 252 of the Civil Code, the content of which consists of two rights: the right to use the thing and the right to collect benefits;
2. lease – in the light of the provisions of the Civil Code (Article 659 et seq. of the Civil Code), it is an agreement as a result of which the lessee obtains the right to use a thing; the rent for lease may be paid on a one-off basis or periodically, and the agreement on the lease of a movable asset may be concluded in any form;
3. lease – a contract defined in Article 693 § 1 of the Civil Code is an agreement under which the lessor undertakes to give the lessee a thing to use and collect benefits for a definite or indefinite period of time, and the lessee undertakes to pay the agreed rent to the lessor;
4. lending – a free-of-charge contract in which the lender undertakes to allow the lessee to use the thing given to him for that purpose for a definite or indefinite period of time (Article 710 of the Civil Code);
5. leasing – by means of a leasing contract, the lessor undertakes to purchase an item from a designated vendor and to give that item to the lessee for use or use and collection of benefits, and the lessee undertakes to pay the lessor monetary remuneration in agreed instalments (Article 7091 of the Civil Code).

## **Regular transport**

The term “regular transport” should be understood as the transport of people and their luggage. A characteristic feature of regular transport is its public nature, as well as its periodicity, regularity (the transport is performed at fixed, specified time intervals) and the marking of the transport route (the transport takes place along a fixed route, and passengers board and disembark at predetermined stops). The legal definition of regular transport contained in the commented provision of the Road Transport Act contains a reference to the principles set out in the setting of November 15, 1984 – Transport Law (consolidated text: Journal of Laws of 2000, No. 50, item 601, as amended). According to art. 2 section 2 of the Act, a carrier engaged in the regular transportation of passengers is required, in particular, to make the timetable of its means of transport publicly available by posting the relevant information at all stations and stops mentioned in the timetable. The case law of administrative courts clearly indicates that the requirement for the carrier to make the timetable public, at least through announcements posted at stops, cannot be understood literally. “It will also be met when these announcements are placed on bollards or other suitable devices, not necessarily part of the infrastructure of a given stop or bus station, also when they are located in an adjacent area which, in the opinion of potential passengers, due to its location, may be considered the area of a bus stop or bus station, therefore, this is a situation in which the location and appearance of a public timetable announcement may effectively suggest to a potential passenger that it is a bus stop from which he can go on his intended journey” (cf. judgment of the Supreme Administrative Court in Warsaw of March 15, 2006, I OSK 624/05, LEX No. 198311). Moreover, the carrier may also make the timetable public by means of an announcement published in a generally accessible newspaper or on the website, specifying the departure times and places intended for dropping off and picking up passengers (Judgment of the Provincial Administrative Court in Warsaw of 25 April 2006, VI SA/Wa 7/06, LEX no. 221773). In order for a given passenger transport to be recognized as regular transport, it must be periodic and available to every potential customer who learned about the transport from a general announcement. Thus, for example, transport to the shopping centers, even when performed as part of a promotional campaign, is generally available and performed regularly, at fixed times, along a fixed route, meeting the conditions for regular transport. Moreover, it is worth pointing out that the provisions of Regulation 1073/2009 define the concept of the regular services as services consisting in the transport of passengers at specified time intervals and on specified routes, with passengers being picked up from and driven to predetermined stops.

The concept of regular transport is linked to the concept of public transport, as regular transport can be performed within the public transport. Provision of art. 4 point 7a, which contained the definition of public transport, was repealed on March 1, 2011, pursuant to art. 73 point 1 letter b Act of 16 December 2010 on public collective transport (Journal of Laws of 2011, No. 5, item 13). In accordance with the legal definition of public transport contained in art. 4 section 1 point 4 of transportation

law, “public transport is municipal passenger transport carried out within the administrative boundaries of a city or: a) a city and municipality, b) cities, or c) neighboring cities and municipalities – if an agreement has been concluded or an inter-municipal association has been established for the joint implementation of public collective transport”. Therefore, a characteristic feature of public transport is the fact that these transports are performed as part of local public transport. Furthermore, a crucial aspect of the definition of public transportation is the geographical area in which this specific mode of transportation is utilized.

### **Special regular transport**

Special regular transport is a special type of regular passenger transport. The main feature that distinguishes regular special transport from regular transport is its non-public nature. Regular special transport is not available to the general public and applies to a specific group of people. As rightly stated by the Provincial Administrative Court in Warsaw in the justification to the judgment of June 6, 2006, VI SA/Wa 228/06, the services consisting in the transport of a specific category of passengers at specific time intervals and on specific routes, assuming that passengers are picked up at predetermined stops and delivered to predetermined stops, for a predetermined fee, are considered special regular services. Regular special transport should be considered, for example, as employee transport or transport of students to schools, although in the case of the latter, due to the changes in the timetable caused by changes in lesson plans, a different opinion may arise, denying “school” transport the characteristics of regular transport, and, therefore, as a regular special one. Nevertheless, it should be emphasized that the jurisprudence of administrative courts regarding the recognition of transport of students to schools as regular special transport is varied. As stated by the Provincial Administrative Court in Warsaw in the justification to the judgment of January 26, 2006, VI SA/Wa 1934/05, LEX No. 206581: transporting groups of students boarding the bus to school at a specified time, at specific stops located on a specified route, and then taking students from school at a specified time to places of residence located on a specified route and dropping them off at designated stops has all the features of special regular transport. The Provincial Administrative Court in Warsaw made a similar finding in its judgment of October 16, 2006, VI SA/Wa 1473/06, LEX No. 298219, indicating that the premise for recognizing the transport of students to schools as regular special transport is the fact that these transports are performed on school days, regularly in the morning and afternoon, and the passengers are a specific group of students listed on the list provided to the carrier by the school. The fact that the timetable varies depending on the needs of users does not affect the classification of transport as regular special transport (Judgment of the Provincial Administrative Court in Warsaw of 20 September 2006, VI SA/Wa 1301/06, LEX no. 255815). A different position was expressed in the judgment of the Provincial Administrative Court in Cracow of February 15, 2012,

III SA/Kr 961/11, in the justification for which the Court stated: “It is undoubted that the transport of children to schools takes place on the basis of transport specified in (...) art. 18 section 3 point 2 and point 3 road transport act, because the carrier transports children to the destination – school – for a specific lesson time, most often in the morning returning without these people, and the next (in simple terms) his “course” is to travel without children to school and then transport the children to homes within the meaning of the town (place of residence), i.e. to the starting point of persons who were transported to school by the same carrier”. The judgment of the Provincial Administrative Court in Warsaw of November 10, 2010, VI SA/Wa 1460/10, LEX No. 759593, also indicates the position on not recognizing the transport of children to schools, performed on the basis of a civil contract between the carrier and the commune, as regular special transport. According to the justification for the above-mentioned judgment: “It is impossible to support the statement that in order to classify a given transport as regular special transport, it is enough for it to be performed on a regular basis, without meeting additional requirements”. It should be taken into account that the legislator’s use of the term “regular transport” in various provisions of the same legal act means that the meaning of this concept is the same in all cases. A synonym of the concept of special regular transport is the concept of special regular services, which is used in the provisions of Regulation 1073/2009. According to the definition contained in art. 2 point 3 Regulation 1073/2009, specific regular international road services refers to regular services, regardless of the entity responsible for their organization, which are designed to transport specific categories of passengers, excluding all others. Furthermore, Regulation 1073/2009 expressly includes the transport of workers between their place of work and their place of residence and the transport of pupils and students to and from an educational institution as specific regular services. The fact that special services may be differentiated according to the needs of users does not affect their classification as regular services. Moreover, in accordance with Regulation 1073/2009, the provision of specific regular services does not require authorization if it is based on a contract between the organizer and the carrier.

As to the Bulgarian legal regime in the area of road transportation law, chapters three and four of the Automobile Transport Act draw a distinction between “Internal Transport” and “International Transport”.

Within the context of the internal transport another subdivision is carried out between [1] Transport of passengers on bus routes (Section I), [2] Specialised and occasional bus transports, as well as Taxi transport of passengers (Section II), [3] Transport for attraction purposes (Section III) and [4] Roadside Assistance (Section IV). Thus, according to Article 17 of the Automobile Transport Act, the public transportation of passengers on bus routes shall be carried out according to the approved transport schemes - national, regional, municipal and intra-regional. The national transport scheme includes the bus routes between servicing towns or villages, whereas the regional transport schemes include the bus routes servicing towns and villages of two or more municipalities of one region. The transport on bus lines

is assigned upon a conducted procedure under the Concessions Act or the Public Procurement Act orders and in compliance with the relevant EU rules. Art. 19, para. 2 specifies that when the transportations by the bus lines are assigned without transferring the operational risk to the economic operator, the assignment shall be carried out by the order of the Public Procurement Act, whereas when the operational risk is transferred to the economic operator, transportations shall be assigned under the conditions and by the order of the Concessions Act. Pursuant to Art. 23 of the Automobile Transport Act, specialised and occasional bus transports shall be carried out by licensed carriers under conditions and prices contracted with the client under conditions and by order, determined with an ordinance, issued by the Minister of Transport, Information Technology and Communications. Occasional transportation of children and/or students shall be carried out only between the hours from 6.00 am to 9.00 pm by buses which have been issued a categorization certificate according to the system of classification of the tourist buses of the International Automobile transport Union (IRU). Article 24 of the Automobile Transport Act (ATA) provides that taxi transport of passengers shall be carried out with automobiles included in the registration certificate for taxi transport of passengers, for which a permit has been issued by the respective municipality, on the territory of which the transport will be carried out. Taxi transport must be performed by drivers who hold a certificate for a taxi driver, valid for the respective municipality, and are psychologically fit. Under Article 24d of ATA it is established that transportations with entertainment purposes shall be carried out by traders registered under the Commerce Act and entered in the database of the municipality where the transport is to be carried out. The mayors of municipalities create and maintain a database in which they enter the vehicles and the persons who perform transportations with entertainment purposes on the territory of the respective municipality, where the activity will be carried out, after they have submitted an application. Pursuant to Art. 24f of ATA roadside assistance on roads open to the public shall be provided by natural or legal persons registered under the Commerce Act or the Non-Profit Legal Entities Act, entered in the public register of the persons, providing road assistance and possessing at least one vehicle with Bulgarian registration, owned or rented.

As to the provisions under Chapter four relating to international transport, they are divided into two sections: [1] Access of Bulgarian carriers to international transport of cargo and of foreign carriers to transport of cargo on Bulgarian territory; and [2] Access of Bulgarian carriers to international transport of passengers and of foreign carriers to transport of passengers on the territory of the Republic of Bulgaria. In this connection, Art. 25, para. 1 of the Automobile Transport Act states that international transport of cargo can be carried out by:

- a carrier who has a Community license and a permit, in case such is required by virtue of international treaties, to which the Republic of Bulgaria is a party;
- persons who have a permit in case such is required by virtue of international treaties, to which the Republic of Bulgaria is a party.

Pursuant to Art. 26 of ATA, in compliance with the bilateral and multilateral international agreements party to which is the Republic of Bulgaria, the Ministry of Transport, Information Technology and Communications shall coordinate with the competent bodies of the countries the number of the permits granted to the Bulgarian carriers. Foreign carriers can perform transports of cargo to or in transit through the territory of the Republic of Bulgaria if they have Community license, issued by the competent authorities of the Member State where the carrier is settled, or if they hold permit issued by the Ministry of Transport, Information Technology and Communications when such permit is required by virtue of bilateral and multilateral agreements party to which is the Republic of Bulgaria, or upon payment of a fee at the border control checkpoints (Art. 27 ATA). According to Art. 28, para 1 of ATA no transport of goods by foreign carriers between two points on the territory of the Republic of Bulgaria shall be permitted unless it is permitted in compliance with international contracts, to which the Republic of Bulgaria is a party, or where this transport is carried out by carriers, registered in the European Union Member States, which have opened their market for such transport to Bulgarian carriers. In cases where, according to the international agreements party to which is the Republic of Bulgaria, such transports are permitted, the Ministry of Transport, Information Technology and Communications shall issue permit which shall establish the concrete conditions for its using (Art. 28, para. 2 ATA). On the other hand, Bulgarian carrier can fulfil international transport of passengers if he holds Community license and permit in case such is required by virtue of international treaties, to which the Republic of Bulgaria is a party. The conditions and the order of issuing the permit shall be determined by an ordinance of the Ministry of Transport, Information Technology and Communications in compliance with the bilateral and multilateral agreements party to which is the Republic of Bulgaria (cf. Art. 29 ATA). Foreign carrier can fulfil regular international transport of passengers to or in transit through the territory of the Republic of Bulgaria only if he holds permit issued by the Ministry of Transport, Information Technology and Communications in compliance with the bilateral and multilateral agreements party to which is the Republic of Bulgaria. The Ministry of Transport issues the permits to foreign carriers upon presentation of the documents established by the bilateral and multilateral agreements and request by the competent authority of the country of the foreign carrier.

### **Combined transport**

The concept of “combined transport” is not a new concept. The literature on the subject indicates that in the past this term was used to describe the transport performed using various types of transport and suggests replacing the term combined transport with the concept of “multi-modal (multimodal) transport” due to the pejorative connotation of the adjective “combined”. Taking the number and type

of operators as the division criterion, the following types of combined transport are distinguished:

- traditional combined transport performed by many operators,
- bimodal transport performed by a single operator,
- intermodal transport performed by a single intermodal transport operator,
- multimodal transport performed by a single multimodal transport operator.

The statutory definition of combined transport is contained in art. 4 of the transportation act clearly indicates that combined transport applies only to freight transport (transport of goods). It is significant that when performing this type of transport, a truck (trailer, semi-trailer with or without a towing unit, swap body or container of 20 feet or larger) uses a road in the initial or final section of the transport, and a rail service in another section, inland navigation or maritime transport, with the maritime section exceeding 100 km in a straight line. Additionally, the definition of combined transport specifies that the initial or final transport section means the transport of:

- between the point at which the goods are loaded and the nearest suitable railway loading station for the initial leg and between the nearest suitable railway unloading station and the point where the goods are unloaded for the final leg;
- within a radius not exceeding 150 km as a straight line from an inland or sea port of loading or unloading.

The legal definition of combined transport introduced in the Road Transport Act refers to the provisions directive Council No. 106/92 EEC of 7 December 1992 on the establishment of common rules for certain types of combined transport of goods between Member States (OJ L 368, 17/12/1992, p. 38): “carriage of goods (...) where a truck, trailer, semi-trailer, with or without a towing unit, swap body or container, uses the road for the initial and final sections of the journey and, on another section with a length exceeding 100 km in a straight line, uses rail or inland waterway transport services or sea, and in the initial and final sections it is carried out by road transport as follows:

- between the point where the goods are loaded and the nearest suitable railway loading station for the initial leg and between the nearest suitable unloading station and the point where the goods are unloaded for the final leg, or
- within a radius not exceeding 150 km in a straight line from the inland waterway port or seaport of loading or unloading”.

International combined transport is a type of combined transport that should meet an additional condition, namely that it must be carried out by crossing the border. International combined transport is, therefore, a type of combined transport that is performed within the territory of the Republic of Poland and additionally one or more countries (members or outside the European Union).

A road carrier within the meaning of the Road Transport Act is an entrepreneur who has the legally required authorizations to conduct business activities in the field of road transport. The essential element of the discussed statutory definition is, therefore, the issue of having the required license, and not the physical provision of road



transport services. This position is reflected in the jurisprudence of the Provincial Administrative Court in Warsaw, which in its judgment of November 25, 2005, VI SA/Wa 1144/05, LEX No. 213445, indicated that a person performing road transport is anyone who runs a business activity as specified in art. 4 points 1-3 in Act on road transport, regardless of whether he is authorized to do so on the basis of a license or not. However, a carrier within the meaning of the Act is only a person who performs road transport on the basis of an appropriate administrative authorization.

Access to the occupation of road transport operator and the pursuit of this profession are regulated by Regulation 1071/2009. According to art. 2 point 3 of Regulation 1071/2009 the profession of road transport operator means:

- occupation of road passenger carrier – the activity of any entrepreneur using motor vehicles of appropriate construction and equipment, intended for the transport of more than nine persons, including the driver, in order to provide passenger transport services available to the public or available to certain groups of persons in return for a fee borne by the person transported or by the transport organizer or
- profession of road hauler – the activity of any entrepreneur transporting goods for commercial purposes, using means such as a motor vehicle or a combination of vehicles.

To pursue the occupation of road transport operator, a carrier must have a permit to perform the occupation of road transport operator. To obtain such a permit, it is necessary to meet the following requirements: art. 3 section 1 Regulation 1071/2009 conditions, such as possession of:

- actual and permanent establishment in one of the Member States,
- good reputation,
- appropriate financial capacity,
- required professional competences.

A foreign road carrier should be understood, similarly to the definition of a (domestic) road carrier, as an entrepreneur who is authorized to perform road transport. However, a foreign road carrier is a carrier that has its registered office in another country and is authorized to perform road transport on the basis of the regulations in force in that country. Pursuant to the Act on Freedom of Business Activity, a foreign entrepreneur means a foreign person conducting business activity abroad and a Polish citizen conducting business activity abroad.

Under Bulgarian legal regime provisions concerning the so-called “combined transport” are introduced into the Rail Transport Act, where pursuant to Article 56 combined transport is freight transport in which at least two types of transport are used in the transport chain, as follows:

- a truck, trailer or semi-trailer, with or without traction units, replaceable truck beds or 20-foot and larger containers, performs road transportation in the initial or final stretch of the trip while the remaining part is carried out by rail, sea or river transport, the latter section being greater than 100 km in a straight line;

- between the points where the cargo is loaded and the closest convenient loading railway station for the initial section, and between the closest convenient unloading railway station and the final unloading point of the final section;
- within a radius of 150 km or less in a straight line from the internal river or sea cargo handling port.

According to Article 58 of the Rail Transport Act the Minister of Transport, Information Technology and Communications shall stipulate by an ordinance the requirements for combined freight transport. The ordinance in question is issued under No 53 of 10 February 2003 and in its title relates to the “combined transport of cargo”.

### **License & Permit in road transport**

The concept of “license” has its origins in Latin legal terminology (*licentia* – official permission to conduct a specific activity). In accordance with the provisions of the Act on freedom of economic activity (art. 75 section 3) a license is required to conduct two types of business activities: road transport and rail transport. The structure of a license within the meaning of the provisions of the Road Transport Act refers to the theory of an administrative act as an act of a constitutive, formal, external, positive, bilateral and personal nature. A license to perform road transport is an administrative decision authorizing a person to undertake and conduct business activities in the field of road transport. The authorities competent to issue licenses are: in international road transport – the Chief Inspector of Road Transport, and in domestic road transport – the local government body specified in the act. The legal definition of a license included in the commented “dictionary” of the Road Transport Act is built on the basis of two essential elements: type of definition – an administrative decision; detailing the definition – indicating the authority competent to issue this administrative act and specifying the type of authorisation obtained. A license to perform road transport is a type of administrative decision issued by the authorities specified in art. 7 Act of road transportation, at the request of the entrepreneur, if he/she meets the conditions for obtaining it. The conditions for obtaining a license to perform road transport are specified art. 5 section 3 of the Act. A permit is an authorization issued by way of an administrative decision for a road carrier to perform a specific type of road transport. The authority authorized to issue permits in international road transport is the minister responsible for transport and the Chief Inspector of Road Transport or, depending on the territorial scope of transport in domestic road transport, the local government authority indicated in the commented act. It should be emphasized that under the regulations of the Act of December 3, 2010 amending the Road Transport Act (Journal of Laws No. 249, item 1656), the competences of the minister responsible for transport in the field of issuing permits in international road transport were, as of January 1, 2011, transferred to Chief Inspector of Road Transport. Therefore, the indication in the definition of a permit of

the minister as the authority competent to issue this authorization should refer to the legal status before January 1, 2011 and the permits issued on the basis of previously applicable legal provisions.

Unlike a permit authorizing one to perform a specific type of road transport, an international permit is not an administrative decision, but the so-called “blank permit”. It is a document received on the basis of an international agreement from the competent authority of another country or international organization by the competent authority of the Republic of Poland. The international permit is ultimately granted to the road carrier and constitutes authorization to perform international road transport. A foreign permit may authorize single or multiple international road transport to the country specified in the permit, with its territory or transit through its territory. The regulation with art. 4 point 19a was added to the Road Transport Act under art. 1 point 1b Act of December 3, 2010 amending the Road Transport Act. The definition of the driving form refers to the provisions of the EU law, indicating that it is a document issued on the basis of art. 11 section 1 Regulation 684/92 and on the basis of the Agreement on the international occasional carriage of passengers by coaches and buses (INTERBUS Agreement), drawn up in Brussels on December 11, 2000 (OJ EU L 321, 29/11/2002, p. 13). In accordance with the regulations art. 11 Regulation 684/92 occasional transport services should be provided on the basis of a travel form. The carrier should complete the travel form before each trip. The model of the travel form and the method of its use are specified in the regulations on Commission (EC) No. 2121/98 of 2 October 1998 laying down the detailed rules for the application of Council Regulations (EEC) No. 684/92 and (EC) No. 12/98 in regards to the documents for the transport of passengers by coach and bus (OJ WE L 268 of 03/10/1998, p. 10, as amended). The types of road passenger transport in international road transport for which a driving form is required are specified in art. 27 section 1 of the Act.

**Table 1.** Catalog of legal acts specifying obligations or conditions of road transport

| No.                               | Title of the act  | Date of adoption / releases | Status     | Publication  |
|-----------------------------------|---|-----------------------------|------------|--|
| <b>European Union regulations</b> |   |                             |            |  |
| <b>1</b>                          | <b>2</b>  | <b>3</b>                    | <b>4</b>   |  |
| 1.                                | ordinance Council (EEC) No 3821/85 on recording equipment in road transport | December 20, 1985           | applicable | Journal Devi-<br>ce EC L 370,<br>31/12/1985, p. 21 |

|    |   |                      |   |  |
|----|---|----------------------|---|--|
| 2. | ordinance Council (EEC)<br>No 684/92 on common rules<br>for the international transport<br>of passengers by coach and<br>bus  | March 16,<br>1992    | repealed (as<br>of December<br>4, 2011) | Journal Devi-<br>ce UE L 74 of<br>20/03/1992, p. 1,<br>as amended. died;<br>Journal Device<br>EU Polish special<br>edition, chapter<br>6, vol. 1, p. 306, as<br>amended. d.) |
| 3. | ordinance Council (EEC)<br>No 881/92 on access to the<br>market for road haulage<br>within the Community, to or<br>from the territory of a Mem-<br>ber State or in transit through<br>one or more Member States                           | March 26,<br>1992    | repealed (as<br>of December<br>4, 2011) | Journal De-<br>vice EC L 95,<br>09/04/1992, p. 1   |
| 4. | ordinance Council (EEC)<br>No 3118/93 laying down the<br>conditions for the operation<br>in a Member State of national<br>road haulage services by car-<br>riers not established in that<br>Member State                                  | October<br>25, 1993  | repealed (as<br>of December<br>4, 2011) | Journal Devi-<br>ce EC L 279,<br>12/11/1993, p. 1  |
| 5. | regulation Council (EC)<br>No 12/98 laying down the<br>conditions for access by<br>carriers not established in<br>a Member State to the trans-<br>port of passengers by road in<br>a Member State   | December<br>11, 1997 | repealed (as<br>of December<br>4, 2011) | Journal Device<br>EC L 4, 8/1/1998,<br>p. 10   |
| 6. | ordinance Commission (EC)<br>No 2121/98 laying down de-<br>tailed rules for the application<br>of Council Regulations (EEC)<br>No 684/92 and (EC) No 12/98<br>as regards documents for the<br>transport of passengers by<br>coach and bus | October 2,<br>1998   | repealed (as<br>of December<br>4, 2011) | Journal Devi-<br>ce EC L 268,<br>03/10/1998, p. 10   |

|     |   |                   |            |  |
|-----|---|-------------------|------------|--|
| 7.  | ordinance Council (EC) No 1/2005 on the protection of animals during transport and related activities and amending Directives 64/432/EEC and 93/119/EC and Regulation (EC) No 1255/97   | December 22, 2004 | applicable | Journal Device UE L 3, 05/01/2005, p. 1    |
| 8.  | ordinance (EC) No 561/2006 of the European Parliament and of the Council on the harmonization of certain social provisions relating to road transport and amending Council Regulations (EEC) No 3821/85 and (EC) 2135/98, and repealing Council Regulation (EEC) No 3820/85 | March 15, 2006    | applicable | Journal Device UE L 6, 11/04/2006, p. 1    |
| 9.  | ordinance (EC) No 1013/2006 of the European Parliament and of the Council on shipments of waste   | June 14, 2006     | applicable | Journal Device EU L 190, 12/07/2006, p. 1  |
| 10. | ordinance (EC) No 1071/2009 of the European Parliament and of the Council establishing common rules on the conditions for practicing the occupation of road transport operator and repealing Council Directive 96/26/EC   | October 21, 2009  | applicable | Journal Device UE L 300, 14/11/2009, p. 51 |
| 11. | ordinance (EC) No 1072/2009 of the European Parliament and of the Council concerning common rules for access to the international road transport market   | October 21, 2009  | applicable | Journal Device EU L 300, 14/11/2009, p. 72 |

|            |   |                    |            |   |
|------------|---|--------------------|------------|---|
| 12.        | ordinance Council (EC) No 1073/2009 of the European Parliament on common rules for access to the international market for coach and bus services and amending Regulation (EC) No 561/2006 | October 21, 2009   | applicable | Journal De-vice EU L 48, 23/02/2011, p. 19  |
| <b>Act</b> |   |                    |            |   |
|            | <b>1</b>  | <b>2</b>           | <b>3</b>   | <b>4</b>  |
| 13.        | acton road transport  | September 6, 2001  | valid      | Journal Laws of 2007, No. 125, item 874, as amended. died   |
| 14.        | acton maintaining cleanliness and order in municipalities   | September 13, 1996 | valid      | Journal Laws of 2012, item 391, as amended. died  |
| 15.        | Transport law   | November 15, 1984  | valid      | Journal Laws of 2000, No. 50, item 601, as amended. died  |
| 16.        | Road traffic law  | June 20, 1997      | valid      | Journal Laws of 2005, No. 108, item 908 as amended died   |
| 17.        | acton animal protection   | August 21, 1997    | valid      | Journal Laws of 2003, No. 106, item 1002 as amended died  |
| 18.        | actabout drivers' working time  | April 16, 2004     | valid      | Journal U. No. 92, item 879, as amended. died   |
| 19.        | actabout the digital tachograph system  | July 29, 2005      | valid      | Journal U. No. 180, item 1494, of 2007, No. 99, item 661 and of 2011 No. 106, item 622 and No. 171, item 1016 |

|                                 |   |                    |          |   |
|---------------------------------|---|--------------------|----------|---|
| 20.                             | acton food and nutrition safety   | August 25, 2006    | valid    | Journal Laws of 2010, No. 136, item 914, as amended. died                             |
| 21.                             | acton international shipments of waste  | June 29, 2007      | valid    | Journal U. No. 124, item 859, of 2010, No. 28, item 145 and of 2011 No. 106, item 622 |
| 22.                             | acton public collective transport   | December 16, 2010  | valid    | Journal Laws of 2011, No. 5, item 13  |
| 23.                             | acton the transport of dangerous goods  | August 19, 2011    | valid    | Journal U. No. 227, item 1367   |
| <b>International agreements</b> |   |                    |          |   |
|                                 | <b>1</b>  | <b>2</b>           | <b>3</b> | <b>4</b>  |
| 24.                             | agreement European Union concerning the international carriage of dangerous goods by road (ADR), Geneva                                       | September 30, 1957 | valid    | Journal Laws of 2009, No. 27, item 162, as amended. died                              |
| 25.                             | convention on the Contract for the International Carriage of Goods by Road (CMR) and Protocol of Signature, Geneva                            | May 19, 1956       | valid    | Journal Laws of 1962, No. 49, item 238  |
| 26.                             | agreement European Union concerning the work of crews of vehicles engaged in international road transport (AETR), Geneva                      | July 1, 1970       | valid    | Journal Laws of 1999, No. 94, item 1087   |
| 27.                             | agreement on the international transport of perishable foodstuffs and on special means of transport intended for such transport (ATP), Geneva | September 1, 1970  | valid    | Journal Laws of 1984, No. 49, item 254  |
| 28.                             | protocol regarding the European Conference of Transport Ministers, Brussels   | October 17, 1953   | valid    | Journal Laws of 1993, No. 116, item 518   |

|     |  |                    |       |                              |
|-----|--|--------------------|-------|------------------------------|
| 28. | Albania-Poland, agreement on international road transport, Tirana  | January 18, 1990   | valid | MP of 2003, No. 4, item 52   |
| 29. | Belarus-Poland, agreement on international road transport, Minsk   | May 20, 1992       | valid | MP of 2001, No. 46, item 743 |
| 30. | Bosnia and Herzegovina-Poland, agreement on the legal succession of Bosnia and Herzegovina in relation to the agreements concluded between the Republic of Poland and the Socialist Federal Republic of Yugoslavia, Sarajevo | December 22, 2006  | valid | MP of 2008, No. 52, item 462 |
| 31. | Bulgaria-Poland, international road transport of travelers and cargo, Sofia  | December 22, 1972  | valid | MP of 2003, No. 24, item 341 |
| 32. | Croatia-Poland, agreement on international road transport of passengers and cargo, Zagreb  | September 30, 1994 | valid | MP of 2001, No. 46, item 745 |
| 33. | Estonia-Poland, agreement on international road transport, Tallinn   | September 9, 1992  | valid | MP of 2001, No. 46, item 747 |
| 34. | Iraq-Poland, agreement on international road transport, Warsaw   | September 20, 1984 | valid | MP of 2003, No. 4, item 54   |
| 35. | Iran-Poland, agreement on international road transport, Warsaw   | December 4, 1976   | valid | MP of 2003, No. 4, item 44   |
| 36. | Jordan-Poland, agreement on international road transport, Warsaw   | October 30, 1978   | valid | MP of 2003, No. 4, item 50   |
| 37. | Yugoslavia-Poland, agreement on international road transport, Warsaw   | December 18, 1969  | valid | MP of 2003, No. 4, item 40   |



|     |   |                   |       |                              |
|-----|---|-------------------|-------|------------------------------|
| 38. | Kazakhstan-Poland, agreement on international road transport, Almaty              | May 23, 1997      | valid | MP of 2001, No. 46, item 749 |
| 39. | Kyrgyzstan-Poland, agreement on international road transport, Bishkek             | October 25, 2002  | valid | MP of 2004, No. 38, item 671 |
| 40. | Lithuania-Poland, agreement on international road transport, Szczecin 1992.03.18. | March 18, 1992    | valid | MP of 2001, No. 46, item 751 |
| 41. | Latvia-Poland, agreement on international road transport, Riga 1992.07.01         | July 1, 1992      | valid | MP of 2001, No. 46, item 753 |
| 42. | Macedonia-Poland, agreement on international road transport, Ohrid                | February 5, 1998  | valid | MP of 2001, No. 46, item 755 |
| 43. | Moldova-Poland, agreement on international road transport, Chisinau               | December 10, 1997 | valid | MP of 2001, No. 46, item 757 |
| 44. | Norway-Poland, International road transport of passengers and cargo, Warsaw       | February 13, 1970 | valid | MP of 2003, No. 24, item 343 |
| 45. | Russia-Poland, agreement on international road transport, Warsaw                  | August 30, 1996   | valid | MP of 2005, No. 61, item 806 |
| 46. | Romania-Poland, agreement on international road transport, Bucharest              | January 29, 1968  | valid | MP of 2003, No. 4, item 38   |
| 47. | Slovakia-Poland, agreement on international road transport, Stary Smokovec        | April 16, 1998    | valid | MP of 2001, No. 46, item 759 |
| 48. | Slovakia-Poland, agreement on international combined transport, Żywiec            | April 28, 2001    | valid | MP of 2003, No. 21, item 322 |
| 49. | Slovenia-Poland, agreement on international road transport. Warsaw                | June 28, 1996     | valid | MP of 2001, No. 46, item 761 |

|     |  |                   |       |                              |
|-----|--|-------------------|-------|------------------------------|
| 50. | Syria-Poland, agreement on international road transport, Warsaw      | April 15, 1978    | valid | MP of 2003, No. 4, item 48   |
| 51. | Switzerland-Poland, agreement on international road transport, Bern  | January 31, 1975  | valid | MP of 2003, No. 4, item 42   |
| 52. | Tunisia-Poland, agreement on international road transport, Tunis     | December 24, 1980 | valid | MP of 2003, No. 29, item 403 |
| 53. | Türkiye-Poland, agreement on international road transport, Ankara    | September 9, 1977 | valid | MP of 2003, No. 4, item 46   |
| 54. | Ukraine-Poland, agreement on international road transport, Warsaw    | May 18, 1992      | valid | MP of 2002, No. 6, item 125  |
| 55. | Uzbekistan-Poland, agreement on international road transport         | July 10, 2003     | valid | MP of 2004, No. 23, item 400 |
| 56. | Hungary-Poland, agreement on international motor transport, Budapest | July 18, 1965     | valid | MP of 2003, No. 4, item 36   |

Source: Wolters Kluwer Polska Spółka z o. o, LEX.pl

The rules on granting access to the Bulgarian transport market are laid down in Chapter 2 of the Automobile Transport Act where Article 6, para. 1 states that public transport of passengers and cargo shall be carried out by a carrier who holds licence for carrying out transportation of passengers and cargo on the territory of the Republic of Bulgaria, licence for carrying out international transportation of passengers and cargo, Community license, a certificate for registration to give “Road side assistance” or a certificate for registration for implementing taxi transport of passengers, and documents required by this Act. The Executive agency “Automobile administration” keeps a register with respect to Community licenses for carrying out the transportation of passengers or cargo on the territory of the Republic of Bulgaria. The register contains the data on the type of the license, name, and legal form of the carrier, UIC, address of management of the carrier, names of the professionally competent person, number of copies or certificates to the respective license, issued penal decrees, list of vehicles with which the carrier operates. One and the same carrier may hold only 2 licenses –one license for carriage of passengers, which may be Community license for carriage of passengers, or a license for transporting passengers on the territory of the Republic of Bulgaria and one license for transportation of

goods, which may be Community license for transportation of goods or license for performing transportation of goods on the territory of the Republic of Bulgaria.

Community license and licence for carrying out transport of passengers or cargo on the territory of the Republic of Bulgaria by automobiles with Bulgarian registration is issued to traders in the sense of the Commerce Act when they meet the requirements for:

1. reliability (good reputation);
2. professional competence;
3. financial stability;
4. settlement in the territory of the Republic of Bulgaria.

The licensed carriers can carry out the transportation of passengers and cargo on the territory of the Republic of Bulgaria only by motor vehicles for which there are issued certificates for public transport of passengers or cargo, or a certified copy of a Community license. The licensed carriers, persons under Art. 24f and persons performing carriages on their own expense can carry out transportation of passengers and cargo only by drivers who meet the requirements for minimum age, competence for driving of motor vehicles of the respective category and for psychological fitness.

## **Conclusions**

Transport law is a branch of law that covers all regulations related to the movement of people and the transport of goods by specific means of transport. Polish transport law regulates the rules of driving on roads, organizing and performing transport, as well as many other incidental issues related to it. These include: passenger protection, fees, and the conditions and method of maintaining the National Electronic Register of Road Transport Entrepreneurs.

Road transport is defined in the Act as domestic road transport or international road transport. It also includes:

- each road trip performed by the entrepreneur as an accessory to his business activity,
- business activity in the field of intermediation in the transport of persons and goods.

The Road Transport Act of 6 September 2001 specifies the rules for undertaking and performing:

- national road transport – understood as undertaking and conducting business activities in the field of transport of persons or goods using motor vehicles registered in the country, including vehicles consisting of a motor vehicle and a trailer or semi-trailer, in the territory of the Republic of Poland. The process of driving, the place of start or end of the journey and the journey and the road must be within the territory of the Republic of Poland;
- international road transport – undertaking and conducting business activities in the field of transport of persons and goods in international road transport takes place after crossing the border of the Republic of Poland;

- non-commercial domestic road transport – this is transport for private needs carried out within the territory of the Republic of Poland. It may be a journey with or without passengers, loaded or unloaded, after meeting the requirements specified by law;
  - non-commercial international road transport – unlike non-commercial domestic transport, it takes place after crossing the border.  
In addition, the provisions of transport law also regulate:
    - operation of the Road Transport Inspection;
    - liability for breach of obligations or conditions of road transport;
    - principles and procedure for designating stations where assistance is provided to the disabled persons and persons with limited mobility;
    - rules for the protection of passengers' rights.
- Pursuant to Art. 3 indicating exemptions, this is the road transport performed by the motor vehicles or vehicle combinations:
- designed to transport no more than 9 persons including the driver - in non-commercial road passenger transport;
  - with a permissible total weight not exceeding 3,5 tons in road transport of goods and non-commercial road transport of goods;
  - medical rescue teams and as part of sanitary transport services.

## **Sources of transport law in Poland**

In Poland, there is no single legal act that would regulate all branches of transport. Currently, the sources of national transport law are:

1. Transport Law Act of November 15, 1984;
2. Road Transport Law Act of 6 September 2001;
3. The Maritime Code Act of 18 September 2001;
4. Postal Law Act of November 23, 2012;
5. Aviation Law Act of 3 July 2002.

Road transport law, in accordance with the adopted taxonomy, is not a separate branch of law in our country. Related regulations can also be found in other areas of law, such as civil and administrative law.

Taking up and performing road transport requires obtaining a permit to pursue the occupation of road transport operator, in accordance with the principles set out in Regulation (EC) No. 1071/2009 of the European Parliament and of the Council. Such a permit is issued for an indefinite period (Article 5). The competent authority responsible for granting, refusing to grant, changing, withdrawing, or suspending a permit to perform the occupation of road transport operator is the district governor competent for the entrepreneur's registered office. If the entrepreneur applies for a Community license, but has not applied for a permit to perform the profession of road transport operator from the district governor, the competent authority in such a case is the Chief Inspector of Road Transport. The permit is issued at the

entrepreneur's request submitted in writing, on paper or in electronic form using electronic means of communication.

However, undertaking and performing international transport requires obtaining an appropriate Community license. It may only be granted to a carrier who already has an authorization to pursue the occupation of road transport operator (Article 5a). The authority competent to grant, refuse to grant, change or withdraw a Community license is the Chief Road Transport Inspector.

Persons who want to perform domestic road transport in the field of passenger transport in a passenger car or a motor vehicle designed to transport more than 7 and not more than 9 people, including the driver, are required to obtain an appropriate license. Intermediation in the transport of people or goods also requires a license. Such a document is issued for a specified period of time, not shorter than 2 years and not longer than 50 years, taking into account the request of the party. The authority competent to grant, refuse to grant, change, or withdraw such a license (except for taxi transport and intermediation in passenger transport) is the district governor competent for the registered office or place of residence of the entrepreneur. The license for road transport in the field of passenger transport agency is issued, withdrawn, and amended by the Chief Road Transport Inspector.

With regard to the legal framework governing transportation in Bulgaria, the Automobile Transport Act represents the primary source of legislation. However, it should be noted that the provisions set forth in this Act do not exhaustively address all aspects of the matter in question. Regulations concerning road transport activities can also be identified in other legal acts and many other by-laws for their implementation.

In the light of the above, the Bulgarian Roads Act (Prom. SG. 26/29 Mar 2000) settles the public relations connected with the ownership, the using, the management, keeping, construction, repair, maintenance, and financing of the roads, as well as the management of the road infrastructure safety in the Republic of Bulgaria (cf. Art. 1). In this connection, Art. 10a, para. 7 provides that a toll shall be paid for the following road vehicles with a total technically permissible maximum mass up to or equal to 3,5 tones:

- motor vehicles having at least four wheels and intended for the carriage of passengers;
- motor vehicles having at least four wheels and intended for the carriage of goods;
- off-road motor vehicles.

Also, the Roads Act specifies that “public using of the roads” is the usual using of the roads for transportation of passengers and cargo by the generally acknowledged vehicles or for pedestrian walking (para. 1, point 7 of the Additional provisions). Another Bulgarian legal source in the area of roads transportation law is the Road Traffic Act (Traffic Act), where Art. 104b states that the driver of a motor vehicle shall be prohibited from using roads open for public use for purposes other than in accordance with their purpose to transport people and cargo. Also, the Road Traffic Act introduces: [1] special rules for transporting passengers and cargo (Art. 126 to

Art. 137); [2] categorization of the types of motor vehicles, including those designed for transportation of passengers and cargo (cf. Art. 149); the rules on the capacity of the drivers of road vehicles for transportation of passengers and cargo (Art. 150a); controlling powers over passengers conferred on the Executive Agency “Automobile Administration” (Art. 166, para. 2, point 5); compulsory administrative measures enforceable to drivers performing public transport of passengers or cargo (Art. 171); administrative-penal liability provisions relating to infringements of rules on transport of people and cargo (Art. 175a, Art. 176 and Art. 182). Under the terms of the Road Traffic Act, it is specified that “public transportation” shall be the transport done at someone else’s expense or against payment or economic gain, which is performed with a motor vehicle (para. 1, point 29 of the Additional provisions).

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Dyrektywa Rady 98/76/WE z dnia 1 października 1998 r. zmieniająca dyrektywę 96/26/WE w sprawie dostępu do zawodu przewoźnika drogowego transportu rzeczy i przewoźnika drogowego transportu osób oraz wzajemnego uznawania dyplomów, świadectw i innych dokumentów potwierdzających posiadanie kwalifikacji, mająca na celu ułatwienie im korzystania z prawa swobody przedsiębiorczości w dziedzinie transportu krajowego i międzynarodowego (Dz. Urz. WE L 277 z 14.10.1998, s. 17).

Dyrektywa Rady 76/914/EWG z dnia 16 grudnia 1976 r. w sprawie minimalnego poziomu wykszolenia kierowców w transporcie drogowym (Dz. Urz. WE L 357 z 29.12.1976, s. 36);

Dyrektywa 1999/62/WE Parlamentu Europejskiego i Rady z dnia 17 czerwca 1999 r. w sprawie pobierania opłat za użytkowanie niektórych typów infrastruktury przez pojazdy ciężarowe (Dz. Urz. WE L 187 z 20.07.1999, s. 42 z późn. zm.).

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## ECONOMICS OF TRANSPORT AND THE EFFICIENCY AND RATIONALITY OF DECISION-MAKING

### *Ekonomika transportu a efektywność i racjonalność podejmowania decyzji*

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#### **Streszczenie**

*Ekonomika transportu to dział ekonomii zajmujący się zagadnieniami związanymi z działalnością gospodarczą w sektorze transportu. Skupia się ona głównie na badaniu zależności pomiędzy gospodarką a transportem, regulacji rynków, funkcjonowaniu systemów transportowych i integracji transportu z logistyką. Ekonomika transportu jest zbiorem dostępnej wiedzy na temat gospodarowania w sektorze transportu, a także dyscypliną badawczą wielu instytucji naukowych. To dziedzina grupująca wiedzę o wszystkich aspektach ekonomicznych tego sektora, posługująca się metodami adekwatnymi do charakteru zagadnień transportowych.*

**Słowa kluczowe:** *ekonomika transportu, logistyka, racjonalność, efektywność, podejmowanie decyzji*

#### **Summary**

The economics of transport is the branch of economics that deals with issues related to economic activity in the transport sector. It mainly focuses on the study of the relationship between the economy and transport, the regulation of markets, the functioning of transport systems and the integration of transport with logistics. Transport economics is the body of knowledge available on economic activity in the transport sector and is a research discipline of many scientific institutions. It is a field

that groups together knowledge of all economic aspects of the sector, using methods appropriate to the nature of transport issues.

**Key words:** transport economics, logistics, rationality, efficiency, decision-making

## Introduction

The economics of transport is the branch of economics that deals with issues related to economic activity in the transport sector. It mainly focuses on the study of the relationship between the economy and transport, the regulation of markets, the functioning of transport systems and the integration of transport with logistics. Transport economics is the body of knowledge available on economic activity in the transport sector and is a research discipline of many scientific institutions. It is a field that groups together knowledge of all economic aspects of the sector, using methods appropriate to the nature of transport issues.

Business economics is a discipline encompassing economics and finance, but also broadly understood management, because management problems in an enterprise must be solved with respect for the principles and rules formulated from the point of view of achieving specific goals of enterprise management. Enterprise economics can also be considered an interdisciplinary field of knowledge, in which a wide application of the theory and practice of accounting, economic analysis, mathematical analysis, statistics, production processes, law, sociology, psychology, politics, etc. is applied. It is emphasized that business economics as a scientific discipline emerged in the European economic activity circle at the beginning of the 20th century. The practical experience gained in the functioning of enterprises allowed for the derivation of conclusions in the form of theorems-rules and theorems-principles relating to the management of the enterprise's activity. On the other hand, there was a practical need for instruments, methods and techniques that improved and rationalized the enterprise's activity. Economics is an applied science that describes economic activity. It concerns the conditions and possibilities of conducting it and the regularities occurring in the decisions made. Economics concerns industry disciplines, derived from economics, which concern a narrow range of economic issues, e.g. mining economics or transport economics. Representatives of Anglo-American economics also call "economics" "political economy". Sometimes, the term "economics" is used as a synonym for the word "economy".

The tasks that business economics sets for itself are:

- Describing and explaining economic phenomena and processes occurring within an enterprise and in its relations with the external environment (stakeholders).
- Study of the goals, assumptions and functioning of the enterprise and its evolution.
- Formulating theorems and establishing principles and methods of rational management in an enterprise. These principles are not constant, therefore the evalu-

ation of previous and creation of new management paradigms is also the content of enterprise economics.

- As an empirical science, it establishes and verifies the recommended principles and instruments for their application in the practice of enterprise operations and formulates recommendations, laws of enterprise operation and development.

Detailed economics, or industry economics, is a scientific research in the field of economics, dealing with specific economic aspects.

We distinguish, among others<sup>1,2,3,4,5,6,7</sup>:

- Transport economics, which deals with transport, its development and problems. It examines the impact of transport on the environment, privatization of transport, its costs and infrastructure. Transport economics is an interdisciplinary science, most often referring to microeconomic and macroeconomics, business economics and development economics.
- Labor economics, which studies the economic laws concerning work. It deals with its efficiency, that is, how much effort is put into it. Work translates into the results obtained. It is sometimes considered a part of ergonomics.
- Economics of information, concerning not only information goods, information markets and the information sector in the economy, but also the place of information in conducting analyses and explaining the principles of market functioning. Information economics as a detailed economics provides scientific foundations, methods and tools for researching, modeling and creating information, resources, processes and information systems.
- Industrial economics, which deals with the analysis of economic phenomena and regularities occurring in the entire industry, its individual departments or groups, and in the enterprises or industrial organizations to which they belong.
- Financial economics, examining the content and role of financial phenomena in the economy and society.
- Agricultural economics, which concerns the organization of production and work in agriculture.
- Economics of tourism – dealing with the study of phenomena, laws and economic regularities occurring in the tourism market.

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<sup>1</sup> K. Budzowski, *Ekonomika handlu zagranicznego*, Krakowskie Towarzystwo Edukacyjne, Kraków 2003.

<sup>2</sup> K. Kielan, K. Pokora, *Przygotowanie do działalności usługowej. Podstawy usług. Ekonomika usług*, Wydawnictwo Szkolne i Pedagogiczne, Warszawa 2013.

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<sup>6</sup> A. Panasiuk, *Ekonomika turystyki*, PWE, Warszawa 2006.

<sup>7</sup> R. Żelazny, *Ekonomika informacji. Przedmiot i zakres badawczy*, Uniwersytet Ekonomiczny w Katowicach, Katowice 2016.

- Economics of culture – examining economic phenomena occurring in the sphere of culture.
- Business economics, dealing with the principles and methods of operation of an enterprise.
- Economics of foreign trade – dealing with economic phenomena that occur during trade and economic cooperation between a given country and foreign countries.

## **Sectoral economies as a managerial economics**

An important form of economics with a practical character is managerial economics, which deals with the analysis of the decision-making process by managers, using tools used in economics. Economic categories used by managers include: demand, costs, monopoly, perfect competition, resource allocation, decision-making dilemmas, analysis of the efficiency of investment projects, management and public decision-making, etc. This approach teaches efficient team management, as well as practical use of economic analyses and effective organization of institutional resources. The aim of managerial economics is to analyze the most important decision-making problems undertaken in the private and public sectors and to present the principles of economic analysis that allow for making optimal decisions from the perspective of efficiency and rationality of management. Thus, managerial economics covers the process of making decisions based on limited resources in the context of managing a company and an institution (organization) of the public sector, including the public sector itself and decisions made within the framework of implemented fiscal and monetary policy. Decisions are made based on cost-benefit analysis and the logic of decision-making procedures. Findings of economic significance during the decision-making process are translated into the repeatability of specific behaviors on the basis of which patterns, i.e. economic models, are developed<sup>8</sup>.

The fundamental area of economics is the analysis of efficiency as a process describing the relationship between the effects obtained and the costs incurred. Efficiency as a process determines the functioning organization and determines its development. It is an important tool for measuring effectiveness management economic decisions, showing the speed of the organization's response to the challenges that flow from the market, as well as the expectations of its participants. Efficiency is also a measure of effectiveness and skill the organization's achievement of set goals objectives, as well as building competitive advantages. Efficiency is the ratio of effects to the inputs achieved and spent in a given activity. We can define an effective activity as such when the inputs incurred for production activity (service, trade) bring a surplus in the form of effects within a given time.

Efficiency measurement we make use of indicators partial characterizing the

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<sup>8</sup> I. Pang, D. Lehman, *Ekonomia Menedżerska*, Wolters Kluwer Polska, Warszawa 2013, p. 22-25.

efficiency of individual factors of production, e.g. efficiency of work, productivity of capital, or the efficiency of operations and synthetic indicators of the effectiveness of the entire enterprise, e.g. indicator of return on capital, assets, sales. Efficiency can be measured ex post and ex ante. Calculating ex ante efficiency estimates the expected effects with the involvement of specific resources and time, while ex post efficiency determines the results of specific actions. Efficiency is expressed numerically through the following relations:  $IN\ 1 = E - N$ ;  $IN\ 2 = E : N$ ;  $WE\ 3 = E - N : N$ , where: E – effect (result) of actions of companies, N – that outlays incurred for the enterprise's operations.

Sometimes a different formula for efficiency is used, presenting it as the difference between the gross effect and the work expenditure. Efficiency = Gross Effect – Labor Expenditure (Net Effect).

These indicators combine information about inputs and outputs. So efficiency is presented in practice as the difference between outputs and inputs<sup>9,10,11</sup>, as the difference between effects and inputs, as the ratio of inputs to effects and as the ratio of the difference between outputs and inputs to inputs – referred to as a rate of return from investment (ROI – return on investment)<sup>12,13,14</sup>.

Economics, in contrast to business economics, examines economic processes on the scale of the entire national economy, and even unions of states. In doing so, it considers the general economic relationships between economic units connected by regular exchange of economic services and mutually condemned to each other by demand and supply on the market. Economics and business economics also differ quite fundamentally in their conceptual content. Economics does not go into its research into the enterprise as an economic unit, but examines the enterprise from the perspective of the market as an object of contact between demand and supply. In business economics, on the other hand, the subject of research is always only one of these components, either demand or supply. Economics is the science of how people cope with scarcity, i.e. the lack of unlimited abundance of goods. Economics answers the question of how people cope with the problem of allocating unlimited resources in order to satisfy competing desires to satisfy them to the extent possible in a given situation. In economics, the observation point is the enterprise, in economics it is the market and the market situation.

Economic entities often find themselves in a situation that generates the need to make a quick decision and implement economic activities. It is therefore worth referring to three interconnected microeconomic issues, i.e. the rationality of expectations, the rationality of behavior (economization of activities) and economic

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<sup>9</sup> E. Skrzypek, Efektywność ekonomiczna jako ważny czynnik sukcesu organizacji, „Prace Naukowe Uniwersytetu Ekonomicznego we Wrocławiu” 2012; 262: 314.

<sup>10</sup> E. Szymańska, Efektywność przedsiębiorstw – definiowanie i pomiar, „Roczniki Nauk Rolniczych, Seria G” 2010; 97: 156.

<sup>11</sup> J. Adamczyk, Efektywność przedsiębiorstw sprywatyzowanych, AE, Kraków 2019, p. 33.

<sup>12</sup> E. Violinist, Economic efficiency as an important factor in the success of an organization, “Scientific Works of the Wrocław University of Economics” 2012; 262: 314.

<sup>13</sup> E. Szymańska, Efektywność... op. cit.

<sup>14</sup> J. Adamczyk, Efektywność... op. cit.

calculation. The starting point is to define the concept of rationality as behavior based on the principles of correct thinking and effective action. Therefore, the rationality of expectations refers in the microeconomic dimension to the behavior of households and enterprises, assuming that market entities will behave rationally, i.e. that they are able to rank their preferences from the most to the least preferred and act in market conditions according to these (established) priorities<sup>15,16,17</sup>.

## **Rationality of expectations**

The awareness of the fact that the state's economic policy is partially dependent on the extent to which consumers correctly anticipate its effects and act in accordance with their own predictions is an important contribution of the rational expectations theory<sup>18,19,20,21,22</sup>.

The rationality of expectations is connected with the problem of rationality of behavior as a result of limited resources in relation to the unlimited scale of human needs. In relation to economic activity, this action is rational management, i.e. making the most beneficial choices when making decisions on the goals of socio-economic implementation and the means and methods of their implementation. It comes down to assess what solutions can be taken into account, compare them with each other based on specific criteria and select the most beneficial (optimal) solution. This procedure is subordinated to the general principle of proceeding in the conditions of quantification of the goal and means of action, called the principle of rational management and understood in two ways. The maximum degree of goal realization is achieved by proceeding in such a way that with a given input of means the maximum effect (degree of goal realization) is obtained or in such a way that with a given (pre-determined) degree of goal realization the minimum input of means is used.

An important aspect of the rationality of actions is their economization, i.e. achieving the intended effect (goal) in the most economical way possible. Such a procedure is called the economization of actions and it comes down to respecting savings and efficiency (productivity) in the use of space (place), time, matter (materials, tools, all things, etc.) and energy that is at one's disposal.

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<sup>15</sup> E. Mansfield, *The Economics of Technological Change*, W.W. Norton and Co, New York 1968.

<sup>16</sup> R. Milewski, E. Kwiatkowski, *Podstawy Ekonomii*, PWN, Warszawa 2005.

<sup>17</sup> R. McConnel, *Economics*, McGraw-Hill Book Company, New York 2000.

<sup>18</sup> D. Begg, S. Fischer, R. Dornbusch, *Ekonomia tom 2*, PWE, Warszawa 1992.

<sup>19</sup> P. A. Samuelson, W. D. Nordhaus, *Economics*, McGraw-Hill Book Company, New York 2000.

<sup>20</sup> W. Bień, *Zarządzanie finansami przedsiębiorstwa*, Difin, Warszawa 2011.

<sup>21</sup> E. Brigham, L. Gapenski, *Zarządzanie finansami tom 1 i 2*, PWE, Warszawa 2000.

<sup>22</sup> E. F. Brigham, J. F. Houston, *Podstawy zarządzania finansami*, PWE, Warszawa 2005.

Solving these problems is determined by several general principles, i.e.: minimization of intervention, anticipation, potentialization and automation. In managerial economics, a significant influence on the course of economic processes and the assessment of whether they are rational or not has an economic calculation, which, on the one hand, must be created in accordance with formalized procedures and calculation methods, and on the other hand, should be subordinated to economic, and not other criteria for making economic decisions. In practice, full recourse to economic calculation is possible only under certain conditions, namely when the effects of economic activity and the costs incurred in connection with it are measurable, expressed in the same units of measurement and we operate within the framework of unambiguous selection criteria. Understanding the issue bill economic calculation requires indicating, in addition to its essence, also its types and measures. Economic calculation should be perceived in a narrow and broad sense. In the narrow sense, it is an optimizing calculation. In the broad sense, however, it is a system for measuring the outlays of economic activity, ensuring their correct valuation from a social point of view and facilitating the making of rational economic decisions aimed at minimizing outlays and maximizing utility effects. Referring to economic calculation is possible under certain conditions. First, the effects of economic activity and the costs incurred in connection with it must be measurable. Second, the effects and costs must be expressed in the same units of measurement. Third, one must have the most unambiguous selection criteria. In practice, however, it sometimes happens that one of these conditions is not met, and yet it is applied. In such cases, we speak of simplified or imprecise economic calculation.

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Economic calculation as an optimization tool, it is characterized by relative optimality in relation to the adopted objective criterion; multi-variant nature; comprehensiveness and dualism. Relative optimization of the economic calculation in relation to the adopted objective criterion means that a specific, measurable objective is needed for its optimization, limiting the number of possible solutions, and thus defining the framework in which the optimal decision must be sought. The multidimensionality of the economic calculation means the necessity of choosing one of many possible directions of economic activities. It is assumed that the greater the number of solution variants, the closer its choice will be to the optimal one, assuming that all good solutions have been taken into account. In practice, it is a choice from

among several variants, conditioned by the implementation of the objective and the conditions for their implementation<sup>23,24,25,26,27,28,29,30,31</sup>.

Comprehensiveness of economic calculation refers to all its spheres of application, i.e. both macroeconomic and microeconomic. In this situation, it must be a comprehensive calculation, not a partial or one-sided one. The duality of economic calculation comes down to finding an answer to the question: is it possible to apply both principles of rational management in parallel? The answer in this respect is unambiguous. While it is possible to apply both variants of the principle of rational management simultaneously, it is not possible to apply them simultaneously. This means that when optimizing economic calculation, we always choose only one of them. Formulating it as a procedure leading to maximizing the goal while minimizing the means is an erroneous approach that is contradictory from a mathematical point of view.

### **Rational behaviour in the decision-making proces**

To achieve this goal (consumption satisfaction), three basic conditions are necessary:

1. A person must be able to choose from many alternatives, e.g. he can buy a cinema ticket or a kilogram of strawberries.
2. Making a choice always means giving up at least one alternative option, e.g. when choosing a cinema ticket, we give up buying a kilogram of strawberries.
3. In the decision-making process, a person must be guided by the scale of benefits, i.e. make choices as a result of which the benefits obtained exceed the costs incurred, e.g. deciding at a given moment to buy a cinema ticket because we consider that the pleasure of watching a film is higher than the pleasure of eating strawberries.

Maximizing satisfaction is the result of a specific consumer behavior in the market, called rational behavior. A person is considered to act rationally if:

- is able to define his needs and has a system of preferences, i.e. he knows what is more important to him at a given moment and what is less important;
- is able to organize his needs according to his own criteria of importance;

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<sup>23</sup> M. J. Stankiewicz, *Konkurencyjność przedsiębiorstwa*, Dom Organizatora TNOiK, Toruń 2010.

<sup>24</sup> J. E. Stiglitz, *Ekonomia sektora publicznego*, PWN, Warszawa 2001.

<sup>25</sup> J. Stoner, *Kierowanie*, PWE, Warszawa 2004.

<sup>26</sup> J. Stoner, E. R. Freeman, D. R. Gilbert, *Kierowanie*, PWE, Warszawa 2011.

<sup>27</sup> A. F. Stoner, C. Wankel, *Kierowanie*, PWE, Warszawa 2001.

<sup>28</sup> G. Stonehouse, J. Hamil, D. Campbell, T. Purdie, *Globalizacja. Strategia i zarządzanie*, Felberg SJA, Warszawa 2001.

<sup>29</sup> M. Strużycki, *Zarządzanie przedsiębiorstwem*, Difin, Warszawa 2004.

<sup>30</sup> S. Sudol, *Przedsiębiorstwo. Podstawy nauki o przedsiębiorstwie. Teoria i praktyka zarządzania*, TNOiK, Toruń 2002.

<sup>31</sup> J. R. Schermerhorn, *Zarządzanie*, PWE, Warszawa 2008.



- makes decisions about satisfying his needs that bring him maximum satisfaction. The process of maximizing satisfaction consists of decisions made by consumers, which are based on a previously conducted analysis of benefits and costs. If we act rationally, we always choose the solution that will ultimately bring us greater benefits than costs, and in extreme cases will be equal to them. The choices we make always result in lost benefits (opportunity costs).

Given the prices of various market goods and a given income, the consumer will make the choice that will give him the greatest satisfaction, contentment, and pleasure, which we call utility. The basic principles of utility theory were formulated in the 19th century by the German economist H.H. Gossen. He studied the decisions made by consumers. Gossen introduced the concept of utility as subjective pleasure, satisfaction or contentment resulting from the consumption of goods. Specified good is useful if it has capacity meeting needs.

Utility is a subjective category, but it can be used in the analysis of consumer choices. The utility of a given good depends on its quantity and on the quantity of other complementary goods (complementary, e.g. tape recorder and cassettes) and substitute goods (substitutable, e.g. butter and margarine). In addition, the same good may have very high utility for one consumer, and none at all for another. Psychological and sociological conditions of consumers cause differences in satisfaction related to the consumption of a given good, hence usefulness is subjective in nature<sup>32,33,34,35,36</sup>.

The satisfaction (benefit) that a consumer achieves from consuming each subsequent unit of the same good or service is called marginal utility. Marginal utility this is good increase total utility obtained by increasing the consumption of this good by one unit, at a given level of consumption of other goods, or in other words – the increase in consumer satisfaction resulting from increasing the consumption of a given good by another, additional unit. Marginal utility can be expressed as follows:  $UK = dU : dy_i$ , where: UK – marginal utility,  $dU$  – change total utility (derivative) caused by the change in the quantity of the good consumed,  $dy_i$  – change in the amount of good  $y_i$  consumed.

The sum of marginal utilities is total utility, i.e. the sum of satisfaction from consuming or possessing all units of a given good.

Total utility is the sum of satisfaction (happiness) achieved by purchasing  $n$  units of good  $y_i$ . By purchasing the first unit of good (or services) and we get a specific amount of utility, similarly to the purchase of the second third or  $n$ th unit of good  $y_i$ . Summing up the amounts of utility obtained when purchasing  $n$  units of good  $y_i$ , we obtain the total utility resulting from the purchase of good  $y_i$ . Total utility increases with the amount of a good consumed, but it increases at a decreasing rate. This is because marginal utility, as a result of consuming an additional unit of the same good, decreases. The utility of each successive unit of a consumed good (e.g. candy)

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<sup>32</sup> D. Begg, S. Fischer, R. Dornbusch, *Microeconomics*, Polish Economic Publishing House, Warsaw 2007.

<sup>33</sup> Z. Dach, *Microeconomics*, University of Economics Publishing House, Kraków 2012.

<sup>34</sup> S. Marciniak, *Macro- and Microeconomics*, PWN, Warsaw 2013.

<sup>35</sup> R. Milewski, *Basics of Economics*, PWN, Warsaw 2011.

<sup>36</sup> B. Ojrzanowski, *Microeconomics*, Professional Business School Publishing House, Kraków 1997.

decreases. This pattern is called the law of diminishing marginal utility.

Law diminishing marginal utility (Gossen's first law) is that as the quantity of a good consumed increases, its marginal utility tends to decrease. Action this law can be traced to the consumption of almost every good. As a rule, consumption the first unit of a given all right provides the greatest satisfaction. The utility of a given good for a given consumer will depend on the state of satisfaction of his needs and on the degree of scarcity (available resources) of the given good. The larger the stock of a given good, the lower its marginal utility.

It can even be assumed that after exceeding a certain level of consumption, further increase in consumption of a given good will start to bring negative satisfaction to the consumer. The utility of a given good for a given consumer will depend on the state of satisfaction of his needs and on the degree of scarcity (availability stocks) of a given good. The larger the stock of a given good, the lower its marginal utility.

Gossen's Law (law of diminishing marginal utility) – states that as the consumption of subsequent units of a good increases, the marginal utility of that good decreases due to the saturation of the consumer's need. Total utility and marginal utility are closely related. As consumption of one good, e.g. X, increases, the marginal utility of that good decreases, and the increase in total utility is increasingly slower. When marginal utility reaches zero, total utility reaches its maximum value. This means that the consumption of an additional unit of good X did not cause an increase in satisfaction, which means that total utility has reached its maximum value. In a situation of further increase in consumption of good X, marginal utility can take on negative values, which means that the consumption of an additional unit of good causes satiety and a simultaneous decrease in the consumer's total satisfaction, i.e. a decrease in total utility.

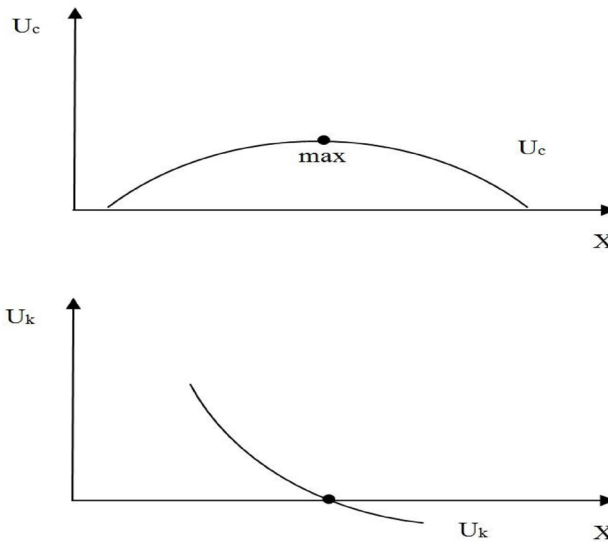
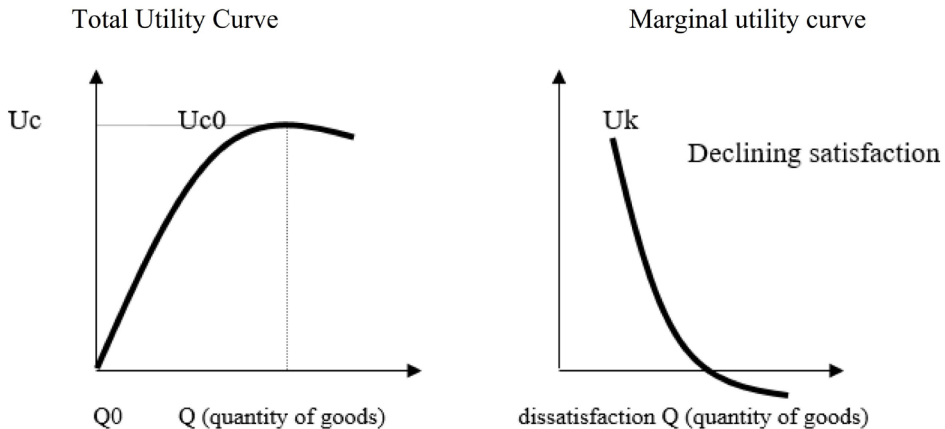


Figure 1.

Source: own study

Gossen's second law (consumer optimum) states that as long as the marginal utilities of all purchased goods are proportional to their prices, the consumer is in equilibrium (attains the maximum sum of satisfaction). In such a situation, if the prices do not change income, prices, fashion, tastes and so on, the consumer is not interested in changing the structure of their purchases<sup>37</sup>. Marginal utility is closely related to the value of a product to the consumer. It was defined in the 19th century by the English economist W. S. Jevons, illustrating it with an example: "Let us imagine the entire amount of food that a man eats in a day, divided into 10 equal parts. If we take away the last part, he will feel the lack only slightly; if we take away the next parts, he will begin to lack it; each subsequent confiscation of 1/10 will cause him more and more suffering, until he is on the verge of starvation. If we call each of the tenth parts an increment, we will be able to say that each increment is less necessary than the previous one"<sup>38</sup>.



**Figure 2.** Total utility ( $U_c$ ) and marginal utility ( $U_k$ ) curve

Source: own study

Preferences are manifested in the consumer's acts of choice, who, having a limited income at his disposal, is able to – by comparing the utilities of various goods and their combinations – choose certain goods and give up others. The consumer is able to decide which combinations of goods are equally useful to him (give him the same satisfaction). Striving to maximize utility (satisfaction), in his choices he will strive for such a combination of goods that will give him the greatest possible satisfaction.

Analyzing the indifference curve, it can be seen that increasing the consumption of one good requires decreasing the consumption of the other good. There is a substitution relationship between two goods. The measure of the substitution effect is the marginal rate of substitution, which determines the ratio of the increase in

<sup>37</sup> Dach Z., *Microeconomics...* op. cit.

<sup>38</sup> W. S. Jevons, *The Theory of Political Economy*, New York 1957.

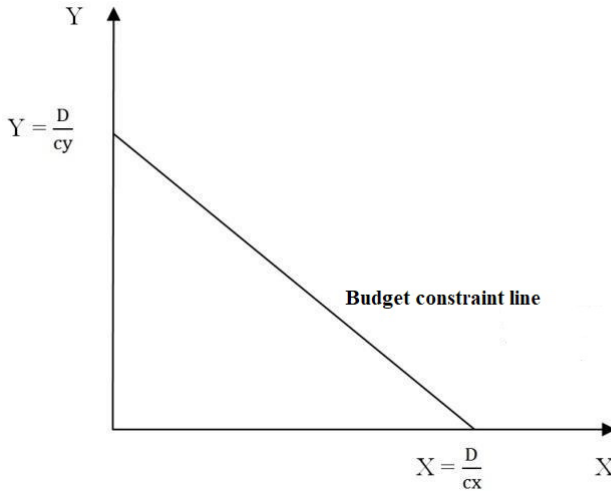
consumption of one good to the decrease in the other, in a situation where the consumer remains on the same indifference curve.

A characteristic feature of every indifference curve is a decreasing marginal rate of substitution – this means that as we decrease the consumption of fruit, we need fewer and fewer kilograms of vegetables to replace them with further kilograms of fruit.

Of course, every household would like to be on the indifference curve furthest from the origin of the coordinate system (the further the indifference curve is located – the greater the consumer's satisfaction with consumption). However, the choices that the consumer makes in accordance with their preferences encounter limitations in the form of disposable income and the level of market prices. Marginal rate of substitution – is the slope of the indifference curve and shows how many units of good Y the consumer is willing to give up to increase consumption of good X by one unit. The marginal rate of substitution is given by the formula:  $K_{ss} = - \Delta Y : \Delta X$ . The minus sign in the equation means that an increase in consumption of one good is always accompanied by giving up consumption of the other. A consumer will always be willing to give up a larger amount of a good that he has a lot of in order to increase consumption of a good that he has little of. For example, at point A, the consumer has a lot of good Y and little of good X. By changing the structure of consumption from basket A to basket B, he will be willing to give up a relatively large amount of good Y in favor of another unit of good X. By increasing the size of consumption by subsequent units of good X, the consumer will be willing to give up an increasingly smaller amount of good Y. This situation is visible when changing the structure of consumption from basket D to basket E. This is the result of satisfying the need resulting from increasing consumption.

## **Budget constraint line and consumer optimum**

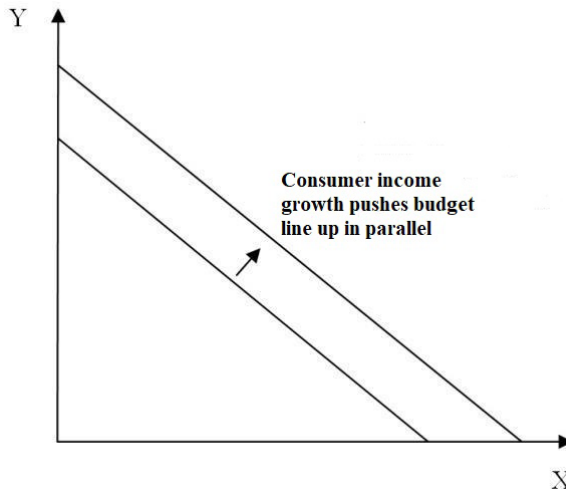
Budget constraint line (price path) shows the maximum combinations of goods that we can buy at given prices of goods and the amount of our income. It is a set of baskets with different contents of goods X and Y, available to the consumer at a given level of income and prices of goods X and Y. Budget constraint line formula:  $D = X \times c_x + Y \times c_y$



**Figure 3.** Budget constraint line

*Source: own study*

The extreme ends of the budget constraint line indicate how much of good X or Y the consumer could buy if they spent all of their income on just one of the two goods. These values can be determined by dividing the consumer's income (D) by the price of good X or Y ( $c_x$ ,  $c_y$ ), respectively. The slope of the budget constraint line is the ratio of the prices of goods X and Y, so:  $-c_x:c_y$ . The budget constraint line can change both its position and slope. The higher the consumer's income, with the prices of goods X and Y remaining unchanged, the further the budget constraint line is from the origin of the coordinate system.

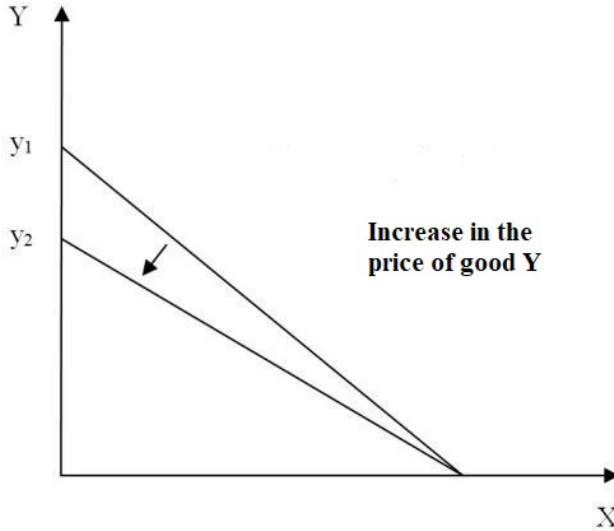


**Figure 4.** Budget line shift

*Source: own study*

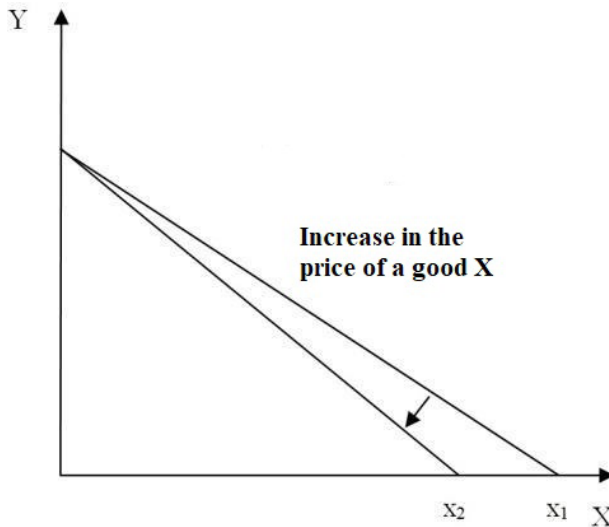
If the prices of goods X and/or Y change, the slope of the budget line will change. If the price of good Y increases while the consumer's income and the price of good X remain unchanged, the budget line will become flatter because the consumer will be able to buy less of good Y.

If the price of good X increases while the consumer's income and the price of good Y remain unchanged, the budget constraint line will become steeper because the consumer will be able to purchase less of good X.



**Figure 5.** Shift of the budget line – increase in the price of good Y

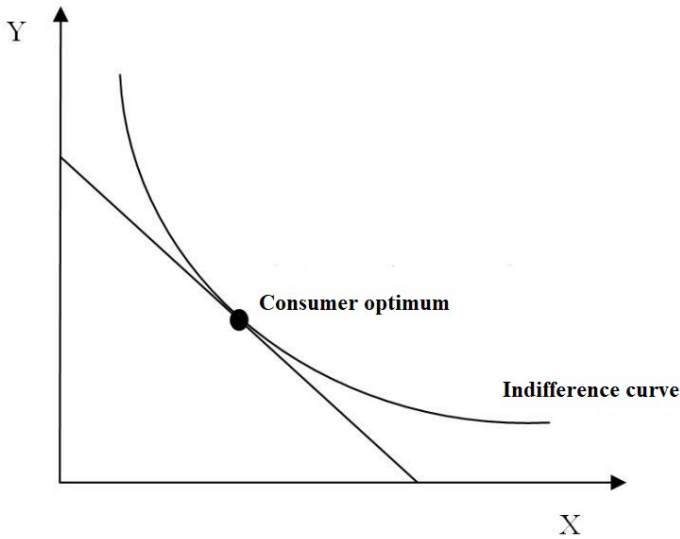
Source: own study



**Figure 6.** Shift of the budget line – increase in the price of good X

Source: own study

It is important to remember that changes in prices and income can occur simultaneously. In this case, both the slope and the position of the budget line will change<sup>39, 40</sup>. The consumer, taking into account his preferences, seeks an optimal situation. These conditions are met by the point of tangency of the budget line and the indifference curve. This point is called the household equilibrium point (consumer optimum). Consumer optimum – this is a basket of goods that, at a given income and given prices of these goods, gives the consumer the maximum level of satisfaction (maximization of total utility). The consumer optimum is located at the point of tangency of the budget constraint line with the highest indifference curve.



**Figure 7.** Consumer optimum

*Source: own study*

Gossen's Second Law describes how the consumer makes the optimal choice of consumption structure. Gossen's II Law – states that a consumer will allocate his income between the purchase of two or more goods in such a way that, at a given price level of these goods, each monetary unit allocated for their purchase will bring him an equal increase in satisfaction. This means that the consumer will make a choice in which the ratio of the marginal utility of good X to the price of good X will be equal to the ratio of the marginal utility of good Y to the price of good Y, and thus  $U_{kx} : cx = U_{ky} : cy$ . It follows that the ratio of the marginal utilities of both goods should be equal to the ratio of their prices, and thus  $U_{kx} : U_{ky} = cx : cy$ . If the household income changes, the budget line will automatically change position. If income increases, the line will shift to the right (meaning we will be able to buy more), and if income decreases, the line will shift to the left (we will be able to buy less).

<sup>39</sup> More in: H. R. Varian, *Microeconomics. The average exchange rate – a modern approach*, PWN, Warsaw 2002.

<sup>40</sup> F.W. Samuelson, G.S. Marks, *Managerial Economics*, PWE, Warsaw 2009.

## Conclusions

Transport economics is a special economic science in which economic theory, particularly microeconomics, is applied to the analysis of the transport market and transport systems. In this analysis, knowledge and understanding of certain key concepts play a special role, notably: positive and normative economics, system and network approaches to transport systems, market – demand and supply, positive and negative externalities, public and club goods, transaction costs and property rights. Transport economics has its special relationship with economic theory in that the spatial aspect plays a key role in it. Moreover, while the theory on market functioning assumes the dominance of private ownership, in reality transport companies operate in transport systems in which infrastructure and transport effects (positive and negative) are partly in the nature of public goods. Private ownership is characterised, for example, by the fact that other people can be excluded from consumption (exclusive consumption) and that one person's use of a good limits the ability of others to use it (competition in consumption).

The place of transport economics in the system of science is determined by the nature of the content of the knowledge collected. Although it makes use of information and research instruments provided by the sciences (especially mathematics), natural sciences (mainly geography), engineering and legal sciences, the knowledge created is economic in nature (in a broader sense, it is also social in nature). Economic knowledge differs from other types of knowledge in that it shows the world in monetary terms, trying to answer the questions of what, how and for whom to produce, how to exchange and how to share material resources (the problem of efficiency and equity). The autonomous character of transport economics stems from the fact that neither macroeconomics nor microeconomics formulates an exhaustive set of management rules for transport, so there must be a discipline that brings together knowledge of all economic aspects of the sector, using methods appropriate to the nature of transport issues. The fundamental difference and specificity of transport economics in relation to other economic knowledge is evident in the concentration of cognitive effort on the spatial dimension of economic activity and the determination of the efficiency and effectiveness of the means of traversing space.

There are a number of unresolved conceptual and classification issues in transport economics. While the relationship between this discipline and its even more specific branch knowledge modules (rail, road, aviation, maritime transport economics) is relatively clear, its relationship with management theory, logistics and economic policy has not been developed in a generally accepted way. The fact that transport is the subject of research and analysis of various scientific disciplines is not a rationale for aggregating knowledge about it into a single discipline, which has been unsuccessfully attempted to be called transport science. The most related and complementary knowledge is that of transport economics and transport management. Transport economics knowledge includes the principles of transport economic accounting, pricing of transport and transshipment, programming and planning the



development of transport networks, shaping transport financing systems and other issues. On the other hand, the content of transport management knowledge includes the principles of management, modes of operation and decision-making related to the performance of transport activities.

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## ELEMENTY UPROSZCZONEGO POSTĘPOWANIA ADMINISTRACYJNEGO W ODNIESIENIU DO SEKTORA TRANSPORTU DROGOWEGO

### *Elements of simplified administrative proceedings in relation to the road transport sector*

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#### **Summary**

*The study addresses the issue of simplified administrative proceedings in matters of complaints and petitions, regulated by the provisions of the Administrative Procedure Code, in the context of road transport. To introduce the subject, special attention was paid to defining the place of complaint and petition proceedings within the system of administrative procedure regulations. Key considerations also focused on emphasizing the specificity and distinctiveness of this type of proceeding. Its informal nature allows for the free use of the right to file a complaint as an instrument of social control, which, in turn, can contribute to improving the standards of transport services. Attention was also drawn to the characteristic subjects of complaints in this area. At the same time, the need to distinguish the provisions of the Code regarding complaint proceedings from other procedures provided for in legal regulations was highlighted. The study also highlighted the negative aspects associated with the application of the complaint proceedings regulations from the Administrative Procedure Code (KPA) in practice. In conclusion, the Author emphasizes the importance of transparency and timeliness in complaint proceedings as key factors for building citizens' trust in public authorities.*

**Key words:** *administrative proceedings, complaint and petition proceedings, road transport, complaint, public administration authorities, administrative procedure code*

#### **Streszczenie**

Opracowanie dotyczy problematyki uproszczonego postępowania administracyjnego w sprawach skarg i wniosków, regulowanego przez przepisy Kodeksu postępowania administracyjnego, w kontekście transportu drogowego. W celu wprowadzenia do powyższej tematyki zwrócono szczególną uwagę na określenie miejsca postępowania w sprawach skarg i wniosków w systemie przepisów procedury administracyjnej. Kluczowe rozważania dotyczą specyfiki i odrębności tego postępowania. Jego uniwersalny i odformalizowany charakter umożliwia swobodne korzystanie z prawa wniesienia skargi jako instrumentu kontroli społecznej, co z kolei może

przyczynić się do poprawienia standardów usług transportowych. Zwrócono także uwagę na charakterystyczny dla tego obszaru przedmiot składanych skarg. W opracowaniu podkreślano konieczność odróżnienia kodeksowych uregulowań postępowania w sprawach skarg od innych trybów przewidzianych w przepisach prawa. Wskazano również na negatywne aspekty związane ze stosowaniem przepisów postępowania skargowego z k.p.a. w praktyce. W konkluzji Autorka podkreśla znaczenie transparentności i terminowości w postępowaniu skargowym, jako kluczowych dla budowania zaufania obywateli do władz publicznych.

**Słowa kluczowe:** postępowanie administracyjne, postępowanie w sprawach skarg i wniosków, transport drogowy, skarga, organy administracji publicznej, kodeks postępowania administracyjnego

## Wstęp

Znajomość przepisów postępowania uregulowanego w dziale VIII Kodeksu postępowania administracyjnego odgrywa kluczową rolę w ochronie interesów obywateli oraz transparentności działań administracji publicznej w tym obszarze. Przepisy kodeksu regulujące to postępowanie mają na celu zapewnienie skutecznej reakcji administracji na zgłaszane naruszenia i nieprawidłowości. Przestrzeganie tych zasad jest szczególnie istotne w kontekście dynamicznie rozwijającego się transportu drogowego, a co za tym idzie aktywizacji organów administracji publicznej w tej sferze działania.

Dokonanie szerszej analizy tej problematyki wymaga uprzedniego wyjaśnienia charakteru uproszczonego postępowania administracyjnego, z jednoczesnym określeniem jego miejsca w systemie przepisów procedury administracyjnej. Zwięzłe zobrazowanie tych zagadnień pozwoli na wyklarowanie się zasadniczych elementów różnicujących postępowania administracyjne oraz wyodrębnienie ich rodzajów oraz wzajemnych relacji. Jest to szczególnie istotne ze względu na pogłębienie świadomości obywateli w przedmiotowej problematyce.

## Uproszczone postępowania administracyjne w systemie przepisów procedury administracyjnej

W doktrynie prawa administracyjnego procesowego termin „postępowanie administracyjne” może być rozumiany w dwu podstawowych znaczeniach: wąskim (*sensu stricto*) i szerokim (*sensu largo*). Pierwsze z nich odnosi się do postępowania ogólnego oraz do postępowań szczególnych. W literaturze przyjmuje się, że wspólne dla nich będzie budowanie regulacji procesowych opartych na modelu „administracyjnego stosowania prawa”<sup>1</sup>. Postępowanie administracyjne *sensu stricto* jest określane jako tzw. jurysdykcyjne, w którego ramach można z kolei wyodrębnić

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<sup>1</sup> G. Łaszczycza, A. Matan, System prawa administracyjnego procesowego. T. IV. Postępowania autonomiczne i szczególne postępowania niejurysdykcyjne, Warszawa 2021, s. 45.

postępowanie jurysdykcyjne ogólne oraz postępowanie jurysdykcyjne szczególne. Należy jednak podkreślić, że niektóre z nich mają charakter autonomiczny, zaś pozostałym nie przypisuje się takiej cechy, wobec tego określane są jak nieautonomiczne<sup>2</sup>.

Celem postępowania jurysdykcyjnego jest wiążące określenie, na podstawie norm prawa materialnego i w konkretnej sprawie, sytuacji prawnej indywidualnie oznaczonego adresata. Za cel postępowania jurysdykcyjnego można zatem przyjąć stworzenie lub ustalenie indywidualnej sytuacji prawnej w drodze decyzji administracyjnej. Trafnie wskazuje się, że taka definicja postępowania jurysdykcyjnego nie wyjaśnia tego pojęcia w pełni. Elementem treści wspomnianej definicji jest bowiem pojęcie decyzji administracyjnej, które wymaga odrębnego zdefiniowania. Stąd, za Z.R. Kmiecikiem należy przyjąć, że wskazana definicja jest obarczona błędem *ignotum per ignotum*<sup>3</sup>. Jednocześnie należy pamiętać, że decyzja administracyjna jest jedną z form zakończenia postępowania administracyjnego, którego finał może także nastąpić w drodze milczącego załatwienia sprawy lub ugody. Gwoli ścisłości, postępowanie administracyjne można zatem określić jako ciąg czynności procesowych podejmowanych przez podmioty<sup>4</sup> tego postępowania w celu rozpoznania i rozstrzygnięcia sprawy administracyjnej w drodze decyzji<sup>5</sup> oraz ciąg czynności procesowych podjętych w celu weryfikacji decyzji administracyjnej<sup>6</sup>. W ramach tak rozumianego pojęcia wyodrębnia się także postępowanie pierwotne oraz wtórne. Celem pierwszego, zwyczajnego postępowania administracyjnego w pierwszej instancji, jest określenie sytuacji prawnej adresata. Z kolei do postępowań wtórnych zaliczamy te, które zostały uruchomione środkami prawnymi<sup>7</sup>. Zaznaczenia wymaga również wyróżnienie dwóch trybów postępowania administracyjnego ogólnego i szczególnego (podatkowego), a mianowicie postępowania głównego oraz postępowań nadzwyczajnych. „Przedmiotem postępowania głównego jest rozpoznanie i rozstrzygnięcie sprawy administracyjnej w trybie i formie przewidzianych przez przepisy prawa procesowego, zgodnie z przepisami prawa materialnego”<sup>8</sup>. Do tak rozumianego postępowania głównego zaliczane jest toczące się postępowanie przed organem pierwszej instancji oraz postępowanie przed organem drugiej instancji, jeżeli takie zaistnieje poprzez wniesienie odwołania przez legitymowany do tego podmiot. Umieszczenie tychże w ramach postępowania głównego podyktowane jest tożsamością celów i przedmiotu postępowania w pierwszej i drugiej instancji. Z kolei drugim trybem ogólnego postępowania administracyjnego są postępowania nadzwyczajne, których przedmiotem

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<sup>2</sup> Tamże.

<sup>3</sup> Z. R. Kmiecik, *Postępowanie administracyjne, postępowanie egzekucyjne w administracji i postępowanie sądownoadministracyjne*, Warszawa 2022, s. 45.

<sup>4</sup> Mowa tu o podmiotach-uczestnikach obligatoryjnych, fakultatywnych oraz tzw. innych uczestnikach postępowania.

<sup>5</sup> Brak wyróżnienia ugody jest konsekwencją możliwości jej zawarcia wyłącznie w sprawach, w których przepisy przewidują wydanie decyzji administracyjnej.

<sup>6</sup> B. Adamiak, J. Borkowski, *Postępowanie administracyjne i sądownoadministracyjne*, Wolters Kluwer, Warszawa 2020, s. 105.

<sup>7</sup> Z. R. Kmiecik, *Postępowanie...* op. cit., s. 46.

<sup>8</sup> B. Adamiak, J. Borkowski, *Postępowanie...* op. cit., s. 117.

nie jest rozstrzygnięcie merytoryczne sprawy administracyjnej, a dokonanie weryfikacji decyzji wydanej w postępowaniu głównym. Zatem warunkiem bytu prawnego postępowań nadzwyczajnych jest uprzednie przeprowadzenie postępowania głównego, zakończonego decyzją ostateczną. Jednocześnie należy zaznaczyć, że występują elementy samodzielności postępowań nadzwyczajnych, tj. odrębny przedmiot postępowania, a także możliwość, że nie we wszystkich przypadkach wynik postępowań nadzwyczajnych będzie miał bezpośredni wpływ na byt prawny decyzji wydanej w postępowaniu głównym<sup>9</sup>.

Z kolei postępowanie administracyjne w drugim z omawianych znaczeń (*sensu largo*) odnosi się do procedur stosowanych przez organy administracji, które służą realizacji norm prawa materialnego, lecz odbywają się w sposób odmienny od klasycznego modelu jurysdykcyjnego, a mianowicie w niejurysdykcyjnym trybie stosowania prawa administracyjnego. Tak rozumiane postępowanie obejmuje wszystkie pozostałe procedury władczego (imperatywnego) oraz niewładczego stosowania norm prawa administracyjnego, zarówno materialnego, jak i formalnego, bez względu na charakter i cechy aktu lub czynności kończącej postępowanie. Urzeczywistnianie norm materialnego prawa administracyjnego, z uwagi na jego specyfikę, nie ogranicza się wyłącznie do wydawania decyzji administracyjnych, lecz obejmuje także stosowanie innych instrumentów prawnych, a w niektórych przypadkach realizacja tych norm odbywać się może bez bezpośredniego ich zastosowania (urzeczywistnianie *ex lege*). Co więcej, proces urzeczywistniania norm nie zawsze wiąże się z kreowaniem nowych stosunków administracyjnoprawnych, ponieważ administracja publiczna może być zobowiązana do zapewnienia wykonania obowiązków wynikających z już istniejących stosunków prawnych<sup>10</sup>.

Powyższe rozumienie urzeczywistniania materialnego prawa administracyjnego należy odróżnić od jego realizacji, jako pojęcia szerszego, obejmującego poza wykonywaniem norm materialnoprawnych, także wykonywanie norm zadaniowych, norm określających cele i kierunki, norm wewnętrznych oraz norm kompetencyjnych<sup>11</sup>. Mając to na uwadze w doktrynie wyróżnia się także grupę postępowań administracyjnych niejurysdykcyjnych, które nie polegają na urzeczywistnianiu norm prawa materialnego, tj. postępowania administracyjne *sensu largissimo*. Wśród wyodrębnionych grup postępowań administracyjnych niejurysdykcyjnych można wyróżnić cztery kategorie: postępowania administracyjne w sprawie podejmowania działań władczych, postępowania w sprawie działań władczych pośrednio, postępowania w sprawie działań podejmowanych w formach niewładczych oraz procedury pomocnicze<sup>12</sup>, przy czym postępowanie w sprawach skarg i wniosków oraz postępowanie w sprawie petycji zaliczane są do grupy postępowań w sprawie działań podejmowanych w formach niewładczych.

Postępowanie w sprawach skarg i wniosków określane jest w doktrynie mianem postępowania uproszczonego.

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<sup>9</sup> Tamże.

<sup>10</sup> G. Łaszczycza, A. Matan, System prawa... op. cit., s. 46.

<sup>11</sup> Ibidem.

<sup>12</sup> Szerzej: G. Łaszczycza, A. Matan, System prawa... op. cit., s. 48.

## **Specyfika postępowania w sprawach skarg i wniosków uregulowanego w Kodeksie postępowania administracyjnego**

Prawo do wnoszenia skarg, wniosków i petycji zostało określone w art. 63 Konstytucji RP<sup>13</sup>, stanowiącym, że każdy ma prawo składać petycje, skargi i wnioski w interesie publicznym, własnym lub innej osoby za jej zgodą do organów władzy publicznej oraz do organizacji i instytucji społecznych w związku z wykonywanymi przez nie zadaniami zleconymi z zakresu administracji publicznej. W ustawie zasadniczej nie uregulowano trybu postępowania w sprawach skarg i wniosków, odsyłając w tym przedmiocie do działu VIII Kodeksu postępowania administracyjnego. Powyższe postępowanie traktowane jest jako przejaw i instrument kontroli społecznej, która z kolei stanowi jeden z fundamentalnych elementów kontroli demokratycznego państwa. Należy również podkreślić, że prawo do składania skarg i wniosków mieści się w kategorii wolności i praw politycznych o charakterze uniwersalnym, zatem przysługujących każdemu człowiekowi, bez względu na posiadanie obywatelstwa polskiego<sup>14</sup>. Pomimo iż ustawodawca zdecydował o zamieszczeniu postępowania w sprawach skarg i wniosków oraz ogólnego postępowania administracyjnego w jednym akcie prawnym, to powinny one pozostawać ze sobą w separacji. To wyraźne rozłączenie podkreśla funkcję krytyczną, kontrolną i dyscyplinującą organy władzy publicznej postępowania w sprawach skarg i wniosków. Jeżeli jednak, co warto podkreślić, treść skargi lub wniosku będzie związana z jakimś ogólnym postępowaniem administracyjnym, to postępowanie skargowo-wnioskowe nie powinno zostać zainicjowane. W takiej sytuacji skarga lub wniosek powinny zostać skierowane na tory właściwego ogólnego postępowania administracyjnego, także w trybie nadzwyczajnym<sup>15</sup>. Wspomniana uniwersalność postępowania skargowego uwidacznia się także w możliwości zastosowania tych przepisów do kategorii postępowań, które nie podlegają regulacji kodeksowej. Przesądza o tym art. 3 § 4 k.p.a., z którego wynika że przepisy działu VIII k.p.a. stosuje się w ograniczonym zakresie do postępowania w sprawach karnych skarbowych, podatkowego, w sprawach należących do właściwości polskich przedstawicielstw dyplomatycznych i urzędów konsularnych oraz do postępowań w sprawach podległości służbowej pracowników organów i jednostek organizacyjnych określonych w art. 1 k.p.a. Słusznie wskazuje się w literaturze, że w sytuacji gdy skarga dotyczy sprawy wymienionej w art. 3 § 1 i 2 k.p.a. niezbędne jest uwzględnienie reguły z art. 240 k.p.a., wedle której należy wówczas stosować odpowiednio przepisy art. 233-239 k.p.a. z zastrzeżeniem, że w miejsce pozostałych przepisów kodeksu stosuje się przepisy postępowania właściwego dla danej sprawy. Należy zatem podkreślić, że art. 3 § 4 należy interpretować w świetle przepisu szczególnego (art. 240 k.p.a.). Taka konstrukcja, jak wskazuje A. Wróbel, prowadzi

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<sup>13</sup> Konstytucja Rzeczypospolitej Polskiej z dnia 2 kwietnia 1997 r. (Dz.U. nr 78, poz. 483 z późn. zm.).

<sup>14</sup> G. Łaszczycza, A. Matan, System prawa... op. cit., s. 1164.

<sup>15</sup> W. M. Hrynicky, Skargi, wnioski, petycje i inne interwencje obywatelskie, Warszawa 2022, s. 30.

w istocie do ograniczenia zakresu powołanego przepisu art. 3 § 4 k.p.a.<sup>16</sup>. W myśl art. 240 k.p.a., odnoszącego się do postępowań wyłączonych, w razie zbiegu przepisów priorytet będzie miało postępowanie szczególne, zaś w pozostałym zakresie stosuje się przepisy art. 237–239 k.p.a. – w granicach postępowania skargowego<sup>17</sup>.

Warto wskazać, że w literaturze spotyka się określenie komentowanego postępowania jako postępowania w sprawach skarg i wniosków (skargowo-wnioskowe), często jednak słusznie wyodrębnia się postępowanie skargowe oraz postępowanie wnioskowe. Mając na uwadze powyższe, są to postępowania kodeksowe, niejurysdykcyjne oraz uproszczone. Uproszczony charakter tego postępowania wynika, między innymi, z braku ograniczeń, które są charakterystyczne dla postępowania jurysdykcyjnego. Jak wskazuje A. Gronkiewicz, nie występują w tym przypadku ograniczenia o charakterze podmiotowym, przedmiotowym, czasowym oraz ilościowym. Przepisy k.p.a. nie zawężają kręgu podmiotów uprawnionych do wniesienia skargi lub wniosku. Mogą również być składane zarówno w interesie własnym, na rzecz osób trzecich za ich zgodą, jak i w interesie publicznym. Przedmiot skargi lub wniosku także nie podlega ograniczeniu, w przypadku skargi przedmiotem może być właściwie każda sprawa powodująca niezadowolenie. Z kolei przedmiotem wniosku może być każda rekomendacja ulepszenia, która powinna być traktowana jako impuls do podejmowania działań naprawczych. Przepisy kodeksu nie wprowadzają również limitu składanych skarg lub wniosków, jednocześnie można je składać w każdym czasie, a termin do ich wniesienia nie ulega przedawnieniu<sup>18</sup>. Elementem podkreślającym uniwersalny i odformalizowany charakter tego postępowania jest również zapewnienie wolności od opłat.

Specyfika postępowania skargowego przejawia się również w braku toku instancji i środków zaskarżenia. Tryb postępowania w sprawach skarg i wniosków jest jednoinstancyjny, kończy się czynnością materialno-techniczną – zawiadomieniem skarżącego o sposobie załatwienia sprawy. W orzecznictwie wskazuje się, że takie zawiadomienie powoduje trojaki skutek: zakończenie postępowania skargowego w odniesieniu do sprawy, która była przedmiotem skargi, możliwość wniesienia kolejnej skargi będącej konsekwencją niezadowolenia ze sposobu załatwienia poprzedniej (art. 227 k.p.a.) oraz możliwość zastosowania trybu art. 239 k.p.a. wobec ponownej skargi<sup>19</sup>. Zgodnie z art. 238 k.p.a. zawiadomienie o odmownym załatwieniu skargi powinno zawierać uzasadnienie faktyczne i prawne, a także pouczenie o treści art. 239 k.p.a.<sup>20</sup>.

Zaznaczenia wymaga, że wspomniana czynność kończąca postępowanie, nie stanowi podstawy do uruchomienia dalszego trybu instancyjnego. W omawianym przypadku ustawodawca nie przewiduje również możliwości wniesienia skargi do

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<sup>16</sup> M. Jaśkowska, M. Wilbrandt-Gotowicz, A. Wróbel, Kodeks postępowania administracyjnego. Komentarz aktualizowany, LEX/el. 2024, art. 3.

<sup>17</sup> Tamże, art. 240.

<sup>18</sup> G. Łaszczycza, A. Matan, System prawa... op. cit., s. 1166.

<sup>19</sup> Postanowienie WSA w Krakowie z 29.05.2017 r., III SA/Kr 507/17, LEX nr 2294496.

<sup>20</sup> Postanowienie WSA w Poznaniu z 7.11.2017 r., II SAB/Po 137/17, LEX nr 2390231.



sądu administracyjnego. Zatem zawiadomienie z art. 237 § 3 k.p.a. nie stanowi żadnej z prawnych form działania organu administracji publicznej, podlegających kontroli sądów administracyjnych<sup>21</sup>. Zgodnie z art. 239 k.p.a. „w przypadku, gdy skarga, w wyniku jej rozpatrzenia, została uznana za bezzasadną i jej bezzasadność wskazano w odpowiedzi na skargę, a skarżący ponowił skargę bez wskazania nowych okoliczności, organ właściwy do jej rozpatrzenia może podtrzymać swoje poprzednie stanowisko z odpowiednią adnotacją w aktach sprawy – bez zawiadamiania skarżącego”<sup>22</sup>. Należy jednak podkreślić, że ponownie wniesiona skarga może być załatwiona we wspomniany sposób wyłącznie wtedy, gdy jej przedmiot w pełni pokrywa się z wcześniej wniesioną skargą. Jednak w sytuacji, gdy skarżący ponawia poprzednie zarzuty, ale wskazuje inne argumenty lub uzupełnia poprzednio przyjętą argumentację, wówczas do takiej skargi nie może znaleźć zastosowania regulacja art. 239 k.p.a.<sup>23</sup>.

Warto również zaznaczyć, że o charakterze wniesionego pisma, czy należy je traktować jako skargę czy wniosek, decyduje jego treść, a nie forma zewnętrzna. W orzecznictwie podkreśla się, że to nie organ, a strona formułuje zamierzenia, jakie chce podjąć w postępowaniu czy wywołać składanym wnioskiem<sup>24</sup>. W sytuacji niejasności co do rzeczywistych intencji szeroko rozumianego pisma składanego organowi administracji publicznej, doprecyzowanie lub wyjaśnienie wątpliwości jest uznawane za powinność organu, który powinien wówczas wezwać stronę do sprecyzowania jej żądań<sup>25</sup>.

Niezbędne jest podkreślenie, że przepisy art. k.p.a. statuuje wyższość postępowania jurysdykcyjnego nad postępowaniem skargowym. W ten sposób, zgodnie z zasadą jednotorowości postępowania, ustawodawca wskazuje na brak akceptacji dla jednoczesnego prowadzenia większej liczby postępowań w tej samej sprawie. Powołane przepisy dotyczą w równym stopniu sytuacji przed wszczęciem postępowania jurysdykcyjnego, w trakcie tego postępowania, jak i po jego zakończeniu przed organem pierwszej instancji. Wskazuje się, że ustawodawca tym samym wskazał na możliwość zainicjowania skargą postępowania jurysdykcyjnego oraz kształtowania postępowania dowodowego. Przepisy umożliwiają jednocześnie zainicjowanie skargą postępowania odwoławczego w toku postępowania jurysdykcyjnego, jak też wzruszenia skargą zakończonego postępowania jurysdykcyjnego w trybach nadzwyczajnych<sup>26</sup>. W praktyce obywatele często nie dysponują tego rodzaju wiedzą, co skutkuje szeregiem problemów w procesie rozpatrywania skarg.

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<sup>21</sup> Postanowienie WSA w Łodzi z 27.11.2020 r., ISA/Łd 541/20, LEX nr 3083196.

<sup>22</sup> Zob. art. 239 k.p.a.

<sup>23</sup> A. Cebera, J. G. Firlus, A. Gołęba i wsp., Kodeks postępowania administracyjnego. Komentarz, Warszawa 2023, art. 239.

<sup>24</sup> Wyrok NSA z 28.11.2019 r., II OSK 122/18, LEX 2777960.

<sup>25</sup> Wyrok NSA z 18.10.2016 r., II GSK 905/15, LEX nr 2168898.

<sup>26</sup> W. M. Hrynicky, Skargi... op. cit., s. 150.

## **Wybrane elementy kodeksowego postępowania skargowego w obszarze transportu drogowego**

Kodeksowe postępowanie w sprawach skarg i wniosków może również znaleźć zastosowanie w sektorze transportu drogowego, przede wszystkim w kontekście relacji pomiędzy obywatelami, niekoniecznie pasażerami, a organami administracji, które są odpowiedzialne za nadzór nad tym sektorem. Skargi mogą zatem dotyczyć takich kwestii jak nieprawidłowe działanie organów administracji publicznej, zaniebdania ze strony przewoźników lub naruszenia przepisów dotyczących transportu drogowego. Zgodnie z wyżej powoływanymi przepisami każdy ma prawo wnosić skargi na funkcjonowanie instytucji lub organów zajmujących się transportem drogowym, a także może wnioskować o poprawę ich działania. W takich przypadkach omawiane postępowanie ma pełne zastosowanie. Warto jednak zaznaczyć, że regulacja k.p.a. obejmuje sferę działania administracji publicznej, co oznacza, że skargi i wnioski kierowane bezpośrednio do przewoźników prywatnych mogą być rozpatrywane na podstawie odrębnych przepisów.

Ze względu na różnorodność typów transportu (drogowy, kolejowy, lotniczy) przedmiotem dalszych uwag uczyniono postępowanie w sprawie skarg składanych w Głównym Inspektoracie Transportu Drogowego (GITD)<sup>27</sup>, którego tryb został szczegółowo określony w zarządzeniu Głównego Inspektora Transportu Drogowego w sprawie organizacji przyjmowania, rozpatrywania i załatwiania skarg, wniosków i petycji w Głównym Inspektoracie Transportu Drogowego<sup>28</sup>. Zgodnie z § 3 cytowanego zarządzenia z procedury rozpatrywania skarg i wniosków w rozumieniu Działu VIII Kpa w GITD wyłączone są w szczególności:

1. skargi w sprawach, w których toczy się w dniu jej złożenia postępowanie administracyjne, zgodnie z art. 234 k.p.a.;
2. skargi w sprawach, w których wydano decyzję ostateczną, które zależnie od ich treści, zgodnie z art. 235 § 1 k.p.a., uznaje się odpowiednio za żądanie wznowienia postępowania, stwierdzenia nieważności decyzji albo jej uchylenia lub zmiany;
3. skargi pasażerów w zakresie egzekwowania przepisów rozporządzenia Parlamentu Europejskiego i Rady (UE) nr 181/2011 z dnia 16 lutego 2011 r. dotyczącego praw pasażerów w transporcie autobusowym i autokarowym oraz zmieniającego rozporządzenie (WE) nr 2006/2004 (Dz. Urz. UE L 55 z 28.02.2011, str. 1);
4. skargi na czynności egzekucyjne, o których mowa w art. 54 ustawy z dnia 17 czerwca 1966 r. o postępowaniu egzekucyjnym w administracji (Dz.U. z 2022 r., poz. 479);

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<sup>27</sup> Oczywiście składane są do rozpatrzenia przez organ administracji – Głównego Inspektora Transportu Drogowego.

<sup>28</sup> Zarządzenie nr 9/2022 Głównego Inspektora Transportu Drogowego z dnia 12 kwietnia 2022 r. w sprawie organizacji przyjmowania, rozpatrywania i załatwiania skarg, wniosków i petycji w Głównym Inspektoracie Transportu Drogowego.

5. skargi w sprawach, w których w dniu złożenia skargi prowadzone są czynności wyjaśniające w sprawie o wykroczenie;
6. wnioski o udostępnienie informacji publicznej w rozumieniu ustawy z dnia 6 września 2001 r. o dostępie do informacji publicznej (Dz.U. z 2020 r., poz. 2176 i z 2021 r., poz. 1598 i 1641).

Powyższa regulacja wyłączająca stosowanie przepisów k.p.a. jest szczególnie istotna ze względu na ochronę praw pasażera transportu drogowego, która została odrębnie określona w przepisach rozporządzenia Parlamentu Europejskiego i Rady (UE) nr 181/2011 z dnia 16 lutego 2011 r. dotyczącego praw pasażerów w transporcie autobusowym i autokarowym oraz zmieniającego rozporządzenie (WE) nr 2006/2004<sup>29</sup>. Podsumowując, przepisy k.p.a. nie mają bezpośredniego zastosowania do skarg składanych na podstawie rozporządzenia UE, ale mogą być stosowane w przypadkach uzupełniających lub pomocniczo w odniesieniu do procedur krajowych. W szczególności mogą dotyczyć one formy i trybu rozpatrywania skarg przez organy administracji publicznej.

Tryb postępowania określony w powołanym zarządzeniu Głównego Inspektora Transportu Drogowego oczywiście nie odbiega od klasycznego modelu określonego w przepisach k.p.a. oraz wydanym na podstawie art. 226 k.p.a. rozporządzeniu Rady Ministrów z dnia 8 stycznia 2002 r. w sprawie organizacji przyjmowania i rozpatrywania skarg i wniosków<sup>30</sup>. Zarządzenie doprecyzowuje kwestie organizacyjne ze szczególnym uwzględnieniem specyfiki postępowania przed GITD.

Postępowanie skargowo-wnioskowe może zostać wszczęte wyłącznie z inicjatywy podmiotu wnoszącego skargę, co oznacza że nie może zostać wszczęte z urzędu. Zgodnie z art. 237 § 1 oraz art. 244 § 1 k.p.a. organ właściwy do rozpatrzenia skargi powinien ją załatwić bez zbędnej zwłoki, nie później jednak niż w ciągu miesiąca. Termin do jej załatwienia należy liczyć od chwili wpływu skargi do organu właściwego do jej rozpatrzenia<sup>31</sup>. Odesłanie do art. 36–38 k.p.a. daje również podstawę do wniesienia ponaglenia z art. 37 k.p.a. na niezłałatwienie skargi w terminie, bądź przewlekłe prowadzenie postępowania. W postępowaniu skargowym przyjęto również, analogicznie do postępowania jurysdykcyjnego, instytucję sygnalizacji dotyczącą beczynności lub przewlekłego prowadzenia postępowania. Na podstawie odesłania do art. 36 § 1 wynikającego z art. 237 § 1 w przypadku przeszkód związanych z dotrzymaniem tych terminów organ został zobligowany do wyznaczenia nowego terminu i zawiadomienia o tym skarżącego. Zaznaczenia wymaga, że w odniesieniu do tych terminów może wystąpić stan beczynności związany z niezłałatwieniem skargi w terminie (pierwotnym lub dodatkowym) lub przewlekłości postępowania

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<sup>29</sup> Rozporządzenia Parlamentu Europejskiego i Rady (UE) nr 181/2011 z dnia 16 lutego 2011 r. dotyczącego praw pasażerów w transporcie autobusowym i autokarowym oraz zmieniającego rozporządzenie (WE) nr 2006/2004.

<sup>30</sup> Rozporządzenie Rady Ministrów z dnia 8 stycznia 2002 r. w sprawie organizacji przyjmowania i rozpatrywania skarg i wniosków (Dz.U. nr 5, poz. 46).

<sup>31</sup> J. Borkowski, B. Adamiak, Kodeks postępowania administracyjnego. Komentarz, Warszawa 2022, s. 1036.

skargowego, polegającego na nieuzasadnionym przedłużaniu terminu załatwienia skargi. W doktrynie i orzecznictwie prezentowane są poglądy, że stan bezczynności lub przewlekłości postępowania skargowego nie może być kwestionowany przed sądem administracyjnym<sup>32</sup>. Z kolei M. Jaśkowska zwraca uwagę na dyskusyjny charakter tej kwestii, wskazując, że naruszenie procesowego prawa skarżącego do otrzymania zawiadomienia o sposobie załatwienia skargi mogłoby zostać zakwalifikowane jako „uprawnienie i obowiązek wynikający z przepisów prawa” w rozumieniu przepisu art. 3 § 2 pkt 4 i 8 p.p.s.a.<sup>33</sup>.

Zgodnie z powołaną wyżej regulacją skargi i wnioski po ich zaewidencjonowaniu w systemie Elektronicznego Zarządzania Dokumentacją, są niezwłocznie przekazywane do Gabinetu Głównego Inspektora (GGI) w celu ich zarejestrowania i nadania właściwego biegu. Każdorazowo GGI dokonuje analizy doręczonych Głównemu Inspektorowi skarg, wniosków i petycji pod kątem spełniania właściwych wymogów formalno-prawnych oraz kwalifikuje złożone pismo odpowiednio jako skargę, wniosek lub petycję. Skargi i wnioski mogą być wnoszone do GITD pisemnie, za pomocą poczty elektronicznej na adres [info@gitd.gov.pl](mailto:info@gitd.gov.pl), na adres do doręczeń elektronicznych, za pośrednictwem Elektronicznej Platformy Usług Administracji Publicznej (ePUAP) oraz ustnie do protokołu. Jeżeli skarga została złożona telefonicznie organ informuje o konieczności uczynienia zadość zasadzie pisemności wynikającej z przepisów k.p.a. Zgodnie z wcześniejszymi uwagami dotyczącymi wątpliwości co do przedmiotu skargi, jeżeli z jej treści nie można należycie ustalić przedmiotu, GGI wzywa wnoszącego skargę do złożenia, w terminie siedmiu dni od otrzymania wezwania, wyjaśnienia lub uzupełnienia, z pouczeniem, że nieusunięcie tych braków spowoduje pozostawienie skargi lub wniosku bez rozpoznania<sup>34</sup>.

Zgodnie z powyższym zarządzeniem zawiadomienie o sposobie załatwienia skargi lub wniosku sporządzone w formie pisemnej doręcza się skarżącemu lub wnioskodawcy przesyłką rejestrowaną za zwrotnym potwierdzeniem odbioru. Zawiadomienie o sposobie załatwienia skargi lub wniosku sporządzone w formie dokumentu elektronicznego doręcza się skarżącemu lub wnioskodawcy na adres do doręczeń elektronicznych z wykorzystaniem publicznej usługi rejestrowanego doręczenia elektronicznego, przez operatora wyznaczonego z wykorzystaniem publicznej usługi hybrydowej lub za pośrednictwem platformy usług administracji elektronicznej (ePUAP)<sup>35</sup>.

W literaturze trafnie zwraca się uwagę, że ustawodawca posłużył się sformułowaniem „zawiadomienie o sposobie załatwienia skargi”, a nie „zawiadomienie o załatwieniu skargi”<sup>36</sup>. Mając to na uwadze, według przedstawicieli doktryny, zawiadomienie

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<sup>32</sup> Z. Kmieciak, M. Wojtuń, J. Wegner, Kodeks postępowania administracyjnego. Komentarz, Warszawa 2023, art. 237.

<sup>33</sup> Szerzej: M. Wilbrandt-Gotowicz, A. Wróbel, M. Jaśkowska, Kodeks... op. cit., art. 237.

<sup>34</sup> Zarządzenie nr 9/2022 Głównego Inspektora Transportu Drogowego z dnia 12 kwietnia 2022 r... op. cit.

<sup>35</sup> Tamże.

<sup>36</sup> Z. Kmieciak, M. Wojtuń, J. Wegner, Kodeks postępowania... op. cit.

o sposobie załatwienia skargi co prawda kończy postępowanie skargowe, ale nie musi kończyć czynności podejmowanych na skutek jej wniesienia<sup>37</sup>. Zawiadomienie z art. 238 § 1 k.p.a. jest niezaskarżalne. Zgodnie z orzecznictwem do przesłanek niedopuszczalności środka zaskarżenia zaliczyć można choćby nieistnienie w sensie prawnym aktu zaskarżenia, bądź niezaskarżalność niektórych rodzajów rozstrzygnięć administracyjnych wydanych w postępowaniu jednoinstancyjnym<sup>38</sup>. Zawiadomienie o sposobie załatwienia skargi nie podlega także zaskarżaniu do sądu administracyjnego. Jedynym sposobem kwestionowania przedmiotowego zawiadomienia jest złożenie nowej skargi w trybie przewidzianym w Dziale VIII k.p.a.<sup>39</sup>.

Mając na uwadze powyższe warto zwrócić uwagę na przedmiot skarg i wniosków dotyczących transportu drogowego. Po dokonaniu analizy wybranych dokumentów można stwierdzić, że znaczna liczba złożonych skarg była anonimowa. Ponadto w wielu przypadkach stwierdzano brak właściwości organu do rozpatrzenia skargi. Taka sytuacja może świadczyć o niskiej świadomości społecznej w zakresie omawianych regulacji. Większość przeprowadzonych postępowań została zakończona stosownym zawiadomieniem o sposobie załatwienia skargi. W niektórych przypadkach czynności kontrolne zostały ujęte w planach kontroli na kolejny rok kalendarzowy, a skarżący zostali powiadomieni o przedłużeniu terminu do rozpoznania skargi. W najliczniejszej grupie skarg i wniosków znalazły się wnioski dotyczące bezpieczeństwa w ruchu drogowym, które dotyczyły różnego rodzaju nieprawidłowości oraz skontrolowania środków transportu. Kolejne grupy tematyczne stanowią sprawy zakwalifikowane jako nieuczciwa konkurencja oraz związane z budową, remontami i stanem dróg oraz zezwoleniami i licencjami transportowymi, a także warunkami podróżowania<sup>40</sup>.

## Zakończenie

Skuteczność skarg i wniosków bywa oceniana jako niska z kilku powodów. Pomimo szerokiego katalogu sytuacji, w których przysługuje prawo wniesienia skargi, ich rozpatrywanie często napotyka problemy natury formalnej i proceduralnej. W orzecznictwie wskazuje się, że przedmiot skargi może być szeroko interpretowany<sup>41</sup>, jednak w praktyce organy administracji często stosują restrykcyjne podejście do ich rozpatrywania.

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<sup>37</sup> J. Jendrośka, R. Orzechowski, A. Zieliński, J. Borkowski, Kodeks postępowania administracyjnego. Komentarz, Warszawa 1989, s. 342 za Z. Kmiecik, M. Wojtuń, J. Wegner, Kodeks postępowania... op. cit.

<sup>38</sup> R. Hauser, M. Wierzbowski (red.), Kodeks postępowania administracyjnego. Komentarz, Legalis, Warszawa 2023.

<sup>39</sup> R. Kędziora, Kodeks postępowania administracyjnego. Komentarz, Legalis, Warszawa 2024.

<sup>40</sup> Charakterystyka ilościowa i tematyczna załatwionych skarg i wniosków, jakie wpłynęły do siedziby Wojewódzkiego Inspektoratu Transportu Drogowego w Lublinie w 2019 r. Online: <https://witdlublin.bip.gov.pl/sprawozdania/charakterystyke-ilosciowa-i-tematyczna-zalatwionych-skarg-i-wnioskow.html/>.

<sup>41</sup> Postanowienie NSA z 4.04.2012 r., I OSK 717/12, LEX nr 1136720.

Pomimo podkreślania, że postępowanie w sprawach skarg i wniosków z samej swej istoty powinno być uproszczone, to jednak często charakteryzuje się znacznym formalizmem. Skargi bowiem muszą spełniać określone warunki formalne, a brak ich spełnienia może powodować pozostawienie skargi bez rozpoznania.

Co prawda przepisy k.p.a. przewidują terminy na rozpatrzenie skarg i wniosków, w praktyce jednak postępowania te charakteryzują się znaczną przewlekłością. Brak zachowania terminowości znacznie obniża efektywność tego narzędzia, a przede wszystkim może zniechęcać obywateli do korzystania z tej formy kontroli społecznej.

Negatywnym aspektem, może nie samych uregulowań, ale jakości przekazywania informacji obywatelom, jest brak jasności co do przysługujących im praw. Niejednokrotnie obywatel nie ma świadomości o odrębności postępowania w sprawach skarg i wniosków z k.p.a. od trybu składania skarg uregulowanego w przepisach unijnych. Znikomy jest także poziom świadomości obywateli w przedmiocie relacji między postępowaniem uproszczonym z k.p.a. a innymi postępowaniami administracyjnymi. Taka sytuacja często prowadzi do frustracji obywateli, którzy nie potrafią odnaleźć się w gąszczu skomplikowanych procedur. Wydaje się, że pozostaje to w sprzeczności z samym założeniem odformalizowanego charakteru postępowania skargowego. Podmioty składające skargi często mierzą się ze skomplikowanymi procedurami prawnymi, co z kolei może powodować brak pełnej realizacji ich praw. Warto także zastanowić się nad zasadnością braku procedur odwoławczych w postępowaniu w sprawach skarg i wniosków, ze szczególnym uwzględnieniem sądowej kontroli tych działań.

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## LOGISTYKA XXI – INNOWACJE W LOGISTYCE

### *Logistics XXI – innovation in logistics*

#### **Summary**

*The field of logistics is undergoing a significant transformation in the 21st century. The innovations are driven by the ever-evolving customer demands, changes in attitudes towards the functioning of the economy, globalisation, and technological developments. A redefinition of the fundamental challenges currently faced by the logistics industry has emerged. The emergence of COVID-19 and artificial intelligence has only deepened this situation. This has resulted in the development of new technologies such as IoT, block-chain, automation and Big Data.*

**Key words:** *logistics, innovation, artificial intelligence, logistics chain, company, IoT, blockchain, Big Data*

#### **Streszczenie**

Logistyka XXI na naszych oczach przechodzi olbrzymią liczbę modyfikacji. Napędzane są one przez coraz to nowsze zapotrzebowania klientów, zmiany w podejściu do funkcjonowania gospodarki, globalizację oraz rozwój technologii. Nastąpiła redefinicja podstawowych wyzwań, jakie do tej pory stały przed logistyką. Pojawienie się COVID-19 oraz sztucznej inteligencji tylko pogłębiły tę sytuację, powodując tym samym rozwój nowych technologii takich jak IoT, blockchain, automatyzacja czy Big Data.

**Słowa kluczowe:** logistyka, innowacje, sztuczna inteligencja, łańcuch logistyczny, firma, IoT, blockchain, Big Data

### **Czym jest logistyka?**

Podjmując próbę wyjaśnienia i opowiedzenia o logistyce XXI wieku musimy wyjść od kluczowych zagadnień dotyczących logistyki. Logistykę<sup>1</sup> możemy rozpatrywać z punktu widzenia trzech definicji. Pierwsze pojęcie ma charakter wojskowy, ponieważ to dzięki rozwojowi militarnemu i dzięki prowadzeniu przez ludzi wojen możemy w ogóle mówić o logistyce. Wiadomą rzeczą jest, iż aby móc wygrać daną

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<sup>1</sup> W. Starowicz, S. Ejdyś, Transport, spedycja, logistyka: teoria, przykłady, zadania i rozwiązania. Podręcznik dla studentów kierunku logistyki, CeDeWu, Warszawa 2023, s. 16.



kampanię niezmiernie ważne jest zaplecze oraz jego przygotowanie i rozlokowanie wojska. Jedną z pierwszych publikacji, która traktowała o logistycznym<sup>1</sup> przygotowaniu do prowadzenia działań zbrojnych, była książka z IV wieku naszej ery autorstwa Sun Zi „Sztuka wojny”<sup>2</sup>. Tę właśnie pozycję traktuje się jako jedną z pierwszych książek do nauki logistyki. Warto również wspomnieć, iż na „polskim podwórku” powstała podobna publikacja w XVI wieku autorstwa hetmana Jana Tarnowskiego „Rada sprawy wojennej”. W czasach, kiedy obie te książki powstawały, logistyka nie była rozumiana jako oddzielny przedmiot lecz jako umiejętne rozlokowanie swoich sił.

Kolejnym terminem, w jakim możemy rozpatrywać logistykę, jest tak zwana logistyka „cywilna”. Oznacza ona nic innego, jak czasowo przestrzenny przepływ materiałów oraz ładunków i informacji w danym obszarze w określonym czasie. Ten termin stosowany jest do działań logistycznych, które nie mają odniesienia komercyjnego ani militarne. Ostatnia definicja, która dotyczy logistyki przedsiębiorstw, traktuje o dostarczeniu produktów z miejsca produkcji do miejsca ich docelowej konsumpcji po optymalnych i odpowiednich kosztach dla firmy.

Logistykę możemy najkrócej ująć w tak zwanej zasadzie 7W<sup>3</sup>. Oznacza ona nic innego, jak:

- Właściwemu klientowi;
- Właściwy materiał;
- Właściwa ilość;
- Właściwy czas;
- Właściwy stan;
- Właściwe koszty;
- Właściwe miejsce.

Jeśli któryś z wyżej wymienionych punktów nie zostanie zrealizowany lub zostanie wykonany w sposób nieprawidłowy to niestety nie możemy mówić o prawidłowo poprowadzonym procesie logistycznym<sup>4</sup>. To niesie za sobą przykre skutki dla przedsiębiorstwa, jakimi są dodatkowe koszty w postaci finansowej lub co gorsza podmiot gospodarczy może stracić dobre relacje z klientem wskutek niewywiązania się z którejś zasady 7W.

## Główne determinanty rozwoju logistyki

Czynniki, które w sposób znaczący wywarły wpływ na wprowadzenie innowacji w logistyce, to<sup>5</sup>:

- Znaczący przyrost zróżnicowanego asortymentu – obecny rynek zorientowany jest na klienta i jego potrzeby. Aby móc zaspokoić nowe wymagania klientów

<sup>1</sup> B. Klepacki, Logistyka, CeDeWu, Warszawa 2021, s. 23.

<sup>2</sup> B. Klepacki, Logistyka... op. cit., s. 28.

<sup>3</sup> B. Klepacki, Logistyka... op. cit., s. s. 24.

<sup>4</sup> P. Adamczewski, Ku inteligentnej logistyce, „Logistyka” 2013; 5.

<sup>5</sup> B. Klepacki, Logistyka... op. cit., s. 34-36.

sam proces logistyczny musiał zostać zmodernizowany tak, aby mógł nadążać za zmieniającymi się trendami.

- Rozwój nowoczesnych technik komputerowych<sup>6</sup> i pojawienie się AI – wprowadzenie sztucznej inteligencji nie ominęło również procesów logistycznych. Dzięki czemu na liniach produkcyjnych dużej części firm prace są przydzielane robotom. To z kolei powoduje znaczne przyspieszenie niektórych procesów logistycznych.
- Próba zmniejszenia kosztów transportu – każda firma, która w swoich działaniach musi korzystać z różnych środków transportu swoich produktów bądź usług będzie dążyła do optymalizacji procesów i redukcji kosztów. Nie bez znaczenia dla współczesnego świata jest ekologia. To właśnie ona wymusza na firmach zmianę w podejściu do tradycyjnego transportu.

Próba wykorzystania każdego z elementów z tak zwanego łańcucha logistycznego<sup>7</sup> w stu procentach tak, aby nie doprowadzać do nieumiejętnego wykorzystania posiadanych rezerw. We wcześniejszych latach w modelach prowadzenia przedsiębiorstw zdarzało się, iż jeden z elementów nie był wykorzystywany w sposób najbardziej optymalny, co z kolei generowało niepotrzebne koszty dla firmy np. doprowadzało do utraty stanów magazynowych poprzez ich nieumiejętne magazynowanie.

## Blockchain i logistyka

Logistyka 4.0 korzysta z obecnych<sup>8</sup> rozwiązań cyfryzacji takich jak blockchain<sup>9</sup>. Jednak aby móc mówić o znaczeniu blockchain w logistyce musimy wytłumaczyć, czym ten proces w ogóle jest i kiedy on powstał oraz dlaczego. A więc czym jest blockchain<sup>10</sup>? Blockchain<sup>11</sup> to rozproszona baza danych składająca się z bloków nazywanych rekordami. Wszystkie bloki posiadają znacznik czasu – jest to nic innego jak kryptograficzne zapisy treści, które powiązane są między sobą węzłami. To właśnie na tych węzłach odbywają się zapisy wszystkich transakcji oraz to tam właśnie odbywają się aktualizacje wszystkich zapisanych procesów.

Technologia blockchain pierwsze swoje zastosowanie znalazła w branży finansowej i bankowej. Szeroko jest stosowana w kryptowalutach dzięki swojemu innowatorskiemu podejściu, jakim jest rozproszona księgowość. Blockchain nie tylko zrewolucjonizował branżę finansową, ale również znalazł swoje zastosowanie

<sup>6</sup> P. Adamczewski, Systemy ERP-BI w rozwoju organizacji inteligentnej, „Studia Ekonomiczne” 2012; 113.

<sup>7</sup> B. Klepacki, Agribusiness and Agrologistics – Definition and Specificity, “Journal Of Modern Science” 2018; 4(39): 103–118.

<sup>8</sup> Technologia blockchain w branży logistycznej. Online: <https://www.bitto.com/pl-pl/ekspertyza/artikel/technologie-blockchain-w-branzy-logistycznej/>.

<sup>9</sup> M. Swan, Blockchain: Fundament nowej gospodarki, Helion, Gliwice 2020, s. 25–26.

<sup>10</sup> M. Van Steen, Blockchain. Podstawy technologii łańcucha bloków w 25 krokach, Helion, Gliwice 2020, s. 33, 58.

<sup>11</sup> M. Swan, Blockchain: Fundament nowej... op. cit., s. 133-134.

w logistyce. To innowatorskie podejście oferuje bezpieczne i transparentne magazynowanie i zbieranie danych o użytkownikach, dlatego coraz więcej branż, w tym również logistyka, korzysta z tej metody.

A więc co oferuje blockchain logistyce? Obecnie logistyka musi mieć wymiar globalny. Tempo pojawiania się nowych technologii, trendów i danych jest nieporównywalnie szybsze niż 20 lat temu, kiedy to mieliśmy dopiero raczkujący Internet. A wykorzystywanie robotów na szeroką skalę w przedsiębiorstwach brzmiało jak coś nierealnego i nieosiągalnego. Dziś nikogo nie dziwi wykorzystywanie nowoczesnych technologii i sztucznej inteligencji w gospodarce. Logistyka 4.0 musi natychmiast reagować na potrzeby i oczekiwania klientów, którzy są już przyzwyczajeni do zupełnie innych standardów niż kiedyś. Technologia blockchain daje możliwość pełnej przejrzystości w łańcuchu dostaw. Klienci mają możliwość pełnej kontroli transportu produktu. Dzięki temu mogą wykrywać pojawiające się anomalie w łańcuchu dostaw i je eliminować. Kolejnym ważnym aspektem wykorzystania tej technologii są jej „kryptograficzne zdolności”. Oznacza to, iż pomiędzy podmiotami nie ma możliwości zafałszowania danych. We wcześniejszych procedurach zapisu dokumentacji logistycznych, która odbywała się na papierze, istniała szansa na zmanipulowanie zawartych informacji. Dzięki czemu jeden z podmiotów mógł nie wywiązać się z umowy w uczciwy sposób. Blockchain dzięki wykorzystaniu „węzłów” rejestruje zapis wszystkich zmian, które zostały wprowadzone przez użytkowników. Ta innowacyjna metoda nie tylko oferuje bezpieczeństwo użytkownikom, ale również spłaszczenie niektórych metod zarządzania zapasami i etapami logistycznymi. Firmy przeprowadzające usługi logistyczne często korzystają z zawoalowanych łańcuchów dostaw. Dzięki blockchain firmy są w stanie ograniczyć niepotrzebne i kosztowne procesy i wprowadzić do swoich przedsiębiorstw automatyzację niektórych procesów, w ten sposób doprowadzając do redukcji kosztów.

Przykłady firm, które wykorzystują blockchain:

- Walmart – używa technologii blockchain do śledzenia łańcucha dostaw żywności sprzedawanej w swoich sklepach;
- DHL – ta firma korzysta z technologii blockchain podczas przewożenia środków farmaceutycznych.

## Big Data dla logistyki

Aby móc mówić o znaczeniu Big Data<sup>12</sup> dla logistyki musimy wyjść od tego, czym w ogóle jest Big Data<sup>13</sup>. Aby dokładnie zrozumieć temat<sup>14</sup>, trzeba opowiedzieć

<sup>12</sup> Big data w łańcuchu dostaw: analiza w celu usprawnienia procesu decyzyjnego. Online: <https://www.mecalux.pl/artykuly-logistyczne/big-data-lancuch-dostaw>.

<sup>13</sup> M. Marciniak, M. Szymczak, Big Data w zarządzaniu łańcuchem dostaw, „Gospodarka Magazynowa i Logistyka” 2015; 7.

<sup>14</sup> DHL wykorzystuje Big Data do minimalizacji ryzyka w logistyce. Online: <https://www.logistyka.net.pl/aktualnosci/item/85965-dhl-wykorzystuje-big-data-do-minimalizacji-ryzyka-w-logistyce>.

o genezie i historii tego zjawiska. Obecnie obserwujemy miliony a wręcz miliardy danych dostępnych w sieciach komputerowych, informacyjnych itp. Wcześniej, aby móc te wszystkie dane wykorzystać i zrozumieć, potrzebny był dobry statystyk lub program analityczny, które pomogły nam zrozumieć istniejące zjawiska. Niestety tempo powstawania i pojawiania się nowych danych w sposób znaczący uniemożliwiło nam rozpatrywanie informacji za pomocą starych metod. Przyrost informacji<sup>15</sup> jest zdecydowanie wyższy niż wzrost gospodarki światowej. Obecnie społeczeństwo jest społeczeństwem globalnym, oznacza to, iż każdy, niezależnie od wieku, religii, pochodzenia lub sytuacji ekonomicznej w jakiej się znajduje, może wygenerować swoje dane, które trafią później do sieci. Wystarczy tylko w miarę dobry dostęp do internetu i umiejętność jego wykorzystanie. Właściwie w taki sposób możemy obserwować przyrost danych i informacji w sieci. Należy także wspomnieć, iż obecnie nie tylko ludzie, ale również maszyny są w stanie generować nowe informacje. Przy tak znaczącym wzroście powstawania danych człowiek musiał stworzyć program, który pomoże w przeanalizowaniu i zrozumieniu wszystkich dostępnych danych i „wyciągnie z nich” to, co jest najbardziej korzystne i przydatne do uzyskania konkretnych celów. Właśnie dla tej idei powstał innowatorski proces analityczny, jakim jest Big Date<sup>16</sup>. Big Date najprościej rzecz ujmując to po prostu złożony zbiór danych, który ma służyć do odkrywania nowych rozwiązań i prognozowania nowych światowych trendów. Termin Big Date odnosi się nie tylko do zbioru danych, ale również do technologii w tym procesie wykorzystywanych.

Dzięki wykorzystaniu<sup>17</sup> w sposób prawidłowy wszystkich możliwości, które daje Big Date, firmy w sposób znaczący są w stanie podnieść swoją atrakcyjność na rynku a przez to podnieść swoją konkurencyjność na tle innych firm. Big Date jest wykorzystywana w mediach społecznościowych, na rynku medycznym oraz w logistyce.

Cechy Big Date<sup>18</sup> najprościej można przedstawić dzięki tak zwanemu modelowi 5V.

- Volume – odnosi się to olbrzymiego zbioru danych, który ciągle przyrasta;
- Velocity – punkt ten traktuje o szybkości analizowania posiadanych informacji. Informacje analizowane są natychmiast po pojawieniu się lub niedługo po tym;
- Variety – informacje przetwarzane i wykorzystywane są pod różnymi formatami, wielkościami, na przykład obrazy, pliki audio lub wideo;
- Veracity – posiadane dane może cechować niekompletność lub brak rzetelnych źródeł, jednak dla Big Date nie jest to problem, ponieważ metoda ta filtruje i sprawdza posiadane przez siebie dane;
- Value – ostatni z punktów modelu 5V odnosi się do wartości danych. Innowatorska metoda Big Date potrafi wydobyć najcenniejsze informacje nawet z niekompletnego zbioru danych.

<sup>15</sup> V. Mayer-Schönberger, K. Cukier, Big Data. Rewolucja... op. cit., s. 13–35.

<sup>16</sup> What's Next For Industry 4.0? Online: <https://fedexbusinessinsights.com/whats-next-for-industry-4-0/>.

<sup>17</sup> Big data na lotnisku i kolei. Online: <https://it-filolog.pl/big-data-na-lotnisku-i-kolei/>.

<sup>18</sup> Big data. Online: <https://lot.dhl.com/glossary/big-data/>.

Przykłady firm, które wykorzystują Big Data:

- Amazon<sup>19</sup> – firma dzięki Big Data wykorzystuje prognozowanie przyszłego popytu na rynku;
- FedEx<sup>20</sup> – wykorzystuje tę innowatorską metodę do monitorowania przesyłek;
- DHL<sup>21</sup> – korzysta z Big Data w celu optymalizacji tras, magazynów oraz do budowania relacji z klientem.

## Obszary wykorzystywania sztucznej inteligencji w logistyce

Wiedza daje potęgę i przewagę nad oponentem. Ta fraza<sup>22</sup> jest znana nie od dziś, jednak to właśnie w dzisiejszych czasach wiedza jest kluczowym czynnikiem rozwoju lub bytności na rynku. XXI wiek jest już nierozdzielnie połączony z wykorzystywaniem przez społeczeństwo ogromnej ilości danych, a jest to skorelowane z cyfryzacją świata<sup>23</sup> i wprowadzeniem nowych technologii, w tym również sztucznej inteligencji. To właśnie AI bazuje na danych i czerpie z nich informacje potrzebne w danym procesie. Logistyka 4.0 jest tworem, który w przeważającej ilości opiera swoje działania na sztucznej inteligencji. Firmy wykorzystujące AI<sup>24</sup> mogą dokładnie planować łańcuch dostaw z punktu A do punktu B. Firmy mają większą kontrolę nad każdym etapem dostarczenia produktu bądź usługi. Przedsiębiorstwa korzystające ze sztucznej inteligencji są w stanie przewidzieć nowe trendy w gospodarce. Firmy, które opierają swoje funkcjonowanie na nowych technologiach, w sposób bardziej bezpieczny od tradycyjnych metod przechowują dane o swoich klientach. Sztuczna inteligencja dzięki zastosowaniu metody deep learningu może tworzyć spersonalizowane usługi bądź wyroby dla swoich klientów na podstawie zapamiętania wcześniejszych decyzji zakupowych klientów. Firmy są w stanie z dużo większą dokładnością planować stany magazynowe tak, aby nie narażać się na niepotrzebne koszty.

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<sup>19</sup> Amazon. Online: <https://www.amazon.pl/big-data/s?k=big+data>.

<sup>20</sup> How Big Data Is Delivering The Future. Online: <https://fedexbusinessinsights.com/how-big-data-is-delivering-the-future/>.

<sup>21</sup> The real value of IoT in supply chains. Online: <https://www.dhl.com/global-en/delivered/digitalization/the-value-of-iot-in-supply-chains.html>.

<sup>22</sup> Big data w łańcuchu dostaw: analiza w celu usprawnienia procesu decyzyjnego. Online: <https://www.mecalux.pl/artykuly-logistyczne/big-data-lancuch-dostaw>.

<sup>23</sup> J. Pieriegud, Cyfrowa transformacja łańcuchów dostaw. Gra o biznes w przyszłości, „EuroLogistics” 2016; 5.

<sup>24</sup> A. Kisielewicz, Sztuczna inteligencja i logika: podsumowanie przedsięwzięcia naukowego, Wydawnictwo Naukowe Techniczne, Warszawa 2011, s. 21–63.

## Internet Rzeczy IoT

Kolejnym aspektem, który zostanie poruszony w tym artykule, jest technologia Internetu Rzeczy IoT<sup>25</sup>. W dobie współczesnej cyfryzacji logistyka XXI wieku musi sprostać procesom, które wraz z rozwojem Internetu są coraz bardziej złożone i dynamiczne. Dlatego też logistyka korzysta z różnych nowoczesnych rozwiązań technologicznych, między innymi z technologii IoT<sup>26</sup>.

Czym właściwie jest to IoT? Aby móc odpowiedzieć na to pytanie musimy cofnąć się do lat 90. XX wieku, kiedy to w sposób znaczący zaczęło zmieniać się otoczenie gospodarcze a konkurencyjność firm stała się bardziej drapieżna. Za taki stan rzeczy odpowiadało między innymi wprowadzenie nowych technologii komunikacyjnych na nieznaną dotąd skalę. Baczni obserwatorzy mogli zauważyć na rynku wzrost zaawansowanych i bardziej złożonych niż dawniej zależności gospodarczych oraz logistycznych. Aby móc sprostać tym zjawiskom, firmy zaczęły korzystać z różnych nowatorskich rozwiązań. Jedną z takich form innowacyjnych rozwiązań jest właśnie IoT. Internet Rzeczy bazuje na sieci połączonych ze sobą urządzeń technologicznych, które wymieniają między sobą zdobyte informacje w celu usprawnienia danego procesu. Maszyny, które znajdują się w „takiej sieci”, często wyposażone są między innymi w czujniki, które mogą na przykład monitorować temperaturę, lokalizatory GPS, umożliwiające ustalenie dokładnej lokalizacji, kamery, które pozwalają obserwować obraz w czasie rzeczywistym oraz różne innego typu technologie, które są niezbędne do zbierania oraz przetwarzania danych. Do najważniejszych korzyści, które wynikają z zastosowania Internetu Rzeczy w organizacji, należą:

- umiejętność natychmiastowej analizy olbrzymiego wolumenu zbioru danych, która dla zwykłego pracownika mogłaby być kłopotliwa;
- wczesne reagowanie na sygnały płynące ze środowiska;
- możliwości prognozowania nowych trendów rynkowych;
- elastyczność w działaniu;
- szybkie implikowanie nowych rozwiązań technologicznych do organizacji.

Jaką przewagę mają przedsiębiorcy, którzy wdrożyli IoT w swoich firmach? Przede wszystkim przedsiębiorca może znacząco poprawić wyniki swojej firmy przez zwiększenie efektywności pracy poprzez wdrożenie automatyzacji niektórych procesów, dzięki czemu możliwe jest wyeliminowanie czynnika ludzkiego, który potrafi generować pewne niedopatrzania. Kolejnym ważnym aspektem, który dzięki Internetowi Rzeczy jest „naprawiany”, jest optymalizacja kosztów, która może wynikać z redukcji nakładów przez efektywniejsze zarządzanie zapasami. Warto tutaj wspomnieć o tym, iż firmy, które zastosowały technologie IoT w swoich magazynach poprawiły w sposób znaczący bezpieczeństwo swoich stanów magazynowych i transportowanych towarów poprzez kontrolowanie ich za pomocą czujników. Czujniki dostarczają firmom informacje o stanie magazynowanego bądź transportowanego

<sup>25</sup> Internet of Things (IoT). Online: <https://www.upssystems.co.uk/internet-of-things-iot>.

<sup>26</sup> J. Höller, V. Tsiatsis, *From Machine-to the Internet of Things: Introduction to New Age of intelligence*, Elsevier 2014.

towaru w czasie rzeczywistym. Technologia IoT może wpływać również na relacje klienta z przedsiębiorstwem. Poprzez śledzenie swoich przesyłek firma ma większą kontrolę nad paczkami wysyłanymi przez klientów, dzięki czemu może informować klienta, gdzie i w jakim stanie znajduje się jego zamówienie.

Przykłady firm, które wykorzystują Internet Rzeczy IoT:

- DHL<sup>27</sup> – przedsiębiorstwo to zastosowało Internet Rzeczy IoT w celu monitorowania transportu w czasie rzeczywistym;
- FedEx<sup>28</sup> – firma w swoim arsenale posiada tak zwane inteligentne etykiety, które swoją technologię oparły właśnie na IoT;
- UPS – stosuje technologie IoT w celu optymalizacji swojego transportu.

## **Zakończenie**

Logistyka XXI wieku to zupełnie inne spojrzenie na wcześniejsze elementy łańcucha logistycznego. Automatyzacja, Internet Rzeczy IoT, blockchain i sztuczna inteligencja odmieniły spojrzenie na procesy logistyczne. Dzięki wprowadzeniu tych innowacji zrewolucjonizowany został sposób zarządzania łańcuchami dostaw. Firmy wykorzystujące nowe technologie w swoich działaniach są bardziej spokojne o swoją przyszłość, ponieważ są w stanie szybciej reagować na potrzeby rynku i przez to być bardziej konkurencyjne.

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## EDUCATION REFORM IN SLOVAKIA

### *Przygotowana reforma edukacji na Słowacji*

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#### **Streszczenie**

*Edukacja na Słowacji w ostatnich latach uległa stagnacji. Od 1990 r. przyjęto kilka reform, ale żadna z nich nie zakończyła się sukcesem. Wraz ze zmianą rządów zmieniali się ministrowie i reformy edukacji. W grudniu 2023 r. ostatni minister edukacji opisał wyniki PISA jako tragiczną tragedię. Od 1990 r. zmieniło się 25 ministrów edukacji. Od 2021 r. sytuacja zmienia się zasadniczo. Opracowano nową reformę edukacji i szkoleń, która jest obecnie weryfikowana i powinna zostać wdrożona od września 2026 r. Wspomniany artykuł jest prezentowany jako wkład informacyjny, jako zmiany w przygotowaniu edukacji. Jej główne zmiany to: reforma programowa, tak aby treść edukacji odpowiadała czasom obecnym i przyszłym, zmienia się system cykli, a nauczanie metodami wspierającymi umiejętność czytania i pisanie dzieci – matematyka, czytanie i nauki ścisłe – jest uważane za najważniejsze, czyli takie, które są kluczowe dla przyszłości.*

**Słowa kluczowe:** *reforma szkolnictwa i edukacji, program nauczania, cykle nauczania, metody nauczania*

#### **Summary**

Education in Slovakia has stagnated in recent years. Since 1990, several reforms have been adopted, but none of them have ended in success. As governments changed, so did the ministers and the education reforms. In December 2023, the last Minister of Education described the PISA results as a significant setback. Since 1990, 25 ministers of education have changed. From 2021, the situation changes fundamentally. A new reform of education and training has been drawn up, which is currently being verified and is scheduled for implementation in September 2026. The article is presented as an informative contribution, describing the changes in the preparation of education. The most significant alterations pertain to the curricular reform, which ensures that the content of education aligns with the present and future needs of society. The system of cycles is undergoing a transformation, and the teaching of literacy – including mathematics, reading, and science – is regarded as the most crucial aspect, as these skills are instrumental for future success.

**Key words:** school and education reform, curriculum, learning cycles, teaching methods

## **Introduction**

After 1990, education and schooling in Slovakia entered a crisis. Governments changed and each new government and new minister prepared a reform of education and schooling. The reality is that not a single reform has been successful. There have been reforms, e.g. “The Spirit of the School”, “Constantine”, “Millennium”, “Learning Slovakia”. In the period from 1990 to 2024, 25 ministers of education have been replaced in Slovakia, yet it did little to help the quality of education. Zelina<sup>1</sup> identified the following as the major reasons for the failure of the education system in Slovakia:

- mismanagement of education, from the government, the ministry, through municipalities, founders to school principals and teachers - absence of a vision for education;
- poor funding of education and also of science and research.  
The following are identified as indicators of system failure:
- according to PISA and other measurements, we have not improved the quality of education, especially in science, mathematics and reading literacy compared to the countries compared;
- we are failing in the area of intrinsic motivation to learn, our education system is lagging behind compared to other European Union countries;
- curriculum reform has not been consistently implemented, many proposals have been highly subjective, uncontrollable, and unworkable;
- there has been no fundamental reform of the methods and ways of education on the basis of developing all cognitive functions and on the basis of developing ‘soft’ skills in particular;
- since 1989, education funding has so far stood at between 3.2% and 3.6% of GDP, compared with the EU average of 6%; similarly, funding for science and research is low.

The above is a modest calculation of why we are failing to improve the quality of our education system. In December 2023, the Minister of Education declared that the PISA results are a national tragedy for Slovakia and that it is necessary to fundamentally improve its condition.

## **Hopes of improving the education system**

In light of the considerable number of negative factors, it is possible to identify a range of resources and sources that provide grounds for optimism. The conditions

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<sup>1</sup> M. Zelina, *Reformy a smerovanie školstva*. Online: <https://www.institutdusevnejprace.sk/2022/02/02/reformy-a-smerovanie-skolstva/>.

for improvement are in place, as the reform of the education system is already being prepared since 2021 and is due to start in September 2026. The new national curriculum is becoming a reality. From September 2023, the first 40 primary schools will educate Year 1 pupils according to the new curriculum. This is a validation of what is to be implemented from 2026. The reform will start from Year 1 and will progress gradually year by year. In the 2024/2025 school year, 100 schools will be validating the new curriculum.

Primary education will have nine grades as before. However, what has changed is that the internal structure of the primary education curriculum is organised into three consecutive and successive learning cycles.

- First cycle: Years 1-3;
- Second cycle: Years 4-5;
- Third cycle: Years 6-9.

The first and second cycles are primary school grade 1 and the third cycle is primary school grade 2. For each educational cycle, the learning content and learning outcomes at the end of the cycle are determined.

### **Training content in cycles**

The purpose of the first cycle is for the pupil to acquire a relationship to learning, to develop work habits and a work routine, to be actively involved in work, to use creativity to improve his/her ideas. Teaching is mainly provided by a teacher with a primary education qualification.

In the second cycle, it is important that the pupil is able to communicate his/her feelings, needs and boundaries safely and clearly, to express understanding of them, and to reflect on his/her actions and attitudes. At the same time, the intention is for the pupil to distinguish between facts, assumptions, and evaluations and to gain greater independence in learning and to take some responsibility for his learning, realising what is his/her area of interest and what he/she would like to pursue more deeply. Teaching is provided jointly and in a balanced way by teachers with a primary education qualification and teachers specialising in a particular area of education or subject.

In the third cycle, in addition to developing all the literacy skills, the pupil is given the opportunity to develop in his/her areas of interest in depth and to develop an idea of his/her professional future.

The education system is in need of reform, as it is failing to cultivate critical thinking skills in students. Instead, the current approach to education is merely providing students with a superficial introduction to the subject matter, which is a view that is supported by a significant body of evidence. In Slovakia, nothing has changed in education for years. None of the reforms have contributed in a fundamental way to improving the teaching system. That is why Slovak education is preparing for the biggest change. The curriculum will be reduced, allowing schools greater flexibility in their

pedagogical approaches and the aim will be mainly the quality and not the quantity of the curriculum. This is a view shared not only by experts but also by approximately 80% of the Slovak population.

## **A vision of education for the 21st century**

The vision is based on three aspects of the modern school as an environment where education and learning take place, namely digital, green, and inclusive schools. Inclusive school does not only mean the inclusion of pupils with special needs, but also the creation of an environment that encourages the development of the pupil in many ways. The reform is part of a recovery plan. In each cycle, the expected learning outcomes for pupils in each learning area and its components are set and the content of learning is also determined. Literacy is understood in a broad sense and includes all types of literacy linked to the different educational contents (literacy in reading and literature, mathematics, physical literacy, etc.). The measure of the quality of education will not be the breadth of knowledge imparted, but rather the ability to think, reason and act on the basis of knowledge and data. This requires a different organisation of education. We will no longer look at the quality of education only through the amount of knowledge imparted and facts memorised, but we will set higher goals for teachers and pupils i.e. to learn to think independently and act responsibly on the basis of the knowledge and data they have acquired<sup>2,3</sup>.

## **Change will take years**

It is the teacher who is one of the key figures in the educational process and will have to adapt to the new system. To train them, there are regional teacher support centres which are currently present in 16 regions across the country and more will be established according to the set timetable. It is therefore anticipated that teacher leaders will be in place in almost every region, with the responsibility of providing guidance and support to their colleagues in implementing the necessary changes. The value of mentoring is also recognised by many teachers. In addition to mentoring teachers, the department has also prioritized developing a support system for future educators. Representatives of the Department of Education met with the deans of the 24 faculties that train the future teachers to inform them about the changes that are being prepared. "It's not that we will prepare it now on a turnkey basis and in four years' time so everybody can start teaching. We do not have the capacity to do that as a country. It's a huge amount of grunt work", according to Kríž<sup>4</sup>.

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<sup>2</sup> M. Gejdoš, Explaining the Teacher's Personality in Interacting with Values and Profession, „International Journal of New Economics and Social Sciences“ 2018; 1(7): 305-320.

<sup>3</sup> M. Kríž, Dôvody a ciele kurikulárnej transformácie. Reforma školstva v súvislostiach, Trend, Bratislava 2020.

<sup>4</sup> Ibidem.

## **What are the main objectives of the reform**

The authors and creators of the reform Hapalová, Pupala and Fridrichová<sup>5</sup> emphasize the following main changes:

- Improving the quality of education;
- Significant improvement of learning outcomes in the core areas of literacy;
- Ensuring stimulating learning for all pupils;
- Increasing the responsiveness and adaptability of educational programmes to the individual needs and capabilities of pupils;
- Professionalisation of curriculum development and implementation at regional and school level;
- Creating a coherent and internally integrated educational content that is comprehensible to all actors (teachers, pupils, parents, general public);
- Strengthening the role and mission of primary schools in providing comprehensive basic education and development for all pupils;
- Adapting the objectives and content of education to current societal challenges and needs.

The following outlines the planned changes to the content of the education programme:

- Setting realistic and achievable comprehensive educational goals that can clearly define the essential educational content towards their achievement;
- Clear definition of educational content in relation to the development of the different components of literacy (reading, mathematics, science, values), the creation of a “map of educational content” in relation to the graduated educational objectives across the different educational cycles;
- A thorough and explicit statement of the core curriculum in relation to the stated learning objectives;
- Consistent and meaningful incorporation of the global challenges for general education into the curriculum, with emphasis on the development of critical thinking, financial literacy, environmental and values education, coupled with a rigorous review of relevant learning areas;
- Integration of digital skills development into the content and forms of education;
- Rebuilding the system of educational achievement testing to effectively assess pupils’ learning in all basic literacy areas, not just language and mathematics;
- It is essential that the content of education is developed more comprehensively according to the nature of the individual subjects, which are intertwined with each other and create the prerequisites for understanding the curriculum in context. Of course, the methods and forms of teaching must also be adapted to this.

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<sup>5</sup> M. Hapalová, P. Pupala, P. Fridrichová, Kurikulárna reforma základného vzdelávania: východiská a ciele, „Dobrá škola“ 2021; 5: 24-32.

## **Curriculum – planned changes**

- The coordination of the national curricula between the different educational levels is essential to ensure continuity and interconnectedness between compulsory pre-primary education, primary and secondary education, and primary and secondary education.
- Establishing a coherent and cohesive curriculum for primary education, strengthening the place of primary schools in the school system and their key role in the provision of quality education.
- Organising the learning objectives and content within the national curriculum for primary education into longer periods (learning cycles) that allow for clear and meaningful assessment of pupils' progress at key stages of literacy development and enable schools to develop curricula appropriate to the needs of their pupils.

The organisation of the learning objectives and content at the state level will be through the learning cycles, which will be staggered as follows:

- Cycle 1 (building the foundation) will define the learning goals and content for the first three years of primary school;
- Cycle 2 (solid foundations of education) will define the objectives and content of education for the fourth and fifth years of primary schooling, with the first and second cycles together representing primary education;
- Cycle 3 (developed literacy) will define the objectives and content of education for the sixth to ninth years of primary school, with this cycle representing lower secondary education.

The learning objectives and content will be defined within logically organised and balanced learning areas with indicative links to the subjects that the school includes in its curriculum on the basis of the framework curriculum. The curriculum is already designed for specific years and subjects, but it has greater autonomy in designing its year-specific curriculum.

The educational content of the school's curriculum leads from more integrated subjects (in the first two cycles of the primary school curriculum, linked to compulsory pre-primary education) to a gradual differentiation into more specialised subjects in the third cycle of primary school (linked to general education in secondary schools).

The educational programme at school level will be developed with the possibility of participatory decision-making as to the organisation of the state-prescribed content into specific educational forms in individual schools.

## **Complex set of requirements for changes to teaching**

During our discussions with educators, we have observed inquiries regarding the fundamental changes occurring in teaching practices and the appropriate focal points for attention. The answers are complex indeed, because it is not only a complex

of requirements, but also a complex of possibilities. Without this, the reform would not be possible<sup>6</sup>. Therefore, teachers need to be already prepared for the fundamental changes before the reform.

A synthesis of the aforementioned categories reveals the following:

- Personalized learning – in contrast to the traditional conception of education, the pupil is not just an “object” of the teacher’s action, but a significant subject.
- Equality, diversity, and inclusion in education – equality for everyone in education, diversity of educational practices with regard to the learner and the right to a quality education.
- Learning by practice and action is an area that is particularly emphasised, it encourages and develops pupils’ creativity, learning by practice and action is interesting for pupils because it allows them to “construct” new knowledge with their existing knowledge, the acquisition of new knowledge is linked to activities, pupils do not learn formally, etc.
- The teacher’s role and activities have changed – from being a “transmitter” of knowledge to pupils, he/she becomes an organiser and guide of pupils’ cognitive activities, using a variety of learning strategies.
- Information and Communication Technologies – an important means and asset for improving the quality of education, but it must be stressed that ICT is only beneficial if it is used didactically correctly.
- Community relations – creating and exploiting relationships between school and family, school, and organisations, etc. It is essentially an “open school”.
- Professionalisation of the teacher’s work – the teacher systematically improves in all areas that frame his/her pedagogical and didactic work.
- Valuing soft skills in education – these are becoming extremely important, their importance is growing significantly with the predicted changes in life and especially in work.

It is important to note that the above categorization is not exhaustive. A review of the literature reveals that, across a range of disciplines, innovation is defined as a change in something. With regard to the field of education, we may consider the following definition: “Innovation is change, but not just any change – it is voluntary, deliberate, something new that we expect, something in which we invest time and energy and count on some risk that it may not bring about change”.

The desire to innovate is motivated by the desire to improve. This is the driver of innovation, the outgrowth of dissatisfaction with what has been achieved so far, etc. It is not about solving the educational problems, but about the desire to change something for the better.

Innovation is also a kind of adventure driven by the desire to improve. In this process, innovative teachers use their experience, skills, and competences from other activities, e.g. musician teacher, chess teacher, etc. It is clear that these methods and the transfer of activities are also in line with the needs of the pupils.

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<sup>6</sup> E. Petlak, *Inovácie sú cestou k zvyšovaniu kvality edukácie*, „Didaktika“ 2024; 2: 6-10.

Innovation may not always have the desired effect, which is why there are no universal guidelines, procedures, etc. Innovation can be seen as a spiral that expands and improves. For this to be the case, teacher effort is required.

Innovation in education is not a revolutionary change, nor a renovation of education, nor an invention or discovery; it is the teacher's effort to improve the work, to help students learn and to create valuable knowledge in them. Of course, innovations leading to improvement can also become the basis for systemic change over time. These are the fundamental demands directed at teachers.

## **Conclusion**

In conclusion, we stress that the reform on education is not a fashionable demand of the times. It is a necessity, and it should be noted with all seriousness that those who do not reform and innovate are left behind, unable to compete. It would appear that no educational establishment is willing to accept that. The most important task of reform is to seek and promote educational change in order to optimize education so as to adapt it to the demands of the changing times. As previously stated, there is potential for innovation in all aspects of education. Even one that would fundamentally change education, but also innovation in relation to oneself and, above all, to the pupils. Makarenko in relation to education said: "There are no trifles in education". We are of the opinion that in education, too, "there are no trifles". If we view reform and innovation as opportunities rather than obligations, we can make significant advances, particularly in the lives of our pupils. As previously stated in our article, fundamental changes are required in Slovak education in order to improve the quality of education.

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## STANDARDY OCHRONY MAŁOLETNIICH JAKO NOWE NARZĘDZIE ZAPEWNIENIA BEZPIECZEŃSTWA MAŁOLETNIICH TRENUJĄCYCH W KLUBACH SPORTOWYCH

### *Standards for the protection of minors as a new tool to ensure the safety of minors training in sports clubs*

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#### **Summary**

*The article is devoted to new legal regulations, which assume the implementation of minor protection standards by a large group of entities. The genesis of the aforementioned obligation is presented and the group of entities obliged to implement them is indicated. This large group also includes sports clubs, for which this will be a significant challenge due to their very specific and multi-faceted activities (trainings, camps, matches, tournaments, etc.). The article presents the principles of the obligation related to the implementation of minor protection standards, indicating doubts resulting from the interpretation of the provisions of the Act. Key aspects of the process of implementing these standards are indicated, aimed at ensuring the safety of minors training in sports clubs. The author also presents the final conclusions, referring to the need for changes in legal regulations, as well as some important educational and informational activities aimed at increasing social awareness in the discussed area.*

**Key words:** law, protection of minors, Kamilek Act, sports clubs, coach, player

#### **Streszczenie**

Artykuł poświęcony jest nowym regulacjom prawnym, które zakładają wdrożenie przez liczną grupę podmiotów standardów ochrony małoletnich. Zaprezentowano genezę ww. obowiązku oraz wskazano grupę podmiotów zobowiązanych do ich wdrożenia. W tej licznej grupie znajdują się także kluby sportowe, dla których będzie to istotne wyzwanie z uwagi na bardzo specyficzną i wieloaspektową działalność (treningi, obozy, mecze, turniej, itp.). Artykuł prezentuje zasady obowiązku związane z wdrożeniem standardów ochrony małoletnich, wskazując na wątpliwości

wynikające z interpretacji przepisów ustawy. Wskazano na kluczowe aspekty procesu wdrażania standardów, mające na celu zapewnienie bezpieczeństwa małoletnim trenującym w klubach sportowych. Autor prezentuje także wnioski końcowe, odnoszące się do potrzeby zmian przepisów prawa, ale także istotne działania edukacyjne i informacyjne mające na celu zwiększenie świadomości społecznej w omawianym obszarze.

**Słowa kluczowe:** standardy, ochrona małoletnich, ustawa Kamilka, kluby sportowe, trener, zawodnik

## Wstęp

Standardy ochrony małoletnich są nowym narzędziem w zakresie zapewnienia bezpieczeństwa dzieci i młodzieży do ukończenia 18 roku życia. Zostały wprowadzone tzw. ustawą Kamilka, tj. ustawą z dnia 28 lipca 2023 r. o zmianie ustawy – Kodeks rodzinny i opiekuńczy oraz niektórych innych ustaw (Dz.U. z 2023 r. nr 1606), czyli aktem prawnym, który stanowił reakcję ustawodawcy na niezwykle okrutny przypadek krzywdzenia małoletniego przez konkubenta matki chłopca, zakończony śmiercią dziecka. Skłoniło to ustawodawcę do wielopłaszczyznowej reakcji, w tym w zakresie środków tzw. ustawy antyprzemocowej, ale także wprowadzenie nowych, nieznanych dotąd regulacji, mających na celu zwiększenie ochrony małoletnich<sup>1,2</sup>. Warto w tym miejscu wymienić nie tylko standardy ochrony małoletnich, ale także zespół ekspercki ds. monitorowania poszczególnych przypadków, mając na celu stały monitoring procedur i działania instytucji. Zastąpi to działania ad hoc realizowane w efekcie tragicznego zdarzenia, eksponowanego przez media, słusznie bulwersującego opinię publiczną.

Na wstępie należy zaznaczyć, że standardy ochrony małoletnich mają na celu realną, bieżącą ochronę małoletnich w trakcie różnego rodzaju aktywności, w tym edukacyjnej, ale także aktywności czasu wolnego (sport, kultura, rekreacja, itp.). Niniejsze opracowanie służy analizie wprowadzonych uregulowań pod kątem możliwości realizacji ww. celów.

Szczegółowe założenia, dotyczące przygotowania i wdrożenia standardów ochrony małoletnich, wprowadzono tzw. ustawą Kamilka do ustawy z dnia 13 maja 2016 r. o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochrony małoletnich<sup>3</sup> (zwana dalej „ustawą”). Do dotychczasowych regulacji dołączono więc pokażny pakiet przepisów odnoszących się do standardów ochrony małoletnich, który będzie przedmiotem dalszych analiz.

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<sup>1</sup> J. Kosowski, N. Zielińska-Burda, Narzędzia ochrony osób pokrzywdzonych przestępstwem, świadków i osób im najbliższych oraz pomocy dla nich. Aktualne informacje. Online: <https://wysokie-standardy.pl/>.

<sup>2</sup> S. Spurek, Przeciwdziałanie przemocy domowej. Komentarz, LEX, Warszawa 2023.

<sup>3</sup> Ustawa z dnia 13 maja 2016 r. o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochrony małoletnich (t.j. Dz.U. z 2024 r. nr 560).

## **Podmioty zobowiązane do wprowadzenia standardów**

Ustawa o zagrożeniach przestępczością na tle seksualnym oraz standardach ochrony małoletnich obliguje znaczącą liczbę podmiotów do wdrożenia standardów ochrony małoletnich. Co ciekawe, w uzasadnieniu do projektu ustawy nie wskazano szacunkowej liczby takich podmiotów. Według dokonanych przeze mnie analiz podmiotów zarejestrowanych w KRS, CEIDG, ale także ewidencjach starostów w zakresie stowarzyszeń zwykłych oraz ewidencji klubów sportowych prowadzonych na podstawie ustawy o sporcie może to być grupa ponad pięćset tysięcy podmiotów. Pokazuje to gigantyczną skalę organizacyjną, co będzie się także przekładało na obowiązek kontroli spoczywający na organach administracji publicznej.

Podmioty zobowiązane do wdrożenia standardów ochrony małoletnich można podzielić na trzy grupy.

Pierwszą grupę można określić mianem „instytucje”, gdyż należą do niej organy zarządzające jednostką systemu oświaty, o której mowa w art. 2 pkt 1–8 ustawy z dnia 14 grudnia 2016 r. – Prawo oświatowe (Dz.U. z 2023 r., poz. 900, 1672, 1718 i 2005), oraz inną placówką oświatową, opiekuńczą, wychowawczą, resocjalizacyjną, religijną, artystyczną, medyczną, rekreacyjną, sportową lub związaną z rozwijaniem zainteresowań, do której uczęszczają albo w której przebywają lub mogą przebywać małoletni. Dotyczy to więc m.in. jednostek organizacyjnych jednostek samorządu terytorialnego (niezależnie od szczebla władzy samorządowej), takich jak ośrodki sportu i rekreacji, czy też instytucji kultury.

Drugą grupę podmiotów można nazwać „organizatorami działalności”. Znalazły się w niej podmioty inne niż instytucje, ale będące organizatorami działalności oświatowej, opiekuńczej, wychowawczej, resocjalizacyjnej, religijnej, artystycznej, medycznej, rekreacyjnej, sportowej lub związanej z rozwijaniem zainteresowań przez małoletnich. Co warto podkreślić, są to podmioty niezależnie od formy prawnej w jakiej działają. Najczęściej będą to stowarzyszenia, fundacje, spółki, ale także osoby prowadzące jednoosobową działalność gospodarczą.

Trzecia grupa podmiotów, to podmioty branży hotelarskiej. Obowiązek wprowadzenia standardów mają więc podmioty świadczące usługi hotelarskie oraz turystyczne, a także prowadzące inne miejsca zakwaterowania zbiorowego, w zakresie niezbędnym do zapewnienia ochrony małoletnich.

Wydaje się, że rodzajowo najliczniejszą grupą wśród ww. trzech grup będą podmioty prowadzące działalność sportową, które na przykładzie miasta Lublin przewyższają liczbę placówek oświatowych blisko dwukrotnie. Warto więc odnieść się właśnie do tej grupy podmiotów, szczególnie w kontekście polskich i zagranicznych doniesień medialnych związanych z krzywdzeniem małoletnich. Ma to także znaczenie ze względu na liczne wyjazdy sportowe (mecze, turnieje, obozy), ale także korzystanie z szatni i sanitariatów po wysiłku sportowym.

## **Termin wdrożenia standardów**

Regulacje dotyczące standardów ochrony małoletnich weszły w życie w dniu 15 lutego 2024 r., jednak ustawodawca wprowadził okres przejściowy. Zgodnie z art. 10 ustawy Kamilka, tj. ustawy z dnia 28 lipca 2023 r. o zmianie ustawy – Kodeks rodzinny i opiekuńczy oraz niektórych innych ustaw, podmioty, o których mowa w art. 22b ust. 1 oraz art. 22c ust. 3 ustawy zmienianej w art. 7, mają obowiązek wprowadzenia standardów ochrony małoletnich w terminie 6 miesięcy od dnia wejścia w życie niniejszej ustawy. Oznacza to, że okres przejściowy trwa do 15 sierpnia 2024 r.

Kluczowe jest jednak określenie, której grupy podmiotów będzie dotyczył przedmiotowy okres przejściowy. Ocena art. 22c ust. 3 ustawy jest jasna. Okres przejściowy dotyczy podmiotów świadczących usługi hotelarskie oraz turystyczne, a także prowadzących inne miejsca zakwaterowania zbiorowego, w zakresie niezbędnym do zapewnienia ochrony małoletnich. Trudniejsza jest jedna ocena okresu przejściowego dla innych grup podmiotów. Art. 10 ustawy Kamilka odsyła bowiem do art. 22b ust. 1 ustawy o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochrony małoletnich. Stwierdzić należy, że takiego przepisu nie ma! Jest bowiem art. 22 b pkt. 1 i pkt 2. Powstaje więc pytanie czy ustawodawcy chodziło o ustęp 1 (którego nie ma) czy o pkt 1. Z pewnością nie można wywieść poglądu, że okresem przejściowym objęty jest cały art. 22b ustawy. Wynika to z faktu, że nie zawiera on innych ustępów, a więc błąd techniczny ustawodawcy, polegający na pomyłce ustępu z punktem, nie był możliwy. Nie jest także możliwe ustalenie tego w oparciu o uzasadnienie projektu ustawy, z uwagi na jego syntetyczność. Tym samym stwierdzić należy, że intencją ustawodawcy było ograniczenie kręgu podmiotów, dla których wprowadzono okres przejściowy i wyeliminowanie z tej grupy podmiotów, które nazwałem powyżej mianem organizatorów działalności. Niemniej jednak zaznaczyć należy, że wpływa to na zróżnicowanie sytuacji prawnej podmiotów w zależności od ich statusu prawnego, co nie wydaje się dobrym rozwiązaniem. Wydaje się jednak, że podmioty wykluczone z zachowania okresu przejściowego nie poniosą negatywnych tego konsekwencji z uwagi na zamrożone kontrole posiadania standardów, do których uprawnione są podmioty publiczne, ale także kreowanie przez Ministerstwo Sprawiedliwości informacji o okresie przejściowym adresowanym do wszystkich ww. grup podmiotów<sup>4</sup>.

## **Elementy składowe standardów**

Ustawa o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochrony małoletnich wprowadza szczegółowe wytyczne w zakresie kształtowania treści standardów, co oznacza, że podmiot zobowiązany nie ma pełnej dowolności w tym względzie. Obowiązkowo standardy muszą zawierać następujące elementy:

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<sup>4</sup> Ustawa Kamilka – standardy ochrony małoletnich. Online: <https://www.gov.pl/web/sprawiedliwosc/ustawa-kamilka--standardy-ochrony-maloletnich2>.

- zasady zapewniające bezpieczne relacje między małoletnim a personelem placówki lub organizatora, a w szczególności zachowania niedozwolone wobec małoletnich;
- zasady i procedurę podejmowania interwencji w sytuacji podejrzenia krzywdzenia lub posiadania informacji o krzywdzeniu małoletniego;
- procedury i osoby odpowiedzialne za składanie zawiadomień o podejrzeniu popełnienia przestępstwa na szkodę małoletniego, zawiadamianie sądu opiekuńczego oraz w przypadku instytucji, które posiadają takie uprawnienia, osoby odpowiedzialne za wszczynanie procedury „Niebieskiej Karty”;
- zasady przeglądu i aktualizacji standardów;
- zakres kompetencji osoby odpowiedzialnej za przygotowanie personelu placówki lub organizatora do stosowania standardów, zasady przygotowania tego personelu do ich stosowania oraz sposób dokumentowania tej czynności;
- zasady i sposób udostępniania rodzicom albo opiekunom prawnym lub faktycznym oraz małoletnim standardów do zaznajomienia się z nimi i ich stosowania;
- osoby odpowiedzialne za przyjmowanie zgłoszeń o zdarzeniach zagrażających małoletniemu i udzielenie mu wsparcia;
- sposób dokumentowania i zasady przechowywania ujawnionych lub zgłoszonych incydentów lub zdarzeń zagrażających dobru małoletniego.

Analiza powyższego katalogu prowadzi do wniosku, że to właśnie podmioty sportowe będą miały najwięcej wyzwań w zakresie wypełniania treścią ww. katalogu z uwagi na wielość sytuacji, tj. relacji na linii personel – małoletni, małoletni – małoletni oraz osoby dorosłe niebędące personelem – małoletni. Jako przykłady wskazać można kontakt fizyczny (dotyk), wchodzenie do szatni w relacji trener – zawodnicy; krzywdzenie rówieśnicze (przemoc fizyczna, psychiczna – np. w internecie), wyzywanie małoletnich przez rodziców zawodników drużyny rywali. Co ważne, ww. sytuacje występują w praktyce. Brak jest badań, które pozwoliłyby kompleksowo określić skalę tego zjawiska. Powinno się to stać przedmiotem dalszych badań przedstawicieli nauki. Jako przykład fragmentarycznych badań należy wskazać inicjatywę Fundacji Dajemy Dzieciom Siłę. Diagnoza Fundacji Dajemy Dzieciom Siłę dotycząca przemocy wobec dzieci w sporcie stanowi pierwszą próbę oszacowania skali tego problemu w Polsce. Według autorów badania: „przeprowadzona diagnoza wśród studentów pierwszych lat uczelni sportowych, którzy w dzieciństwie uprawiali regularnie sport w klubach i związkach sportowych, ukazuje alarmująco wysoki odsetek młodych sportowców doświadczających przemocy sięgający aż 90%. Według diagnozy „Przemoc wobec dzieci w sporcie” doświadczenie przemocy dotyczy 91% dziewcząt i 89% chłopców, co jednoznacznie wskazuje na istnienie poważnego problemu z przemocą w środowisku sportowym. Krzywdzenia ze strony współzawodników doświadczyło 83% badanych, a ze strony osób sprawujących opiekę i kontrolę – 72%. Wśród tych ostatnich zdecydowanie najczęściej wskazywano trenera/trenerkę, ale także rodziców, działaczy sportowych, asystentów, masażystów i kierowników drużyn”<sup>5</sup>. Wyniki raportu pokazują ciekawe trendy, choć nie są one miarodajne z uwagi na objęcie nimi jedynie

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<sup>5</sup> Przemoc wobec dzieci w sporcie. Raport z badań ilościowych. Online: <https://fdds.pl/o-fundacji/co-nowego-w-fundacji/przemoc-w-sporcie-problem-dotyka-nawet-90-dzieci.html>.

studentów pierwszych lat uczelni sportowych, którzy w dzieciństwie uprawiali regularnie sport w klubach i związkach sportowych. Zaznaczyć należy, że w tej grupie badanych osoby trenujące wyczynowo przed rozpoczęciem edukacji wyższej stanowią 100% ankietowanych, nie uwzględniono natomiast całej populacji (np. rocznika) osób trenujących wyczynowo, w tym osób, które wybrały inne ścieżki edukacyjne. W raporcie nie wskazano także, czy badania poprzedzono akcją edukacyjną w zakresie kwestii aspektów przemocy w celu oddzielenia stanowczej reakcji na zachowanie niesubordynowanej grupy sportowej od krzywdzenia.

Z mojej praktyki radcy prawnego wynika, że znaczna część tych spraw nie jest ujawniana „decyzją” małoletnich i/lub ich rodziców/opiekunów. To wiąże się z istotnymi trudnościami natury dowodowej i finalnie brakiem możliwości pociągnięcia do odpowiedzialności karnej.

## **Wdrożenie standardów**

W świadomości społecznej panuje przekonanie, że realizacja przedmiotowego obowiązku wiąże się jedynie z przyjęciem dokumentu zawierającego wskazane powyżej elementy składowe. Nic bardziej mylnego. To dopiero początek całego procesu, który ze swej istoty ma mieć wymiar ciągły. Realizację obowiązków wynikających z przepisów ustawy o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochronie małoletnich można podzielić bowiem na dwie grupy. Są to obowiązki krótkoterminowe i długoterminowe.

W ramach pierwszej grupy, poza przygotowaniem i przyjęciem standardów ochrony małoletnich, możemy mówić o ich opublikowaniu, szkoleniach oraz wyznaczeniu osób odpowiedzialnych z ramienia podmiotu zobowiązanego. W zakresie opublikowania standardów ustawa wprowadza obowiązki minimalne, polegające na publikacji na stronie internetowej podmiotu oraz w lokalu podmiotu. Rekomendować jednak należy szerszą kolportację standardów, chociażby przez wysyłkę pocztą elektroniczną na adresy małoletnich i rodziców. Uzależnione jest to oczywiście od ich posiadania przez podmiot. Warto także rozważyć ich umieszczenie na platformach/aplikacjach służących przekazywaniu informacji pomiędzy klubem sportowym a rodzicami, w tym np. ProTrainUp.

W świetle wypełniania standardu minimalnego pojawia się natomiast pytanie o sposób postępowania w przypadku braku strony internetowej. Wydaje się, że ustawa nie uwzględnia takiej sytuacji. Z uwagi na brak definicji legalnej strony internetowej dopuścić należy umieszczenie standardów np. na profilu podmiotu w mediach społecznościowych, który to profil będzie spełniał podobną rolę do strony internetowej. Kolejny problem dotyczy umieszczenia standardów w „swoim lokalu”. Dla podmiotów dysponujących biurem (adresem siedziby) nie będzie to stanowiło problemu. Znaczna część podmiotów sportowych nie dysponuje „swoim lokalem”, zajęcia prowadzi w wynajmowanych na godziny obiektach sportowych, zaś adres siedziby uwidoczniony w rejestrach stanowi mieszkanie prywatne prezesa. Drugi z opisanych

wariantów będzie przecież powszechny w przypadku osób prowadzących jednoosobową działalność gospodarczą zarejestrowaną w CEIDG.

Obowiązkiem krótkoterminowym jest także akcja szkoleniowa wśród personelu. Warto zauważyć, że szkolenie ma być przeprowadzone przez osoby posiadające odpowiednie kwalifikacje, tj. w zakresie aspektów psychologicznych i prawnych krzywdzenia małoletnich. Nie jest więc możliwe szkolenie przez pracodawcę, polegające na mechanicznym odtworzeniu zakupionej uprzednio prezentacji z ww. obszaru. Poza akcją szkoleniową pamiętać należy o dokonaniu sprawdzenia przez pracodawcę informacji w rejestrach. Otóż przed nawiązaniem z osobą stosunku pracy lub przed dopuszczeniem osoby do innej działalności związanej z wychowaniem, edukacją, wypoczynkiem, leczeniem, świadczeniem porad psychologicznych, rozwojem duchowym, uprawianiem sportu lub realizacją innych zainteresowań przez małoletnich, lub z opieką nad nimi na pracodawcy lub innym organizatorze takiej działalności oraz na osobie, z którą ma być nawiązany stosunek pracy lub która ma być dopuszczona do takiej działalności, ciąży obowiązek weryfikacji danych. Są one podzielone na dwie grupy – obowiązki pracodawcy i personelu. Do pracodawcy należy obowiązek sprawdzenia danych w rejestrze z dostępem ograniczonym lub w rejestrze osób, w stosunku do których Państwowa Komisja do spraw przeciwdziałania wykorzystaniu seksualnemu małoletnich poniżej lat 15 wydała postanowienie o wpisie w rejestrze. Powinien to uczynić za pośrednictwem konta dostępu, które powinien utworzyć podmiot. Usługa ta jest bezpłatna. Natomiast do samego zatrudnionego należy obowiązek przedłożenia pracodawcy lub innemu organizatorowi informacji z Krajowego Rejestru Karnego w zakresie przestępstw określonych w rozdziale XIX i XXV Kodeksu karnego, w art. 189a i art. 207 Kodeksu karnego oraz w ustawie z dnia 29 lipca 2005 r. o przeciwdziałaniu narkomanii (Dz.U. z 2023 r., poz. 172 oraz z 2022 r., poz. 2600), lub za odpowiadające tym przestępstwom czyny zabronione określone w przepisach prawa obcego. Przedmiotowe zaświadczenie wiąże się z wniesieniem opłaty 20 zł (wniosek on line) lub 30 zł (wniosek tradycyjny). Opłata rzecz jasna będzie obciążała zatrudnionego. W zakresie aspektów sportowych należy zaznaczyć wielość podmiotów pracujących z małoletnimi, w szczególności pokażną grupę sędziów sportowych, do których także należy odnieść ww. obowiązki.

W zakresie obowiązku uzyskania ww. danych z rejestrów zaznaczyć także należy, że przepis art. 21 ust. 1 ustawy o przeciwdziałaniu zagrożeniom przestępczością na tle seksualnym i ochronie małoletnich odnosi się do konkretnego momentu na osi czasu wskazując, iż następuje to przed nawiązaniem stosunku pracy lub dopuszczeniem do działalności. Brak jest przepisów przejściowych w odniesieniu do osób zatrudnionych w dniu wejścia w życie omawianych regulacji. W konsekwencji osoby, które przed 15 lutego 2024 r. pozostawały w stosunku pracy, są zwolnione z realizacji ww. obowiązków. Będzie to więc pokażna grupa pracowników instytucji, jako grupy podmiotów zobowiązanych. Inaczej rzecz będzie wyglądała w klubach sportowych z uwagi na najczęstszy brak stałości zatrudnienia, a zatrudnienie projektowe i/lub ad hoc. Dotyczy to więc także sędziów sportowych, czy też wolontariuszy. Będzie to stanowiło istotne wyzwanie organizacyjne dla podmiotów sportowych.

Obowiązkiem w krótkiej perspektywie czasowej będzie także zaznajomienie małoletnich oraz ich rodziców/opiekunów ze standardami. Ustawa celowo rozróżnia działania podmiotu zobowiązanego w odniesieniu do personelu oraz małoletnich i ich rodziców/opiekunów. W pierwszym przypadku mówi o szkoleniu, w drugim o zaznajomieniu. To od podmiotu będzie więc zależało, w jaki sposób owo zaznajomienie nastąpi. Może to być wariant minimalistyczny, tj. poprzez opublikowanie standardów według opisanych wyżej sposobów. Wydaje się jednak, że ten sposób zaznajomienia nie wywrze pozytywnych efektów, w tym nie rozwieje wątpliwości na temat rodzajów zachowań niedozwolonych, czy też sposobów uzyskania pomocy. W praktyce może to skutkować nieuzasadnionymi zgłoszeniami, szczególnie w sytuacji wrogiego nastawienia małoletniego/rodzica wobec personelu. Optymalne wydaje się nawet krótkie szkolenie przez specjalistów. Obecny trend szkoleń on-line powinien stanowić dogodną formę zapoznania się z materiałem, w dowolnym czasie (webinary szkoleniowe wysyłane w postaci linka do odtworzenia indywidualnie).

W ramach obowiązków długoterminowych wymienić należy ewaluację standardów, stałe szkolenia, czy też szkolenia nowego personelu/małoletnich.

Ewaluacja jest wymagana przez ustawę z częstotliwością minimalną raz na dwa lata. Oczywiście podmiot wdrażający standardy może ustalić inną częstotliwość, o ile będzie to częstotliwość większa, np. raz do roku. Kwestia ta powinna być rozważona na podstawie realnych potrzeb podmiotu zobowiązanego oraz skali jego działalności. Zasadne jest także w standardach wskazanie elastycznego terminu – nie rzadziej niż raz na dwa lata, co umożliwi ewaluację i zmiany także częściej, w oparciu o dynamicznie zmieniające się potrzeby.

Na wdrożenie standardów należy spojrzeć także jako na proces ciągły w zakresie szkoleń. Mam tutaj na myśli fluktuację kadr, szczególnie częstą w środowisku sportowym. Każda „nowa” osoba musi przejść ww. procedurę sprawdzenia w rejestrze, ale także musi zostać przeszkolona przez specjalistów. Analogicznie, musi nastąpić zaznajomienie ze standardami nowych trenujących i ich rodziców/opiekunów.

## **Świadomość społeczna nowych obowiązków**

Przyjęcie tzw. ustawy Kamilka w 2023 r. nie wiązało się z przeprowadzeniem kampanii informacyjnej wśród podmiotów zobowiązanych do wdrożenia standardów. Nie wykorzystano chociażby środków Funduszu Sprawiedliwości, choć powyższe działanie w sposób zdecydowany wpisuje się w cele funduszu. Tym samym podmioty zobowiązane muszą bazować na lokalnych akcjach informacyjnych. Uwzględniając miasto Lublin, najlepiej zostały przygotowane placówki oświatowe, co wiąże się z ich podległością organowi zarządzającemu (Miastu Lublin). W przypadku klubów sportowych z badań własnych prowadzonych przez Wydział Sportu Urzędu Miasta Lublin, wynika, że na dzień 15.05.2024 r. standardy przyjęły zaledwie cztery kluby sportowe, spośród blisko dwustu prowadzących działalność na terenie miasta Lublin. W tym względzie zwrócić należy uwagę na sankcję, o której będzie mowa poniżej.



Niemniej świadczy to o znikomej świadomości społecznej, ale także odwlekaniu realizacji nałożonych obowiązków. Brak ogólnopolskiej akcji informacyjnej zastępują akcje o charakterze lokalnym bądź prowadzone w wybranych obszarach. Jako przykład można podać ogólnopolską akcję informacyjną wśród przedstawicieli organizacji pozarządowych prowadzoną przez Polskie Towarzystwo Prawa Organizacji Non-Profit. Na dzień 15.05.2024 r., w prowadzonych przez towarzystwo bezpłatnych webinarach informacyjnych wzięło udział blisko 1400 osób! Widać więc skuteczność działań trzeciego sektora przy bierności administracji rządowej.

## **Wnioski**

Dokonana analiza regulacji odnoszących się do standardów ochrony małoletnich prowadzi do wniosku, że tzw. ustawa Kamilka wprowadziła rewolucyjne wręcz zmiany w zakresie zwiększenia bezpieczeństwa dzieci i młodzieży. Ma to szczególne znaczenie dla działalności sportowej, opartej na wielości rodzajów kontaktów na linii personel – małoletni. Działanie o takim zakresie ma charakter innowacyjny w Europie. Niemniej jednak należy dostrzec istotne mankamenty w zakresie obecnych regulacji. Powyżej wskazałem na kluczowe wyzwania, które powinny stać się przedmiotem do dyskusji i niezbędnych korekt na poziomie ustawowym.

Obecnie w całości ciężar wdrożenia przeniesiono na poziom podmiotów zobowiązanych, które własnymi siłami lub korzystając z usług podmiotów specjalistycznych będą musiały w sposób szczegółowy zaplanować wdrożenie, zarówno w perspektywie krótkookresowej, jak i długookresowej. Pozbawiono jednak te podmioty wsparcia w zakresie informacji i edukacji. Może to rodzić zniechęcenie wśród osób zarządzających podmiotem zobowiązanym, ale także przyczynić się do osłabienia wymiaru merytorycznego podjętych działań.

Kluczowym zagrożeniem wydaje się być traktowanie obowiązku wdrożenia standardów jako kolejnego, czysto biurokratycznego obowiązku, analogicznego do RODO, czy też szkoleń BHP. To zdecydowany błąd, który może spowodować, że nie uda się osiągnąć zasadniczego celu tej rewolucyjnej reformy, jaką jest zapewnienie bezpieczeństwa małoletnim. Standardy to bowiem dokument, który musi funkcjonować na co dzień w relacjach na linii personel – małoletni i małoletni – małoletni. Osoby te muszą znać granicę swoich działań i zdawać sobie sprawę z konsekwencji swojego zachowania, które może wpisywać się w krzywdzenie drugiej osoby. Temu powinno służyć wnikliwe zapoznanie się ze standardami, ale także wytłumaczenie przez specjalistów pewnych mechanizmów psychologicznych i procedur prawnych. W przeciwnym razie standardy ochrony małoletnich jako li tylko dokument stanie się jednym z wielu dokumentów funkcjonujących wokół podmiotów prowadzących działalność sportową. Postulować więc należy szeroką akcję informacyjną i edukacyjną na poziomie lokalnym i ogólnopolskim, która pokaże wszystkim osobom zaangażowanym w proces szkolenia sportowego, jakie są cele standardów i jak prawidłowo kształtować relacje w klubie sportowym. Dopiero realizacja ustawowego obowiązku

ukierunkowana na takie właśnie efekty przyniesie pozytywny skutek i w istotnym zakresie ochroni małoletnich zawodników przed krzywdzeniem za strony innych osób.

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## WYBRANE ASPEKTY FINANSOWANIA ZADAŃ OŚWIATOWYCH

### *Selected aspects of financing educational tasks*

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#### **Summary**

*The purpose of this article is to present the complexity of the processes of statutory changes which have contributed to the spread of pre-school education in Poland, and to show the financial outlays for pre-school education against the background of expenditures of local government units (hereinafter: TSU) on educational tasks. In addition, the objective is to examine the sources of funding for the pre-school education from the central budget and analyze their significance in spending on this sector of education. The theoretical part outlines the general organization of pre-school education as a statutory task of the communal government resulting from the education law and the scale of its implementation. In addition, a review was conducted of the programmatic, organizational, and financial changes that have taken place in preschool education over the years. The subsequent part presents the general principles of financing the educational tasks with a particular emphasis on pre-school education. In the empirical part, based on quantitative research, the following were analyzed: current expenses of TSUs on educational tasks in sections 801 Education and rearing and 854 Educational upbringing care in relation to the income from the subsidies and earmarked grants, expenditure on pre-primary education in the context of expenditure on educational tasks, sources of funding for current expenditure on preschool education and their percentage of such expenditure. These analyses have been made for: all TSUs and separately for municipalities and cities with district rights, which are statutory providers of pre-school education. The research was conducted using comprehensive databases from the Ministry of Finance, the Central Statistical Office, and the Ministry of National Education. These databases included financial reports from territorial self-government units, reports on the execution of state budget acts, and information on the execution of territorial self-government units' budgets. The results of the research, carried out under the guidance of Tomasz Wolowiec, Ph.D., Professor of the WSEI University, have enabled the identification of unfavorable trends for TSUs in the financing of educational tasks and pre-school education in particular. Expenditures on preschool education show an upward trend and occupy a significant position in the expenditures of municipalities and cities with district rights on educational tasks. The sources of preschool education funding*

*introduced from the state budget on an ad hoc basis are becoming less and less significant in the expenditures incurred for this sector of education at a time of rapid growth.*

**Key words:** *preschool education, educational tasks, educational part of general subsidy, preschool subsidy, current expenditures of territorial self-government units on educational tasks, own income of territorial self-governme*

## **Streszczenie**

Celem artykułu jest przedstawienie złożoności procesów zmian ustawowych, które przyczyniły się do upowszechnienia wychowania przedszkolnego w Polsce i pokazanie nakładów finansowych na wychowanie przedszkolne na tle wydatków jednostek samorządu terytorialnego (dalej: JST) na zadania oświatowe. Ponadto celem jest zbadanie źródeł dofinansowania wychowania przedszkolnego ze środków z budżetu państwa i analiza ich znaczenia w wydatkach na ten sektor oświaty. W części teoretycznej przedstawiono ogólną organizację wychowania przedszkolnego jako ustawowego zadania samorządu gminnego, wynikającą z prawa oświatowego i skalę jego upowszechnienia. Ponadto dokonany został przegląd zmian ustawowych w edukacji przedszkolnej na przestrzeni lat w zakresie programowym, organizacyjnym i finansowym. W dalszej części zaprezentowane zostały ogólne zasady finansowania zadań oświatowych ze szczególnym uwzględnieniem wychowania przedszkolnego. W części empirycznej, na podstawie badań ilościowych, analizie poddane zostały: wydatki bieżące JST na zadania oświatowe w dziale 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza w relacji do dochodów z tytułu subwencji i dotacji celowych, wydatki na wychowanie przedszkolne w kontekście wydatków na zadania oświatowe, źródła finansowania wydatków bieżących na wychowanie przedszkolne i ich procentowy udział w tych wydatkach. Analiz tych dokonano dla: wszystkich JST i odrębnie dla gmin i miast na prawach powiatu, które są ustawowymi realizatorami wychowania przedszkolnego. Badania przeprowadzono wykorzystując bardzo bogate bazy danych, będących w zasobach Ministerstwa Finansów, GUS i Ministerstwa Edukacji Narodowej (m.in. sprawozdania finansowe JST, sprawozdania z wykonania ustaw budżetowych państwa, informacji o wykonaniu budżetów JST). Wyniki badań, przeprowadzone pod kierunkiem dr. hab. Tomasza Wołowca, prof. Akademii WSEI, pozwoliły określić niekorzystne dla JST trendy w finansowaniu zadań oświatowych, a w szczególności wychowania przedszkolnego. Wydatki na wychowanie przedszkolne mają tendencję rosnącą i zajmują istotną pozycję w wydatkach gmin i miast na prawach powiatu na zadania oświatowe. Wprowadzane doraźnie z budżetu państwa źródła dofinansowania wychowania przedszkolnego mają coraz mniejsze znaczenie w ponoszonych wydatkach na ten sektor edukacji w dobie jego dynamicznego rozwoju.

**Słowa kluczowe:** wychowanie przedszkolne, zadania oświatowe, część oświatowa subwencji ogólnej, dotacja przedszkolna, wydatki bieżące JST na zadania oświatowe, dochody własne JST

## **Wprowadzenie**

W polskim systemie oświaty JST: gminy, powiaty i samorządy województw realizują zadania oświatowe. Do zadań oświatowych gmin należy zapewnienie kształcenia, wychowania i opieki, w tym kształcenia specjalnego i profilaktyki społecznej w przedszkolach oraz w innych formach wychowania przedszkolnego, a także w szkołach podstawowych.

Proces przejmowania przez gminy przedszkoli rozpoczął się w 1990 r. W latach 1990-1991 placówki te przejmowane były na zasadzie dobrowolności. Od dnia 1 stycznia 1992 r. na mocy Ustawy o systemie oświaty z dnia 7 września 1991 r. (Dz.U. nr 95, poz. 425) prowadzenie i utrzymanie przedszkoli, z wyjątkiem przedszkoli specjalnych, stało się zadaniem własnym gmin<sup>1</sup>. Finansowanie przedszkoli odbywało się w ramach dochodów własnych gmin. Od tamtego czasu zaszło wiele istotnych zmian, które przyczyniły się między innymi do rozwoju sieci przedszkoli i innych form wychowania przedszkolnego, wzrostu liczby dzieci objętych wychowaniem przedszkolnym, podniesienia wskaźnika upowszechnienia edukacji przedszkolnej oraz zwiększenia udziału wydatków na przedszkola w wydatkach ogółem na zadania oświatowe realizowane przez JST. Pomimo objęcia pewnego zakresu zadań edukacji przedszkolnej środkami z budżetu państwa, nadal główny ciężar utrzymania przedszkoli spoczywa na gminach.

Celem artykułu jest przedstawienie złożoności procesów zmian ustawowych, które przyczyniły się do upowszechnienia wychowania przedszkolnego w Polsce. Istotnym zagadnieniem jest również zaprezentowanie źródeł finansowania wychowania przedszkolnego ze środków budżetu państwa i zbadanie ich znaczenia (udziału) w wydatkach ogółem ponoszonych przez przedszkola.

Ponadto celem jest pokazanie wpływu zmian w wychowaniu przedszkolnym na udział dochodów własnych gmin w realizacji przypisanych im ustawowo zadań oświatowych. Zadania gminne z zakresu wychowania przedszkolnego wykonują również miasta na prawach powiatu, co wynika z art. 92 ust. 2 Ustawy o samorządzie powiatowym<sup>2</sup>. Dlatego też opisane wyżej kwestie będą rozpatrywane także w odniesieniu do miast na prawach powiatu.

## **Miejsce wychowania przedszkolnego w polskim systemie oświaty**

Wychowanie przedszkolne jest istotnym elementem systemu oświaty. Obejmuje dzieci od początku roku szkolnego w roku kalendarzowym, w którym dziecko kończy 3 lata do końca roku szkolnego w roku kalendarzowym, w którym dziecko kończy 7 lat. W przypadku dzieci posiadających orzeczenie o potrzebie kształcenia specjalnego, czas korzystania z przedszkola może być przedłużony do końca roku

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<sup>1</sup> Ustawa z dnia 7 września 1991 r. o systemie oświaty (Dz.U. z 1991 r. nr 95, poz. 425 z późn. zm.).

<sup>2</sup> Ustawa z dnia 5 czerwca 1998 r. o samorządzie powiatowym (Dz.U. z 2024 r., poz. 107).

szkolnego w roku kalendarzowym, w którym dziecko kończy 9 lat. Wychowanie przedszkolne jest realizowane w przedszkolach, oddziałach przedszkolnych, szkołach podstawowych oraz w innych formach wychowania przedszkolnego, zwanych dalej przedszkolami. Dziecko w wieku 6 lat jest obowiązane odbyć roczne przygotowanie przedszkolne zaś dzieci w wieku 3–5 lat mają prawo do korzystania z wychowania przedszkolnego. W szczególnie uzasadnionych przypadkach, wychowaniem przedszkolnym może także zostać objęte dziecko, które ukończyło 2,5 roku. Zapewnienie warunków do spełnienia obowiązku rocznego przygotowania przedszkolnego oraz prawa korzystania z wychowania przedszkolnego jest zadaniem gminy. Zadanie to jest wykonywane przez gminę przez zapewnienie dziecku możliwości korzystania z wychowania przedszkolnego w przedszkolu publicznym, dla którego gmina jest organem prowadzącym lub w przedszkolu publicznym i niepublicznym prowadzonym przez osobę prawną lub fizyczną inną niż JST. Obowiązkiem gminy jest również zapewnienie bezpłatnego transportu i opieki w czasie przewozu dziecka do przedszkola, jeżeli droga przekracza 3 km (alternatywnie zwrot kosztów przejazdu dziecka i opiekuna środkami komunikacji publicznej, jeżeli dowożenie zapewniają rodzice). Ponadto ustawowym obowiązkiem gminy jest zapewnienie niepełnosprawnym dzieciom 5- i 6-letnim oraz starszym, posiadającym orzeczenie o potrzebie kształcenia specjalnego, bezpłatnego transportu i opieki w czasie przewozu do najbliższego przedszkola<sup>3</sup>. Przedszkola realizują programy wychowania przedszkolnego uwzględniające podstawę programową wychowania przedszkolnego. Podstawa programowa wychowania przedszkolnego wskazuje cel wychowania przedszkolnego i zadania profilaktyczno-wychowawcze przedszkola. Celem wychowania przedszkolnego jest wsparcie całościowego rozwoju dziecka. Wsparcie to realizowane jest przez proces opieki, wychowania i nauczania – uczenia się<sup>4</sup>.

Nadrzędnym celem wychowania przedszkolnego jest przygotowanie dzieci do podjęcia nauki w szkole<sup>5</sup>. Przedszkola publiczne zapewniają bezpłatne nauczanie, wychowanie i opiekę w czasie ustalonym przez organ prowadzący, nie krótszym niż 5 godzin dziennie, przeprowadzają rekrutację dzieci opierając się na zasadzie powszechnej dostępności, zatrudniają nauczycieli spełniających wymagania kwalifikacyjne określone w ustawie Karta nauczyciela. Prowadzą gospodarkę finansową w formie jednostek budżetowych. Rodzice dzieci korzystających z wychowania przedszkolnego wnoszą od 1 września 2013 r. opłatę w wysokości nie wyższej niż 1 zł za każdą rozpoczętą godzinę faktycznego pobytu dziecka w przedszkolu, wykraczającą poza zagwarantowany bezpłatny czas na realizację podstawy programowej

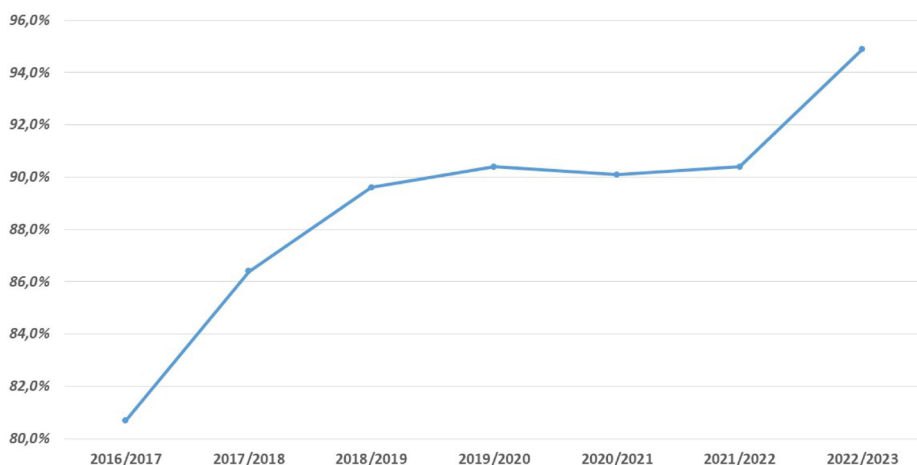
<sup>3</sup> Ustawa z dnia 14 grudnia 2016 r. Prawo oświatowe (Dz.U. z 2023 r., poz. 900 z późn. zm.).

<sup>4</sup> Rozporządzenie Ministra Edukacji Narodowej z dnia 14 lutego 2017 r. w sprawie podstawy programowej wychowania przedszkolnego oraz podstawy programowej kształcenia ogólnego dla szkoły podstawowej, w tym dla uczniów z niepełnosprawnością intelektualną w stopniu umiarkowanym lub znacznym, kształcenia ogólnego dla branżowej szkoły I stopnia, kształcenia ogólnego dla szkoły specjalnej przysposabiającej do pracy oraz kształcenia ogólnego dla szkoły policealnej (Dz.U. z 2017 r., poz. 356 z późn. zm.).

<sup>5</sup> A. Pięgas, *Transfery budżetowe dla przedszkoli niepublicznych w Polsce, „Nierówności Społeczne a Wzrost Gospodarczy” 2017; 49(1).*

ustalony przez organ prowadzący. Opłata ta podlega waloryzacji według zasad określonych w Ustawie o finansowaniu zadań oświatowych, dla przykładu opłata za każdą rozpoczętą godzinę pobytu dziecka w Lublinie w 2022 r. wynosiła 1,30 zł. Przedszkola niepubliczne pobierają tzw. czesne od rodziców i otrzymują dotacje z budżetu gminy.

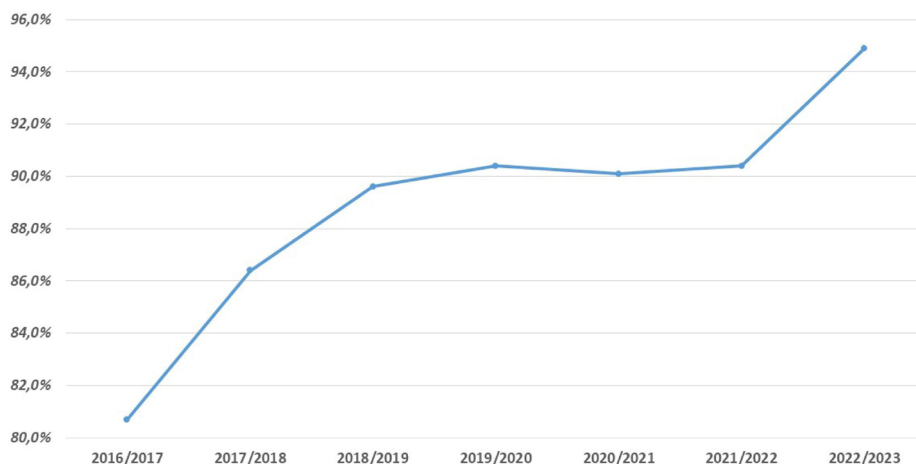
Według stanu na dzień 30 września 2022 r. w Polsce prowadziło działalność 22,5 tys. placówek wychowania przedszkolnego, a wychowaniem przedszkolnym objętych było 1534,2 tys. dzieci. Wskaźnik upowszechnienia wynosił 94,9% i był wyższy niż w latach poprzednich<sup>6</sup>.



**Wykres 1.** Liczba dzieci objętych wychowaniem przedszkolnym (tys.)

Źródło: opracowanie własne na podstawie baz danych GUS w latach 2016–2023

<sup>6</sup> Główny Urząd Statystyczny, Oświata i wychowanie w latach 2016–2023. Online: <https://stat.gov.pl/obszary-tematyczne/edukacja/edukacja/oswiata-i-wychowanie-w-roku-szkolnym-20222023,1,18.html>.



## Wykres 2. Wskaźnik upowszechnienia wychowania przedszkolnego

Źródło: opracowanie własne na podstawie baz danych GUS w latach 2016–2023

## Zmiany ustawowe w edukacji przedszkolnej na przestrzeni lat

Przejęte przez gminy w latach 90. przedszkola realizowały tzw. minimum programowe. Wychowanie przedszkolne obejmowało dzieci w wieku 3–6 lat. Dziecko w wieku 6 lat miało prawo do rocznego przygotowania przedszkolnego. Gminy finansowały przedszkola z dochodów własnych, co wynikało z umowy społecznej zawartej w 1990 r. częściowo sformalizowanej w Ustawie o samorządzie gminnym i innych aktach prawnych. W tamtym czasie poziom uprzedzskolnienia wynosił 30%<sup>7</sup>. Od tamtego czasu w wychowaniu przedszkolnym zaszło wiele znaczących zmian o charakterze programowym, organizacyjnym i finansowym. Do istotnych, o charakterze organizacyjnym, należy zaliczyć:

- od 1 września 2004 r. – zmianę uprawnień dziecka w wieku 6 lat do odbycia rocznego przygotowania przedszkolnego na obowiązek odbycia tego przygotowania, z wyjątkiem lat szkolnych 2011/2012 – 2015/2016, w których obowiązek ten dotyczył dzieci 5-letnich<sup>8</sup>;
- od 1 września 2009 r. – zagwarantowanie miejsca w przedszkolu dla dzieci 5-letnich;

<sup>7</sup> M. Herbst, Finansowanie przedszkoli w Polsce – stan obecny i wyzwania na przyszłość. Ekspertyza opracowana na potrzeby Zespołu ekspertów ds. wypracowania rekomendacji w zakresie polityki rodzinnej przy Kancelarii Prezydenta RP, 2023.

<sup>8</sup> Ustawa z dnia 19 marca 2009 r. o zmianie ustawy o systemie oświaty oraz o zmianie niektórych innych ustaw (Dz.U. z 2009 r. nr 56, poz. 458 z późn. zm.).



- od 1 września 2015 r. – zagwarantowanie prawa do korzystania z wychowania przedszkolnego dla 4-latków;
- od 1 września 2017 r. – zagwarantowanie prawa do korzystania z wychowania przedszkolnego dla 3-latków<sup>9</sup>.

W tym miejscu warto wspomnieć, iż w 2008 r. pojawiła się możliwość zakładania przez gminy innych form wychowania przedszkolnego: zespołów i punktów przedszkolnych.

Wśród zmian o charakterze finansowym należy zwrócić uwagę na zmianę sposobu prowadzenia przez przedszkola gospodarki finansowej. Tuż po przejściu większość z nich była zakładami budżetowymi, choć obowiązujące w tamtym okresie prawo pozwalało na prowadzenie gospodarki finansowej również w formie jednostki budżetowej. Przedszkola działające do końca 2010 r. jako zakłady budżetowe pokrywały koszty swojej działalności z przychodów własnych, między innymi kształtowanych przez rady gmin opłat pobieranych od rodziców dzieci, a także z dotacji otrzymanych z budżetu gminy. Opłaty za korzystanie dziecka z wychowania przedszkolnego w minionym okresie miały charakter „opłat stałych”, w latach 2005–2006 wysokość tzw. opłaty stałej za przedszkola w kraju wahała się od 10 zł do 190 zł<sup>10</sup>. Od 2011 r. przedszkola mogą działać w formie jednostek budżetowych<sup>11</sup>. Nastąpiła też zmiana w ustawie o systemie oświaty, wprowadzająca inny sposób pobierania opłat za przedszkola. Rodzice wnosili opłaty w wysokości ustalonej przez rady gmin za czynności i usługi, które świadczone były w czasie pozostawienia dziecka w przedszkolu przekraczającym 5 godzin dziennie.

1 września 2013 r. weszły w życie zmiany dokonane Ustawą z dnia 13 czerwca 2013 r. o zmianie ustawy o systemie oświaty oraz niektórych innych ustaw, na mocy których nastąpiło ustawowe ograniczenie wysokości pobieranych opłat z tytułu korzystania dzieci z przedszkola do kwoty nie wyższej niż 1 zł za godzinę przekraczającą bezpłatny czas przeznaczony na realizację podstawy programowej<sup>12</sup>. Wymienioną ustawą wprowadzono również od 1 września 2013 r. wsparcie finansowe dla przedszkoli w formie dotacji celowej na dofinansowanie zadań w zakresie wychowania przedszkolnego. Jedną z ról tego wsparcia było zrekompensowanie gminom utraczonych dochodów pochodzących z opłat od rodziców wychowanków. Wprowadzony mechanizm finansowego wsparcia z budżetu państwa wykonywania zadań oświatowych wpisał się w cel zwiększenia dostępności usług przedszkolnych i innych form wychowania przedszkolnego<sup>13</sup>. Na etapie wprowadzania dotacji celowej (wskaźnik

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<sup>9</sup> Ustawa z dnia 29 grudnia 2015 r. o zmianie ustawy o systemie oświaty oraz niektórych innych ustaw (Dz.U. z 2016 r., poz. 35).

<sup>10</sup> P. Swianiewicz, J. Łukomska, Finansowanie przedszkoli z różnych źródeł. Raport diagnostyczny przygotowany w ramach projektu „Doskonalenie strategii zarządzania oświatą na szczeblu lokalnym i regionalnym” finansowanego ze środków EFS w ramach Programu Operacyjnego Kapitał Ludzki, 2011.

<sup>11</sup> A. Pigłaś, Transfery budżetowe... op. cit.

<sup>12</sup> Ustawa z dnia 13 czerwca 2013 r. o zmianie ustawy o systemie oświaty oraz niektórych innych ustaw (Dz.U. z 2013 r., poz. 827 z późn. zm.).

<sup>13</sup> J. Nucińska, A. Sekuła, Finansowanie zadań oświatowych jednostek samorządu terytorialnego, Instytut Badań Gospodarczych, Olsztyn 2021.

upowszechnienia wychowania przedszkolnego wynosił wówczas 75,3%) powstały obawy, czy przy dalszym wzroście upowszechnienia edukacji przedszkolnej „instrument finansowy” w formie dotacji celowej będzie wystarczający do utrzymania przez gminy przedszkoli<sup>14</sup>. Kolejne zmiany wprowadzono od 1 stycznia 2017 r. Objęto dzieci 6-letnie subwencją oświatową i jednocześnie nastąpiło zlikwidowanie opłat za korzystanie z wychowania przedszkolnego przez tę grupę dzieci. W minionym okresie nastąpiło także szereg zmian w systemie dotowania przedszkoli publicznych i niepublicznych prowadzonych przez osoby prawne i fizyczne inne niż JST.

## Ogólne zasady finansowania zadań oświatowych

Zadania oświatowe JST finansowane są na zasadach określonych w Ustawie z dnia 27 października 2017 r. o finansowaniu zadań oświatowych<sup>15</sup> oraz w Ustawie z dnia 13 listopada 2003 r. o dochodach jednostek samorządu terytorialnego<sup>16</sup>. Zgodnie z art. 3 ust. 2 Ustawy o finansowaniu zadań oświatowych środki niezbędne do realizacji zadań oświatowych JST, w tym na wynagrodzenia nauczycieli oraz utrzymanie placówek wychowania przedszkolnego, szkół oraz innych placówek tworzących system oświaty są zagwarantowane w dochodach JST. Ponadto, w myśl art. 30 ust. 8 ustawy Karta Nauczyciela środki niezbędne na wynagrodzenia nauczycieli wraz z pochodnymi od wynagrodzeń, środki na odpis na zakładowy fundusz świadczeń socjalnych i środki na świadczenia nauczycieli zatrudnionych na terenie wsi lub w mieście liczącym do 5 tys. mieszkańców (tzw. dodatek wiejski) oraz środki na dofinansowanie doskonalenia zawodowego nauczycieli zagwarantowane są przez państwo w dochodach JST<sup>17</sup>.

Dochodami JST są dochody własne oraz subwencje ogólne i dotacje celowe z budżetu państwa (artykuł 167 ust. 2 Konstytucji RP)<sup>18</sup>. Wykonywanie przez JST przypisanych im zadań wymaga zapewnienia odpowiednich źródeł finansowania. Potwierdzeniem powyższego jest art. 167 ust. 1 Konstytucji RP, zgodnie z którym JST zapewnia się udział w dochodach publicznych odpowiednio do przypadających im zadań<sup>19</sup>.

Źródłami finansowania zadań oświatowych, transferowanymi z budżetu państwa do gmin, są część oświatowa subwencji ogólnej i dotacje celowe, w tym dotacja

<sup>14</sup> M. Herbst, *Finansowanie przedszkoli w Polsce...* op. cit.

<sup>15</sup> Ustawa z dnia 27 października 2017 r. o finansowaniu zadań oświatowych (Dz.U. z 2023 r., poz. 1400 z późn. zm.).

<sup>16</sup> Ustawa z dnia 13 listopada 2003 r. o dochodach jednostek samorządu terytorialnego (Dz.U. z 2024 r., poz. 356 z późn. zm.).

<sup>17</sup> Ustawa z dnia 26 stycznia 1982 r. Karta Nauczyciela (Dz.U. z 2023 r., poz. 984 z późn. zm.).

<sup>18</sup> Konstytucja Rzeczypospolitej Polskiej z dnia 2 kwietnia 1997 r. (Dz.U. z 1997 r. nr 78, poz. 483 z późn. zm.).

<sup>19</sup> P. Pest, *Pojęcie dochodów własnych jednostek samorządu terytorialnego*, „Wrocławsko-Lwowskie Zeszyty Prawnicze” 2017; 6.

celowa na dofinansowanie zadań w zakresie wychowania przedszkolnego nazywana powszechnie dotacją przedszkolną<sup>20</sup>.

## **Część oświatowa subwencji ogólnej**

Zgodnie z Ustawą o dochodach jednostek samorządu terytorialnego z dnia 13 listopada 2003 r. wielkość części oświatowej subwencji ogólnej dla wszystkich JST ustala corocznie ustawa budżetowa. Kwotę przeznaczoną na część oświatową subwencji ogólnej dla wszystkich JST ustala się w wysokości łącznej kwoty części oświatowej subwencji ogólnej nie mniejszej niż przyjęta w ustawie budżetowej w roku bazowym, skorygowanej o kwotę innych wydatków z tytułu zmiany realizowanych zadań oświatowych. Od tak ustalonej kwoty odlicza się 0,5% na rezerwę części oświatowej subwencji ogólnej, którą dysponuje minister ds. finansów publicznych, po zasięgnięciu opinii ministra właściwego ds. oświaty i wychowania oraz reprezentacji JST, i której podział następuje nie później niż do 30 listopada każdego roku. Po odliczeniu rezerwy, minister właściwy ds. oświaty i wychowania dzieli część oświatową subwencji ogólnej między poszczególne JST, biorąc pod uwagę zakres realizowanych przez te jednostki zadań oświatowych, z wyłączeniem zadań związanych z:

- dowozem uczniów;
- zapewnieniem kształcenia, wychowania i opieki uczniom, którzy kończą 5 lat lub mniej w roku bazowym, w przedszkolach, oddziałach przedszkolnych w szkołach podstawowych i innych formach wychowania przedszkolnego niezwiązanych z:
  - wychowaniem i kształceniem specjalnym,
  - zajęciami rewalidacyjno-wychowawczymi,
  - zatrudnieniem nauczycieli, o których mowa w art. 42d ust. 1 ustawy z dnia 26 stycznia 1982 r. – Karta Nauczyciela (Dz.U. z 2021 r., poz. 1762 oraz z 2022 r., poz. 935, 1116, 1700 i 1730), w łącznej liczbie etatów nauczycieli, o której mowa w art. 42d ust. 3 tej ustawy,
  - finansowaniem świadczenia na start, o którym mowa w art. 53a ustawy z dnia 26 stycznia 1982 r. – Karta Nauczyciela<sup>21</sup>.

Część oświatowa subwencji ogólnej dla JST jest rokrocznie dzielona tzw. algorytmem w oparciu o zasadę „pieniądz idzie za uczniem”, przy czym w celu doprecyzowania zróżnicowania kosztów kształcenia uczniów w szkołach różnego typu i rodzaju uzależnia się wysokość subwencji od liczby uczniów przeliczeniowych otrzymanej przez zastosowanie zróżnicowanych wag dla wybranych kategorii uczniów i określonych typów oraz rodzajów szkół i wskaźnika korygującego, uwzględniającego stopnie awansu zawodowego nauczycieli. Finansowy standard A, czyli tzw. kwotę subwencji oświatowej, przypadającą na jednego ucznia przeliczeniowego, mnoży się przez liczbę uczniów przeliczeniowych oraz wskaźnik korygujący, uwzględniający

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<sup>20</sup> J. Nucińska, A. Sekuła, *Finansowanie...* op. cit.

<sup>21</sup> Ustawa z dnia 13 listopada 2003 r. o dochodach... op. cit.

etapy rozwoju zawodowego nauczycieli. W okresie objętym badaniem liczba wag w algorytmie wynosiła: w 2017 r. – 58, w 2018 r. – 64, w 2019 – 69, w 2020 r. – 73, w 2021 r. – 72, w 2022 r. – 76 wag. W 2023 r. wzrosła do 93, a w 2024 r. wynosi 95.

W algorytmie podziału części oświatowej subwencji większość wag odnosi się do zadań realizowanych przez szkoły i placówki, tylko niektóre do przedszkoli. Wydaje się to zrozumiałe, albowiem subwencja oświatowa dedykowana była samorządom po przejściu szkół jako główne źródło finansowania zadań z tego zakresu. Do przedszkoli (według algorytmu na 2022 r.) odnosi się 11 wag, które dotyczą dzieci z niepełnosprawnościami, posiadających orzeczenia o potrzebie kształcenia specjalnego, dzieci które ukończyły 6 lat lub więcej w roku bazowym oraz nauczycieli stażystów zatrudnionych w przedszkolach, szkołach i placówkach wymienionych w art. 1 ust. 1 ustawy z dnia 26 stycznia 1982 r. – Karta Nauczyciela, a według algorytmu na 2023 r. aż 21 wag w związku z objęciem subwencją nauczycieli specjalistów, o których mowa w art. 42 d powyższej ustawy<sup>22</sup>.

## **Dotacje celowe, w tym dotacja na dofinansowanie zadań w zakresie wychowania przedszkolnego**

Na dofinansowanie zadań oświatowych realizowanych przez JST, z budżetu państwa przekazywane są:

- dotacja celowa na dofinansowanie zadań w zakresie wychowania przedszkolnego;
- dotacja podręcznikowa na zakup podręczników, materiałów edukacyjnych i materiałów ćwiczeniowych;
- dotacja na niektóre świadczenia pomocy materialnej;
- inne np. na realizację programów rządowych.

Zgodnie z ustawą o finansowaniu zadań oświatowych na dofinansowanie zadań w zakresie wychowania przedszkolnego uczniów objętych wychowaniem przedszkolnym do końca roku szkolnego, w którym kończą 6 lat, JST otrzymuje dotację celową z budżetu państwa, która może być wykorzystana wyłącznie na dofinansowanie wydatków bieżących, związanych z realizacją tych zadań. Dotacja udzielana jest przez wojewodów w 12 częściach. Wysokość dotacji dla danej jednostki JST obliczana jest jako iloczyn kwoty rocznej dotacji na ucznia oraz liczby uczniów, którzy w roku bazowym kończą 5 lat lub mniej w placówkach wychowania przedszkolnego: prowadzonych przez tę JST lub dla których ta JST jest organem rejestrującym – ustalonej na podstawie danych z SIO wg stanu na dzień 30 września roku bazowego<sup>23</sup>. Ustalona w ww. ustawie roczna kwota dotacji od 2022 r. wynosi 1506 zł i podlega corocznie waloryzacji prognozowanym wskaźnikiem cen towarów i usług konsumpcyjnych ogółem określonych w ustawie budżetowej. W latach poprzednich, zamiast reguły waloryzacyjnej, obowiązywały sztywne wartości zgodnie z tabelą nr 1.

<sup>22</sup> Rozporządzenia Ministra Edukacji Narodowej w sprawie sposobu podziału części oświatowej subwencji ogólnej dla jednostek samorządu terytorialnego w latach 2017–2022 (stan na dzień 15.04.2024 r.).

<sup>23</sup> Ustawa z dnia z dnia 27 października 2017 r. o finansowaniu... op. cit.

**Tabela 1.** Roczne kwoty dotacji celowej na ucznia w zakresie wychowania przedszkolnego

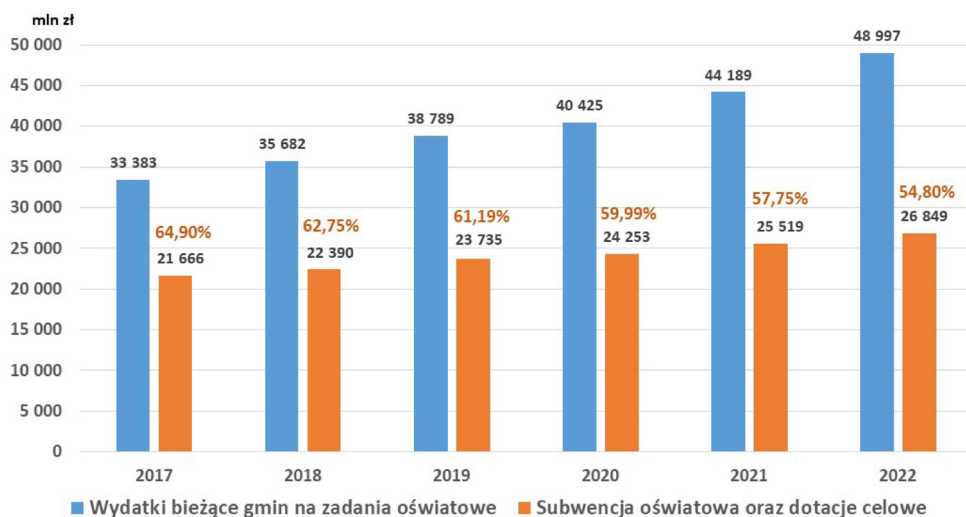
| Rok  | Roczna kwota dotacji na 1 ucznia (w zł) | Zmiana kwoty dotacji na 1 ucznia rok do roku |
|------|---|--|
| 2017 | 1338,00                                 | -  |
| 2018 | 1370,00                                 | 2,39%  |
| 2019 | 1403,00                                 | 2,41%  |
| 2020 | 1434,58                                 | 2,25%  |
| 2021 | 1471,00                                 | 2,54%  |
| 2022 | 1506,00                                 | 2,38%  |

*Źródło: opracowanie własne na podstawie Ustawy z dnia 13 czerwca 2013 r. o zmianie ustawy o systemie oświaty oraz niektórych innych ustaw i na podstawie Ustawy z dnia 27 października 2017 r. o finansowaniu zadań oświatowych*

Analizując powyższą tabelę warto zwrócić uwagę na dwa istotne fakty. Po pierwsze roczna kwota dotacji na ucznia nie jest uzależniona od czasu jego przebywania w placówce wychowania przedszkolnego, po drugie kwoty pokazane w tabeli zostały zapisane w Ustawie z dnia 13 czerwca 2013 r. o zmianie ustawy o systemie oświaty oraz niektórych innych ustaw na etapie wprowadzania dotacji na dofinansowanie zadań z wychowania przedszkolnego od roku 2013 do 2021. Zaplanowanie kwot na długi okres nie gwarantowało w kolejnych latach porównywalnego stopnia dofinansowania.

### **Subwencja oświatowa i dotacje celowe za wydatki bieżące JST na zadania oświatowe**

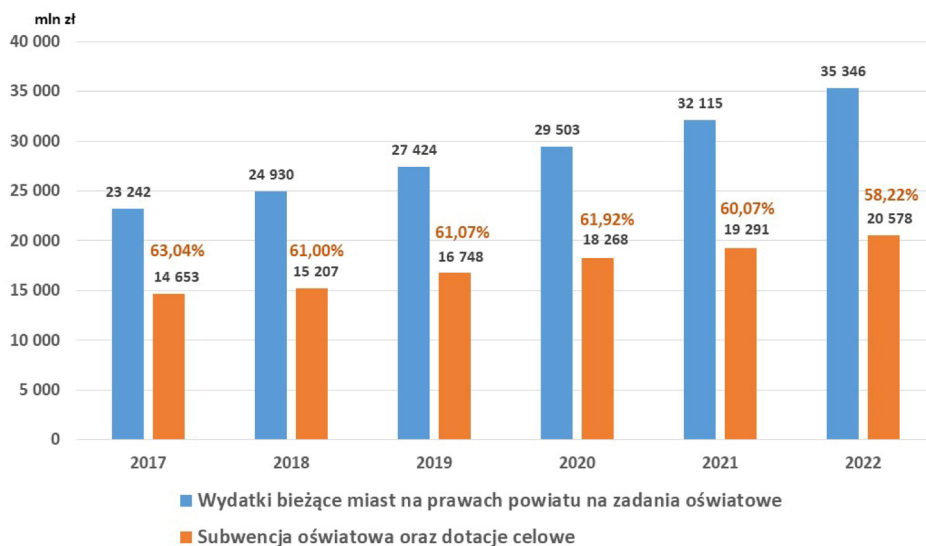
Duże znaczenie w analizie poziomu finansowania zadań oświatowych mają relacje subwencji oświatowej i dotacji celowych do wydatków bieżących w dziale 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza. Relacje te przedstawiono odrębnie dla gmin, miast na prawach powiatu i wszystkich JST w kraju na wykresach 3, 4, 5.



**Wykres 3.** Wydatki bieżące gmin na zadania oświatowe w dziale 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza a dochody z tytułu subwencji oświatowej i dotacji celowych (w mln zł)

Źródło: opracowanie własne na podstawie baz danych Rb-28 S ([www.mf.gov.pl](http://www.mf.gov.pl)) i danych MEN

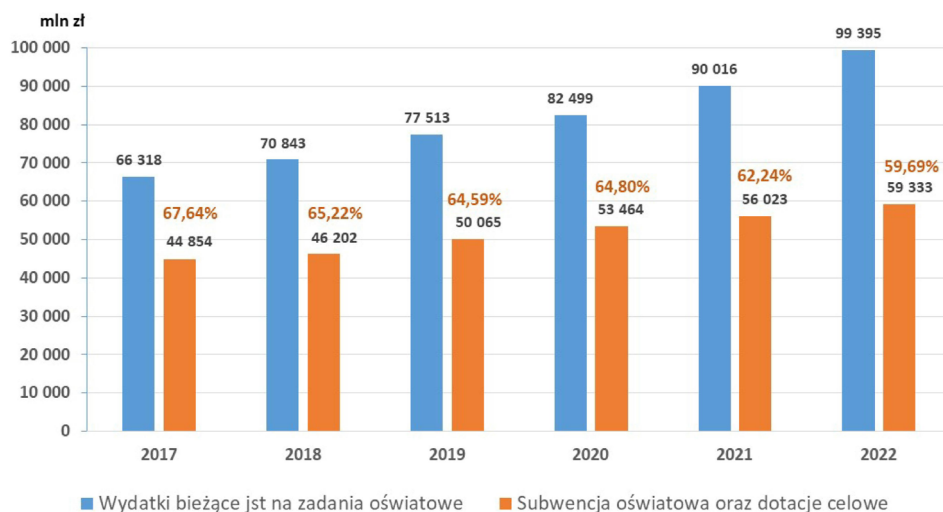
Z wykresu 3 wynika, że wydatki bieżące gmin na zadania oświatowe wzrosły z kwoty 33,4 mln zł w 2017 r. do prawie 49 mln zł w 2022 r., tj. o 46,8%. Dochody gmin z tytułu subwencji oświatowej i dotacji celowych wzrosły z kwoty 21,7 mln zł w 2017 r. do 26,8 mln zł w 2022 r., tj. o 23,9%. Skutkiem nieproporcjonalnego wzrostu dochodów z budżetu państwa do wydatków bieżących jest spadek udziału tych dochodów w wydatkach na zadania oświatowe z 64,9% w 2017 r. do 54,8% w 2022 r.



**Wykres 4.** Wydatki bieżące miast na prawach powiatu na zadania oświatowe w dziale 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza a dochody z tytułu subwencji oświatowej i dotacji celowych (w mln zł)

Źródło: opracowanie własne na podstawie baz danych Rb-28 S ([www.mf.gov.pl](http://www.mf.gov.pl)) i danych MEN

Z wykresu 4 wynika, że wydatki bieżące miast na prawach powiatu na zadania oświatowe wzrosły z kwoty 23,2 mln zł w 2017 r. do 35,3 mln zł w 2022 r., tj. o 52,1%. Dochody miast na prawach powiatu z tytułu subwencji oświatowej i dotacji celowych wzrosły z kwoty 14,7 mln zł w 2017 r. do 20,6 mln zł w 2022 r., tj. o 25,5%. Skutkiem nieproporcjonalnego wzrostu dochodów z budżetu państwa do wydatków bieżących jest spadek udziału tych dochodów w wydatkach na zadania oświatowe z 63,0% w 2017 r. do 58,2% w 2022 r.



**Wykres 5.** Wydatki bieżące we wszystkich JST w kraju na zadania oświatowe w dziale 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza a dochody z tytułu subwencji oświatowej i dotacji celowych (w mln zł)

Źródło: opracowanie własne na podstawie baz danych Rb-28 S ([www.mf.gov.pl](http://www.mf.gov.pl)) i danych MEN

Z wykresu 5 wynika, że wydatki bieżące we wszystkich JST w kraju na zadania oświatowe wzrosły z kwoty 66,3 mln zł w 2017 r. do 99,4 mln zł w 2022 r., tj. o 49,9%. Dochody wszystkich JST w kraju z tytułu subwencji oświatowej i dotacji celowych wzrosły z kwoty 44,9 mln zł w 2017 r. do 59,3 mln zł w 2022 r., tj. o 32,3%. Skutkiem nieproporcjonalnego wzrostu dochodów z budżetu państwa do wydatków bieżących jest spadek udziału tych dochodów w wydatkach na zadania oświatowe z 67,6% w 2017 r. do 59,7% w 2022 r.

Z porównania danych przedstawionych na wykresach 3, 4, 5 wynika, że udział procentowy dochodów z budżetu państwa z tytułu subwencji oświatowej i dotacji celowych maleje. W największym stopniu dotyczy to gmin. W latach 2017–2022 udział ten zmniejszył się w przypadku gmin o 10,1% wobec 4,8% w miastach na prawach powiatu i 7,8% we wszystkich JST w kraju.



## Wydatki na wychowanie przedszkolne w kontekście wydatków na zadania oświatowe

Wydatki na wychowanie przedszkolne ewidencjonowane są w działach 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza, odpowiednio w rozdziałach:

- 80103 – Oddziały przedszkolne w szkołach podstawowych;
- 80104 – Przedszkola;
- 80105 – Przedszkola specjalne;
- 80106 – Inne formy wychowania przedszkolnego;
- 80149 – Realizacja zadań wymagających stosowania specjalnej organizacji nauki i metod pracy dla dzieci w przedszkolach, oddziałach przedszkolnych w szkołach podstawowych i innych formach wychowania przedszkolnego.

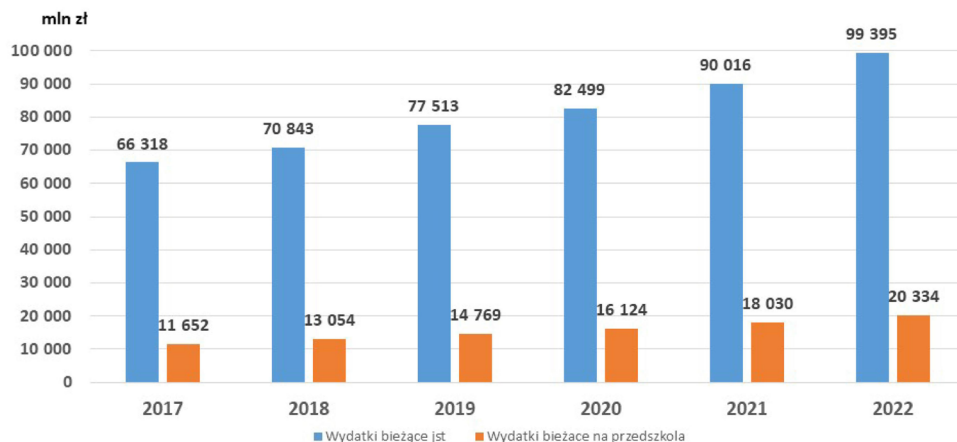
W tabeli 2 zestawiono wydatki bieżące JST na wychowanie przedszkolne w latach 2017–2022.

**Tabela 2.** Wydatki bieżące JST na wychowanie przedszkolne (w tys. zł)

| Wyszczególnienie                 | 2017       | 2018       | 2019       | 2020       | 2021       | 2022       |
|----------------------------------|------------|------------|------------|------------|------------|------------|
| <b>Ogółem, w tym</b>             | 11 652 559 | 13 054 469 | 14 768 826 | 16 124 332 | 18 029 755 | 20 333 822 |
| <b>Gminy</b>                     | 6 950 294  | 7 772 000  | 8 776 081  | 9 680 762  | 10 882 089 | 12 315 184 |
| <b>Miasta na prawach powiatu</b> | 4 657 834  | 5 224 341  | 5 917 246  | 6 355 893  | 7 042 180  | 7 904 967  |

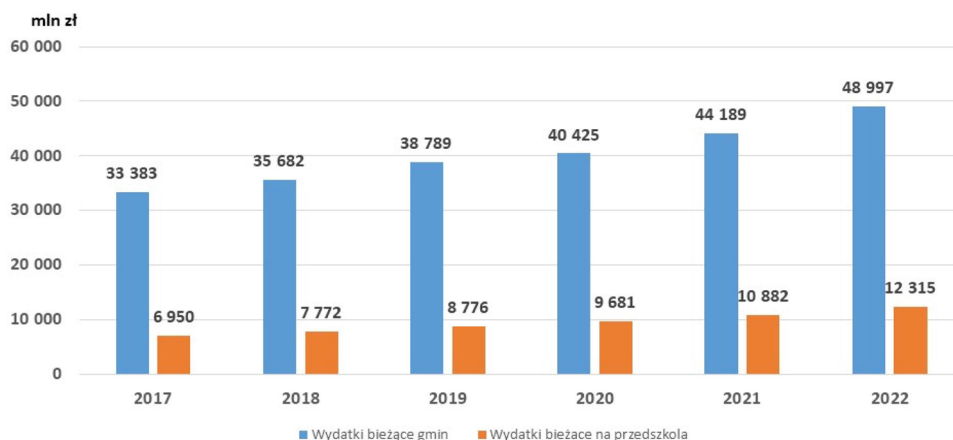
Źródło: opracowanie własne na podstawie baz danych Rb-28S ([www.mf.gov.pl](http://www.mf.gov.pl))

Na wykresach 6, 7 i 8 przedstawiono kolejno wydatki na wychowanie przedszkolne w relacji do wydatków bieżących na zadania oświatowe w kraju, w gminach i miastach na prawach powiatu.



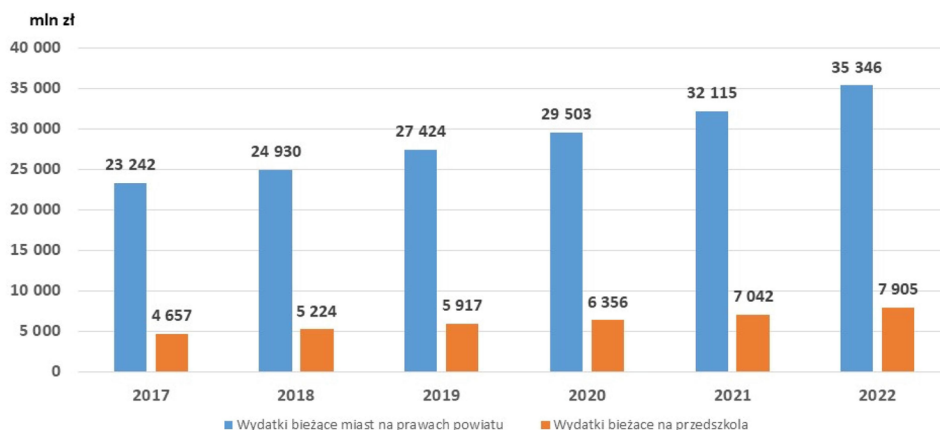
**Wykres 6.** Wydatki bieżące na zadania oświatowe a wydatki na wychowanie przedszkolne w JST w kraju

Źródło: opracowanie własne na podstawie baz danych Rb-28S ([www.mf.gov.pl](http://www.mf.gov.pl))



**Wykres 7.** Wydatki bieżące na zadania oświatowe a wydatki na wychowanie przedszkolne w gminach

Źródło: opracowanie własne na podstawie baz danych Rb-28S ([www.mf.gov.pl](http://www.mf.gov.pl))

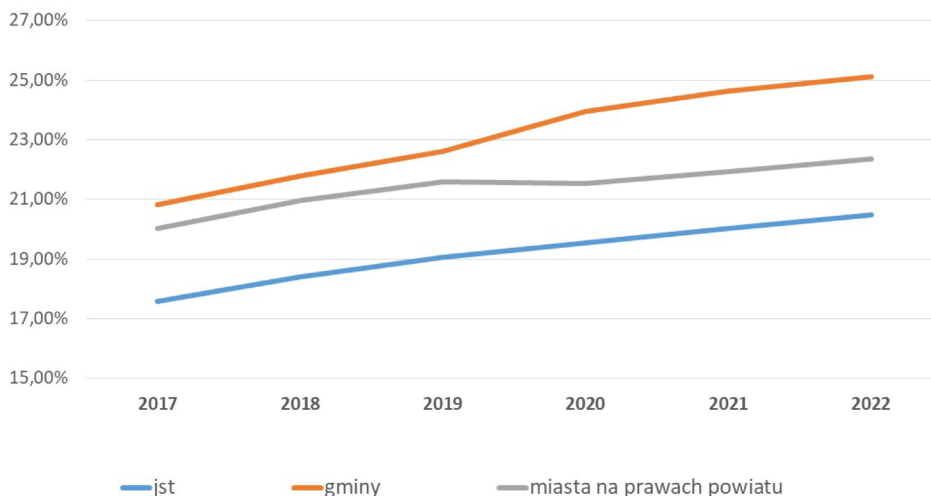


**Wykres 8.** Wydatki bieżące na zadania oświatowe a wydatki na wychowanie przedszkolne w miastach na prawach powiatu

Źródło: opracowanie własne na podstawie baz danych Rb-28S ([www.mf.gov.pl](http://www.mf.gov.pl))

Wydatki na zadania przedszkolne wykazują tendencję wzrostową. Na przestrzeni lat 2017–2022 w skali kraju wzrosły o 74,5%. Największy wzrost odnotowano w gminach o 77,2%, zaś w miastach na prawach powiatu wzrost wyniósł 69,7%.

Na wykresie 9 przedstawiono udział wydatków bieżących na wychowanie przedszkolne w wydatkach bieżących JST, gmin oraz miast na prawach powiatu.



**Wykres 9.** Procentowy udział wydatków bieżących na wychowanie przedszkolne w wydatkach bieżących na zadania oświatowe

Źródło: opracowanie własne na podstawie baz danych RB-28 S ([www.mf.gov.pl](http://www.mf.gov.pl))

Udział wydatków bieżących na wychowanie przedszkolne w wydatkach bieżących JST, gmin i miast na prawach powiatu na zadania oświatowe rośnie. W wydatkach oświatowych JST wydatki na wychowanie przedszkolne przekroczyły 20%, w gminach 25%, a w miastach na prawach powiatu 22%.

### **Źródła finansowania wydatków bieżących na wychowanie przedszkolne i ich procentowy udział w ponoszonych wydatkach**

Źródłami finansowania wydatków bieżących na wychowanie przedszkolne są:

1. Dochody z budżetu państwa:
  - subwencja oświatowa naliczana na: dzieci 6-letnie odbywające roczne przygotowanie przedszkolne, dzieci posiadające orzeczenie o potrzebie kształcenia specjalnego w wieku przedszkolnym, na nauczycieli specjalistów, o których mowa w art. 42 ust. Karty Nauczyciela,
  - dotacja przedszkolna;
2. Środki unijne;
3. Dochody od rodziców z tytułu odpłatności za korzystanie z wychowania przedszkolnego i z tytułu opłat za wyżywienie;
4. Dochody własne JST.

W 2022 r. źródłem dochodów były również środki z Funduszu Pomocy dla dzieci ukraińskich. W formie tabel 3, 4 i 5 przedstawiono procentowy udział poszczególnych źródeł finansowania przedszkoli.

**Tabela 3.** Źródła finansowania wydatków bieżących na wychowanie przedszkolne w gminach i ich procentowy udział w ponoszonych wydatkach

| Wyszczególnienie   | 2017  | 2018  | 2019  | 2020  | 2021  | 2022  |
|--|-------|-------|-------|-------|-------|-------|
| Subwencja na dzieci 6-letnie   | 15,02 | 14,78 | 14,12 | 12,90 | 12,07 | 11,10 |
| Subwencja na dzieci z orzeczeniami o potrzebie kształcenia specjalnego | 7,12  | 7,44  | 7,70  | 7,62  | 7,32  | 7,72  |
| Dotacja przedszkolna   | 11,90 | 11,17 | 10,33 | 9,87  | 9,03  | 8,60  |
| Środki unijne  | 0,81  | 0,93  | 0,80  | 0,64  | 0,44  | 0,29  |
| Wpływy z opłat za korzystanie z wychowania przedszkolnego              | 1,58  | 1,44  | 1,30  | 0,77  | 1,01  | 1,02  |
| Wpływy z opłat za wyżywienie   | 2,14  | 2,14  | 2,14  | 1,39  | 1,91  | 2,15  |

|  |       |       |       |       |       |       |
|--|-------|-------|-------|-------|-------|-------|
| <b>Subwencja naliczona na nauczycieli specjalistów</b> | -     | -     | -     | -     | -     | 1,56  |
| <b>Fundusz Pomocy dla dzieci ukraińskich</b>           | -     | -     | -     | -     | -     | 1,02  |
| <b>Dochody własne gminy</b>                            | 61,43 | 62,10 | 63,61 | 66,81 | 68,22 | 66,54 |

Źródło: opracowanie własne na podstawie danych Ministerstwa Finansów, sprawozdań z wykonania budżetu państwa za lata 2017–2022, informacji o wykonaniu budżetów JST za lata 2017–2022, baz danych Rb-27 S ([www.mf.gov.pl](http://www.mf.gov.pl)) oraz danych z Ministerstwa Edukacji Narodowej

**Tabela 4.** Źródła finansowania wydatków bieżących na wychowanie przedszkolne w miastach na prawach powiatu i ich procentowy udział w ponoszonych wydatkach

| <b>Wyszczególnienie</b>   | <b>2017</b> | <b>2018</b> | <b>2019</b> | <b>2020</b> | <b>2021</b> | <b>2022</b> |
|---|-------------|-------------|-------------|-------------|-------------|-------------|
| <b>Subwencja na dzieci 6-letnie</b>   | 8,20        | 8,79        | 8,56        | 8,17        | 7,86        | 7,34        |
| <b>Subwencja na dzieci z orzeczeniami o potrzebie kształcenia specjalnego</b> | 10,55       | 11,05       | 11,13       | 11,36       | 11,01       | 11,64       |
| <b>Dotacja przedszkolna</b>   | 9,98        | 9,27        | 8,53        | 8,37        | 7,71        | 7,20        |
| <b>Środki unijne</b>  | 0,21        | 0,35        | 0,16        | 0,11        | 0,11        | 0,07        |
| <b>Wpływy z opłat za korzystanie z wychowania przedszkolnego</b>              | 1,88        | 1,36        | 1,17        | 0,72        | 0,92        | 0,92        |
| <b>Wpływy z opłat za wyżywienie</b>   | 1,47        | 1,36        | 1,71        | 1,09        | 1,44        | 1,53        |
| <b>Subwencja naliczona na nauczycieli specjalistów</b>                        | -           | -           | -           | -           | -           | 1,41        |
| <b>Fundusz Pomocy dla dzieci ukraińskich</b>                                  | -           | -           | -           | -           | -           | 1,51        |
| <b>Dochody własne miast na prawach powiatu</b>                                | 67,71       | 67,82       | 68,74       | 70,18       | 70,95       | 68,38       |

Źródło: opracowanie własne na podstawie danych Ministerstwa Finansów, sprawozdań z wykonania budżetu państwa za lata 2017–2022, informacji o wykonaniu budżetów JST za lata 2017–2022, baz danych Rb-27 S ([www.mf.gov.pl](http://www.mf.gov.pl)) oraz danych z Ministerstwa Edukacji Narodowej

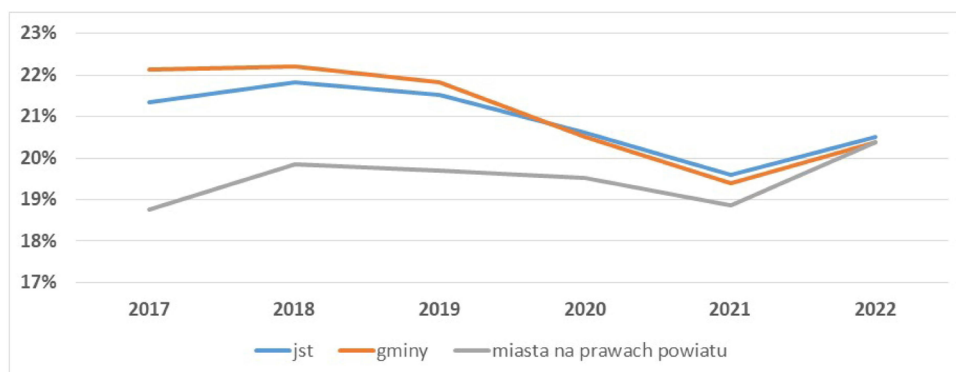
**Tabela 5.** Źródła finansowania wydatków bieżących na wychowanie przedszkolne we wszystkich JST w kraju i ich procentowy udział w ponoszonych wydatkach

| Wyszczególnienie   | 2017  | 2018  | 2019  | 2020  | 2021  | 2022  |
|--|-------|-------|-------|-------|-------|-------|
| Subwencja na dzieci 6-letnie   | 12,26 | 12,35 | 11,85 | 11,00 | 10,39 | 9,34  |
| Subwencja na dzieci z orzeczeniami o potrzebie kształcenia specjalnego | 9,08  | 9,47  | 9,67  | 9,62  | 9,21  | 9,69  |
| Dotacja przedszkolna   | 11,07 | 10,37 | 9,56  | 9,23  | 8,50  | 8,02  |
| Środki unijne  | 0,58  | 0,71  | 0,55  | 0,45  | 0,32  | 0,20  |
| Wpływ z opłat za korzystanie z wychowania przedszkolnego               | 1,70  | 1,41  | 1,24  | 0,75  | 0,97  | 0,98  |
| Wpływ z opłat za wyżywienie  | 1,86  | 1,82  | 1,95  | 1,26  | 1,72  | 1,90  |
| Subwencja naliczona na nauczycieli specjalistów                        | -     | -     | -     | -     | -     | 1,47  |
| Fundusz Pomocy dla dzieci ukraińskich                                  | -     | -     | -     | -     | -     | 1,23  |
| Dochody własne wszystkich JST w kraju                                  | 63,45 | 63,87 | 65,18 | 67,69 | 68,89 | 67,17 |

Źródło: opracowanie własne na podstawie danych Ministerstwa Finansów, sprawozdań z wykonania budżetu państwa za lata 2017–2022, informacji o wykonaniu budżetów JST za lata 2017–2022, baz danych Rb-27 S ([www.mf.gov.pl](http://www.mf.gov.pl)) oraz danych z Ministerstwa Edukacji Narodowej

W latach 2017–2021 udział dochodów własnych JST w wydatkach na wychowanie przedszkolne wzrastał zarówno w skali kraju, jak również w gminach i w miastach na prawach powiatu. W 2022 r. udział ten zbliżył się do poziomu roku 2020, a w przypadku miast na prawach powiatu do poziomu roku 2019 z uwagi na wprowadzenie subwencji na nauczycieli specjalistów zatrudnionych w przedszkolach, o których mowa w art. 42 d ustawy Karta Nauczyciela oraz z uwagi na przekazanie jednostkom samorządu terytorialnego środków z Funduszu Pomocy dla dzieci ukraińskich korzystających z przedszkoli.

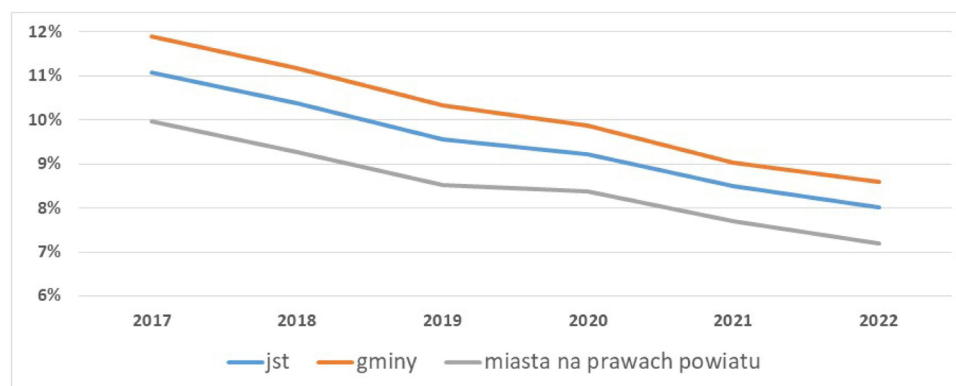
W formie wykresu 10 przedstawiono udział subwencji oświatowej (na dzieci 6-letnie, dzieci z orzeczeniami o potrzebie kształcenia specjalnego oraz naliczonej na nauczycieli specjalistów) w wydatkach bieżących na wychowanie przedszkolne.



**Wykres 10.** Procentowy udział subwencji oświatowej w wydatkach bieżących na wychowanie przedszkolne

Źródło: opracowanie własne na podstawie danych Ministerstwa Finansów, sprawozdań z wykonania budżetu państwa za lata 2017–2022, informacji o wykonaniu budżetów JST za lata 2017–2022 ([www.mf.gov.pl](http://www.mf.gov.pl)) oraz danych z Ministerstwa Edukacji Narodowej

Na przestrzeni lat 2017–2022 udział subwencji oświatowej w wydatkach na wychowanie przedszkolne znacząco ulega zmianie. W największym stopniu dotyczy to gmin. W 2017 r. subwencja oświatowa w gminach pokryła 22,14% wydatków na zadania oświatowe, w 2021 r. 19,39%, zaś w roku 2022 – 20,38%.



**Wykres 11.** Procentowy udział dotacji przedszkolnej w wydatkach na wychowanie przedszkolne

Źródło: opracowanie własne na podstawie danych Ministerstwa Finansów, sprawozdań z wykonania budżetu państwa za lata 2017–2022, informacji o wykonaniu budżetów JST za lata 2017–2022 ([www.mf.gov.pl](http://www.mf.gov.pl)) oraz danych z Ministerstwa Edukacji Narodowej

W latach 2017–2022 udział dotacji przedszkolnej w wydatkach bieżących na wychowanie przedszkolne systematycznie się zmniejsza zarówno w skali kraju, jak i w gminach oraz miastach na prawach powiatu.

## Podsumowanie

Na przestrzeni ostatnich lat nastąpił duży rozwój wychowania przedszkolnego. W latach 2017–2022 wskaźnik upowszechnienia wzrósł z 86,4% do 94,9%. Wydatki bieżące na zadania oświatowe realizowane przez JST stale rosną. Dochody z budżetu państwa z tytułu subwencji oświatowej i dotacji celowych w działach 801 Oświata i wychowanie i 854 Edukacyjna opieka wychowawcza w mniejszym stopniu pokrywają ponoszone przez JST wydatki. Z roku na rok rośnie zatem udział dochodów własnych JST w wydatkach na zadania oświatowe. Udział ten największy jest od 2020 r. w gminach. W 2020 r. wyniósł 40,01%, w 2021 r. 42,25%, a w 2022 r. 45,2%.

Znaczący udział w wydatkach oświatowych gmin i miast na prawach powiatu, mają wydatki na wychowanie przedszkolne, ich udział w gminach przekroczył 25%. Wydatki te mają tendencję wzrostową, w okresie 2017–2022 największy ich wzrost odnotowano w gminach, aż o 77%.

Wprowadzone doraźnie środki finansowe transferowane z budżetu państwa na zadania w zakresie wychowania przedszkolnego w coraz mniejszym stopniu pokrywają ponoszone na ten cel wydatki. W skali kraju subwencja oświatowa na dzieci 6-letnie w 2017 r. pokryła 12,26% wydatków poniesionych na przedszkola, a w 2022 r. tylko 9,34%, choć liczba dzieci w tym wieku korzystających z wychowania przedszkolnego wzrosła z 329 976 w roku 2017 do 400 957 w 2022 r. Mniejszego znaczenia nabrała również dotacja przedszkolna. W 2017 r. pokryła 11,07% wydatków na wychowanie przedszkolne, a w 2022 r. 8,02%. W największym stopniu zmalał stopień pokrycia wydatków na wychowanie przedszkolne ze środków transferowanych z budżetu państwa w gminach. Znaczenie subwencji oświatowej na dzieci 6-letnie w okresie 2017–2022 zmalało z 15,02% do 11,1%, zaś dotacji przedszkolnej z 11,9% do 8,6%.

Ponadto zauważyć należy, iż transferowane środki z budżetu państwa na wychowanie przedszkolne są rozproszone i mają różny charakter (subwencja oświatowa, dotacja przedszkolna), co utrudnia prowadzenie gospodarki finansowej.

Główny ciężar realizacji zadań w zakresie wychowania przedszkolnego nadal spoczywa na gminach. Udział środków z dochodów własnych gmin, kierowanych na wychowanie przedszkolne w kolejnych latach rośnie, w 2022 r. wyniósł 66,5%.

Wysoki udział dochodów własnych JST w realizacji zadań oświatowych świadczy nie tylko o niedoszacowanej subwencji oświatowej na zadania, które ta subwencja obejmuje, ale również o braku właściwego instrumentu finansującego wychowanie przedszkolne.

W opisanej sytuacji należy dążyć do urealnienia nakładów finansowych na oświatę, ponoszonych z budżetu państwa. W ramach urealnienia zasadne byłoby objęcie w „całości” wychowania przedszkolnego częścią oświatową subwencji ogólnej, bądź innym jednolitym instrumentem finansowym. Tymczasem w budżecie państwa na 2024 r. zwiększono dotację celową na wychowanie przedszkolne z tytułu wdrożenia 30% podwyżki płac dla nauczycieli stosując kolejny raz wyłącznie doraźne rozwiązanie.



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## GENDER RELATIONS TRANSFORMATION DURING THE EARLY INDUSTRIALIZATION

### *Transformacja relacji płciowych na wczesnym etapie industrializacji*

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#### **Streszczenie**

*Celem tego artykułu jest wyjaśnienie pozycji Ukrainy w stosunku do krajów rozwiniętych na trajektorii rozwoju społecznego według etapów kształtowania się komponentu płciowego społeczeństwa powszechnego dobrobytu oraz wzmacniania liberalno-demokratycznego wektora polityki politycznej. W procesie badawczym wykorzystano funkcję Cobba-Douglasa oraz metody ilościowe, graficzne, wizualizacyjne i regresyjne. Postęp stosunków płci w społeczeństwie na etapie industrializacji jest uważany za funkcję PKB na osobę – jako uogólnienie postępu w szeregu aspektów życia gospodarczego i politycznego, które promują wyrównywanie szans kobiet i mężczyzn. Uzyskane wyniki świadczą o tym, że Ukraina charakteryzowała się nie tylko niższym poziomem dzietności, ale także większym potencjałem społeczeństwa do przekształcenia strukturalnych zmian industrializacji (wzrost przemysłowego sektora pracy najemnej i udziału ludności miejskiej) w impuls zwiększenia zaangażowania kobiet w życie publiczne i zmniejszenie ich „specjalizacji” w czynnościach związanych wyłącznie z urodzeniem i wychowaniem dzieci oraz produkcją gospodarstwa domowego. Model uzyskany według danych Ukrainy świadczy o większym potencjale społeczeństwa ukraińskiego do przekształcenia nawet skromnych sukcesów industrializacji w impuls do ewolucji relacji płci i zmniejszenia specjalizacji kobiet jedynie w funkcjach rodzenia i wychowania dzieci.*

**Słowa kluczowe:** *płeć, industrializacja, płodność, badania porównawcze, nierówność płci*

#### **Summary**

The purpose of this article is to clarify the position of Ukraine in relation to the developed countries on the trajectory of social development according to the stages of the formation of the gender component of the general welfare society and the strengthening of the liberal-democratic vector of political life. Cobb-Douglas

function and such methods as quantitative, graphic, visualization, and regression were used in the research process. The progress of gender relations in society during the industrialization stage is considered as a function of GDP per person – as a generalization embodiment of progress in a range of aspects of economic and political life that promote equalizing opportunities for women and men. The obtained results evidence that Ukraine was characterized not only by lower levels of fertility but also by a greater potential of society to transform the structural shifts of industrialization (the growth of the industrial labor sector for hire and the share of urban population) into the impulse to expand women involvement in public life and reduce their “specialization” in activities related only to the birth and upbringing of children and household’s maintenance. The model obtained according to the data of Ukraine testifies to the greater potential of Ukrainian society to transform even modest successes of industrialization into an impetus for the evolution of gender relations and the reduction of women’s specialization only in the functions of birth and upbringing of children.

**Key words:** gender, industrialization, fertility, comparative research, gender inequality

## **Introduction**

Comparative studies of the gender relations’ long-term development make it possible to clarify the positioning of countries in the processes of progressive social development, to evaluate the comparability of the main quantitative characteristics of gender relations, because at different stages of the evolution of social systems, in the context of various tasks solved by societies, the same indicators acquire fundamentally different meanings. Accordingly, this article is devoted to the comparison of the gender relations evolution in Ukraine and Russia with a group of Western countries, in the context of determining the general and specific features of the evolution of gender relations and clarifying the historical prerequisites of the current radical divergence of the gender issues positioning in the social and political life of Ukraine and Russia. This should make it possible to achieve a more realistic view on the tasks and problems solved in different countries and specify the possibilities of using the experience of developed countries in the process of political influence on the evolution of gender relations in Ukraine. It will also contribute to clarifying the place of the gender equality policy in ensuring the stability of the liberal-democratic choice of Ukraine in the conditions of the war with Russia.

## **Literature review**

The theoretical basis of a retrospective study of the gender relations evolution in Ukraine and Russia against the background of the trend set by the leaders of

industrialization in the late 19<sup>th</sup> and early 20<sup>th</sup> centuries is the concept of rational (economically motivated) behavior of social agents, which allows identifying objective (resource, structural) factors, affecting the prevalence of certain patterns of behavior among men and women<sup>1</sup>. Such factors, accordingly, determine the differences in the behavior of women and men (their “specialization”), which in the pre-industrial period reduced the role of women almost exclusively to work within households, and in the period of early industrialization, the lion’s share of their activity was subordinated to the birth and upbringing of children, which was expressed by the downward segment of the U-shaped curve of women’s economic activity<sup>2,3</sup>. Then, the progress of gender relations in society is considered as a function of progress in certain aspects of economic or political life that are key to equalizing the opportunities of women and men – such as the expansion of women’s employment opportunities outside the household (which increases the opportunity costs of additional births), or the reduction of dependence on land inheritance, which undermines the strategy of providing for the old, based on the large number of children in the family<sup>4,5</sup>. The general characteristics of this methodology can be seen in the work<sup>6</sup> “(...) we place our analysis within an economic theoretical framework, which is broadened to incorporate family care; but we take a multidisciplinary approach, adding demographic and sociological perspectives to our analysis”.

From such vision of the agents’ behavior motivation and such approach to expressing the patterns of their behavior, not only the basic theoretical models of the gender relations transformation originate, but also the variability of such models as society progresses<sup>7,8</sup>.

The conceptual principle of integrating the study of gender relations into the model of long-term development is the fundamental influence of the growth of the society’s economic opportunities, the transformation of the employment sphere and structure of economic activity in general, on the nature of gender relations and the specificity of tasks, the solution of which allows society to respond to the specific challenges of the gender equality principles implementing, emerging in a certain

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<sup>1</sup> N. Folbre, *Of Patriarchy Born: The Political Economy of Fertility Decisions*, “Center Discussion Paper” 1980; 350.

<sup>2</sup> M. Stanfors, F. Goldscheider, *The forest and the trees: Industrialization, demographic change, and the ongoing gender revolution in Sweden and the United States, 1870-2010*, “Demographic Research” 2017; 36: 173-226.

<sup>3</sup> L.R. Ngai, C. Olivetti, D. Petrongolo, *Structural Transformation over 150 years of Women’s and Men’s Work*, “Working Paper” 2022.

<sup>4</sup> C. Olivetti, *The female labor force and long-run development: the American experience in comparative perspective*, Boston University and NBER, 2013.

<sup>5</sup> C. Olivetti, E. Patacchini, Y. Zenou, *Mothers, peers and gender-role identity*, “IFN Working Paper” 2019; 1295: 1-43.

<sup>6</sup> M. Stanfors, F. Goldscheider, *The forest and the trees...* op. cit.

<sup>7</sup> H. Cheng, W. Luo, S. Si et al, *Global trends in total fertility rate and its relation to national wealth, life expectancy and female education*, “BMC Public Health” 2022; 22: 1346.

<sup>8</sup> R.A. Easterlin, *The worldwide standard of living since 1800*, “Journal of Economic Perspectives” 2000; 14(1): 7-26.

stage of development<sup>9,10,11</sup>. Accordingly, to reflect the conditions and achievements of the gender relations development at different stages of this process, different characteristics are used: both in relation to the achieved socio-economic prerequisites for the development of gender relations, and in reference to the indicators of the level of development, the success of the gender relations evolution. It is not just about changing the desired size of the target characteristics, but about updating the most important indicators of gender development, relevant to the specifics of each stage. For the period of early industrialization, the fertility level was traditionally used as a leading characteristic of the gender relations evolution<sup>12,13</sup>, because the average birth rate of about 5 children per woman makes it practically impossible to diversify the areas of women's activity outside of family responsibilities and care for children. In addition, however, the fertility rate also acts as an indicator of the availability of alternative opportunities open to women in society: its reduction is an indirect evidence of the "increase in the opportunity cost of having children", which occurs when employment opportunities for women expand, and artificial restrictions on their activity in the political sphere are removed, the activities of commercial, governmental or civic structures become more adapted to the needs of women<sup>14,15</sup>.

The first stage of the gender relations transformation along the industrialization coincides with the decline segment of the well-known U-shaped curve of women's involvement in formal economic activity<sup>16,17,18</sup>. This is the stage when the increase in productivity and income is accompanied by a decrease in the participation of women in formal employment, and the consolidation of women's activities in the sphere of unpaid labor in the household, and the role of the wage earner for the men, respectively, was considered practically as the "final stage of intra-family division of labor". We use the following quote to illustrate how radical the differences were between the expectations regarding the participation of women in economic and political life and the real achievements of the movement for gender equality "How, then, did the separate spheres arise and take on such power that the dominant social theorists of the family in the 1950s and 1960s, e.g., the economist Becker and the sociologist Parsons, reinforced by their psychological contemporaries' interpretation of Freud, assumed that this gender structure was necessary? So much so that another major sociological theorist of that era, William Goode, who actually examined industrialization and

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<sup>9</sup> C. Goldin, *Understanding the gender gap: an economic history of American women*. National Bureau of Economic Research, Oxford University Press, New York 1990.

<sup>10</sup> R.A. Easterlin, *The worldwide standard...* op. cit.

<sup>11</sup> N. Folbre, *Of Patriarchy Born...* op. cit.

<sup>12</sup> *World Economic Outlook, Chapter V: The world economy in the twentieth century*, International Monetary Fund 2000.

<sup>13</sup> M. Stanfors, F. Goldscheider, *The forest and the trees...* op. cit.

<sup>14</sup> *Ibidem*.

<sup>15</sup> N. Folbre, *Of Patriarchy Born...* op. cit.

<sup>16</sup> C. Olivetti, *The female labor...* op. cit.

<sup>17</sup> L.R. Ngai, C. Olivetti, D. Petrongolo, *Structural Transformation...* op. cit.

<sup>18</sup> C. Olivetti, E. Patacchini, Y. Zenou, *Mothers, peers and gender...* op. cit.

family change, posited that with industrialization, family structures and activities would converge from great heterogeneity toward a homogeneous end point, the nuclear family with 1950s gender roles<sup>19</sup>.

The relationship between fertility (as an indicator of the gender relations development) and productivity and income (as an indicator of the increase in the production potential of an industrial economy) is revealed in the literature through the family's desire to maximize utility during life<sup>20,21</sup>. Then, the decisions of parents engaged in agricultural production regarding the number of children are formed as a decision regarding the formation of an asset that compensates for the reduction of physical strength at the stage of old age. Accordingly, if the additional costs associated with the birth of a child are relatively low (in the absence of investments in education and health care, they are reduced almost exclusively to food costs), and the probability of involving an adult child in the family economy is high, then the model of reproduction with high birth rate (which practically excludes women's participation in any social functions other than reproductive) and high infant mortality becomes a justified strategy for maintaining an acceptable level of well-being throughout the life span<sup>22,23,24</sup>. At the same time, the high probability of involving children in the family farm (as a critically important condition for the justification of such strategy) is based on the ownership of the parents (mainly the father) on a critically important asset which is land. The transfer of an asset to children is conditioned by their participation in the family economy, which provides "reliability of commitment"<sup>25</sup>, and the critical importance of land as the basis of economic activity guarantees the sustainability of such a pattern of behavior.

Accordingly, industrialization transforms this model of reproduction through two interrelated aspects: changes in employment from agrarian to industrial (with the spread of the wage labor relations) and changes in the primary community from rural communities to urban settlements and, in particular, the growth of the population of large cities, which becomes the "heart of urbanization processes"<sup>26</sup>.

Key conditions and characteristics of such transformations change over a long retrospective period, and we will distinguish three stages that are qualitatively different in the tasks of gender development, their place in the system of socio-economic progress and the resulting outcomes.

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<sup>19</sup> M. Stanfors, F. Goldscheider, *The forest and the trees...* op. cit.

<sup>20</sup> *Ibidem*.

<sup>21</sup> N. Folbre, *Of Patriarchy Born...* op. cit.

<sup>22</sup> J.C. Chesnais, *The Demographic Transition: Stages, Patterns, and Economic Implications*, Clarendon Press, Oxford 1992.

<sup>23</sup> J. De Vries, *The Industrious Revolution: Consumer Behavior and the Household Economy, 1650 to the Present*, Cambridge University Press, Cambridge 2008.

<sup>24</sup> C. Olivetti, *The female labor...* op. cit.

<sup>25</sup> D.C. North, J.J. Wallis, B.R. Weingast, *Violence and Social Orders: A Conceptual Framework for Interpreting Recorded Human History*, Cambridge University Press, Cambridge 2009.

<sup>26</sup> J.R. Rosés, N. Wolf, *Regional economic development in Europe, 1900-2010: A description of the patterns*, "Economic History Working Papers" 2018; 278.

The first stage of the transformation is the formation of the prerequisites for the demographic transition. Above, in the analysis of the literature, we mentioned a number of studies that outline both the general model of gender development at this stage and the specific features of its progress in different countries. Despite regional variations, these studies have identified a common vision of the general logic of gender relations transformation at the stage of industrialization. This vision suggests that the growth of productivity and income will lead to a reduction in fertility.

The second stage of the gender relations evolution is the stage of expansion of the female employment and economic activity sphere, the main driving forces of which are the expansion of the “service economy” and the formation of the number of the group of “white-collar workers” engaged mainly in intellectual work<sup>27, 28</sup>. During this period, important “related tasks” are solved, the success of countries in solving them, in our opinion, determines their positioning around the trend “GDP per capita – involvement of women in the workforce” – the classic U-shaped curve of the women’s economic activity dependence on GDP per capita<sup>29</sup>. In particular, the elimination of discrimination against women in terms of wages and social protection guarantees, equalizing women’s and men’s access to opportunities to invest in human capital, both through equalizing access to education and improving access to on-the-job training<sup>30</sup>. This is the initial stage that coincides with the growing part of the U-shaped curve representing women’s involvement in economic activity. The leading characteristics of achievements in the field of gender equality at this stage are indicators of women’s participation in the workforce and the educational level of women and men<sup>31, 32</sup>.

Finally, the third stage is the stage of blurring the sectors of “male” and “female” employment, which is accompanied by the intensification of women’s participation in political life and the functioning of civil society institutions. At this stage, both the horizontal (interprofessional distribution of the number of employed women and men) and vertical (the excess of the specific number of men over the specific number of women in the personnel employed at higher levels of the professional hierarchy is reduced) labor distributions are gradually equalized. Accordingly, within the third stage, the component of the gender pay gap is reduced, which is explained by the mix of workplace characteristics and employee qualifications<sup>33</sup>. In the basic model of the U-shaped curve of women’s involvement in economic activity, this stage is characterized by a blurring of the connection between the growth of productivity and incomes

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<sup>27</sup> C. Olivetti, *The female labor...* op. cit.

<sup>28</sup> L.R. Ngai, C. Olivetti, D. Petrongolo, *Structural Transformation...* op. cit.

<sup>29</sup> ILO, *Women at Work in G20 countries: Progress and policy action*. Japan’s G20 Presidency 2019.

<sup>30</sup> *Ibidem*.

<sup>31</sup> J.C. Gornick, J.A. Jacobs, *Gender, the welfare state, and public employment: a comparative study of seven industrialized countries*, “*American Sociological Review*” 1998; 63(5): 688-710.

<sup>32</sup> B.R. Chiswick, R.H. Robinson, *Women at work in the United States since 1860: an analysis of unreported family workers*, “*IZA Discussion Paper*” 2021; 14449.

<sup>33</sup> F.D. Blau, M.A. Feber, A.E. Winkler, *The Economics of Women, Men, and Work*, Oxford University Press, Oxford 2017.



and the achievements of society regarding the integration of women into all spheres of social life: the differentiation of indicators of the gender relations development between countries is determined to a lesser extent by the differences in productivity and incomes, and, additionally, by cultural and socio-political factors, for example, the model of the general welfare society and the features of the national employment policy<sup>34,35</sup>. It is evident that at this stage the indicators of the development of gender relations also change: the average fertility rate (which mostly does not even reach second level in the studied countries) can rather characterize society's ability to provide conditions for a harmonious combination of reproductive functions with realization in the field of professional activity. And the indicators of women's representation in the management bodies of commercial and political organizations acquire priority importance, together with the gender sensitivity of the programs and policies of authorities and commercial structures<sup>36</sup>.

## Methods

The aim of the article is to clarify the position of Ukraine in relation to the developed countries on the trajectory of social development according to the stages of the formation of the gender component of the general welfare society and the strengthening of the liberal-democratic vector of political life. Since developed countries' experience in the implementation of gender equality policy is an important reference point for solving the current tasks of Ukrainian society, such clarification should provide a better understanding of the opportunities and obstacles of applying the experience and recommendations of the Western countries (importing institutions) for strengthening the institutional capacity of women, and women's organizations and support the implementation of gender-sensitive procedures and practices in the activities of local and central authorities. This, in turn, will contribute to the stability of Ukraine's liberal-democratic choice, despite the pressure of the war with Russia, as we will endeavor to demonstrate.

We claim that the achievements of a certain country regarding the development of gender relations and approaching the best practices of gender equality should be considered in the context of its specific resources, structural and institutional conditions of social life. In particular, the substantiation of tasks, levers, and methods of ensuring the full participation of women in economic and political life relevant for a certain society (at a certain stage of its development) should take into account such key characteristics as the sectoral and technological structure of the national economy and employment; the level, sources of income and quality of life of the major of population; the structure of political markets, models of human potential reproduction, etc. We will try to substantiate, first of all, the presence of historical

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<sup>34</sup> G. Esping-Andersen, *The three worlds of welfare capitalism*, Polity Press 1990.

<sup>35</sup> J.C. Gornick, J.A. Jacobs, *Gender, the welfare state...* op. cit.

<sup>36</sup> ILO, *Women at Work in G20 countries: Progress...* op. cit.

logic, internal organicity, immanence of the implementation of the gender equality principles in the programs and policies of the Ukrainian authorities during the war and at the stage of post-war recovery. Secondly, the presence of indicators of divergence in the trajectory of the gender relations development in Russia and Ukraine at the stages of “turning points” according to<sup>37</sup> – historical periods when society’s reaction to radical changes in technological or political determinants of social life have determined the subsequent direction of development. In particular, we expect to identify the signs of the gender relations divergence in Russia and Ukraine in the processes of industrialization at the end of the 19<sup>th</sup> and the beginning of the 20<sup>th</sup> centuries. Such a vision will allow us to interpret the current events as a “second divergence” in the evolution of gender relations in Russia and Ukraine: the first one took place in the period of early “pre-Soviet” industrialization. The second is happening already in the 21<sup>st</sup> century, in the process of military confrontation, in which Ukraine fights to protect its European choice with the importance of gender equality inherent to the system of priorities of the social and political life of European countries.

Differentiation of similar indicators between countries in our research is interpreted based on the fact that the aggregated trend (functional fertility dependence on GDP per capita based on the data of all 15 countries covered by the sample) expresses the common functional dependence of gender development achievement indicators on resource and structural factors for all countries (for example, the size of GDP per person, the share of the urban population, the share of people employed in industry or services, etc.). In turn, the deviation of individual countries’ indicators from the trend is interpreted as the result of the institutional specifics of a certain country, considered as a “residue not explained by resource and structural factors”, which is determined by the specifics of national institutions.

Thus, positive deviations of the actual indicators from the estimated ones (the actual indicators are better than predicted by the trend) will be the basis of the assessment of the relevant national institutes as comparatively more favorable for society’s perception of the gender equality principles. Negative deviations (actual indicators are worse than predicted by the trend) will be considered as a sign of relatively unfavorable institutional conditions for society’s perception of the principles of gender equality.

Accordingly, the positioning of the indicators of Ukraine and Russia relative to the trend will be employed as the main tool of comparative analysis of the gender relations adaptation to the industrialization (renewal of technological and socio-economic conditions for the human potential realization in economic activity).

In addition, a sufficiently long retrospective period makes it possible to build individual functions of the fertility dependence on GDP per person for Ukraine and Russia. This allows us to apply a technique used to estimate the size of the gender pay gap<sup>38,39</sup>.

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<sup>37</sup> D.C. North, J.J. Wallis, B.R. Weingast, *Violence and Social Orders...* op. cit.

<sup>38</sup> F.D. Blau, L.M. Kahn, *The Gender Wage Gap: Extent, Trends, and Explanations*, “*Journal of Economic Literature*” 2017; 55(3): 789-865.

<sup>39</sup> L. Munasinghe, T. Reif, A. Henriques, *Gender gap in wage returns to job tenure and experience*, “*Labour Economics*” 2008; 15(6): 1296-1316.

By substituting the value of GDP per person of Russia into the function of Ukraine, it is possible to obtain an estimated fertility rate, the difference of which from the actual one for Ukraine will reflect the influence of resource and structural differences between countries. In turn, the remainder of the differences between the actual indicators is the influence of institutional factors not taken into account in the function.

Since the fertility rate can be interpreted as a leading indicator of the achievement in gender equality during the early industrialization phase, the dependent variable in our model is the fertility rate.

Since all the leading characteristics of the factors (prerequisites) of the gender relations evolution at the stage of early industrialization (the displacement of physically difficult agrarian labor by mechanized labor in industry, which expands employment opportunities for women; the decrease in the significance of land ownership, which increases the mobility of wage workers and forms the economic prerequisites for the transformation of marriage behavior and fertility; income growth, which allows giving priority to the “quality of children” over their quantity as a means of providing for parents in old age) are closely related to the dynamics of labor productivity and person’s income, the explanatory variable is the level of GDP per capita.

Accordingly, the general form of the model for the first stage of the gender relations evolution will look like follows:

$$F = A + \alpha \times \ln(\text{GDPpk}) + \varepsilon \quad (1)$$

Where:

- A – free element of equation, expresses a “autonomous” level of fertility independent of GDP per person dynamics;
- $\alpha$  – coefficient of the marginal change in the fertility level in response to the minimum relative growth of GDP per person;
- GDPpk – GDP per person (actual values of the explanatory variable);
- F – fertility rate (actual values of the dependent variable);
- $\varepsilon$  – stochastic component of the model.

To some extent, the model proposed by us looks similar to the apparatus of Engel’s curves: indicators of the share of expenditures on various groups of goods (which essentially characterize the standard of living, the economic capabilities of households, their ability to release resources from meeting primary needs and use them for investing in human capital through spending for education and medicine, culture and recreation, etc.) depend, first of all, on the size of income. Accordingly, the leading regularity of such a relationship, “Engel’s law”<sup>40</sup>, postulates a reduction in the share of food spending as incomes increase – the expansion of the households’ economic capabilities allows them to satisfy basic needs through spending a smaller share of their resources and direct released fund to improve their lifestyle, spending them on goods of long-term use, services, reaching a higher level of territorial and social mobility.

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<sup>40</sup> A. Chai, A. Moneta, Retrospectives: Engel curves, “Journal of Economic Perspectives” 2010; 24(1): 225-240.

Similarly, the liberation of women from hard domestic work, the expansion of their access to education and medicine occur as the limited economic capabilities of households are overcoming through industrialization achievements. Accordingly, the fundamental dependence of achievements regarding gender equality on the level of income can be the first basis for evaluating both the existing economic prerequisites for gender equality and the degree of realization of such prerequisites in the actual (achieved by a certain society at a certain moment) results regarding gender equality.

To construct individual functions of the fertility dependence on productivity and income according to the data from Ukraine and Russia, Cobb-Douglas functions were used, which showed better explanatory power than logarithmic functions:

$$Fu(r) = \alpha \times GDP^{nk} + \varepsilon \quad (2)$$

Where:

- $Fu(r)$  – fertility level for Ukraine (Russia) as a dependent variable;
- $n$  – the power (parameter to be estimated), which reflects the fertility rate elasticity on change in GDP per capita.

Actual data on fertility rates are from “Our World in Data, Gapminder Foundation”, adjusted for OECD fertility data<sup>41</sup>, refined for Russia and Ukraine according to Gladun and Romantsov<sup>42,43</sup>. The Madison Project, a dynamic series developed for the purpose of forming a database of GDP indicators per capita, ensures that the indicators are comparable in terms of both dynamics and between countries<sup>44</sup>.

Indicators for the Russian Empire and its European part are given without recalculation to exclude the indicators of the territories of current Ukraine, therefore, there is a certain “double counting”: the data on fertility and GDP per person of those territories of modern Ukraine that were part of the Russian Empire in 1885-1917, taken into account as a component of data on the Russian Empire and its European part.

Since fertility indicators are formed as a result of households’ long-term decisions, we formed a dynamic series from the average of the previous 5 years of fertility indicators and GDP per capita. This avoids the need to separate the seasonality component of the trend and its cyclical component. Since no momentary indicators are used, but rather the indicators for a period, the simple average formulas were used to obtain average values, and not the chronological average.

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<sup>41</sup> M. Roser, Fertility rate: How does the number of children vary across the world and over time? What is driving the rapid global change? Our World in Data. Online: <https://ourworldindata.org/fertility-rate>.

<sup>42</sup> O.M. Gladun, Ocinka gipotetychnykh vtrat naselennya Ukrayiny za period 1897-2012 rr, „Demografiya ta socialna ekonomika” 2013; 2(20): 147-155.

<sup>43</sup> V.O. Romantsov, Istorychna demohrafiia Ukrainy XVIII–pochatku XXI st.: spetskurs, Київ, Vyd-vo im. O. Telihy 2010.

<sup>44</sup> Maddison Project Database. Online: <https://datafinder.qog.gu.se/dataset/mad>.

It is important to distinguish the influence of structural factors of fertility. For example, if the fertility of the urban population is equal in two countries and the same fertility of the rural population is also achieved, the average total fertility level may differ significantly precisely because of the influence of structural characteristics. In a country with a higher density of rural population, the total fertility rate will be higher, as the weighting factor for rural population is larger and therefore has a higher level of fertility.

Accordingly, the average fertility rate for the country would be defined as the combined average of the fertility rates of the rural and urban population:

$$F_a = F_u \times S_{Hu} + F_r \times S_{Hu} \quad (3)$$

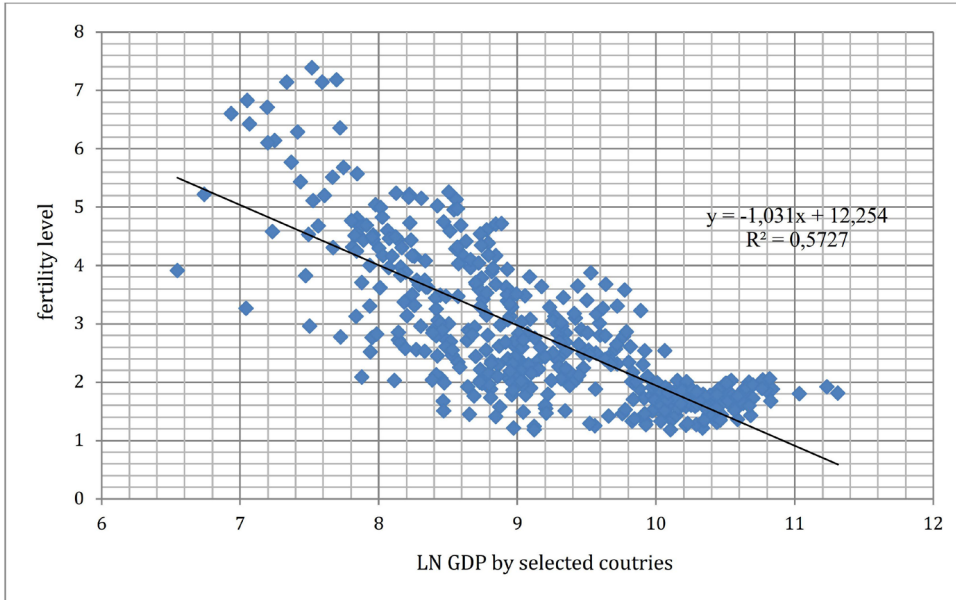
Where:

- $F_a$  – average fertility rate;
- $F_u$  – fertility rate of the urban population;
- $F_r$  – fertility rate of the rural population.

In order to eliminate the impact of the urban/rural proportions of the population, the fertility indicators of the rural and urban populations of one country can be weighted according to the specific weights of the other country. This allows for differentiation to be expressed in accordance with the actual fertility levels, provided that the population structure is identical by place of residence.

## **Results**

The aggregate function based on the data of 15 countries for the period 1881-2020 expectedly predicts a negative dependence of the fertility level on the logarithm of GDP per capita (figure 1).



**Figure 1.** The trend of “GDP per person – fertility” for 15 surveyed countries for the period 1885-2020

Source: compiled by the authors based on O.M. Gladun, *Ocinka gipotetychnykh vtrat nase-lennya... op. cit.*; V.O. Romantsov, *Istorychna demohrafiia Ukrainy XVIII... op. cit.*; Maddison Project Database... *op. cit.*

However, the distribution of the residuals (deviations of the calculated values of the dependent variable from the actual values) is not random. Three different ranges of the factor variable values with a different nature of the deviations’ distribution are rather clearly manifested, which is a sign of heteroscedasticity, i.e. the variability of the nature of the relationship between the factor and dependent variables within the used database.

The first segment, where LN GDP per capita ranges from 6,5 to 7,8, is characterized by the vast majority of actual values which are located above the trend line (the vast majority of calculated values deviations from actual are positive), and the sizes of relative deviations are high (the absolute dimensions of the fertility coefficients are the highest for this zone).

The second zone, where the value of LN GDP per capita from 7,8 to 9,8, is characterized by the most even distribution of actual values around the trend line: the density of observations located above and below the trend line is approximately the same and the size of deviations above and below the trend are previously symmetrical (the sum of the residuals approaches to zero). It is this zone that accounts for the vast majority of observations.

Finally, the third zone (value of LN GDP per capita over 9,8) is characterized by the transition of the actual data points from the positions below the trend line (the

trend overestimates the expected fertility at a given level of per capita GDP for values of LN GDP per capita around 10) to positions above the trend line (the trend is mainly underestimating the expected fertility approximately after reaching the value of the factor variable 10,5).

This nature of the distribution of the residuals of the model discussed testifies in favor of the initial hypothesis that the dependence of the fertility indicator on productivity and income is heterogeneous during the retrospective period – this thesis is actually included in the theoretical base of the study.

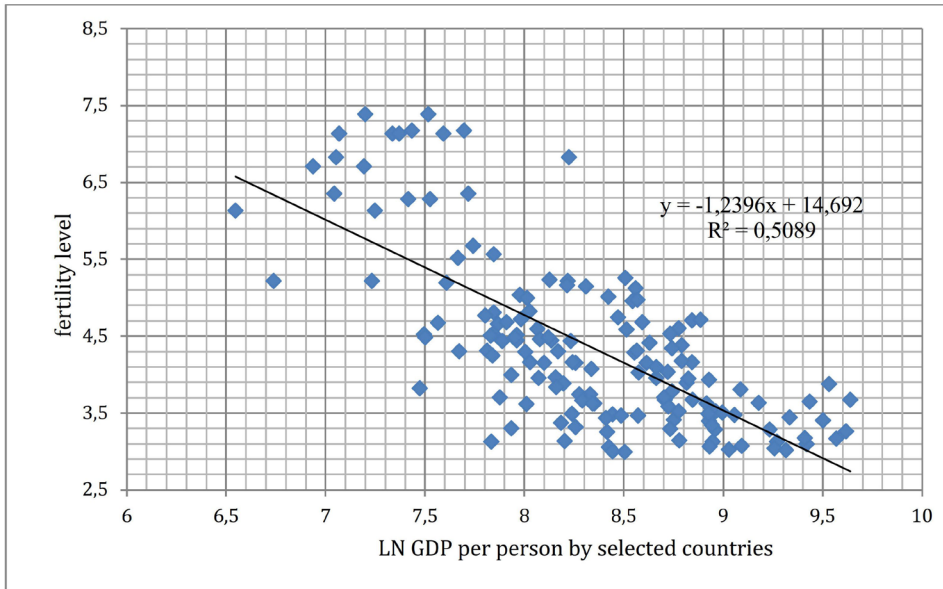
The significant functional and casual connection between certain socio-economic conditions of the gender relations evolution and the characteristics of such evolution achievements exists only within a certain historical period, against the background of the existence of a certain critical limitation for improving the situation with gender equality. During the period of industrialization and the formation of the prerequisites for the demographic transition (its second phase, when the impact of the reduction in the birth rate becomes more important than the impact of the reduction in mortality, which slows down due to the aging of the population), the dynamics of GDP per person was quite reliably correlated with all the components of the evolution of gender relations: the displacement of manual labor mechanized, agrarian employment – to industrial (minimally mobile workers, whose income generation opportunities are limited by the available land plot – to much more mobile full-time employees of the industry) and replacement of the rural population by the urban population. If the influence of short-term fluctuations is eliminated (and in our series of dynamics, the average of the previous 5 years is used), then the dynamics of all these processes is quite reliably expressed by the dynamics of GDP per capita, and the achievement of complex and contradictory processes of the gender relations evolution can be expressed by a single one (critically important) indicator of fertility decline without much loss, because neither the task of expanding opportunities for paid employment, nor the task of improving access to education become relevant in conditions when the average fertility rate fluctuates between 4 and 5. In the absence of an alternative to the women's work in the household and childcare, all other issues may concern only certain small groups of women, but the improvement of the situation with gender equality for the majority of the population is limited precisely to the level of fertility.

Accordingly, after the establishment of a modern method of reproduction in the country (with low mortality and birth rates), the connection between GDP per capita dynamics and fertility rates changes qualitatively: for countries that, since the last third of the 20<sup>th</sup> century are at a level of fertility less than the limit of natural self-reproduction, of course, the connection between GDP per capita and fertility that was observed on the stage of industrialization will not be observed.

The data were separated by years, given the expectation of a close connection between the growth of GDP per capita and the decrease in fertility, as reflected in the demographic transition model. To do this, we tested the model with different values of the “fertility level limit” from 3,5 to 2,5. Better formal parameters of model

assessments on the background of a random distribution of model residuals (constant dispersion of residuals that does not depend on the size of the explanatory variable as a sign of the absence of heteroskedasticity) were demonstrated by the function, where only observations for which the fertility level is less than 3 are included in the database. Increasing the limit above the level of fertility “3” is accompanied by a significant deterioration of F and t statistics and reducing it to a level below “3” does not allow to eliminate the signs of residuals’ dependence on the size of the factor variable.

Accordingly, it is the average fertility level of “3” that can be considered an approximate (aggregated according to the data of 15 countries included in the sample) sign of the achievement of the socio-economic prerequisites for the “demographic transition”, when structural and resource changes (economic prerequisites of the transition) lose the value of the leading factor of fertility and reproductive behavior of women is shaped by other factors, including political ones (figure 2).



**Figure 2.** “GDP per capita – fertility” trend for 15 studied countries for years when the fertility level was at least “3”

Source: compiled by the authors based on O.M. Gladun, *Ocinka gipotetychnykh vtrat nase-lennya... op. cit.*; V.O. Romantsov, *Istorychna demohrafiia Ukrainy XVIII... op. cit.*; Maddison Project Database... op. cit.

Taking into account that the total fertility level is formed as an average of two significantly differentiated components, namely the fertility rates of the urban and rural population. We have formulated a fundamental model for determining the total fertility rate. This model is based on the assumption that the average share of the urban population is equal to 40%, and that the disparity between the fertility rates of



the urban and rural populations is approximately 1.5 times greater. Thus, according to formula (3), the achievement of the general level of fertility “3” occurs when the fertility of the urban population is equal to 2,69 and the same indicator for the rural population is 4,03.

Thus, the level of fertility will serve as the first reference point for the classification of the surveyed countries according to the sequence of achievement of such reproductive behavior characteristics that enable the progress in the field of gender relations.

The vast majority of the studied countries reached a fertility level of less than “3” by 1930. In particular, during the third decade of the 20<sup>th</sup> century three Anglo-Saxon countries (the USA, Canada, Australia) stabilized fertility indicators at a level below “3”, and Great Britain demonstrated a similar trend during the five-year period 1910-1915. Germany, Norway, and Belgium reached fertility below “3” already before 1920, France – at the end of the 19<sup>th</sup> century, Sweden – during 1915-1920s. Ukraine (a collection of territories that belonged to the Austro-Hungarian and Russian empires, and later to the USSR) reached a fertility level of about “3” already by the beginning of the 1920s.

It is crucial to note that the territories of modern Ukraine reached an average fertility of less than “3” much earlier than Russia: the first fertility rate value of less than “3” in Ukraine was reached in the period 1926-1930, while in Russia the average level of fertility remained higher than “4” even until the period of 1931-1935 and reached a level of about “3” only in the period of 1935-1940. Therefore, Ukraine is more than 10 years ahead of reaching the “turning point” level of fertility, compared to Russia (recall that a significant reduction occurred even before the famine 1930s), which is also emphasized in<sup>45,46</sup>.

Note that the significant reduction in fertility in Ukraine was artificial in nature – the famine of 1932-1933 caused colossal human losses and became a shock to reproductive processes. The difference between the fertility rate for 1930-1935 and the previous five-year period is about 10%, which is significantly higher than the average rate of decline in the fertility rate for the entire retrospective period and for the time that the fertility rate remains above “3”.

Other cases of artificial fertility reduction (due to social upheavals – in the 1920s and wars – during 1940-1945) had an approximately similar effect on fertility in both countries, so they can be interpreted as a factor that does not change the differentiation of fertility indicators (characteristics of the gender relations development).

It is also important that for Russia and Ukraine exhibit a relatively high fertility dispersion (root mean square deviation of fertility indicators) compared to the other countries, and the contribution of certain periods is decisive in the formation of the overall reduction. For example, for Russia, two periods (1920-1925 and 1940-1945), and for Ukraine three periods (1920-1925, 1930-1935 and 1940-1945) contributed to the overall reduction in fertility that was three times greater than, on average, other

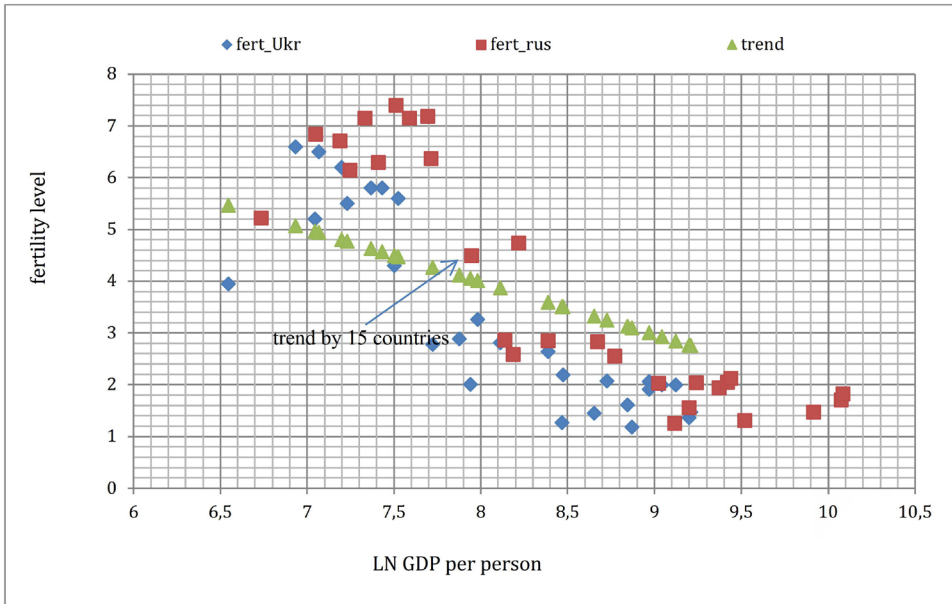
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<sup>45</sup> P. Artymishyn, *Ukrayintsi za okeanom: vid immigrantiv do diaspori*. Local History. Online: <https://localhistory.org.ua/texts/statti/ukrayintsi-za-okeanom-vid-immigrantiv-do-diaspori>.

<sup>46</sup> O.M. Gladun, *Ocinka gipotetychnykh vtrat naselennya...* op. cit.

periods of similar duration. So, the first distinguishing feature of the fertility trend that unites Ukraine and Russia is the greater uneven fertility reduction and the larger contribution of artificial, “non-economic” factors related to social upheavals and wars to the overall reduction of fertility compared to other countries.

Figure 3 illustrates the positioning of Ukraine and Russia by the level of fertility relative to the trend obtained for all 15 studied countries based on the data of the entire retrospective period.



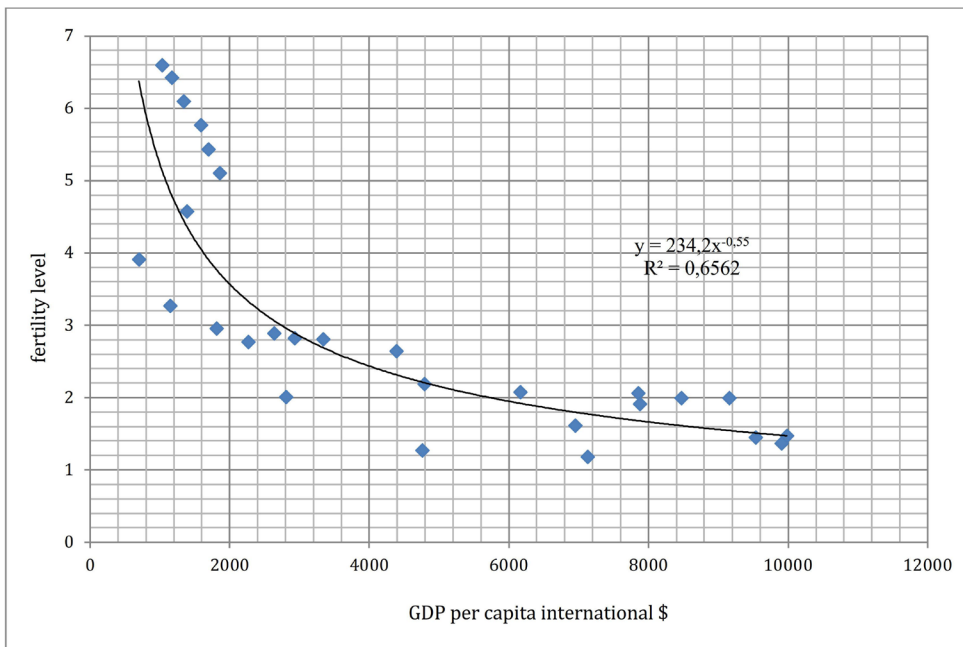
**Figure 3.** Ukraine and Russia relative to the general trend of fertility dependence on productivity and income for 15 surveyed countries

Source: compiled by the authors

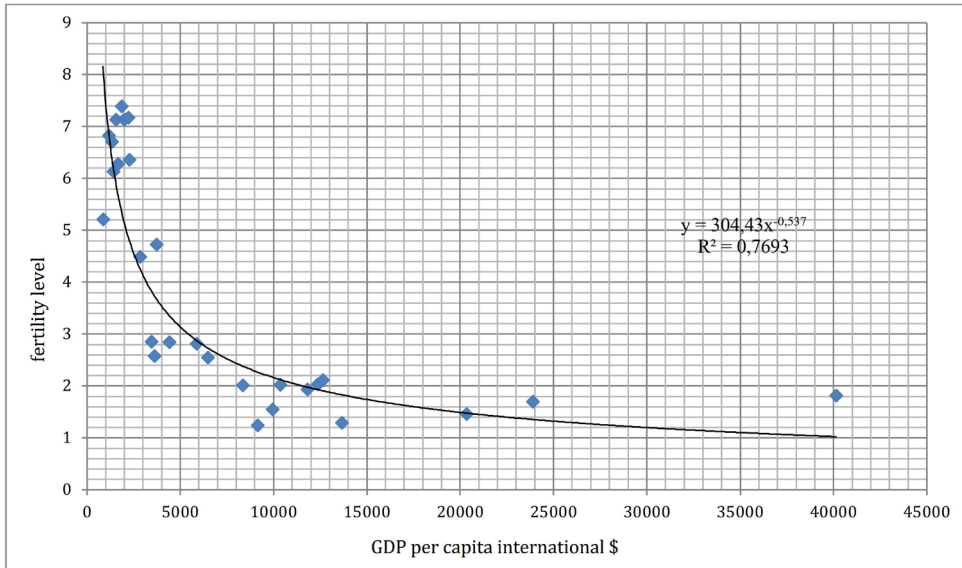
According to our initial thesis, these data combine two periods that are characterized by different functional relationships between fertility from GDP per person and the fertility rate. The first is until the “turning point”, defined above as the level of fertility “3” is reached, when the growth of productivity and income has a pronounced effect on the decrease of average fertility. The second is when the effect of productivity and income growth on the fertility level is eroded by the action of other factors. In the first period, we observe a pronounced difference in the positioning of the fertility indicators of Russia and Ukraine relative to the trend obtained from the data of all 15 surveyed countries. 11 out of 12 indicators of Russia are markedly above the trend line (one is on the trend line). Out of 10 indicators of Ukraine for the period before reaching the fertility level “3”, 6 are significantly above the trend line, but still below the indicators of Russia. The average relative deviation for these 10 indicators from the trend value is 14,3% for Ukraine and 39,7% for 12 indicators for Russia.

In the period when the level of productivity and income exerts a significant impact on fertility and the rate of this indicator declines as the principal measure of gender relations progress, we observe a significantly higher fertility rate in Russia than in Ukraine. At the same time, the sensitivity of fertility to the dynamics of GDP per person in Ukraine and in Russia is estimated at the level of about half a percent (a 1% increase in GDP per person is accompanied by a decrease in fertility by about 0,55% in Ukraine and about 0,54% for Russia), according to the exponent of the power function of the Cobb-Douglas type (figures 4-5). The degree coefficient reflects the elasticity of fertility to changes in productivity and income.

To calculate elasticity, the database is formed from non-logarithmic indicators, and the functional dependence is described by a power function, which allows obtaining the coefficient of elasticity as the power of the function.

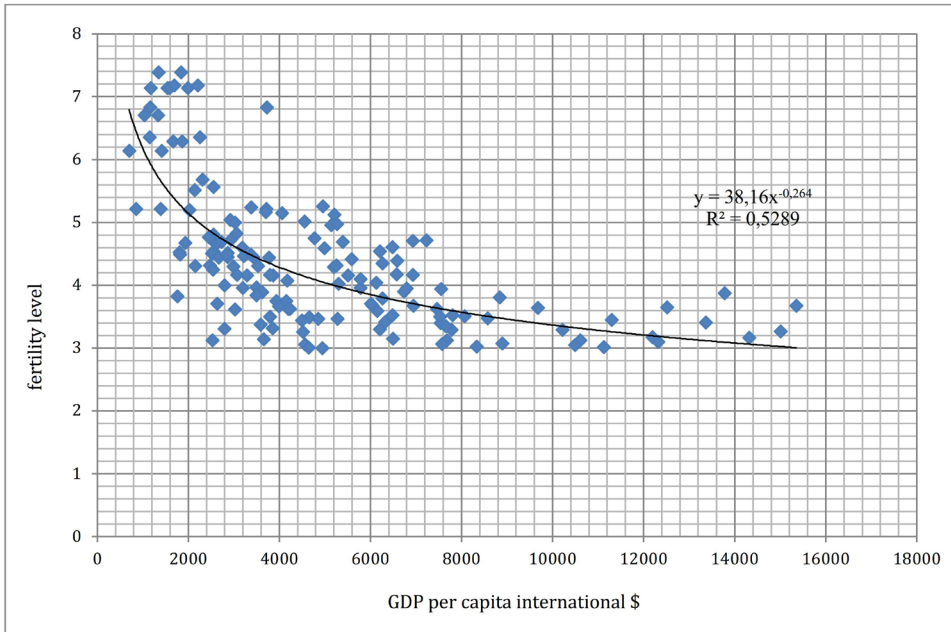


**Figure 4.** Dependence of fertility on GDP per person according to Ukrainian data  
Source: compiled by the authors



**Figure 5.** Dependence of fertility on GDP per person according to Russian data  
 Source: compiled by the authors

Our calculations showed a relatively high sensitivity of fertility in both countries to productivity and income dynamics. Thus, the function formed on the basis of the data for all the surveyed countries showed the coefficient of fertility elasticity to GDP per capita at the level of about -0,264 (figure 6): for one percent increase in GDP per capita, fertility is reduced by approximately 0,26%.



**Figure 6.** Dependence of fertility on GDP per person according to 15 surveyed countries data

Source: compiled by the authors

Such a relatively high sensitivity of fertility to GDP (observed for Ukraine and Russia) is generally characteristic of the countries with low incomes and confirms the correctness of our calculations, because these results empirically confirm the basic theoretical thesis, i.e. productivity and income growth, which is the leading factor in the transformation of gender relations at the stage of early industrialization, lose their leading importance, yielding to other factors: the peculiarities of culture, social institutions, state policy, etc.

Thus, empirical evidence was obtained that for Ukraine and Russia (countries with a relatively lower GDP per capita), the observed higher sensitivity of fertility to the dynamics of productivity and income corresponds to the theoretical framework of the study.

## Discussion

The results of the comparison of average fertility in Ukraine and Russia during the period of industrialization are quite unambiguous: there is a consistently higher fertility rate in Russia, compared to Ukraine, throughout the entire period of industrialization against the background of Russia's stable advantage in terms of GDP per capita. This situation looks similar to the "Paradox of England and France" widely

covered in the literature: “While the industrial revolution started in England at the end of the eighteenth century and the fertility transition a century later, France experienced its demographic revolution at the end of the eighteenth century and only industrialized in the second half of the nineteenth century”<sup>47</sup>. The analogy is quite appropriate: both pairs of countries have a pronounced leader in the pace of industrialization (during the 19<sup>th</sup> century, the industrialization processes were significantly more developed in England compared to France, and at the beginning of the 20<sup>th</sup> century – in Russia, compared to Ukraine). But the fertility level decreased faster in France and reached significantly lower values at the beginning of the 20<sup>th</sup> century, and in Ukraine, reaching a significantly lower level than in Russia in the first two decades of the 20<sup>th</sup> century.

We rely upon the thesis about three leading factors of the gender relations evolution during the industrialization which are productivity and income growth, structural changes in employment and urbanization. These factors were supplemented by the one more, which, in our opinion, is of leading importance for explaining the fundamental differences in gender relations evolution and the less pronounced specialization of women in the performance of the reproductive function in the territories of modern Ukraine, compared to the Russian Empire and even its European part. This factor is the economic situation and lifestyle of the rural population. The importance of this factor is evidenced by the extremely high specific weight of the rural population of both countries (about 90%), respectively, the high influence of the lifestyle characteristics of this particular part of the population in determining all indicators averaged on a national scale. The significance of discrepancies in the way of life (particularly with regard to the relationship between women and men and the capacity of women to divert their attention from childbirth and upbringing and to gain economic autonomy) is demonstrated by a substantial body of literature. This literature underscores that the traditional Russian village community constituted a formidable barrier to economic and social progress and an environment that was highly inimical to the advancement of women’s equality<sup>48,49,50</sup>.

The first factor we highlighted is productivity and income growth. Russia achieved a higher level of labor productivity and income than Ukraine at the end of the 19<sup>th</sup> and the beginning of the 20<sup>th</sup> century. At the same time, the differentiation of productivity between agriculture and handicrafts – on the one hand, and large monopolies that provided the lion’s share of industrial production (both in Russia and in Ukraine) in Russia was still significantly larger. Ukraine was characterized by smaller

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<sup>47</sup> M. Youssouf, P. Faustine, Gender and the long-run development process: a survey of the literature, “European Review of Economic History” 2022; 26: 612-641.

<sup>48</sup> L. Volin, A Century of Russian Agriculture: from Alexander II to Khrushchev, Harvard University Press, 1970.

<sup>49</sup> A. Gershenkron, Russian agrarian policies and industrialization, 1861-1917, “The Cambridge Economic History of Europe” 1965; 6.

<sup>50</sup> A. Gershenkron, Economic Backwardness in Historical Perspective, Harvard University Press, Cambridge 1962.

gaps in productivity and income between industry sectors and between industry and agriculture, which allowed Ukraine to better reduce extreme poverty even with a lower economic potential than Russia. This is evidenced by large-scale migration flows that at the beginning of the 20<sup>th</sup> century were directed from the central provinces of Russia to the south of Ukraine. In combination with the fact that in the south of Ukraine the sprouts of the “service economy” were more widespread than on average in tsarist Russia<sup>51</sup>, this ensured a relatively higher share of women’s involvement in paid work outside the household than in Russia. In Ukrainian provinces, the percentage of women and children ranged from 19,3% to 33% of the workforce in the formal sector<sup>52</sup>.

At the same time, in Russia, women, both married and employed in the household, and employed in industry, found themselves in the position of “outsiders” to whom the benefits of growth and industrialization spread the least<sup>53</sup>. In particular, at the end of the 19<sup>th</sup> century the work of women and children was paid at rates that were 2-3 times lower than those for men<sup>54</sup>. The strategy of “many children as a means of providing for old age” remained widespread for a significant part of the urban population.

The potential for fertility reduction and the development of gender relations, created by the growth of productivity and income, was more effectively utilized by Ukraine than Russia, as evidenced by the estimated values of fertility by functions for the two countries. If we substitute the actual values of Russia’s GDP per capita into the Cobb-Douglas function obtained from Ukraine’s data, we will obtain a fertility value that is 28-33% lower than the actual fertility values for Ukraine and 40-55% lower than the actual indicators fertility rates for Russia (table 1). Therefore, the function obtained according to the data of Ukraine testifies to the greater potential of Ukrainian society to transform even modest successes of industrialization into an impetus for the evolution of gender relations and the reduction of women’s specialization only in the functions of birth and upbringing of children.

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<sup>51</sup> V.M. Lytvyn, H.V. Boriak, V.M. Heiets et al, *Ekonomichna istoriia Ukrainy: Istoryko-ekonomichne doslidzhennia*, NAN Ukrainy 2011.

<sup>52</sup> V.O. Romantsov, *Istorychna demohrafiia Ukrainy XVIII...* op. cit.

<sup>53</sup> O. Crisp, *Studies in the Russian Economy before 1914*, McMillan Press, London 1976.

<sup>54</sup> V.M. Lytvyn, H.V. Boriak, V.M. Heiets et al, *Ekonomichna istoriia...* op. cit.

**Table 1.** Ratio of actual and calculated fertility rates of Russia and Ukraine

| Years     | Ukraine |  |  | Russia |            | Ratio of indicators Ukraine to Russia, % |   |
|-----------|---------|--|--|--------|------------|--|---|
|           | actual  | calculated   |  | actual | calculated | actual                                   | calculated for Ukraine (2) to actual for Russia |
|           |         | by function of Ukraine and values of productivity and incomes of Ukraine (1) | by the function of Ukraine and values of productivity and income of Russia (2) |        |            |  |   |
| 1881-1885 | 6,76    | 5,17   | 4,84   | 6,72   | 6,90       | 100,66                                   | 72,14   |
| 1886-1890 | 6,43    | 4,80   | 4,48   | 7,01   | 6,40       | 91,67                                    | 63,88   |
| 1891-1895 | 6,10    | 4,47   | 4,14   | 7,39   | 5,93       | 82,59                                    | 56,10   |
| 1896-1900 | 5,77    | 4,07   | 3,75   | 7,27   | 5,38       | 79,32                                    | 51,57   |
| 1901-1905 | 5,44    | 3,93   | 3,60   | 7,08   | 5,16       | 76,81                                    | 50,80   |
| 1906-1910 | 5,11    | 3,73   | 3,40   | 7,06   | 4,88       | 72,39                                    | 48,14   |
| 1911-1915 | 4,58    | 4,39   | 3,97   | 4,55   | 5,68       | 100,57                                   | 87,19   |
| 1916-1920 | 3,92    | 6,40   | 5,75   | 6,13   | 8,16       | 63,90                                    | 93,86   |
| 1921-1925 | 3,27    | 4,86   | 4,35   | 6,57   | 6,21       | 49,82                                    | 66,17   |
| 1926-1930 | 2,96    | 3,78   | 3,36   | 4,79   | 4,83       | 61,77                                    | 70,07   |
| 1931-1935 | 2,77    | 3,35   | 2,95   | 4,74   | 4,26       | 58,57                                    | 62,36   |
| 1936-1940 | 2,83    | 2,90   | 2,54   | 3,03   | 3,68       | 93,21                                    | 83,89   |
| 1941-1945 | 2,52    | 2,97   | 2,59   | 2,67   | 3,74       | 94,39                                    | 96,87   |

Source: compiled by the authors based on O.M. Gladun, *Ocinka gipotetychnykh vtrat nase-lennya... op. cit.*; V.O. Romantsov, *Istorychna demohrafiia Ukrainy XVIII... op. cit.*; Maddison Project Database... op. cit.

The second factor (which is closely related to the first) is the share of industrial production and industrial employment. Theoretically, the expansion of industrial production contributes to a decrease in fertility without necessarily increasing the opportunities for women's formal (outside the household) employment. This is evidenced by the classic U-shaped curve of women's participation in the labor force in



the course of long-term economic development of industrialized countries<sup>55</sup>. At the initial stage of industrialization, the decrease in fertility occurs to a greater extent under the influence of urbanization and the “income effect”: giving preference to the “quality” of children, compared to their number. First, the urban way of life makes a “parenting strategy” based on a large number of children as a basis for maintaining the desired standard of living in old age untenable. Secondly, the growth of productivity and income, on the one hand, allows investing in children’s education, while on the other hand, it reduces the interest in the employment of married women, which actually acts as a significant factor in the formation of the downward part of the U-shaped curve of women’s participation in the labor force. However, as studies of the demographic aspects of industrialization show<sup>56,57,58</sup> national models of gender relations adaptation to economic changes are quite specific: the U-shaped form of women’s labor force is more pronounced according to data from a number of countries, than by time series on the data of a certain individual country.

When “traditional” industrial production (mechanical engineering, metallurgy, construction, mining, etc.) can “squeeze out” women from the sphere of formal employment due to the difficulty and harmful working conditions, the development of textile industry, on the contrary, is capable of creating spheres of formal employment with a predominance of female labor. Accordingly, the explanation of the fertility level differentiation between Ukraine and Russia during the period of industrialization may be related to the peculiarities of the sectoral structure of Ukraine’s industry. The predominance of textile and food industry with a greater share of female labor could contribute to the expansion of women’s economic activity long before the beginning of development of “service economy” and the expansion of the sphere of “white collar”, which, according to the “orthodox” model, give impetus to the “growing” segment of the curve of the women involving in the workforce.

Accordingly, expanding opportunities for women’s economic activity increases the “opportunity costs” of pregnancy and contributes to a decrease in fertility. Thus, a larger share of textile and food industry in the industrial complex of Ukraine, compared to Russia, can be interpreted as one of the factors explaining the differentiation of the average fertility rate by country.

However, it is important that the share of the population employed in industry at the beginning of the 20<sup>th</sup> century in both countries was relatively small, no higher than 15% even in the most industrially developed regions. This means that even a significant increase in the standard of living of workers employed in the industries of southern Ukraine, compared to the workers in the central Russian provinces (which caused powerful migration processes directed from the Russian provinces to the south of Ukraine) cannot explain the differences in fertility in Russia and Ukraine at the beginning of the 20<sup>th</sup> century, since the specific weight of industrial workers is not

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<sup>55</sup> C. Olivetti, *The female labor...* op. cit.

<sup>56</sup> J.C. Chesnais, *The Demographic...* op. cit.

<sup>57</sup> J. De Vries, *The Industrious Revolution...* op. cit.

<sup>58</sup> C. Olivetti, *The female labor...* op. cit.

enough for the differences in their lifestyle to have such a significant impact on the average fertility rate.

Similarly, despite the intensification of urbanization processes, the share of the population in cities also remains relatively small. Accordingly, the differences inherent in gender relations and fertility behavior to the urban population (groups with a relatively low specific weight) cannot cause a decisive (even significant) impact on the average indicators for the entire population.

Therefore, the analysis of the potential of the main (traditional) factors that explain the differentiation of the fertility level between countries shows that the existing differences between Ukraine and Russia cannot explain the significant excess of the fertility level in Russia over similar indicators for Ukraine. Both the structural differences of the industrial complex of the two countries, and the features of the social structure (the composition and behavior of groups that will strengthen their social position in the process of industrial production development) could be important for explaining the features of socio-economic development at the next stages of the development of economic systems, however, to explain the differences in fertility at the beginning of the 20<sup>th</sup> century they are not enough. Firstly, the specific weight of social groups in agrarian and rural societies of Russia and Ukraine at that time is insufficient to determine the peculiarities of their behaviour.

Therefore, only the differences in the way of life and gender relations of the rural population can explain the revealed phenomenon (lower fertility in Ukraine amidst greater successes of industrialization in Russia). So absolutely patriarchal Russian rural community, which is significantly different from the predominantly “farm” and more individualistic Ukrainian village of the late 19<sup>th</sup> and early 20<sup>th</sup> centuries seems to us to be the leading cause of the observed differentiation of fertility in Ukraine and Russia.

## **Conclusions**

On the grounds of the conducted analysis, we have formulated the following basic provisions regarding the development of gender relations in Ukraine and Russia during the period of industrialization and the demographic transition.

First, against the background of a higher level of productivity and income, and in reference to the European part of Russia, greater successes in industrialization (a larger share of people employed in industry) in Ukraine at the end of the 19<sup>th</sup> and the beginning of the 20<sup>th</sup> century the pronounced signs of more developed gender relations were observed (lower the both, overall level of fertility and the gap between the fertility of the rural and urban population). Ukraine is characterized not only by lower levels of fertility, but also by a greater potential of society to transform the structural shifts of industrialization (the growth of the industrial labor sector for hire and the share of urban population) on the impulse to expand the women involvement in public life and reduce their “specialization” in activities related only to the birth and upbringing of children and household’s production.

Significant differences were revealed between Ukraine and Russia both in terms of the level of fertility (as the leading indicator of the gender relations development at the stage of industrialization and the weakening of restrictions on women's participation in public life), and in terms of the fertility sensitivity to the growth of productivity and incomes and the expansion of industrial employment. It is important that during the period of drastic changes in the technological base of social production, social structure and behavioral stereotypes, the divergence of gender relations was observed in Ukraine and Russia. Widespread models of gender behavior, the gender distribution of roles in Ukraine and Russia diverged to a greater extent than acquired common features in the process of early industrialization. Accordingly, the subsequent "great standardization" of the forms of organization of social life and, in particular, gender relations, imposed by the Soviet authorities, stopped the process of formation of distinctive national models of gender relations in Ukraine and Russia, which intensified at the beginning of the 20th century.

The specific features of the economic systems of Russia and Ukraine are described in the literature on the history of industrialization (a lower level of industrial monopolization, a smaller gap between the productivity and incomes of rural and industrial workers, larger scales of the service economy sector and industries that opened opportunities for paid employment of women, inherent to the Ukraine economy) may serve rather as a prerequisite for the further divergence of the trajectories of the gender relations development in Russia and Ukraine. It was due to the specific weight of those social groups whose behavior are determined increases; however, they are not sufficient to explain the fact that Russia is characterized by higher fertility, compared to Ukraine the entire period of the late 19th and early 20th centuries.

The patriarchal and radically conservative nature of the traditional Russian rural community seems to us to be the factor that has the greatest potential for explaining the observed differences in the average level of fertility in Russia and Ukraine. Stereotypes and behavior models of the Ukrainian (farm, non-communal) peasantry contributed to the relatively better positions of Ukrainian women, expanding the possibilities of their involvement in economic activity outside the household and increasing the "opportunity costs" of giving birth and raising children.

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## DOBROWOLNA ZASADNICZA SŁUŻBA WOJSKOWA W POLSCE

### *Voluntary compulsory military service in Poland*

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#### **Summary**

*The aim of the study is to present the basic legal standards in the scope of functioning and recruitment for voluntary compulsory military service in Poland and the effects of the recruitment for the indicated military service. The circumstances of the restoration of basic military service in 2022 in a new voluntary form have also been presented. The research objective refers to the question whether and to what extent voluntary compulsory military service effectively increases the defense potential of the Republic of Poland.*

**Key words:** *armed forces, voluntary basic military service, personnel reserves, homeland defense act*

#### **Streszczenie**

Celem opracowania jest przedstawienie podstawowych norm prawnych w zakresie funkcjonowania i naboru do dobrowolnej zasadniczej służby wojskowej w Polsce oraz efektów prowadzonego naboru do wskazanej służby wojskowej. Przedstawione zostały także okoliczności przywrócenia zasadniczej służby wojskowej w 2022 r. w nowej ochotniczej formie. Problem badawczy odnosi się do pytania, czy i w jakim zakresie dobrowolna zasadnicza służba wojskowa efektywnie zwiększa potencjał obronny Rzeczypospolitej Polskiej.

**Słowa kluczowe:** siły zbrojne, dobrowolna zasadnicza służba wojskowa, rezerwy osobowe, ustawa o obronie ojczyzny

„Armia pozostaje w gotowości przez wiele lat, aby jednego dnia walczyć o zwycięstwo (...)”<sup>\*</sup>  
Sun Tzu

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\* Sun Tzu, Sun Pin., Sztuka wojny, Helion, Gliwice 2014, s. 92.

## Wprowadzenie

Rozpoczęcie 24 lutego 2022 r. inwazji Federacji Rosyjskiej na Ukrainę ukazało dobitnie, że Europa była przez wiele lat w stanie fałszywego poczucia bezpieczeństwa. Jednym z jego skutków było wstrzymanie w wielu krajach szkolenia żołnierzy w ramach obowiązkowej służby wojskowej. Decyzje te uzasadniano koniecznością inwestowania w mniejsze, ale lepiej wyszkolone i wyposażone armie zawodowe. Doszło do sytuacji, gdy Finlandia, Norwegia i Estonia były jedynymi państwami wolnej Europy, które po zakończeniu zimnej wojny nie zrezygnowały z obowiązkowej służby wojskowej<sup>1</sup>.

W ten trend wpisała się decyzja o zawieszeniu 15 lat temu zasadniczej służby wojskowej w Polsce. Główne założenia w sprawie uzawodowienia armii zawierał przyjęty przez Radę Ministrów w dniu 5 sierpnia 2008 r. „Program profesjonalizacji Sił Zbrojnych Rzeczypospolitej Polskiej na lata 2008–2010”<sup>2,3</sup>. Zgodnie z tym dokumentem, zakładanym celem profesjonalizacji armii było podwyższenie jej zdolności operacyjnych i potencjału poprzez zmianę struktury osobowej i wprowadzenie zawodowych rodzajów czynnej służby wojskowej. Dokonana transformacja polegała na:

1. Zawieszeniu obowiązku odbywania zasadniczej służby wojskowej (z możliwością jego odwieszania) z jednoczesnym zawieszeniem obowiązku odbywania przeszkolenia wojskowego.
2. Wprowadzeniu kontraktowej zawodowej służby wojskowej.
3. Utworzeniu Narodowych Sił Rezerwowych (NSR) oraz stworzeniu materialnych rekompensat i zachęt do pełnienia służby w ramach NSR, w tym dla pracodawców zatrudniających żołnierzy rezerwy, posiadających nadane przydziały kryzysowe i będących w dyspozycji do pełnienia służby wojskowej.
4. Zapewnieniu kobietom prawnej możliwości pełnienia na ogólnych zasadach czynnej służby wojskowej.
5. Ograniczeniu zakresu odbywania ćwiczeń wojskowych przez żołnierzy rezerwy posiadających przydziały mobilizacyjne.
6. Zmianie charakteru zadań wykonywanych przez terenowe organy administracji wojskowej poprzez udział w zarządzaniu obronnym i reagowaniu kryzysowym oraz przyjęciu funkcji organów werbunkowych w zakresie zaciągu ochotniczego<sup>4</sup>.

Profesjonalizacja miała w założeniach zapewnić m.in. poprawę jakości stanu osobowego Sił Zbrojnych Rzeczypospolitej Polskiej<sup>5</sup> i zwiększyć jego dyspozycyjność.

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<sup>1</sup> J. Bielecki, Pobór do wojska wraca do Europy. Ochotników jest zbyt mało, by zatrzymać Rosję. Online: <https://www.rp.pl/swiat/art40072971-pobor-do-wojska-wraca-do-europy-ochotnikow-jest-zbyt-malo-by-zatrzymac-rosje>.

<sup>2</sup> Program profesjonalizacji Sił Zbrojnych Rzeczypospolitej Polskiej na lata 2008–2010, niepublikowany – załącznik do protokołu ustaleń z posiedzenia Rady Ministrów w dniu 5 sierpnia 2008 r.

<sup>3</sup> Komunikat Ministerstwa Spraw Wewnętrznych i Administracji, Pobór, a profesjonalizacja armii. Online: <https://archiwum.mswia.gov.pl/pl/bezpieczenstwo/sprawy-obronne?y=2008&m=9&archiwum=1>.

<sup>4</sup> A. Szczygło, Informacja. Stan profesjonalizacji Sił Zbrojnych RP, BBN, Warszawa 2010, s. 2-3.

<sup>5</sup> Dalej jako: Siły Zbrojne.

Zakładano, że docelowo trzon armii stanowić będzie zawodowa służba wojskowa oparta na służbie stałej i służbie kontraktowej oraz Narodowych Siłach Rezerwowych<sup>6</sup>.

W dniach 2-4 grudnia 2008 r. odbyło się ostatnie w historii Wojska Polskiego wcielenie poborowych. Po raz ostatni zasadniczą służbę wojskową w ówczesnej formie rozpoczęło ponad 1200 żołnierzy.

Najwyższa Izba Kontroli już w raporcie z dnia 31 stycznia 2012 r. wskazywała, że zaprzestanie powoływania poborowych do służby wojskowej spowodowało utratę ciągłości przygotowania rezerw mobilizacyjnych. Zauważono w nim, że do dnia zakończenia kontroli nie wdrożono działań mających przeciwdziałać temu niekorzystnemu zjawisku. Trafnie oceniono, iż posiadane ówczesne rezerwy mobilizacyjne można było określić jako stosunkowo duże, ale należało przewidywać w tym zakresie systematyczny trend spadkowy<sup>7</sup>. Dopiero jednak wojna w Ukrainie uprzytomniła wszystkim żołnierską prawdę, że niezbędnym elementem skutecznych działań militarnych jest posiadanie zawczasu licznych rezerw osobowych.

W wyniku zmiany oceny zagrożenia ze strony Federacji Rosyjskiej kolejne państwa europejskie zaczęły wprowadzać pobór wojskowy, rozszerzać jej zakres albo rozważać decyzje w tym zakresie. Obowiązkową służbę wojskową wprowadziły Litwa i Łotwa, a od pierwszego stycznia 2025 r. przywrócona ma zostać w Chorwacji<sup>8</sup>. Dania zaplanowała rozszerzenie zakresu służby tak, by od 2026 r. pobór obejmował na równi kobiety i mężczyzn, a jej okres ma zostać wydłużony z 4 do 11 miesięcy. O konieczności powrotu do zlikwidowanego w 2011 r. poboru dyskutuje się w Niemczech<sup>9</sup>. Analogiczna debata nad poborem toczy się we Francji, gdzie zrezygnowano z niego już w 1997 r.<sup>10</sup>.

Po rozpoczęciu otwartej inwazji Rosji na Ukrainę w 2022 r. także w Polsce podjęto realne i niezwłoczne działania w celu wzmocnienia potencjału mobilizacyjnego kraju. Najważniejszym z nich było uchwalenie Ustawy z dnia 11 marca 2022 r. o obronie Ojczyzny<sup>11</sup>. W uzasadnieniu projektu wskazanego aktu prawnego wskazano, że: „Sytuacja geopolityczna Polski wymusza posiadanie Sił Zbrojnych zdolnych do obrony kraju, a więc posiadania sił o odpowiedniej liczebności, wyszkoleniu oraz wyposażeniu. Realizacja ambitnych celów Sił Zbrojnych w zakresie zwiększenia ich potencjału bojowego wymaga stworzenia systemu pełnienia służby wojskowej, który

<sup>6</sup> C. Piątas, Odpowiedź sekretarza stanu w Ministerstwie Obrony Narodowej – z upoważnienia ministra – na interpelację nr 5698 w sprawie utworzenia armii zawodowej z dnia 5 listopada 2008 r., Warszawa, Sejm VI kadencji.

<sup>7</sup> Informacja o wynikach kontroli Najwyższej Izby Kontroli „Stan profesjonalizacji Sił Zbrojnych RP na przykładzie wybranych jednostek wojskowych” z dnia 31 stycznia 2012 r.

<sup>8</sup> K. Nowak, Kolejny kraj Europy przywróci obowiązkową służbę wojskową. Online: <https://forsal.pl/kraj/bezpieczenstwo/artykuly/9518243,chorwacja-przywroci-obowiazkowa-sluzbe-wojskowa.html>.

<sup>9</sup> S. Höppner, Obowiązkowa służba wojskowa? Tak to robią w Europie. Online: <https://www.dw.com/pl/obowi%C4%85zkowa-s%C5%82u%C5%BCba-wojskowa-w-niemczech-tak-to-robi%C4%85-w-europie/a-69046298>.

<sup>10</sup> J. Bielecki, Pobór do wojska... op. cit.

<sup>11</sup> Ustawa z dnia 11 marca 2022 r. o obronie Ojczyzny (t.j. Dz.U. z 2024 r., poz. 248 ze zm.). Dalej jako: Ustawa o obronie Ojczyzny.



będzie zachęcał – odpowiednio wyszkolone i umotywowane osoby do podejmowania i długoletniego pełnienia zawodowej i niezawodowej służby wojskowej<sup>12</sup>. Ustawa o obronie Ojczyzny w zakresie niezawodowej służby wojskowej przewidziała m.in. powoływanie obywateli do zasadniczej służby wojskowej (ZSW) w formie dobrowolnej i obowiązkowej.

Celem pracy jest przedstawienie podstawowych norm prawnych w tym przedmiocie oraz efektów prowadzonego naboru do dobrowolnej zasadniczej służby wojskowej. Problem badawczy odnosi się do pytania, czy i w jakim zakresie dobrowolna ZSW efektywnie zwiększa potencjał obronny Rzeczypospolitej Polskiej.

## **Zasadnicza służba wojskowa w Ustawie o obronie Ojczyzny**

W uzasadnieniu rządowego projektu Ustawy o obronie Ojczyzny założono, że w ówczesnych uwarunkowaniach wprowadzenie obowiązkowej powszechnej zasadniczej służby wojskowej byłoby trudne do zrealizowania. Rozwiązaniem przyjętym w tej sytuacji było położenie nacisku na podejmowanie przez obywateli dobrowolnych form pełnienia niezawodowej służby wojskowej, motywując ich finansowo (odpowiednie uposażenie) oraz pozafinansowo (np. gwarancja zatrudnienia u obecnego pracodawcy). Przewidywano jednakże, że należy brać pod uwagę mogące wystąpić w przyszłości zagrożenia i w projekcie ustawy zaproponowano pozostawienie możliwości uruchomienia zasadniczej służby wojskowej również w formule obowiązkowej. Tak więc w odniesieniu do służby niezawodowej założono jej dobrowolność, z możliwością obligatoryjnego powoływania do zasadniczej służby wojskowej<sup>13</sup>. W uzasadnieniu projektu ustawy wskazano, iż rolą zasadniczej służby wojskowej ma być przekazanie żołnierzom niezbędnych kwalifikacji i umiejętności w danej dziedzinie wojskowej na potrzeby systemu rezerw<sup>14</sup>. Wskazano ponadto na specjalne znaczenie dobrowolnej zasadniczej służby wojskowej, jako podstawowej formy stanowiącej bazę pełnienia konkretnych rodzajów służby wojskowej<sup>15</sup>. Służba ta w ocenie wnioskodawcy „będzie stanowiła swego rodzaju wstęp do ubiegania się o powołanie do innych form służby wojskowej, w tym do zawodowej służby wojskowej”<sup>16</sup>. Przewidywano w szczególności, że odbycie ZSW będzie zapewniało pierwszeństwo w powołaniu do zawodowej służby wojskowej<sup>17</sup>.

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<sup>12</sup> Rządowy projekt ustawy o obronie Ojczyzny, Druk nr 2052, Sejm Rzeczypospolitej Polskiej, IX kadencja.

<sup>13</sup> Tamże, s. 17.

<sup>14</sup> Tamże, s. 18.

<sup>15</sup> Tamże, s. 19.

<sup>16</sup> Tamże, s. 20.

<sup>17</sup> Tamże, s. 19.

Szczegółowe rozwiązania obowiązujące w tym zakresie określają, że w Siłach Zbrojnych Rzeczypospolitej Polskiej służba wojskowa dzieli się na czynną służbę wojskową i służbę w rezerwie<sup>18</sup>. Czynna służba wojskowa polega zaś na pełnieniu:

- zasadniczej służby wojskowej,
- terytorialnej służby wojskowej,
- służby w aktywnej rezerwie w dniach tej służby oraz odbywaniu ćwiczeń wojskowych w ramach pasywnej rezerwy,
- zawodowej służby wojskowej,
- służby w razie ogłoszenia mobilizacji i w czasie wojny<sup>19</sup>.

Zasadnicza służba wojskowa polega na pełnieniu dobrowolnej zasadniczej służby wojskowej lub obowiązkowej zasadniczej służby wojskowej<sup>20</sup>. Dobrowolna ZSW jest pełniona przez okres do 12 miesięcy, w tym w wymiarze do 28 dni realizuje się szkolenie podstawowe zakończone przysięgą wojskową i wydaniem książeczki wojskowej, a następnie w wymiarze do 11 miesięcy szkolenie specjalistyczne<sup>21</sup>.

Dobrowolna ZSW może zostać przerwana w każdym czasie z uwagi na potrzeby Sił Zbrojnych albo na wniosek osoby odbywającej służbę<sup>22</sup>. Tak więc ochotniczy, dobrowolny charakter odnosi się nie tylko do samej decyzji o zgłoszeniu się na szkolenie, ale także do możliwości rezygnacji w dowolnym momencie.

Żołnierz odbywający dobrowolną ZSW może złożyć wniosek o powołanie go do: zawodowej służby wojskowej, terytorialnej służby wojskowej albo aktywnej rezerwy. Rozpatrywany jest on z uwzględnieniem potrzeb Sił Zbrojnych. Natomiast żołnierz, który odbył dobrowolną zasadniczą służbę wojskową i nie złożył wskazanego wniosku, przenosi się do pasywnej rezerwy<sup>23</sup>. Dowódca jednostki wojskowej, w której żołnierz pełni dobrowolną ZSW, podejmując decyzję o powołaniu go na stanowisko etatowe do zawodowej służby wojskowej, bierze dodatkowo pod uwagę, czy przebieg dotychczasowej służby wskazuje na szczególne zaangażowanie żołnierza<sup>24</sup>.

Osoby, które odbyły dobrowolną ZSW korzystają zgodnie z treścią Ustawy o obronie Ojczyzny z pierwszeństwa w zatrudnieniu w urzędach administracji publicznej. Jednocześnie przewidziano, że okres odbywania dobrowolnej ZSW wlicza się do okresu odbywania służby wojskowej albo do okresu zatrudnienia w rozumieniu przepisów prawa pracy<sup>25</sup>.

Stawki uposażenia żołnierzy pełniących dobrowolną ZSW zrównane zostały z wysokością najniższego uposażenia zasadniczego żołnierza zawodowego<sup>26</sup>. Żołnierzom pełniącym ZSW przysługuje nadto bezpłatne zakwaterowanie, wyżywienie lub

<sup>18</sup> Art. 129 Ustawy o obronie Ojczyzny.

<sup>19</sup> Art. 130 ust. 1 Ustawy o obronie Ojczyzny.

<sup>20</sup> Art. 130 ust. 2 Ustawy o obronie Ojczyzny.

<sup>21</sup> Art. 143 Ustawy o obronie Ojczyzny.

<sup>22</sup> Art. 146 ust. 1 Ustawy o obronie Ojczyzny.

<sup>23</sup> Art. 146 ust. 5 Ustawy o obronie Ojczyzny.

<sup>24</sup> Art. 147 Ustawy o obronie Ojczyzny.

<sup>25</sup> Art. 149 Ustawy o obronie Ojczyzny.

<sup>26</sup> Art. 150 Ustawy o obronie Ojczyzny.

równoważnik pieniężny, a także umundurowanie i wyekwipowanie wojskowe w naturze lub równoważnik pieniężny<sup>27</sup>. Za każdy okres pełnienia służby wynoszący łącznie 30 dni udziela się im urlopu wypoczynkowego w wymiarze 2 dni kalendarzowych<sup>28</sup>.

Osoby odbywające dobrowolną ZSW podlegają szczególnej ochronie w zakresie stosunku pracy. Może on być rozwiązany z osobą powołaną do pełnienia dobrowolnej zasadniczej służby wojskowej tylko za zgodą pracownika. Wyjątek stanowią umowy o pracę zawarte na okres próbny lub na czas określony nie dłuższy niż 24 miesięcy, jak również jeżeli pracodawca może rozwiązać stosunek pracy bez wypowiedzenia z winy pracownika oraz w przypadku ogłoszenia upadłości lub likwidacji pracodawcy oraz w sytuacjach określonych w art. 52 ustawy z dnia 26 czerwca 1974 r. – Kodeks pracy<sup>29</sup> i art. 1 ust. 1 Ustawy z dnia 13 marca 2003 r.<sup>30</sup> o szczególnych zasadach rozwiązywania z pracownikami stosunków pracy z przyczyn niedotyczących pracowników. Pracodawca nie może rozwiązać ani wypowiedzieć stosunku pracy z osobą odbywającą to szkolenie od dnia poinformowania pracodawcy o terminie rozpoczęcia szkoleń w ramach dobrowolnej ZSW do dnia ich zakończenia, a także przez okres 12 miesięcy od dnia jego zakończenia. W przypadku, gdy okres dokonanego przez pracodawcę lub przez pracownika wypowiedzenia stosunku pracy upływa po dniu poinformowania pracodawcy o terminie rozpoczęcia szkolenia w ramach dobrowolnej ZSW, wypowiedzenie staje się bezskuteczne. Ustawodawca przewidział, że w tym przypadku rozwiązanie stosunku pracy może nastąpić tylko na żądanie pracownika. Osobie pozostającej w stosunku pracy i odbywającej szkolenie podstawowe lub specjalistyczne w ramach dobrowolnej ZSW udziela się urlopu bezpłatnego na czas trwania szkolenia<sup>31</sup>.

Wymogi formalne, jakie musi spełnić kandydat do dobrowolnej ZSW nie są szczególnie wygórowane. Do służby wojskowej może być powołana osoba, która posiada: obywatelstwo polskie, nieposzlakowaną opinię, zdolność fizyczną i psychiczną do pełnienia służby wojskowej, wiek co najmniej 18 lat oraz wykształcenie co najmniej podstawowe. Od kandydata wymaga się także, aby nie był karany za przestępstwo umyślne<sup>32</sup>. Jednocześnie procedura powołania do wskazanej służby została określona w sposób „przyjazny” kandydatom. Wniosek o powołanie do służby można złożyć już podczas kwalifikacji wojskowej, a w późniejszym terminie w dowolnym Wojskowym Centrum Rekrutacji w całej Polsce. Inną opcją jest podanie na portal rekrutacyjny [zostanzolnierzem.pl](http://zostanzolnierzem.pl) niezbędnych danych. Kontakt z kandydatem nawiązuje wtedy wojskowy rekruter, który informuje o terminie i miejscu stawienia się w Wojskowym Centrum Rekrutacji. Tam w ciągu maksymalnie dwóch dni

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<sup>27</sup> Art. 330 Ustawy o obronie Ojczyzny.

<sup>28</sup> Art. 331 Ustawy o obronie Ojczyzny.

<sup>29</sup> Ustawa z dnia 26 czerwca 1974 r. – Kodeks pracy ( t.j. Dz.U. z 2023 r., poz. 1465 ze zm.).

<sup>30</sup> Ustawa z dnia 13 marca 2003 r. o szczególnych zasadach rozwiązywania z pracownikami stosunków pracy z przyczyn niedotyczących pracowników (t.j. Dz.U. z 2024 r., poz. 61).

<sup>31</sup> Art. 304 w zw. z art. 303 Ustawy o obronie Ojczyzny.

<sup>32</sup> Art. 83 Ustawy o obronie Ojczyzny.

przeprowadzane są niezbędne procedury naboru, w tym rozmowa kwalifikacyjna, rozmowa z psychologiem oraz badanie lekarskie<sup>33</sup>.

Z uwagi na ustalone ramy objętości artykułu oraz fakt niewprowadzenia dotychczas obowiązku pełnienia zasadniczej służby wojskowej, ta forma ZSW nie będzie w tekście przybliżana. Warto jednak wiedzieć, że czas trwania obowiązkowej ZSW wynosi 9 miesięcy, ale decyzją Rady Ministrów może zostać ograniczony, stosownie do potrzeb Sił Zbrojnych i pod warunkiem, że nie zagraża to obronności lub bezpieczeństwu państwa. Natomiast w przypadkach, gdy wymaga tego konieczność zapewnienia obrony lub bezpieczeństwa państwa, Rada Ministrów może przedłużyć czas trwania obowiązkowej ZSW o okres nieprzekraczający łącznie 6 miesięcy<sup>34</sup>.

Uposażenie żołnierzy odbywających obowiązkową ZSW określone zostało w wysokości 50% najniższego uposażenia zasadniczego żołnierza zawodowego, przy zastrzeżeniu, że nie może to być kwota niższa niż minimalne wynagrodzenie za pracę ustalane na podstawie przepisów Ustawy z dnia 10 października 2002 r. o minimalnym wynagrodzeniu za pracę<sup>35</sup>.

Warto nadmienić, że Władysław Kosiniak-Kamysz, wiceprezes Rady Ministrów, minister obrony narodowej, pytany w dniu 28 marca 2024 r. czy Polska może wrócić do poboru do wojska odpowiedział: „Zasadnicza służba wojskowa jest w Polsce zawieszona, nie jest zlikwidowana. W każdej chwili, gdy zajdzie taka potrzeba, można ją odwieść”. Dodał, iż „(...) nie ma żadnego planu odwieszenia zasadniczej służby wojskowej obowiązkowej, bo jest dobrowolna zasadnicza służba wojskowa, która się cieszy ogromnym powodzeniem. (...) Ponad pięć tysięcy żołnierzy do połowy marca [2024 r.] wstąpiło do dobrowolnej zasadniczej służby wojskowej, to jest absolutny rekord”<sup>36</sup>.

## **Powołania do dobrowolnej zasadniczej służby wojskowej**

Szczegółowe dane co do liczby powoływanych do odbycia dobrowolnej ZSW, rezygnujących z niej na etapie szkolenia podstawnego i specjalistycznego, przyjmowanych do zawodowej służby wojskowej po lub w trakcie szkolenia, albo przyczyn rezygnacji ze służby nie są publicznie udostępniane. Można je jednak ocenić w ogólnym zarysie na podstawie informacji przekazywanych przez Ministerstwo Obrony Narodowej, danych zawartych w aktach normatywnych czy wystąpieniach pokontrolnych Najwyższej Izby Kontroli.

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<sup>33</sup> Dobrowolna zasadnicza służba wojskowa. Online: <https://www.wojsko-polskie.pl/zostanzolnierzem/dobrowolna-zasadnicza-sluzba-wojskowa/>.

<sup>34</sup> Art. 153 Ustawy o obronie Ojczyzny.

<sup>35</sup> Ustawa z dnia 10 października 2002 r. o minimalnym wynagrodzeniu za pracę (t.j. Dz.U. z 2020 r., poz. 2207 ze zm.).

<sup>36</sup> SzeF MON: Obowiązkowa służba wojskowa jest zawieszona, a nie zlikwidowana. W razie potrzeby można odwieść. Online: <https://tvn24.pl/polska/zasadnicza-sluzba-wojskowa-szeF-mon-wladyslaw-kosiniak-kamysz-nie-ma-planow-ale-jest-zawieszona-a-nie-zlikwidowana-st7842301>.

Zgodnie z pierwotną treścią stosownego rozporządzenia Rady Ministrów<sup>37</sup> w 2024 r. do dobrowolnej ZSW miało trafić maksymalnie 34 550 osób. W limicie tym należy uwzględnić między innymi planowany nabór 2483 osób na I rok studiów wojskowych<sup>38</sup>. Liczba chętnych do odbycia tej formy służby wojskowej spowodowała, że już w pierwszych czterech miesiącach roku zostało powołanych 16 800 osób, a do 1 czerwca powołano aż ok. 18 tys. osób. Tak duże zainteresowanie dobrowolną ZSW spowodowało znaczną korektę planowanej liczby powołań<sup>39</sup>. Rozporządzenie Rady Ministrów z dnia 17 lipca 2024 r. zmieniające rozporządzenie w sprawie określenia liczby osób, które w 2024 r. mogą być powołane do czynnej służby wojskowej, oraz liczby osób, które mogą pełnić służbę wojskową w rezerwie w ramach odbywania ćwiczeń wojskowych podniosło limit liczby osób, które mogą być powołane do dobrowolnej ZSW o 10 tys. do 44 550<sup>40</sup>. W projekcie tego rozporządzenia z 29 maja 2024 r. przewidywano, że „(...) na podstawie obecnego stanu powołań do dobrowolnej zasadniczej służby wojskowej oraz prowadzonych analiz w tym zakresie należy założyć, iż zakładany limit powołań do tej służby zostanie przekroczony na przełomie III i IV kwartału br.” Skutkiem takiego stanu, bez wprowadzenia stosownej zmiany limitów, powołanie kolejnych ochotników nie byłoby możliwe<sup>41</sup>.

Należy odnotować, że to nie pierwszy raz, kiedy Ministerstwo Obrony Narodowej zwiększyło limity szkoleń w ramach dobrowolnej ZSW. W 2022 r. zakładano pierwotnie, że szkolenie przejdzie 15 tys. osób, a ostatecznie Siły Zbrojne przeszkoliły ich o tysiąc więcej<sup>42</sup>. W 2023 r. resort zwiększył zaś liczbę miejsc dla ochotników z 25 tys. do 33 tys.<sup>43</sup>. Faktycznie do dobrowolnej zasadniczej służby wojskowej w 2023 r. wstąpiło aż 34 384 żołnierzy<sup>44</sup>.

<sup>37</sup> Rozporządzenie Rady Ministrów z dnia 20 marca 2024 r. w sprawie określenia liczby osób, które w 2024 r. mogą być powołane do czynnej służby wojskowej, oraz liczby osób, które mogą pełnić służbę wojskową w rezerwie w ramach odbywania ćwiczeń wojskowych (Dz.U. z 2024, poz. 457).

<sup>38</sup> Rozporządzenie Ministra Obrony Narodowej z dnia 9 listopada 2023 r. w sprawie limitu przyjęć na studia na określonym kierunku dla kandydatów na żołnierzy zawodowych w poszczególnych uczelniach wojskowych (Dz.U. z 2023, poz. 2466).

<sup>39</sup> P. Glińska, Więcej miejsc dla dobrowolsów. Online: <https://polska-zbrojna.pl/home/articleshow/41876?t=Wiecej-miejsc-dla-dobrowolsow>.

<sup>40</sup> Rozporządzenie Rady Ministrów z dnia 17 lipca 2024 r. zmieniające rozporządzenie w sprawie określenia liczby osób, które w 2024 r. mogą być powołane do czynnej służby wojskowej, oraz liczby osób, które mogą pełnić służbę wojskową w rezerwie w ramach odbywania ćwiczeń wojskowych (Dz.U. z 2024, poz. 1097).

<sup>41</sup> Projekt rozporządzenia Rady Ministrów zmieniającego rozporządzenie w sprawie określenia liczby osób, które w 2024 r. mogą być powołane do czynnej służby wojskowej oraz liczby osób, które mogą pełnić służbę wojskową w rezerwie w ramach odbywania ćwiczeń wojskowych. Online: <https://www.gov.pl/web/premier/projekt-rozporzadzenia-rady-ministrow-zmieniajacego-rozporzadzenie-w-sprawie-okreslenia-liczby-osob-ktore-w-2024-r-moga-byc-powolane-do-czynnej-sluzby-wojskowej-oraz-liczby-osob-ktore-moga-pelnic-sluzbe-wojskowa-w-rezerwie-w-ramach-odbywania-cwiczen-wojskowych>.

<sup>42</sup> Do dobrowolnej zasadniczej służby wojskowej w 2022 r. wstąpiło 16 431 żołnierzy. Wystąpienie pokontrolne: P/23/001 Wykonanie budżetu państwa w 2022 r. w części 29 – Obrona narodowa oraz wykonanie planu finansowego Funduszu Modernizacji Sił Zbrojnych, Najwyższa Izba Kontroli, KON.410.1.01.2023, s. 18.

<sup>43</sup> P. Glińska, Więcej miejsc... op. cit.

<sup>44</sup> Wystąpienie pokontrolne: P/24/001 Wykonanie budżetu państwa w 2023 r. w części 29 – Obrona narodowa, Najwyższa Izba Kontroli, s. 19.

Jak wynika z wystąpienia pokontrolnego Najwyższej Izby Kontroli liczba żołnierzy powołanych do zawodowej służby wojskowej w 2023 r. wyniosła 25 190 i była wyższa o 11 448 w stosunku do 2022 r., gdy powołano 13 742 żołnierzy. Stanowi to wzrost o 83%<sup>45</sup>. Dane te potwierdzają osobiste obserwacje autora, że żołnierze pełniący dobrowolną ZSW stanowią źródło ochotników do pełnienia zawodowej służby wojskowej zapewniające efektywne uzupełnianie wakujących stanowisk. Należy w tym miejscu wskazać, iż liczba zwolnień z zawodowej służby wojskowej w ostatnich dwóch latach wyniosła ok. 9 tys. W 2022 r. było to 8988, a w 2023 r. – 9168<sup>46</sup>.

Natomiast, jak podaje w wyżej wymienionym wystąpieniu pokontrolnym Najwyższa Izba Kontroli, dane dotyczące liczby etatów żołnierzy zawodowych na dzień 31 grudnia 2023 r., stopnia ukompletowania Sił Zbrojnych w poszczególnych korpusach, liczby żołnierzy zawodowych wg stażu służby na ostatni dzień roku kalendarzowego, liczby szeregowych żołnierzy zawodowych w poszczególnych korpusach osobowych, stanu ewidencyjnego Sił Zbrojnych RP z rozbiem na Dowództwa, Inspektorat Wsparcia Sił Zbrojnych, Żandarmerię Wojskową, Wojska Obrony Terytorialnej oraz pozostałe jednostki Departament Kadr MON objął klauzulą ZASTRZEŻONE<sup>47</sup>.

## **Podsumowanie**

Podstawy prawne funkcjonowania dobrowolnej ZSW zawarte są przede wszystkim w Ustawie o obronie Ojczyzny i aktach do niej wykonawczych. Jednym z fundamentów statusu żołnierzy pełniących tę służbę jest szeroko rozumiany jej ochotniczy charakter. Dotyczy tak zgłaszania się obywateli do odbycia szkolenia podstawowego oraz specjalistycznego, jak i możliwości rezygnacji na każdym etapie szkoleń bez konieczności wskazywania przyczyny.

Niewątpliwie służba w ramach dobrowolnej ZSW cieszy się dużą, wciąż rosnącą popularnością. Trzeci rok jej funkcjonowania pozwala stwierdzić, że nie jest to przypadek, lecz świadoma decyzja ochotników oparta na zaakceptowaniu korzystnej dla nich oferty. Dotyczy to korzyści materialnych, warunków służby, jak i rozbudowanych gwarancji prawnych w zakresie utrzymania dotychczasowej pracy i możliwości powrotu do niej. Ważna jest również organizacja naboru, cechująca się szybkością i elastycznością, na przykład w zakresie sposobu i miejsca złożenia wniosku o powołanie.

Niewątpliwie dobrowolna ZSW jest pozytywnie oceniana przez większość pełniących ją żołnierzy. W przeciwnym wypadku, w erze Internetu i mediów społecznościowych, można założyć, że ta forma służby wojskowej nie zyskiwałaby tak wielu nowych chętnych. Jeżeli w początkowym okresie wiele osób mogło patrzeć na dobrowolną ZSW z nieufnością z powodu negatywnych doświadczeń związanych

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<sup>45</sup> Tamże, s. 18.

<sup>46</sup> Tamże, s. 18.

<sup>47</sup> Tamże, s. 18.

z funkcjonowaniem przez dziesięciolecia w Polsce obowiązkowej zasadniczej służby wojskowej, to dziś jest oczywiste, że nie było do tego podstaw.

Odnosząc się do pytania zawartego w problemie badawczym należy podkreślić fakt przeszkolenia w stosunkowo krótkim czasie kilkudziesięciu tysięcy ochotników. Żołnierze pełniący dobrowolną ZSW w większości kontynuują ją w ramach szkolenia specjalistycznego i chcą ją kontynuować jako żołnierze zawodowi. W aspekcie zwiększenia potencjału obronnego Rzeczypospolitej Polskiej należy podkreślić, że nawet ci, którzy nie przejdą szkolenia specjalistycznego, budują potencjał rezerw osobowych.

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Wystąpienie pokontrolne: P/24/001 Wykonanie budżetu państwa w 2023 r. w części 29 – Obrona narodowa, Najwyższa Izba Kontroli.



# DOKUMENTY STRATEGICZNE JEDNOSTEK SAMORZĄDU TERYTORIALNEGO JAKO INSTRUMENTY SKUTECZNEGO ZAPOBIEGANIA PRZESTĘPCZOŚCI

## *Strategic documents of local government units as instruments of effective crime prevention*

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### **Summary**

*The article is devoted to strategic documents of local government units. The author has analysed strategic documents in the field of crime prevention of counties in the Lublin Voivodeship. The purpose of the study of crime prevention strategies in the districts of the Lubelskie Voivodeship is to verify the implementation of this task by individual districts and to analyse the content of documents on the basis of several basic criteria. The issue of the validity of the strategic document, the analytical part, the objectives of the strategy, the effects of the strategy, the coordinator and implementers, tasks, deadlines for their implementation, financing, reporting, the possibility of correction and the total volume of the document was examined. Based on the analysis, the author shows the directions/variants of creating a strategic document so that it is an instrument of effective crime prevention, and not just another legal act of the nature of a declaration of no practical significance.*

**Key words:** *strategy, security, county, security commission, crime prevention, crime, prevention*

### **Streszczenie**

Artykuł poświęcony jest dokumentom strategicznym jednostek samorządu terytorialnego. Autor dokonał analizy dokumentów strategicznych z zakresu zapobiegania przestępczości powiatów z województwa lubelskiego. Przeprowadzenie badania strategii zapobiegania przestępczości z powiatów województwa lubelskiego ma na celu zweryfikowanie realizacji tego zadania przez poszczególne powiaty oraz analizę treści dokumentów na podstawie kilku zasadniczych kryteriów. Zbadano kwestię

aktualności dokumentu strategicznego, części analitycznej, celów strategii, efektów strategii, koordynatora oraz realizatorów, zadań, terminów ich realizacji, finansowania, sprawozdawczości, możliwości korygowania oraz łącznej objętości dokumentu. Opierając się na analizie Autor pokazuje kierunki/warianty tworzenia dokumentu strategicznego tak, aby stanowił instrument skutecznego zapobiegania przestępczości, a nie był jedynie kolejnym aktem prawnym o charakterze deklaracji bez znaczenia praktycznego.

**Słowa kluczowe:** strategia, bezpieczeństwo, powiat, komisja bezpieczeństwa, zapobieganie przestępczości, przestępczość, zapobieganie

## Wstęp

Strategie zapobiegania przestępczości są jednym z narzędzi realizacji zadania własnego jednostek samorządu terytorialnego na poziomie powiatowym. Zgodnie z art. 4 ust. 1 pkt 15 Ustawy o samorządzie powiatowym (t.j. Dz.U. z 2024 r., poz. 107) powiat wykonuje określone ustawami zadania publiczne o charakterze ponadgminnym w zakresie porządku publicznego i bezpieczeństwa obywateli.

Warto zwrócić uwagę, że Ustawa o samorządzie powiatowym jest stale nowelizowana, także w aspekcie bezpieczeństwa i zapobiegania przestępczości. Na podstawie Ustawy z dnia 10 maja 2018 r. o ochronie danych osobowych (t.j. Dz.U. z 2019 r., poz. 1781) wprowadzono art. 4b ustawy o samorządzie powiatowym, który stanowi, że powiat w celu zapewnienia porządku publicznego i bezpieczeństwa obywateli oraz ochrony przeciwpożarowej i przeciwpowodziowej może stosować środki techniczne umożliwiające rejestrację obrazu (monitoring) w obszarze przestrzeni publicznej, za zgodą zarządzającego tym obszarem lub podmiotu posiadającego tytuł prawny do tego obszaru lub na terenie nieruchomości i w obiektach budowlanych stanowiących mienie powiatu lub jednostek organizacyjnych powiatu, a także na terenie wokół takich nieruchomości i obiektów budowlanych, jeżeli jest to konieczne do zapewnienia porządku publicznego i bezpieczeństwa obywateli lub ochrony przeciwpożarowej i przeciwpowodziowej<sup>1</sup>. Monitoring nie obejmuje pomieszczeń sanitarnych, szatni, stołówek, palarni oraz obiektów socjalnych. Zgodnie z omawianymi regulacjami nagrania obrazu, zawierające dane osobowe, przetwarzają się wyłącznie do celów, dla których zostały zebrane, i przechowuje przez okres nieprzekraczający 3 miesięcy od dnia nagrania, o ile przepisy odrębne nie stanowią inaczej. Po upływie tego okresu uzyskane w wyniku monitoringu nagrania obrazu, zawierające dane osobowe, podlegają zniszczeniu, z wyjątkiem sytuacji, w których nagrania zostały zabezpieczone, zgodnie z odrębnymi przepisami. Jednocześnie ustawa wprowadziła odpowiednie wymogi spoczywające na samorządzie powiatowym. Nieruchomości i obiekty budowlane objęte monitoringiem oznacza się w sposób widoczny i czytelny informacją

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<sup>1</sup> M. Kowalski, Komentarz do art. 4b, [w:] Ustawa o samorządzie powiatowym. Komentarz, S. Gajewski, A. Jakubowski (red.), Legalis, Warszawa 2019.

o monitoringu, w szczególności za pomocą odpowiednich znaków. Natomiast monitoring, w ramach którego dochodzi do przetwarzania danych osobowych, wymaga stosowania środków zabezpieczających przetwarzanie tych danych, w szczególności uniemożliwiających ich utratę lub bezprawne rozpowszechnienie, a także uniemożliwienie dostępu do danych osobom nieuprawnionym.

Ważnym organem na poziomie samorządu powiatowego, który wspiera działania z zakresu zapobiegania przestępczości, jest powiatowa komisja bezpieczeństwa i porządku. Ustawa o samorządzie powiatowym, w art. 38a, formułuje klarowne ramy prawne związane z działaniem komisji<sup>2,3</sup>. W skład komisji wchodzi:

- starosta jako przewodniczący komisji;
- dwóch radnych delegowanych przez radę powiatu;
- trzy osoby powołane przez starostę spośród osób wyróżniających się wiedzą o problemach będących przedmiotem prac komisji oraz cieszących się wśród miejscowej społeczności osobistym autorytetem i zaufaniem publicznym, w szczególności przedstawicieli samorządów gminnych, organizacji pozarządowych, pracowników oświaty, a także instytucji zajmujących się zwalczaniem zjawisk patologii społecznych i zapobieganiem bezrobociu;
- dwóch przedstawicieli delegowanych przez komendanta powiatowego (miejskiego) Policji, a w przypadku m.st. Warszawy delegowanych przez komendanta stołecznego Policji.

W pracach komisji uczestniczy także prokurator wskazany przez właściwego prokuratora okręgowego. Kadencja komisji trwa 3 lata.

Do zadań komisji należy:

- ocena zagrożeń porządku publicznego i bezpieczeństwa obywateli na terenie powiatu;
- opiniowanie pracy Policji i innych powiatowych służb, inspekcji i straży, a także jednostek organizacyjnych wykonujących na terenie powiatu zadania z zakresu porządku publicznego i bezpieczeństwa obywateli;
- przygotowywanie projektu powiatowego programu zapobiegania przestępczości oraz porządku publicznego i bezpieczeństwa obywateli;
- opiniowanie projektów innych programów współdziałania Policji i innych powiatowych służb, inspekcji i straży oraz jednostek organizacyjnych wykonujących na terenie powiatu zadania z zakresu porządku publicznego i bezpieczeństwa obywateli;
- opiniowanie projektu budżetu powiatu – w zakresie porządku publicznego i bezpieczeństwa obywateli;
- opiniowanie projektów aktów prawa miejscowego i innych dokumentów w sprawach związanych z wykonywaniem zadań przez komisję; opiniowanie, zleconych przez starostę, projektów dotyczących porządku publicznego i bezpieczeństwa obywateli.

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<sup>2</sup> A. Nodzak, A. Kania, Status prawny komisji bezpieczeństwa i porządku, [w:] System bezpieczeństwa w powiecie. Zagadnienia administracyjnoprawne, Legalis Warszawa 2023.

<sup>3</sup> D. Ziółkowski, Komentarz do art. 38a, [w:] Ustawa o samorządzie powiatowym. Komentarz, S. Gajewski, A. Jakubowski (red.), Legalis, Warszawa 2019.

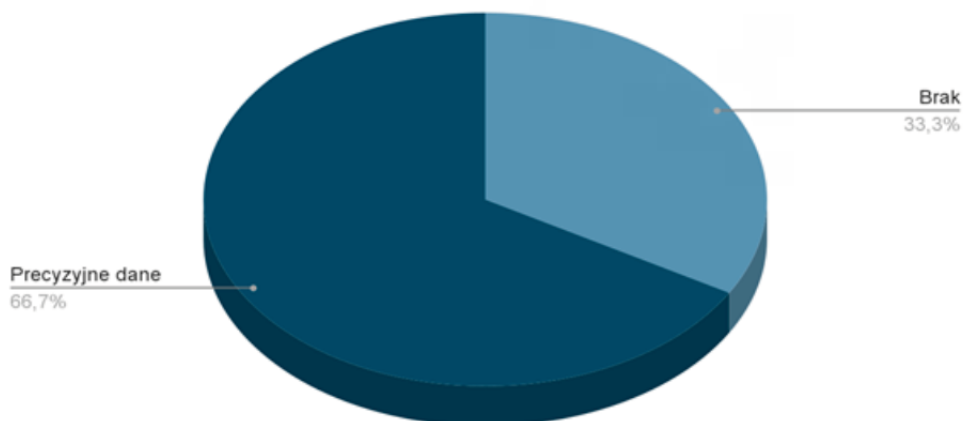
Jednym z kluczowych uprawnień komisji jest przygotowywanie projektu powiatowego programu zapobiegania przestępczości oraz porządku publicznego i bezpieczeństwa obywateli. Program ten, zgodnie z art. 12 pkt 9b Ustawy o samorządzie powiatowym, przyjmowany jest przez radę powiatu, zaś jego wykonanie powierza się zarządowi powiatu jako organowi wykonawczemu. Program ma stanowić swoistą mapę drogową w zakresie współpracy licznych organów odpowiedzialnych za porządek publiczny i bezpieczeństwo obywateli, ale także ma stwarzać ramy do wzmocnienia aspektu zapobiegania przestępczości. Z uwagi na doniosłą rolę tego dokumentu strategicznego, w dalszej części niniejszego opracowania zostaną poddane analizie strategię zapobiegania przestępczości z powiatów województwa lubelskiego.

## **Cel i metodologia badania**

Przeprowadzenie badania strategii zapobiegania przestępczości z powiatów województwa lubelskiego ma na celu zweryfikowanie realizacji tego zadania przez poszczególne powiaty oraz analizę treści dokumentów opierając się na kilku zasadniczych kryteriach. Zbadano kwestię aktualności dokumentu strategicznego, części analitycznej, celów strategii, efektów strategii, koordynatora oraz realizatorów, zadań, terminów ich realizacji, finansowania, sprawozdawczości, możliwości korygowania oraz łącznej objętości dokumentu.

W zakresie metodologii badania dokonano analizy statystycznej dokumentów strategicznych dostępnych na stronach internetowych lub w Biuletynie Informacji Publicznej jednostek samorządu terytorialnego na poziomie powiatowym. W województwie lubelskim istnieje 20 powiatów oraz 4 miasta na prawach powiatu, co daje razem 24 jednostki samorządu terytorialnego na poziomie powiatowym. Dodać przy tym należy, że na mocy porozumienia powiat miasto Zamość i powiat zamojski (ziemski) mają przyjęty tożsamy (wspólny) dokument strategiczny. Co daje 23 dokumenty strategiczne do analizy. Analiza statystyczna objęła każdy z tych dokumentów, przy czym należy zwrócić uwagę, że cztery badane jednostki samorządu terytorialnego nie posiadały aktualnego dokumentu strategicznego, z uwagi na zakończenie realizacji poprzedniej strategii. Wówczas analizie poddano ostatni z przyjętych przez rady powiatów dokumentów. Nadmienić przy tym należy, że w przypadku trzech z tych samorządów, poprzedni dokument strategiczny obowiązywał do końca 2023 r., zaś przedmiotowe badanie było realizowane w kwietniu 2024 r.

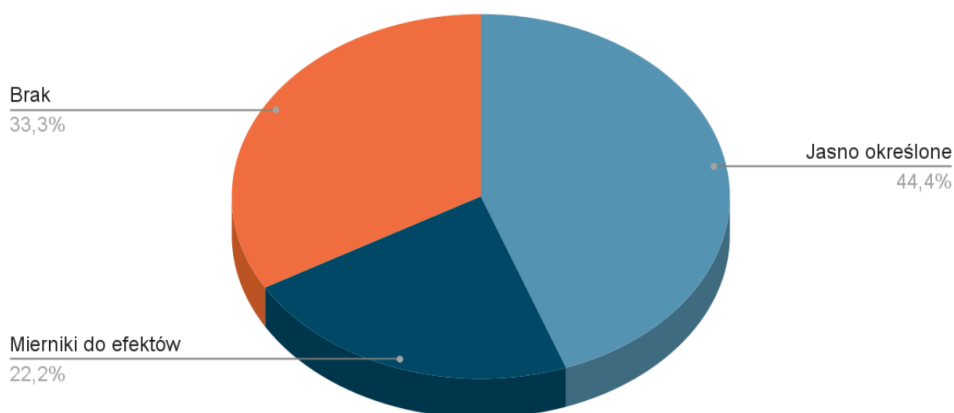
## Wyniki badań



**Wykres 1.** Zawarcie w strategii części analitycznej

*Źródło: opracowanie własne*

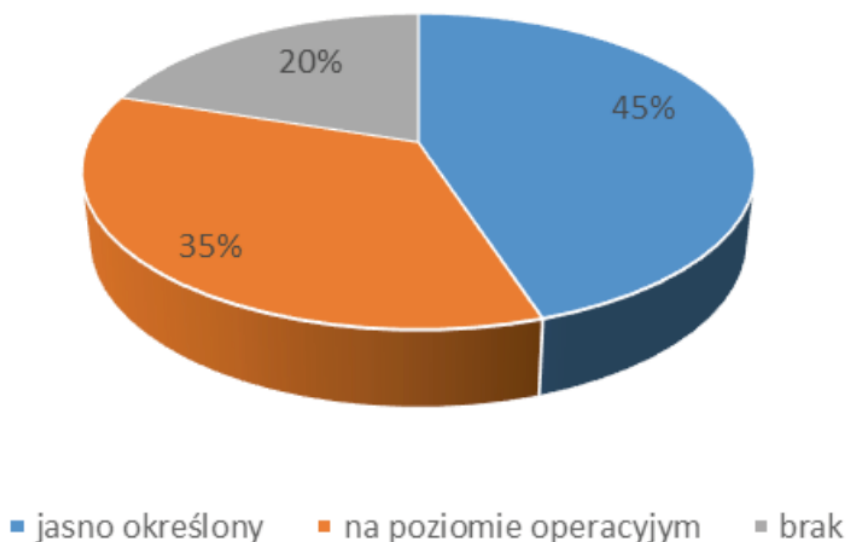
Pierwsze z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym części analitycznej. Część analityczna stanowi kluczowy element dokumentu strategicznego, gdyż pokazuje stan bezpieczeństwa i problemów związanych z przestępczością na terenie powiatu. Jest to o tyle istotne, że przekłada się na dobór środków i narzędzi w kolejnych częściach dokumentu strategicznego, tj. w części strategicznej i wdrożeniowej. W przeprowadzonym badaniu wysoki odsetek dokumentów strategicznych zawierał część analityczną, jednakże niepokojący jest odsetek samorządów powiatowych, których takowej części w swojej strategii nie posiadał – aż 33%. Może to wynikać z dwóch zasadniczych przyczyn – braku analiz przed przystąpieniem do tworzenia dokumentu lub nieujęcie tego materiału w strategii. O ile drugi z wariantów jest korzystniejszy od strony merytorycznej, to należałoby jednak odesłać do źródła, z którego pochodziła wiedza, która przełożyła się na określone brzmienie części strategicznej i wdrożeniowej. Może to być sprawozdanie z obowiązywania wcześniejszego dokumentu lub inny materiał źródłowy. Ważne jest, aby źródło to było ogólnodostępne, np. poprzez stronę internetową jednostki samorządu terytorialnego lub BIP. Pierwszy z wariantów uznać należy za absolutnie niedopuszczalny w zakresie przygotowywania dokumentów strategicznych z zakresu zapobiegania przestępczości. Brak wcześniejszej analizy uniemożliwia sformułowanie wniosków w kolejnych częściach składowych dokumentu strategicznego, a jeśli takowe zostały przygotowane, to powstaje pytanie o to, czy są adekwatne do problemów w zakresie przestępczości i jej zapobiegania na terenie danego powiatu.



**Wykres 2.** Sposób ujęcia efektów

*Źródło: opracowanie własne*

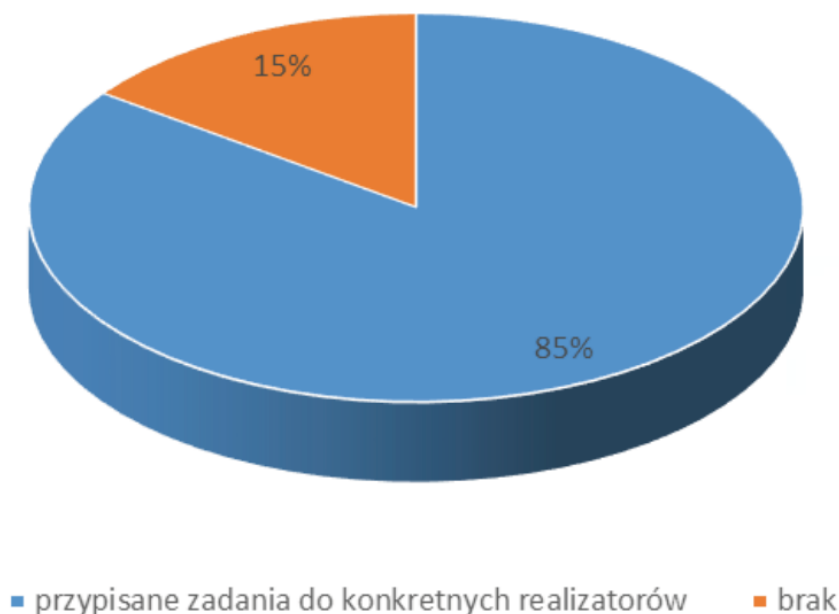
Drugie z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym efektów, czy też rezultatów. Dotyczy określenia tego, co autorzy dokumentu strategicznego zamierzają osiągnąć, do czego zmiierzają działania zaproponowane strategii zapobiegania przestępczości. W pierwszej kolejności wskazać należy, że 33% badanych strategii nie zawierało wskazanych efektów/rezultatów. Oznacza to więc, że autorzy dokumentów strategicznych z różnych względów nie chcieli określić, jaki ma być finalny efekt działań, określony ilościowo i/lub jakościowo. Przy szczegółowej analizie tej grupy badanych dokumentów można zaobserwować, że w przeważającej części są to strategie, które nie mają precyzyjnie ujętych zadań oraz, co najważniejsze, nie mają precyzyjnie ujętego finansowania. Wydaje się więc, że autorzy, nie mając zabezpieczenia finansowego, nie zdecydowali się określić jasno rezultatów, nie wspominając już o dokładnym ujęciu mierników. W drugiej grupie dokumentów (44%) rezultaty były określone, jednak nie wskazano szczegółowych mierników. Jedyne w 22% badanych strategii zapobiegania przestępczości ujęto rezultat oraz dopasowano do niego miernik ujęty ilościowo lub jakościowo. Oceniając trzy z ww. wariantów obecnych w praktyce przygotowywania dokumentów strategicznych, wskazać należy, że trzeci z nich jest optymalny, gdyż odpowiednio motywuje realizatorów do podejmowania konkretnych działań nastawionych na wypełnienie owych mierników, ale także umożliwia rzetelną ocenę stopnia realizacji strategii na etapie sprawozdań częściowych (np. rocznych) i za cały okres realizacji dokumentu. Pozwoli to opracować wnioski i wdrożyć je jeszcze w trakcie realizacji dokumentu strategicznego, np. poprzez zwiększenie nakładów i/lub częstotliwości określonych działań w celu osiągnięcia założonych rezultatów z miernikami.



**Wykres 3.** Sposób ujęcia efektów

Źródło: opracowanie własne

Trzecie z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym koordynatora działań. Koordynator jest podmiotem, który powinien z ramienia organu wykonawczego jednostki samorządu terytorialnego odpowiadać za wykonywanie postawionych działań, zapewniając przy tym spójność działań i unikając sporów kompetencyjnych. W badanych strategiach aż 20% dokumentów nie wprowadza pojęcia koordynatora. Co prawda każdą uchwałę rady powiatu wykonuje organ wykonawczy jednostki samorządu terytorialnego, tj. zarząd powiatu, więc przy braku wskazania w treści dokumentu strategicznego koordynatora to zarząd powiatu będzie pełnił tę rolę. W 45% badanych dokumentów koordynator został jasno określony. Jednakże optymalnym rozwiązaniem jest wskazanie koordynatora na poziomie operacyjnym, tj. takim, który gwarantuje stałe, bieżące zarządzanie zaplanowanymi działaniami. Na potrzeby prowadzonego badania przyjęto, że koordynatorem na poziomie operacyjnym nie może być starosta, członek zarządu powiatu, czy też cały zarząd powiatu, zważywszy na fakt, iż realizują wiele różnych działań z kilkudziesięciu obszarów wynikających z zadań własnych i zleconych samorządowi powiatowemu. Poprzez koordynatora na poziomie operacyjnym rozumiem więc osobę lub podmiot zbiorowy, który z uwagi na swoje bieżące zadania jest na co dzień zorientowany i zaangażowany w problematykę zapobiegania przestępczości. W badanych dokumentach wskazano, chociażby kierownika komórki organizacyjnej starostwa powiatowego (niezależnie od ich różnych nazw), która zajmuje się sprawami bezpieczeństwa, czy też komisję bezpieczeństwa i porządku publicznego.

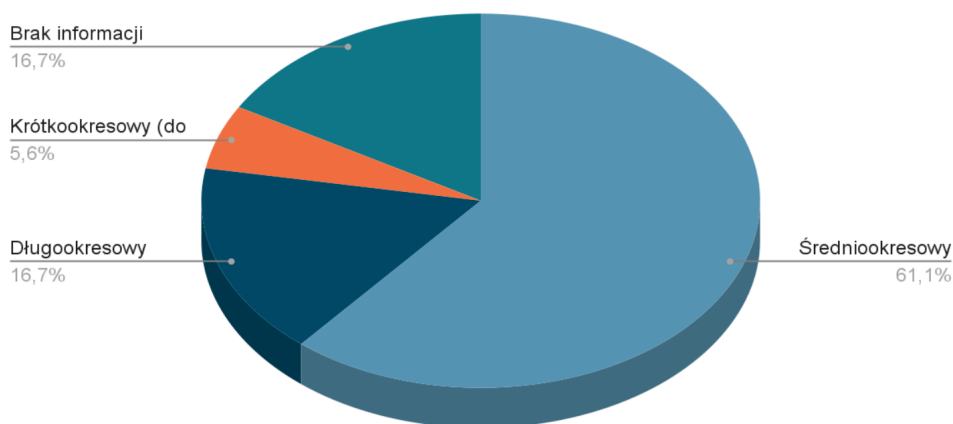


#### Wykres 4. Sposób ujęcia realizatorów

Źródło: opracowanie własne

Czwarte z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym realizatorów poszczególnych działań. Aspekt ten jest o tyle istotny, że w praktyce umożliwia sprawne rozpoczęcie i kontynuowanie poszczególnych działań ujętych w części wdrożeniowej dokumentu strategicznego. W zdecydowanej większości badanych strategii (85%) przypisano realizatorów do konkretnego działania lub grupy działań. Wydaje się, że umożliwia to sprawną realizację działań strategicznych, bez konieczności budowania już na początku realizacji strategii struktury podmiotowej przez koordynatora, co może determinować często ożywione dyskusje i spory kompetencyjne. Spory te mogą być tym bardziej prawdopodobne, jeśli nie ujęto w dokumencie strategicznym odrębnego finansowania działań z budżetu strategii. Aspekt ten będzie determinował konieczność finansowania działań z bieżących budżetów danych podmiotów, co nie może nie być zgodne z wizją zarządzających tymi podmiotami przy sytuacji permanentnego braku środków na pokrycie wydatków w instytucjach publicznych.





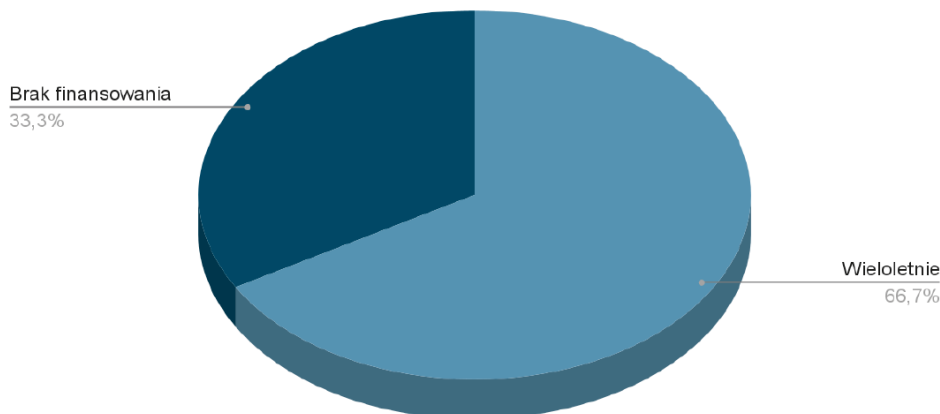
**Wykres 5.** Sposób ujęcia terminu realizacji strategii

*Źródło: opracowanie własne*

Piąte z kryteriów, które poddano analizie, to ujęcie w dokumencie strategicznym terminów realizacji dokumentu strategicznego. Analizując terminy realizacji programów, zdecydowana większość z nich ma charakter średniokresowy (do 5 lat) – 61%. Charakter długookresowy (powyżej 6 lat) ma 16% badanych strategii, zaś krótkookresowy (do 2 lat) zaledwie 6%. Ponadto 16% badanych dokumentów nie zawierało informacji o czasie obowiązywania strategii, co może oznaczać, że przyjęto je na czas nieokreślony, tj. do momentu przyjęcia kolejnego dokumentu strategicznego, który w przepisach przejściowych będzie uchwałą rady powiatu uchylał dotychczas obowiązującą strategię. Wydaje się, że zaobserwowany w praktyce trend wskazuje na optymalny okres obowiązywania dokumentu strategicznego, tj. okres 3-5 lat. Okres ten bez wątplenia wymusza dynamizowanie działań, mając na względzie perspektywę zakończenia okresu realizacji strategii. W odróżnieniu od strategii krótkookresowej (1-2 lata) daje także perspektywę lepszej jakości realizacji zadań. W ujęciu modelowym warto także rozważyć przyjmowanie dokumentów strategicznych na okres kadencji organów jednostki samorządu terytorialnego, tj. okresu 5 lat. Pozwoli to na ustalenie wizji oraz zapewnienie środków (narzędzi) przez osoby w danej kadencji sprawujące władzę. Jeśli jednak po zmianie władzy, nowe organy uznają za zasadną zmianę wizji wyrażoną w strategii, powinny dokonać zmian w uchwale rady powiatu wprowadzającej dokument strategiczny.

Szóste z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym zadań do realizacji. W tym aspekcie stwierdzić należy, że wszystkie badane dokumenty zawierały określone zadania. Jednakże dostrzec należy różny stopień ich szczegółowości. Większość z badanych dokumentów formułuje zadania kierunkowo, tj. pozostawiając dużą swobodę samym realizatorom. Nieliczne zadania są ujmowane precyzyjnie, szczegółowo – nie pozostawiając realizatorom swobody w wykorzystaniu określonych narzędzi. Wydaje się, że pierwszy z przytoczonych wariantów

należałoby ocenić pozytywnie, jeśli precyzyjnie sformułowano rezultaty i mierniki. W przeciwnym razie bardzo ogólnie ujęte zadanie i brak mierników spowoduje, że przy znikomym nakładzie pracy i zaangażowania przez danego realizatora będzie on mógł w sprawozdaniu wykazać, że zadanie zrealizował w pełni.

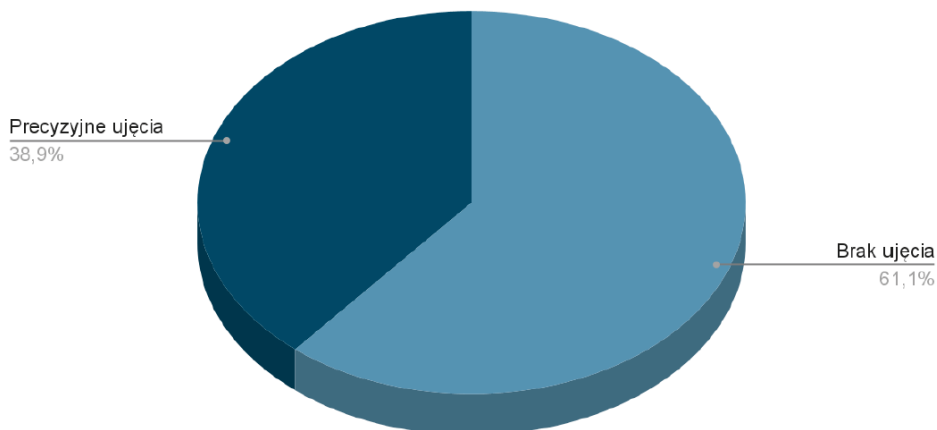


**Wykres 6.** Sposób ujęcia finansowania zadań

*Źródło: opracowanie własne*

Siódme z kryteriów, które poddano analizie to ujęcie w dokumencie strategicznym sposobu finansowania zadań do realizacji. Aspekt finansowania ma kluczowe znaczenie, gdyż przekłada się na jakość wykonania zakładanych celów i osiągnięcia wskazanych w dokumencie strategicznym rezultatów. W grupie badanych dokumentów strategicznych 66% strategii zawierało regulacje dotyczące finansowania działań, wskazując na ich źródło (budżet powiatu, inne źródła finansowania), a często także konkretne kwoty planowane na realizację poszczególnych działań. Niepokojącym zjawiskiem jest brak wskazanego finansowania w 33% badanych dokumentów strategicznych. Wydaje się, że drugie z omawianych rozwiązań uznać należy za niewłaściwe. Powoduje bowiem, że zaplanowano określone działania do realizacji, nie zabezpieczając na ich realizację żadnych środków. Oznacza to, że realizatorzy tych działań mogą je realizować w ramach codziennych obowiązków lub z wykorzystaniem wolontariatu. Bez wątpliwości wpłynie to na jakość realizacji tychże działań. Podaje także w wątpliwość możliwość wykonywania zakładanych rezultatów. Postulować więc należy ujmowanie w dokumencie strategicznym precyzyjnego finansowania, w tym zaplanowania wydatków na poszczególne lata realizacji strategii (przy dokumentach wieloletnich), ale także na poszczególne działania, bądź grupy działań. W praktyce można zaobserwować obawę przed ujmowaniem niewielkich kwot. Sformułowana obawa ma z pewnością także charakter wizerunkowy. Niemniej istotne jest, że część zadań może być wykonywana w ramach czasu pracy pracowników określonych instytucji, a część wolontarystycznie, jednak zazwyczaj powstaną dodatkowe wydatki,

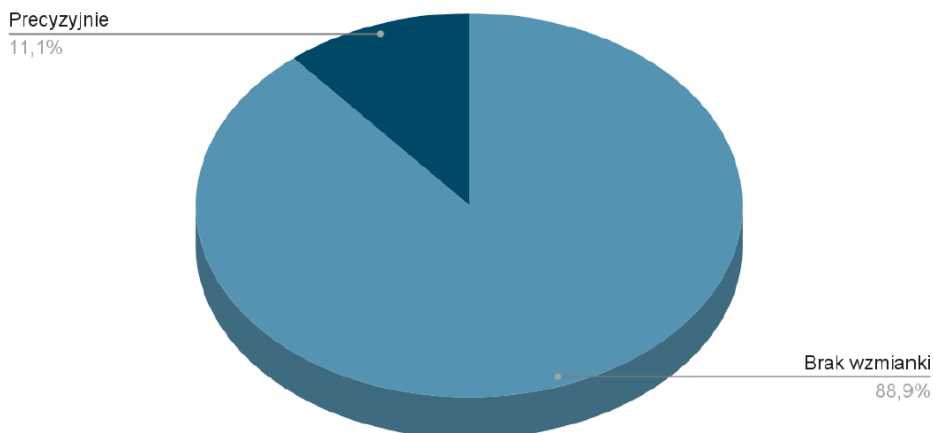
na które trzeba wyasygnować określone środki. O ile nie jest zasadne wycenianie działań barterowych/wolontarystycznych, to w pozostałym obszarze, zważywszy na specyfikę sfery zapobiegania przestępczości, niezbędne jest zaplanowanie środków na realizację zadań lub ich części.



**Wykres 7.** Sposób ujęcia sprawozdawczości

*Źródło: opracowanie własne*

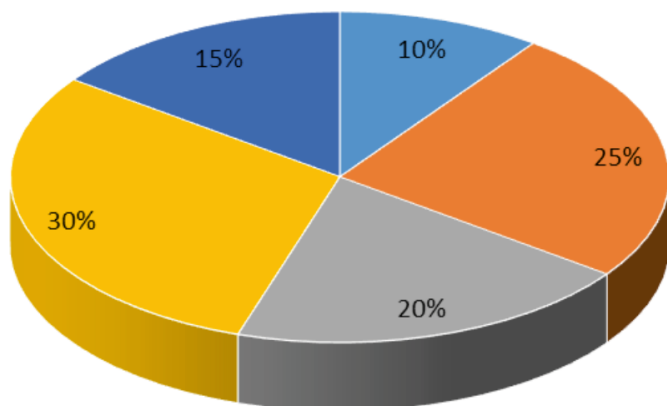
Ósme z kryteriów, które poddano analizie, to ujęcie w dokumencie strategicznym sprawozdawczości z realizacji zadań. Sprawozdawczość powinna mieć wymiar kompleksowy, tj. po upływie terminu obowiązywania dokumentu, ale rozważyć należy także sprawozdawczość częściową, np. roczną. W ramach badanych dokumentów strategicznych, aż 61% badanych dokumentów nie regulowała precyzyjnie tej kwestii. Jest to sytuacja, którą należy ocenić negatywnie. Co prawda uchwała organu stanowiącego jednostki samorządu terytorialnego może tego typu rozwiązania przewidywać po zakończeniu realizacji całości strategii, ale wydaje się zasadne ujęcie tej kwestii w treści dokumentu. W przypadku strategii wieloletnich rekomendować także należy sprawozdawczość częściową. Optymalnym rozwiązaniem jest sprawozdawczość roczna, co koresponduje z rokiem budżetowym i nakładami na realizację zadań przewidzianych w strategii. W blisko 40% badanych dokumentów strategicznych aspekt sprawozdawczości został ujęty precyzyjnie, w tym także w odniesieniu do sprawozdań częściowych. Pokazuje to rosnącą świadomość w zakresie zarządzania strategicznego, gdyż sprawozdawczość roczna otwiera drogę do świadomego korygowania działań, a tym samym zwiększenia efektywności realizacji całego dokumentu.



**Wykres 8.** Sposób ujęcia możliwości korygowania strategii

*Źródło: opracowanie własne*

Dziewięć z kryteriów, które poddano analizie, to ujęcie możliwości korygowania strategii. Powyżej wspomniałem, że korygowanie powinno być ściśle związane z bieżącym monitorowaniem realizacji strategii w formie sprawozdań częściowych. W sensie logicznym korygowanie powinno wynikać z wnikliwej analizy dotychczasowej realizacji działań. Rzeczywistość przynosi różne okoliczności, których nie dało się przewidzieć na etapie tworzenia dokumentu strategicznego. Dlatego też warto zabezpieczyć możliwość korygowania dokumentu na poziomie operacyjnym bez konieczności zmiany uchwały organu stanowiącego jednostki samorządu terytorialnego. Tę ewentualność ocenić należy jako bardzo formalną i czasochłonną, a więc niedającą elastyczności w działaniu. Optymalne jest więc wprowadzenie mechanizmu korygowania strategii przez koordynatora, co powinno wiązać się z precyzyjnym określeniem zakresu możliwych zmian. Odrzucić bowiem należy wariant, w którym koordynator może zmienić wszystko łącznie z celami i rezultatami, gdyż może to prowadzić do działań o charakterze niepożądanym. Mam tutaj na myśli sytuację, w której koordynator widząc, że nie wykona rezultatów, dokonuje ich zmiany poprzez obniżenie, lub też obniża wartości liczbowe/procentowe rezultatów, chcąc pokazać w finalnym sprawozdaniu, o ile je przekroczył. W badanych dokumentach aż 89% strategii nie przewidywało możliwości korygowania na poziomie operacyjnym, co umożliwiało ich zmianę jedynie w drodze uchwały organu stanowiącego jednostki samorządu terytorialnego. Zaledwie 11% samorządów takie rozwiązania wprowadzało.



■ ponad 70 stron ■ 30-70 stron ■ 20-30 stron ■ 10-20 stron ■ poniżej 10 stron

### Wykres 9. Łączna objętość dokumentu

Źródło: opracowanie własne

Dziesiąte z kryteriów, które poddano analizie, to łączna objętość dokumentu. W pierwszej kolejności zauważyć należy, że sam fakt większej objętości nie jest wyznacznikiem jakości dokumentu, jednak pośrednio na taką korelację należy zwrócić uwagę, chociażby w aspekcie jakości i szczegółowości części analitycznej. Najliczniej występująca grupa dokumentów liczyła 1–20 stron – 30%. Co łącznie z dokumentami, które liczą do 10 stron daje prawie 50% badanych dokumentów. Dokumenty, które liczyły ponad 30 stron stanowiły 35%. Szczegółowa analiza pokazuje, że w tej grupie znalazły się dokumenty z rozwiniętą częścią analityczną. Celowo użyłem stwierdzenia odnoszącego się do rozwiniętej części analitycznej, gdyż badanie w tym obszarze zostało omówione powyżej. Dostrzec więc należy pewną tendencję w zakresie uogólniania części analitycznej, co może wynikać z niechęci do tworzenia obszernych dokumentów. Moje doświadczenia w zakresie zapobiegania przestępczości pokazują jednak, że wnikliwa diagnoza tak złożonego obszaru stosunków społecznych wymaga przybliżenia w ujęciu opisowym i statystycznym wielu elementów. Nie jest więc możliwa pogłębiona analiza na 2–5 stronach. Podam prosty przykład. Najczęściej stosowane są statystyki policyjne w zakresie stwierdzonych przestępstw. Jest to rozwiązanie ułomne, gdyż obok przestępstw mamy liczną (liczniejszą) grupę wykroczeń, ich wykrywalność (w rozbiciu na przestępstwa/wykroczenia), podział na wiek sprawców, itp. Tylko kompleksowe ujęcie tej tematyki wpłynie na jakość kolejnych części dokumentu strategicznego, ale bez wątplenia zwiększy objętość całego dokumentu.

## **Wnioski**

Prezentowane powyżej wyniki badań oraz wnioski w poszczególnych obszarach pozwalają sformułować kilka kluczowych wniosków o charakterze generalnym. W pierwszej kolejności odnieść się należy do celu przyjmowania dokumentu. Jeśli celem jest wyłącznie realizacja obowiązku ustawowego, przekłada się to na jakość dokumentu i jego poszczególnych części składowych. Taki dokument nie wywrze istotnych skutków w aspekcie zapobiegania przestępczości w danym powiecie. Wizja organu wykonawczego (przedstawiającego projekt uchwały organowi stanowiącemu) może być jednak zgoła odmienna i wynikać z potrzeby wprowadzenia realnych zmian w obszarze zapobiegania przestępczości, w koordynacji działań różnych służb i instytucji, włączenia mieszkańców w jej działania oraz zastosowanie metod przystających do zmieniającej się rzeczywistości. Wówczas dokument powinien być przygotowany na odpowiednim poziomie jakościowym. Analiza dokumentów strategicznych z powiatów województwa lubelskiego prowadzi do wniosku, że większość nie realizuje drugiego z wariantów, a stanowią tylko realizację ustawowego obowiązku.

Drugi wniosek wiąże się z potrzebą wykorzystania doświadczeń z zakresu planowania strategicznego znanego doskonale w naukach o zarządzaniu. Jedynie właściwie przygotowany dokument, zawierający część analityczną, strategiczną i wdrożeniową może spełniać pokładane założenia i przyczynić się do realnego zapobiegania przestępczości. Zwrócić przy tym należy uwagę na powiązanie ww. części dokumentu w logiczną całość. Część analityczna ma na celu określenie kluczowych problemów w obszarze przestępczości. Część strategiczna ma pokazać wizję, którą będziemy realizować i do której zmierzamy, w tym określając rezultaty liczbowo/procentowo. Część wdrożeniowa ma dawać wskazówki i narzędzia każdemu z realizatorów. Unikamy bowiem działań chaotycznych, przypadkowych lub samodzielnie kreowania działań i metod ich realizacji w oderwaniu od koordynatora i pozostałych realizatorów działań.

Trzeci wniosek to konieczność włączenia w proces tworzenia oraz realizacji dokumentu strategicznego mieszkańców i ich organizacji. Przy problemach kadrowych i finansowych służb zaangażowanie mieszkańców może przynieść pozytywne rezultaty, szczególnie na terenach wiejskich, leżących w istotnym oddaleniu od posterunków i komisariatów Policji. Mieszkańcy mogą bowiem zaangażować swój czas i zasoby rzeczowe w celu zwiększenia bezpieczeństwa poprzez klasyczne odstraszanie potencjalnych przestępców, ale także późniejsze szybkie ustalenie i wykrycie sprawcy. Drugim aspektem jest wykorzystanie metod komunikacji z mieszkańcami oraz zastosowanie skutecznych, aktualnych (nowoczesnych) metod zapobiegania przestępczości. Ważne jest, aby skutecznie dotrzeć do różnych grup docelowych ryzyka wystąpienia przestępczości. Sposoby komunikacji muszą być zróżnicowane. Wskazywanie plakatów czy ulotek (częste w badanych dokumentach) może być skuteczne dla grupy seniorów. W przypadku osób młodych szukać należy innych kanałów komunikacji. Inaczej, od strony przedmiotowej, będzie także wyglądała analiza ryzyka. Osoby młode to istotne zagrożenie przestępczością narkotykową. Dla

seniorów zagrożenia ogniskują się w kontekście Internetu i próby wyłudzeń. To jedynie kilka zestawień wskazujących na dużą różnorodność zagadnień, które musimy uwzględnić w dokumencie strategicznym, jeśli chcemy zwiększyć jego skuteczność.

Czwarty wniosek to potrzeba budowania dokumentu strategicznego, który uwzględnia specyfikę lokalną i w jak najlepszym stopniu oddaje lokalne zagrożenia i wyzwania, ale także specyfikę mieszkańców/grup mieszkańców. Treść i zastosowane w strategii rozwiązania muszą bowiem przekonać mieszkańców do włączenia się we wspólne działania, nawet jeśli miałyby to być wyłącznie działania na poziomie mikro. Wydaje się, że tylko realne (a nie pozorne) włączenie mieszkańców do tego procesu gwarantuje wysoką skuteczność tych działań, korzystając z dobrze znanych koncepcji Neighborhood Watch czy też Community Policing, które niestety w Polsce jeszcze raczkują.

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## AN ASSESSMENT OF STATE-SPONSORED TERRORISM IN AFRICA AS BOTH INTERNATIONAL CONSPIRACY AND POLITICAL ENGINEERING

### *Ocena terroryzmu sponsorowanego przez państwo w Afryce jako formy międzynarodowego spisku i inżynierii politycznej*

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#### **Streszczenie**

*Sponsorowanie terroryzmu przez państwo, choć nie tak powszechne jak w poprzednich dekadach, jest nadal skomplikowanym zjawiskiem, z którym rządy w regionie afrykańskim muszą się jeszcze odpowiednio uporać, pomimo zagrożenia, jakie nadal stanowi ono dla bezpieczeństwa narodowego i międzynarodowego regionu. Obecna polityka wobec państw sponsorujących terroryzm jest ograniczona przez kilka ustaw, które nakazują wprowadzenie szeregu sankcji gospodarczych i dyplomatycznych, gdy państwo zostanie uznane za sponsora terroryzmu. W związku z tym decydenci polityczni muszą dokładnie rozważyć wszystkie złożone konsekwencje, zanim uznają państwo za naruszające przepisy w obawie przed zrażeniem niezbędnych sojuszników i zaszko-dzeniem gospodarce międzynarodowej. Wykorzystując teorie instrumentalne i teorie strukturalne jako teoretyczną soczewkę do analizy, artykuł ten dowodzi, że terroryzm sponsorowany przez państwo może być głęboko rozumiany jako międzynarodowy spisek i politycznie zaprojektowany w celu zemsty lub doprowadzenia do zmian politycznych w państwach docelowych. Metodologia łączy w sobie zarówno analizę teoretyczną, jak i historyczną opartą na podejściu interdyscyplinarnym. Odwoływano się również do socjologii i polityki światowej. Gromadzenie i analiza informacji ze źródeł pierwotnych, takich jak filmy na YouTube, rejestry rządowe i prywatne, raporty prasowe i inne źródła wtórne, były niezbędne do wykorzystania w tym artykule. W tym celu przedstawiono nową strategię walki z terroryzmem sponsorowanym przez państwo, oferującą decydom politycznym zniuansowane podejście do postępowania z państwami, które decydują się na zatrudnianie organizacji terrorystycznych. W artykule przeanalizowano kontekst historyczny terroryzmu sponsorowanego przez państwo, przypadki terroryzmu sponsorowanego przez państwo oraz obecną tendencję w terroryzmie*



*sponsorowanym przez państwo w odniesieniu do środków zwalczania terroryzmu mającego na celu ograniczenie terroryzmu sponsorowanego przez państwo.*

**Słowa kluczowe:** *terroryzm sponsorowany przez państwo, spisek międzynarodowy, inżynieria polityczna*

## **Summary**

State sponsorship of terrorism, though not as rampant as in previous decades, is still an intricate phenomenon that the governments in the African region are yet to adequately address, despite the threat it continues to pose to the region's national and international security. Current policy toward state sponsors of terrorism is constrained by several laws, which mandate a host of economic and diplomatic sanctions be put in place when a state is designated as a sponsor of terrorism. As such, policymakers must carefully consider all of the complex ramifications before labeling an offending state for fear of alienating necessary allies and harming the international economy. Utilizing the instrumental theories and structural theories as its theoretical lens for analysis, this paper argues that state-sponsored terrorism can be understood deeply as an international conspiracy and politically engineered for revenge or to bring about political change in target states. The methodology combines both theoretical and historical analysis anchored on the interdisciplinary approach. Recourse was also made to sociology and world politics. The collection and analysis of information from primary sources such as YouTube videos, government and private records, newspaper reports, and other secondary sources were essential utilized in this paper. To this end, a new strategy for tackling state-sponsored terrorism is presented, offering policymakers a nuanced approach to dealing with states that choose to employ terrorist organizations. This paper examines the historical context of state-sponsored terrorism, cases of state-sponsored terrorism, and the current trend in state-sponsored terrorism vis-à-vis counter-terrorism measures for mitigating state-sponsored terrorism.

**Key words:** state-sponsored terrorism, international conspiracy, political engineering

## **Introduction**

State-sponsored terrorism is a momentous threat to global security. The state backing of terrorist groups poses substantial risks to global security. A growing body of scholarship focuses on understanding different aspects of the relationship between the patron state, the sponsored terrorist group, and the target state. The state sponsorship of terrorist groups significantly increases the scope and magnitude of the overall terrorism threat because governments have enormous resources and can help terrorists reach a much broader sector of the population with their attacks.

States can sponsor terrorist groups in several ways, including but not limited to funding terrorist organizations, providing training, supplying weapons, providing other logistical and intelligence assistance, and hosting groups within their borders. State-sponsored terrorism is a form of terrorism carried out with the active support of national governments provided to violent non-state actors.

The term terrorism has so far reached a diverse point of view in the context of the human intellect of an individual. Generally, terrorism comes with a lot of violence involved and extracts an ample number of human resources. The act does not just affect people at large but the globe's harmony as well. Terrorism is never unintentional, it's a full-fledged strategy to create a state of terror or fear within the nationals of a particular State. A terrorist attack is more than just a violent act because the perpetrator is mostly induced by some sort of political or religious ideology and to impose the same, they take this path of violence.

The word terrorism came from the Latin term "terrorem" which means panic, alarm and great fear. Terrorism got a boost after the famous French Revolution from 5th September 1793 to 27th July 1794 which is well known as the Reign of Terror. This took place because the government executed the suspected masses with the motive of intimidating their opponents. Their main reason to establish that fear within the population comes with a sense of complexity where a weaker group trying to establish their supremacy over a targeted powerful nation by unethical means. Besides that, the perpetrator intentionally tries to provoke the particular state so that it retaliates back with rage and that is how they meet their success.

The subject of state sponsorship of terrorism invariably begins by grappling with the issue of definitions. In 1984, Schmid and Jongman identified over 100 different definitions for terrorism, presenting an often-cited problem in attempting to develop a counter-terrorism strategy: the lack of a common lexicon. In a more recent collaboration, the same authors cite 22 definitions, demonstrating progress, but a continued disparity among academics and policymakers<sup>1</sup>. Since the focus of this paper is on creating a practical typology for our country's policymakers, this paper uses the State Department's accepted definition listed in U.S. Code Title 22, Section 2656f, which states terrorism is premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents. It goes on to define international terrorism as terrorism involving citizens or the territory of more than one country.

Despite problems with defining the term, certain scholars have presented definitions from a rigorous perspective. Weinberg (2005), for instance, viewed terrorism as "(...) a snare and delusion, a way of diverting the public's attention from the failings of Western governments, the American and British ones especially"<sup>2</sup>. Others have viewed terrorism as the rational and objective opposition of the people against state terrorism, neocolonialism, mercantilism, liberalism, racism, colonialism,

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<sup>1</sup> P. Schmid, *Terrorism and political violence*, "Routledge Publisher" 2015; 27(4): 781-782.

<sup>2</sup> G. Weinberg, *Visions of Victory*, Cambridge University Press, Cambridge 2005, p. 1

and domination<sup>3</sup>. In other words, a justified and excusable reaction to oppression. Weinberg revealed how terrorism has become an aggressive presence that affects government policy, military actions, and the security and peaceful existence of individuals in various nations. He defined terrorism "(...) as the deliberate creation and exploitation of fear through violence or the threat of violence in the pursuit of political change"<sup>4</sup>. Thus, terrorism in this sense transforms the victims of injustice into its perpetrators. As stated earlier, the concept of terrorism depends on labeling, who is labeled what, and by whom. From the government's perspective, the perpetrators of such an act are terrorists, but supporters see them as freedom fighters.

In his revised edition of *Inside Terrorism*, Bruce Hoffman identified the key characteristics of terrorism as follows<sup>5</sup>:

- ineluctably political in aims and motives;
- violent – or, equally important, threatens violence;
- designed to have far-reaching psychological repercussions beyond the immediate victim or target;
- conducted either by an organization with an identifiable chain of command or conspiratorial cell structure (whose members wear no uniform or identifying insignia) or by individuals or a small collection of individuals directly influenced, motivated, or inspired by the ideological aims or example of some existent terrorist movement and/or its leaders;
- and perpetrated by a subnational group or non-state entity.

Based on the above, terrorists are distinguished from other types of criminals. While other types of criminals operate without political motives and their activities are not usually designed to have massive psychological effects, terrorism is deliberately created to cause fear through violence or the threat of violence for political objectives. Terrorism is intended to cause in-depth psychological consequences on both the direct victim or victims and society at large. Hoffman's definition is also a collation of definitional characteristics from other scholars and legal entities.

In conceptualizing the act of terrorism as intentional violence by non-state actors, Lizardo defined terrorism as a type of violent interaction initiated by a non-state actor, that is not formally recognized as a legitimate wielder of the means of violence or a valid initiator of violent interactions, directed against the representatives (human, material, or symbolic) of a formally recognized state actor in the international system, which does not follow the institutionalized rules and conventions of military engagement<sup>6</sup>.

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<sup>3</sup> E. S. Herman, G. O'Sullivan, *The terrorism industry : the experts and institutions that shape our view of terror*, Pantheon Books, New York 1989.

<sup>4</sup> G. Weinberg, *Visions...* op. cit., p. 3.

<sup>5</sup> B. Hoffman, *Inside Terrorism*, Columbia University Press, 2006, p. 43.

<sup>6</sup> O. A. Lizardo, *Defining and Theorizing Terrorism: A Global Actor-Centered Approach*, "Journal of World-Systems Research" 2008; 14: 91-118.

Crenshaw<sup>7</sup> and Enders and Sandler<sup>8</sup> also defined terrorism as involving the deliberate use of violence, the threat of symbolic low-level violence by persons, conspiratorial organizations, or independent ideological opposition groups within a nation. Thus, the focus of these definitions is based on acts of violence perpetrated by sub-national actors or non-state-sponsored actors to impose fear on a population targeted by these groups. Crenshaw's perspective supported the common motive for terrorist attacks by establishing that certain political objectives motivate terrorists to act violently. However, Jalata<sup>9</sup> viewed Lizardo's<sup>10</sup> and Crenshaw's<sup>11</sup> definitions as focusing only on certain aspects of terrorism without addressing all other forms of terrorism.

State-sponsored terrorism in literal terms means any terrorist attack backed by the Government itself, of a particular sovereign State, against another State as a revolt. State-sponsored terrorism can be both domestic and international as well. Any revolt or terrorist attack against any other State comes within the ambit of international terrorism but when the act is against its people, it is domestic. And the sole reason behind coming up with this concept is to satisfy some political extremisms overlapping religious ideologies as well.

According to the U.S. Code, support includes, "the recurring use of any part of the territory of the country as a sanctuary for terrorists and terrorist organizations", whether the government, "expressly consents to, or with knowledge, allows, tolerates, or disregards such use of its territory".

It is important to clarify that state sponsorship of terrorism is distinct from the phenomenon often called state terrorism. The latter encompasses repressive acts employed by agents of the state to suppress its citizens, such as the "dirty war" that took place in Argentina in the late 1970s.

Terrorism is no more a niche concept, almost every corner of the world by now has experienced terrorism in some way or the other. Now that we know much about terrorism it's evident that the commencement of terrorism in another State requires strong support and funding. So, in the case of State-sponsored terrorism, we can commonly derive that: a government plays a major role in assisting the terrorist groups by aiding and funding them deliberately. The countries assisting the terrorist groups in simple terms are categorized as terrorist States or the State sponsor of terrorism.

Examples of state-sponsored terrorism include the Soviet and Iranian assassination campaigns against dissidents who had fled abroad such the Russian campaign accounts for seven of 26 assassinations or assassination attempts identified globally by the U.S.-based nongovernmental organization between 2014 and 2020. The report says the Kremlin commonly uses assassination in its transnational repression efforts.

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<sup>7</sup> M. Crenshaw, *State Terrorism and Counterterrorism*. The Oxford Handbook of Terrorism. Oxford Academic, Oxford 2019.

<sup>8</sup> W. Enders, T. Sandler, *Terrorism and Foreign Direct Investment in Spain and Greece*, "Kyklos" 1996; 49(3): 331-352.

<sup>9</sup> A. Jalata, *The Oromo National Movement And Gross Human Rights Violations In The Age Of Globalization*, "European Scientific Journal" 2016; 12(5): 177.

<sup>10</sup> O. A. Lizardo, *Defining... op. cit.*

<sup>11</sup> M. Crenshaw, *State Terrorism... op. cit.*

It cites the case of former intelligence officer Aleksandr Litvinenko, who died following radiation poisoning in London in 2006, while a nerve agent was used in the attempted assassination of former intelligence officer Sergei Skripal and his daughter in England in 2018. The Iranian regime has been linked to five assassinations or assassination attempts in three countries, and plots were thwarted in at least two others. The campaign targeted dissidents and journalists the authorities often labelled “terrorists” like the case of former Iranian intelligence officer Masud Molavi, who was gunned down in Istanbul in November 2019, a killing ascribed by Turkish and U.S. officials to the Iranian government. Iran’s Islamic Revolutionary Guards Corps (IRGC) has led “operations to kidnap exiles from other countries and forcibly repatriate them”, with Freedom House citing the “particularly outrageous” case of opposition journalist Ruhollah Zam, who was executed in Iran in December 2020 after being “abducted” from Iraq<sup>12</sup>. Libyan and North Korean intelligence operatives downing airliners on international flights such as the bombing of Pan Am flight 103, and Qaddafi’s admission of his government’s support of terrorism, and the September 11, 2001 attacks on the World Trade Center in New York City and the Pentagon near Washington, D.C.<sup>13</sup>.

It is important to note that the identification of particular examples of state-sponsored terrorism is often subject to political dispute and different definitions of terrorism.

While a large body of studies has been devoted to the terrorism perpetrated by non-state actors, little extensive studies has been carried out regarding state-sponsored terrorism. What exist the list of US designated state sponsors of terrorism. It is for this reason, the paper is germane as it looks at underlying factors fueling state sponsorship of terrorism vis-à-vis its international dimensions.

This paper examines the phenomenon of state-sponsored terrorism to discover and understand its dynamics in terms of international conspiracy and political engineering.

## **Statement of the problem**

State-sponsored terrorism is a growing threat to nations of all sizes and in almost every region of the world. Whether highly industrialized or developing, wealthy or poor, all nations, in some ways are adversely impacted by terrorism and the lasting repercussions of terrorist activities. In recent years, terrorist attacks have become more brazen and sophisticated. Even more alarming is the fact that terrorist attacks are far more difficult to predict and deter. These attacks follow no particular pattern and are not limited to any specific type of target<sup>14</sup>.

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<sup>12</sup> Freedom House Report, Out Of Sight, Not Out Of Reach, Radio Free Europe / Radio Liberty [date 04-02-2021].

<sup>13</sup> Congressional Research Service Report, State Sponsors of Acts of International Terrorism – Legislative Parameters, 2021.

<sup>14</sup> H. Kunreuther, M. K. Erwann, B. Porter, Assessing, Managing and Financing Extreme Events: Dealing with Terrorism, National Bureau of Economic Research, Cambridge 2003.

Historically, terrorist organizations were poorly funded and had to focus a significant amount of time on generating revenue to fund their attacks. From a contemporary perspective, this is no longer the reality. Modern terrorist organizations are better funded, well organized, and well informed on the nature and dynamics of their targets. This is the case primarily because more terrorist organizations are sponsored by governments instead of individuals who are loyal to a particular agenda. Because of this evolution among terrorist organizations, it is more important than ever that nations of all sizes and in every region of the world understand these facts. This paper examines the nature and impact of state-sponsored terrorism on the social and economic condition of nations as well as the glaring reality that in most cases, it is an international conspiracy and politically engineered phenomenon.

## **Research Questions**

This paper raises the following research questions to guide our discussions:

- What is the nature of state-sponsored terrorism in Africa?
- How does state-sponsored terrorism impact international security?
- To what extent is state-sponsored terrorism an international conspiracy and political engineering?

## **Research Objectives**

The object of this paper is to:

- examine the nature and dynamics of state-sponsored terrorism in Africa;
- assess the impact of state-sponsored terrorism on international security;
- examine to what extent state-sponsored terrorism is both international conspiracy and political engineering.

## **Theoretical framework**

Theories of state terrorism are a set of frameworks that attempt to explain the motivations and actions of states that engage in terrorism. These theories can be broadly divided into two categories: instrumental and structural.

Instrumental theories suggest that states use terrorism as a tool to achieve specific political objectives. According to this view, states use terrorism when other means of achieving their objectives are not available or are too costly<sup>15</sup>. Some examples of instrumental theories include the “coercion theory”, which suggests that states use terrorism to coerce other states into changing their policies, and the “provocation theory”, which suggests that states use terrorism to provoke other states into taking

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<sup>15</sup> M. Crenshaw, *State Terrorism...* op. cit.

actions that will justify a military response. These scenarios are aptly demonstrated by the United States activities in Iraq, Iran, Libya, and Russia's role in Afghanistan, Ukraine etc.

Structural theories, on the other hand, argue that state terrorism is a product of the structure of the international system. These theories suggest that states engage in terrorism because they are part of a system that is characterized by anarchy and competition<sup>16</sup>. Structural theories include the "balance of power theory", which suggests that states use terrorism to maintain or shift the balance of power in their favor, and the "hegemonic stability theory", which suggests that states use terrorism to maintain or challenge the existing global order. For instance, the entire episode of the Trans-Atlantic Slave Trade and eventual Partition, colonization and current neo-colonization of the African region by the West including Russia and China is a form of state-sponsored terrorism geared toward maintaining the global balance of power. On the other hand, sponsored terror activities by states such as Libya, Cuba, South Korea, Iran, and other third-rate powers, are targeted at challenging the existing global order.

It is important to note that these theories are not mutually exclusive and can be used in combination to explain state-sponsored terrorism.

## **Methodology**

Given the intended subject of study which hinges on a contemporary international political/social issue, the interdisciplinary approach will be employed. Recourse will be made to sociology and world politics. The collection and analysis of information from primary sources such as YouTube videos, government and private records, newspaper reports, and other secondary sources are essential to this essay. The methodology will combine both theoretical and historical analysis.

## **Literature review**

Byman<sup>17</sup> in his study argued that states usually support terrorist groups to weaken their rivals, silence their opponents and give themselves options they otherwise lack. By providing weapons, training, a sanctuary and other support, states can make terrorist groups more deadly, increasing their skill and survivability. At the same time, states often impose constraints on their proxies, creating many difficulties for the terrorists. Iran and other enemies of the United States and its allies have long supported terrorists, and state sponsorship is likely to play a role in any continued

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<sup>16</sup> M. Haner, M. M. Sloan, *Theories of Terrorism: Contemporary Perspectives*, Oxford Academic, Oxford 2019.

<sup>17</sup> D. Byman, *How to Think About State Sponsorship of Terrorism*, "Global Politics and Strategy" 2023; 65(4): 101-122.

confrontation with Russia, which may double down on existing ties to extremists given its humiliation in Ukraine and desire for revenge on its enemies. Confronting state sponsors of terrorism is difficult, however. For democracies, applying a “state sponsor” label can be a powerful rhetorical, legal and policy tool. At the same time, it can often be misused, become an empty political gesture or even backfire. The “state sponsor” label is highly politicized, and long-standing sponsors like Pakistan have avoided it. Clarifying what state sponsorship is, increasing the flexibility of the designation, giving policymakers more leeway on when to impose sanctions, and otherwise knowing how to better combat a state sponsor is vital.

In another of his paper Byman<sup>18</sup> posited that the U.S. government list of state sponsors of terrorism is dated, politicized, analytically muddy, and in general not useful for distinguishing which states truly sponsor terrorism and how aggressively they do so. A better list and process would identify different criteria that go into sponsoring terrorism and, in so doing, create multiple de facto lists. Lists would distinguish important factors such as the use of terrorism in war and the problematic criterion of states using their own clandestine agents for terrorism-like violence. Different forms of passive support would also be assessed, particularly because state passivity is often vital for jihadists and white supremacists, two of the greatest terrorism dangers today. The political and analytically flawed nature of the state sponsor list and process, however, is as much by design as it is by accident, and change is especially difficult as a result.

Terrorism has no just course, it is a world Crime that needed the concerted effort of all the countries of the world to be dealt with. It has become a global phenomenon that in the time past highly placed and respected vertical officials, Cardinal Renato Martino concluded that terrorism is the 4th world war, the 3rd world war being the cold war that ended with the demise of the former Soviet Union. Cardinal Martino who served as the Pope John Paul’s ambassador to the United Nations, and later the head of the Vatican’s council for justice and peace went further thus; we have entered the fourth world war, I believe we are in the midst of another world war and it involves absolutely everyone because we don’t know what will happen when we leave a hotel, when we get on a bus, when we go into a coffee bar, war itself is sitting down right next to each and every one of us<sup>19,20</sup>.

Schimid submitted that “(...) terrorism as an anxiety inspiring method of repeated violent action, employed by (Semi) clandestine individual, group or state actors, for idiosyncratic, criminal or political reasons, whereby in contrast to assassination the direct target of violence are not the main targets, the immediate human victims of violence are generally chosen randomly (Target of opportunity) or selectively

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<sup>18</sup> D. Byman, Understanding, and Misunderstanding, State Sponsorship of Terrorism, “Studies in Conflict & Terrorism” 2020; 45(12): 1031-1049.

<sup>19</sup> O. Uche, Terrorism and Global Security, Bayero University Press, Kano 2011.

<sup>20</sup> O. Osewa, Terrorism and Internal displacement: An impact assessment of Adamawa State indigene’s hosted in Durumi IDP camp, Abuja. A MSc Thesis Submitted to The Department of political science and Defence studies, NDA Kaduna in the award of MSc Degree, 2019.



(representative or symbolic targets) from a target population, and serve as message generators”<sup>21</sup>. Uche also posits that “(...) terrorism is an organized violent attack on a target with the aim of undermining a lawfully constituted authority and to cause fear among the populace in furthering of some social-political objectives”<sup>22</sup>. Walter and Todd argued that “terrorism is the premeditated use or threat of violence by individuals or subnational groups to obtain a political or social objective through the intimidation of a large audience beyond that of the immediate victims”<sup>23</sup>.

Thomas is of the opinion that terrorism is a premeditated politically motivated violence perpetrated against non-combatant targets by subnational groups or clandestine agents, usually intended to influence an audience<sup>24</sup>. Lutz and Lutz posit that “(...) terrorism involves political aims and motives; it is violence or threatens violence that is designed to generate fear in a target audience that extends beyond the immediate victims of the violence. The violence is conducted by an identifiable organization”<sup>25</sup>.

Uche<sup>26</sup> maintained that there are three types of terrorism. They are State terrorism, Domestic terrorism and International or Transnational terrorism. State terrorism is essentially a government rule through violence and fear, although its technique can be extensive and sophisticated even in primitive society. This is often targeted at internal opposition. It often includes repression against those that oppose the status quo.

EKU<sup>27</sup> describes these types of terrorism as one which consists of a terrorist act on a state or government by state or government. This can be traced to the period of the French revolution. During this period, the French monarchy was greatly repressed to those that oppose its government Nazi in Germany did the same, Stalin government in Russia, Samuel Doe of Liberia. Abasha regime in Nigeria is a good example of state terrorism. Domestic terrorism this is a terrorist act or group that operates within a particular geographical location. This denotes the activities of revolutionaries or rebel groups within a single state. This is basically to seek for rebel or revenge or to deliberately wreak havoc in an attempt to change the status quo. EKU<sup>28</sup> called this type of terrorism the Dissent terrorism, a terrorist group that has rebelled against their government such action is limited to a particular state e.g. Boko Haram terrorist group operating in Nigeria falls within these group. International terrorism this is a terrorist act that goes beyond a national border, a terrorist group which their operations cut across national boundaries. Fall within this category. It is a terrorist act that is carried out by citizens of more than one state across borders i.e. in all ramification,

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<sup>21</sup> P. Schmid, *Terrorism...* op. cit.

<sup>22</sup> O. Uche, *Terrorism...* op. cit.

<sup>23</sup> W. Enders, T. Sandler, *The Political Economy of Terrorism*, Cambridge University Press, 2012.

<sup>24</sup> B. Thomas, *Violence and Terrorism*, McGraw - Hill Publisher, New York 2010.

<sup>25</sup> J. Lutz, B. Lutz, *Terrorism – the basics*, Routledge Published, New York 2011.

<sup>26</sup> O. Uche, *Terrorism...* op. cit.

<sup>27</sup> EKU, *Definition, History, and Types of Terrorism*. Online: <https://ekuonline.eku.edu/definition-history> [date 16-12-2018].

<sup>28</sup> EKU, *Definition, History...* op. cit.

it transcends across the border. International terrorism, therefore, signifies the use of terror by one group or government-sponsored agents against nationals of another state either at the territorial domain of that state or at the territory of other states. Example – cyber-terrorist and the Al-Qaeda group is a good example because their activities cut across a national border and seek out members from different Nations<sup>29</sup>.

Other types of terrorism listed by EKU<sup>30</sup> are terrorists and the left and right which they see as groups rooted in political ideology. Another one is religious terrorism, which they described as a group that is extremely religiously motivated. Boko Haram group falls into this category. Lastly, criminal terrorists which are terrorists act used to aid in crime and criminal profit. Features of terrorism from a close study of terrorism, it has been identified that at least four traits are discernible as common features of terrorism, Uche in Joseph posits that they are<sup>31</sup>:

- Objectives – some of the objectives are to publicize the existence and cause of the group on a national or international basis, to intimidate and coerce the public into supporting their demands to undermine and discredit the act horrifies who oppose their cause, and to provoke repressive counter-measures in order to gain sympathy. To de-legitimize internal value, culture and destabilize internal security.
- Actors – state as well as non-state actors, including groups and individuals, are usually the perpetrators of terrorism.
- Targets – both human beings and property can be targets of terrorism with special focus on targets that provide the widest publicity such as landmark buildings and high placed persons.
- Methods – perpetrators of terrorism use violence including bombing, kidnapping, killings and hostage-taking in spreading fear among the targeted population.

### **Historical context of state-sponsored terrorism**

Few subjects are more surrounded by myths and misconceptions than terrorism. Historical knowledge is essential if we are to place the contemporary problem of terrorism in proper perspective. One common misconception is that terrorism is a new and unprecedented phenomenon. In actuality, terrorism is not an invention of modern times. Indeed, the very words we use to describe terrorists show what a timeless phenomenon it is.

Our word zealot comes from a group of first-century Jews who tried to overthrow Roman rule over Biblical Palestine through the use of murder and assassination. The Zealots later committed mass suicide at Masada. Our word assassin comes from a Shiite Muslim sect that sought to assassinate Sunni Muslim leaders from the 11th through the 13th centuries. Supposedly, this sect used hashish before committing

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<sup>29</sup> O. Uche, *Terrorism...* op. cit.

<sup>30</sup> EKU, *Definition, History...* op. cit.

<sup>31</sup> O. Uche, *Terrorism...* op. cit.

acts of violence, giving rise to the word assassin. The word thug originally referred to a group of revolutionaries in India before the 18th century.

The word “terrorism” comes from the French Revolution and the “Reign of Terror”, when terror was used as an instrument of state policy. Terror was used to eliminating counterrevolutionary elements in the population, save France from anarchy and military defeat, and suppress hoarding and profiteering. Unapologetic about the use of terror to eliminate political enemies, Robespierre, the radical leader, said “Terror is nothing but justice, prompt, severe and inflexible”. An estimated 40,000 people were sentenced to death during the Terror in France. Altogether, about 12,000 people were executed during the reign of terror.

Modern terrorism arose in Tsarist Russia in the 1870s. Opponents of the Tsar’s government had three primary aims:

- to publicize grievances and build support through the “propaganda of the deed”;
- to destabilize governments and divide the population;
- to provoke authorities to overreact and generate international sympathy for the perpetrators’ cause.

Terrorist tactics were subsequently adopted by some dissident groups in the Ottoman and British empires and by some anarchists in the United States and Western Europe. Late nineteenth- and early-twentieth-century terrorism typically took the form of assassination attempts on heads of state and bomb attacks on public buildings. Between 1880, the president of France, a Spanish prime minister, an Austrian empress, an Italian king, and two U.S. presidents were assassinated. Attempts were also made on the life of a German chancellor and emperor.

Another misconception is that terrorism is essentially a Middle Eastern or left-wing phenomenon. Terrorism has been used by many groups in different parts of the world for diverse purposes. Recent events underscore the terrorism’s complexity. During the days surrounding the September 11th, 2001, attack, there were at least three other attacks that might be described as acts of terror:

In Colombia, right-wing paramilitaries killed fifteen villagers they accused of collaborating with Marxist guerrillas. In Londonderry, Northern Ireland, the “Real IRA” planted a roadside bomb, targeting three police officers. A suicide bomber in Istanbul detonated a bomb to protest conditions in Turkish prisons.

During the late nineteenth and early twentieth century, terrorism was generally ideologically inspired and found its greatest support among anarchists eager to overthrow governments viewed as oppressive or corrupt. Terrorism was generally opposed by Marxists, who regarded it as counterproductive and contrary to the notion that change was best accomplished through revolutionary action by the masses.

The assassination of Archduke Franz Ferdinand of the Austro-Hungarian Empire in 1914 signaled a new phase in the history of terrorism: a first phase of separatist, anti-colonial terror. For the first time, terrorist violence was employed to overthrow colonial empires, including the Ottoman and British empires.

The 1920s and 1930s saw the emergence of yet another form of terrorism, right-wing fascist terror, as Hitler’s brown shirts and Mussolini’s black shirts used murder

and violent intimidation to achieve political power and attack specific elements in the population. The fascist dictatorships and Stalin's Soviet Union offer modern examples of state-sponsored terrorism, in which governments dispatch assassins and saboteurs to kill their enemies.

On November 24, 1917, a bomb thought to have been planted by anarchists killed nine police officers in Milwaukee, Wisconsin. On June 2, 1919, anarchists were suspected of setting off a series of bombs in eight cities, including Washington, D.C., where a bomb partially destroyed the home of Attorney General A. Mitchell Palmer. On September 16, 1920, an explosive-laden wagon exploded on Wall Street, across from the headquarters of J.P. Morgan & Company, killing 40 and wounding 300.

September 11, 2001, was not America's first experience with terrorist violence. Bombings in 1886 at Haymarket Square in Chicago during a labor rally, in 1910 at the Los Angeles Times Building during a labor dispute, and in 1963 at Birmingham, Alabama's 16th Street Baptist Church are only a few earlier examples of indiscriminate violence.

A fresh wave of nationalist anti-colonial terror emerged after World War II when societies as diverse as Algeria, Kenya, and Israel achieved independence in part as a result of terrorist tactics employed by nationalist groups. During the early postwar period, terror was not confined to any particular group of people or part of the world. Acts of terror took place in such disparate societies as Algeria, Argentina, Egypt, France, Indonesia, Italy, Japan, Northern Ireland, Peru, and Sri Lanka. Struggles against colonial domination led to a romanticizing of revolutionary violence, an attitude that found its most influential expression in Frantz Fanon's influential book *The Wretched of the Earth*. The Martinique-born Fanon, who had participated in the Algerian struggle against France, wrote "Violence is a cleansing force. It frees the native from his inferiority complex and his despair and inaction; it makes him fearless and restores his self-respect". The Algerian struggle seemed to underscore the effectiveness of attacks against civilians.

Following the successful use of terrorism by the FLN in Algeria, terrorism was adopted by other nationalist and separatist groups, including some Basques, Irish, Quebecois, and African and Latin American revolutionaries. In the case of Northern Ireland, South Africa, and Latin America, terror tactics were also utilized by the nationalists' and the revolutionaries' militant opponents. This period also saw the growth of government-sanctioned or government-tolerated death squads in Argentina, Brazil, El Salvador, Guatemala, and Spain.

The late 1960s and 1970s saw the rise of new forms of revolutionary terror in the affluent West when groups such as the Red Army Faction in Germany, Action Directe in France, the Red Brigades in Italy, and the Weather Underground and the Symbionese Liberation Army in the United States kidnapped and assassinated people whom they blamed for economic exploitation and political repression. Many members of these groups were radicalized by the Vietnam War and incidents of police brutality, though the actual size of these groups tended to be quite small. It is estimated that the Red Army Faction only had 20 to 30 hard-core members and some 200

sympathizers. The worst violence in the West occurred in Italy, where there were 40 deaths in 1973, 27 in 1974, and 120 in 1980. To suppress terrorism, Italy imprisoned some 1,300 leftists and 238 right-wing terrorists by 1983.

Terrorism emerged on the world stage with the 1972 murder of eleven Israeli athletes at the 1972 Munich Olympics, to end Israeli occupation of their territories and establish a Palestinian homeland. The most feared group, the Abu Nidal organization, which split from the Palestinian Liberation Organization in 1974, had approximately 500 hard-core members.

More recently, the Aum sect in Japan, which was responsible for the Tokyo subway nerve gas attack, and the radical wing of the militia movement in the United States, raised public awareness of the threat of domestic terrorism in the world's most prosperous countries. In recent years there have been outbursts of public alarm about cyber-terrorists, narco-terrorists, and eco-terrorists.

Yet another misconception is that terrorism is a direct response to oppression. Few acts of terrorism have been directed against especially brutal regimes, such as Hitler's Germany or Stalin's Soviet Union. Terrorism is directed primarily against governments that allow a free press and that are responsive to public opinion.

## **Nature of state sponsorship of terrorism**

State-sponsored terrorism is a form of political engineering that involves a government supporting or facilitating acts of violence by non-state actors against its adversaries or perceived enemies. State sponsors may have various motives for engaging in terrorism, such as advancing their ideological, religious, or strategic interests, undermining or destabilizing rival regimes, gaining leverage or bargaining power in international disputes, or diverting attention from domestic problems. State sponsors may also use terrorism as a tool of coercion, deterrence, or retaliation against other states or actors that threaten their interests or security.

According to US Country Report on Terrorism<sup>32</sup> State-sponsored terrorism can be politically engineered in different ways, depending on the level and type of support provided by the state to the terrorist group, the nature and objectives of the terrorist group, and the target and impact of the terrorist attacks. Some of the possible ways are:

- Active sponsorship – this involves direct and substantial support by the state to the terrorist group, such as providing training, funding, arms, safe havens, intelligence, or logistical assistance. The state may also coordinate or direct the operations of the terrorist group, or participate in joint attacks with them. For example, Iran has been accused of actively sponsoring Hezbollah in Lebanon, Hamas in Palestine, and Shia militias in Iraq.
- Passive sponsorship – this involves indirect or limited support by the state to the terrorist group, such as allowing them to operate freely within their territory, tur-

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<sup>32</sup> The United States Country Reports on Terrorism, Patterns of Global Terrorism: Overview of State-Sponsored Terrorism, 2023.

ning a blind eye to their activities, or providing diplomatic or political cover. The state may also refrain from taking actions to prevent or punish the terrorist group or cooperate with other states in counterterrorism efforts. For example, Pakistan has been accused of passively sponsoring various militant groups fighting against India in Kashmir and Afghanistan.

- Unintentional sponsorship – this involves unintentional or inadvertent support by the state to the terrorist group, such as failing to control their borders, territory, or population effectively, or having weak or corrupt institutions that enable the terrorist group to exploit them. The state may also lack the capacity or willingness to counter the terrorist threat or face domestic opposition or constraints that limit its options. For example, Yemen has been accused of unintentionally sponsoring al-Qaeda in the Arabian Peninsula (AQAP) by having a weak central government and a porous border with Saudi Arabia<sup>33</sup>.

State-sponsored terrorism can have significant political consequences for both the sponsor and the target states, as well as for regional and international security.

## **Current trends**

The operation launched by the United States in July 2022 that resulted in the death of Ayman al-Zawahiri served as a reminder that jihadist groups remain active and are being pursued by Western security services. But in recent years, more global terrorist attacks have been politically rather than religiously motivated. Extremist groups focused broadly on far-right political issues have grown in size. Meanwhile, there has been an increasing number of state-sponsored assassinations, terrorist attacks, shadow operations, and proxy wars, a trend that is likely to continue.

On 31 July 2022, an uninhabited aerial vehicle (UAV, or drone) operated by the CIA killed Ayman al-Zawahiri, the leader of al-Qaeda and a mastermind of terrorist attacks including 9/11. The strike occurred in Kabul, Afghanistan, and was the first since the US withdrew its forces from the country in 2021. Announcing the news, President Joe Biden said the strike proved that the US ‘no longer needed thousands of boots on the ground in Afghanistan to protect America from terrorists who seek to do us harm.

Global terrorism has indeed changed significantly since the mid-2010s, when it was defined by jihadist threats and the US relied heavily on its military footprint in Afghanistan. Many jihadist organizations have been driven underground by the relentless pace of decapitation strikes against their leaders, and forced to enter new alliances with groups focused on local rather than global grievances. The deadliest terrorist attacks in recent years are those that have accompanied territorial conflicts, especially in Afghanistan and West Africa. Meanwhile, the spread of social media and cheap digital communications, rising xenophobia in the West and the increasingly competitive international environment have given rise to new threats.

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<sup>33</sup> The United States Country Reports on Terrorism... op. cit.

Another dimension state state-sponsored terrorism is in the cyber sphere. Currently, Russia is engaged in cyber-terrorism against Ukraine in the ongoing Russia-Ukraine War. China, North Korea, Syria, The USA, and Israel amongst others, are well known for state-sponsored cyber terrorism with disastrous consequences.

## **Impact of state sponsored terrorism on international security**

Terrorism is a global phenomenon that has profound consequences for people, institutions, and governments. Terrorism adversely affects the way public; private and non-profit organizations conduct business. In its contemporary form, terrorism has dramatically altered the way governments interact with nations; regulate national and international events, engage in international trade, address immigration and naturalization, and the way people travel. A major shipping port, for example, for many nations serves as one of the cornerstones of a strong and thriving economy. They are also potential targets for terrorist attacks. Protecting and deterring terrorist attacks on ports is an expensive proposition for many governments around the world. It becomes increasingly difficult to protect and defend these large and complex facilities when a terrorist organization is funded and supported by a government. Modern terrorism is and will always be a factor that all peaceful nations must address. The reason is simple, there will always be organizations and individuals who are willing to use violence against innocent civilians, government facilities, as well as, national and international landmarks to advance a social, economic, or political agenda.

## **Political impact**

One of the political impacts of state-sponsored terrorism is political unrest and instability in the targeted state. Since politically motivated state-sponsored terrorism aims to cause dissension, disaffection, and internal destabilization in the target state, this results in a change of the government and most cases protracted civil unrest. Iraq, Libya, Afghanistan, Syria, Nigeria Somalia, etc., are good examples.

Also, state-sponsored terrorism creates a global terrorists' haven. Terrorist safe havens described in this report include ungoverned, under-governed, and ill-governed physical areas where terrorists can organize, plan, raise funds, communicate, recruit, train, transit, and operate in relative security because of inadequate governance capacity, political will, or both. Instances of terrorists' safe havens include:

- Somalia – many parts of Somalia, particularly Somaliland and the Juba River Valley remained terrorist safe havens in 2021 because federal and local authorities had a limited ability to project influence beyond populated areas and some forward operating bases. Al-Shabaab raised much of its funds by extorting people in ungoverned areas of Somalia.
- The Lake Chad Region – in 2021, Boko Haram (BH) and ISIS-West Africa (ISIS-WA) maintained safe havens in parts of northeastern Nigeria and on islands in

Lake Chad, preventing the reestablishment of state administration, service delivery, and humanitarian relief in the broader territory surrounding Lake Chad. While BH's terrorist safe havens have been reduced owing in large part to the Multinational Joint Task Force (MNJTF) and clashes with ISIS-WA, ISIS-WA has continued to extend its reach, battling both government forces and those of BH. Forces from Nigeria and other members of the MNJTF (Benin, Cameroon, Chad, and Niger) continued to combat both terrorist groups, but cannot still clear safe havens or secure borders and hold and effectively administer territory regained from the militants. ISIS-WA continues to conduct – through suicide bombers, vehicle-borne IEDs, raids, ambushes, kidnappings, and other means – asymmetric attacks against civilians, military, and government personnel. It funds itself primarily by “taxing” local populations, kidnapping for ransom, and looting material.

- The Trans-Sahara – in 2021, AQ affiliate Jamaat Nusrat al-Islam wal-Muslimin (JNIM) and other groups, including ISIS-Greater Sahara, continued to stage asymmetric attacks in the Trans-Sahara region, expanding and consolidating areas under their control and preventing effective government provision of services. These terrorist groups have freedom of movement throughout Mali and Burkina Faso, except for major cities. JNIM continued to conduct large-scale attacks and massacres, expanding its operational footprint and capabilities, with JNIM alone responsible for more than 500 incidents in 2021. JNIM's success attracts support from other regional terrorist groups, including Nigeria-based and AQ-aligned Ansaru. JNIM continued to insert itself into longstanding ethnic conflicts such as the Fulani-herder-versus-Dogon-farmer conflict over water and grazing land.
- Mozambique – the Islamic State in Mozambique (ISIS-M), was designated as a Foreign Terrorist Organization (FTO) by the United States in March 2021. ISIS-M continued attacks in Cabo Delgado and Niassa Provinces in northern Mozambique and expanded into Mtwara, Tanzania. Mozambique, Rwanda, and the South African Development Community (SADC) coordinated a response to the threat in July, which increased ISIS-M events against state forces. This was the first year in which most ISIS-M activities were clashes with state/external forces rather than attacks against civilians. In March, ISIS-M attacked the town of Palma, the administrative capital of Palma District, and the northernmost district bordering Tanzania in Cabo Delgado Province (CDP).
- Sudan – Sudan's extensive and porous borders and physical location continue to make the country a potential gateway for linking violent extremist activities in the region. Though Sudan has in general endeavored to tighten its border control measures, continued illicit and unmonitored movement across the borders is likely. The results of the autumn counterterrorism raids surfaced primarily foreign terrorists, speaking to terrorists' continued ability to use Sudan as a logistical and facilitation hub.
- Sinai Peninsula – in 2021, ISIS-Sinai Province (ISIS-SP) continued to conduct IED, sniper, and small-arms attacks against security forces and pro-government Bedouin groups, predominately in a small northern strip of the Sinai Peninsula.



- ISIS-SP also kidnapped and assassinated civilians who were collaborating with Egyptian security forces.
- Iraq – Iran-backed Asa'ib Ahl al-Haq, Kata'ib Hizballah, and Harakat al-Nujaba – all U.S.-designated terrorist organizations – and other Iran-backed Iraqi militias continued to maintain an active presence in Iraq targeting U.S., Global Coalition to Defeat ISIS, and Iraqi forces and logistics convoys. These groups claimed responsibility for multiple attacks on U.S. interests, including the Embassy in Baghdad, throughout the year. Terrorists conducted more than 100 IED attacks on Defeat-ISIS-contracted convoys and launched at least 40 indirect fire attacks against U.S. interests in Iraq. Iran-aligned militias launched several drone and rocket attacks against Erbil Air Base during the year and killed a U.S. contractor with a rocket attack in February.
  - Lebanon – Lebanon remained a haven for terrorist groups, including in Hizballah-run areas. Hizballah used these areas for terrorist recruitment, training, fundraising, and financing. The Government of Lebanon did not take meaningful actions to disarm Hizballah, even though Hizballah continued its weapons buildup in defiance of UNSCR 1701.
  - Libya – Libya remained politically divided during the year between the Government of National Unity (GNU) and eastern-based parallel institutions and groups. Terrorist groups attempted to exploit a security vacuum in the southern region of the country but were limited in their ability to do so because of tactical gains by the self-styled Libyan National Army (LNA) against these groups. The nationwide ceasefire signed in 2020, after the LNA's failed attempt to take control of Greater Tripoli, was largely respected.
  - Afghanistan – terrorist and insurgent groups, including ISIS-K, elements of AQ (including affiliate al-Qa'ida in the Indian Subcontinent [AQIS]), and terrorist groups targeting Pakistan (such as Tehrik-e-Taliban Pakistan), continued to use Afghanistan, especially its remote regions, as a haven throughout 2021.
  - Colombia – rough terrain and dense forest cover, combined with low population densities and historically weak government presence, define Colombia's borders with Brazil, Ecuador, Panama, Peru, and Venezuela. Historically, these conditions have allowed terrorist groups – particularly Segunda Marquetalia, the Revolutionary Armed Forces of Colombia-People's Army (FARC-EP), and the National Liberation Army (ELN) – to operate.
  - Cuba – citing peace negotiation protocols, refused Colombia's request to extradite 10 ELN leaders living in Havana after that group claimed responsibility for the 2019 bombing of the national police academy in Bogotá, killing 22 people and injuring 87 others. In 2019, Colombia filed extradition requests for ELN leaders Victor Orlando Cubides (aka Pablo Tejada) and Israel Ramírez Pineda (aka Pablo Beltrán) with the Cuban government, to which Cuba has not acceded.
  - Venezuela – much of Venezuela is ungoverned, ungoverned, or ill-governed. The Maduro regime allows and tolerates the use of its territory by terrorist organizations. The regime continues to provide a haven for Foreign Terrorist Organi-

zations, including the Revolutionary Armed Forces of Colombia-People's Army (FARC-EP), Segunda Marquetalia, and the Colombian-origin National Liberation Army (ELN). Financial ties with regime-aligned Segunda Marquetalia, ELN, and Venezuelan paramilitary groups facilitate the public corruption and graft schemes of the regime to include members of the armed forces.

### **Some of the other possible consequences**

- Escalation of conflict – state-sponsored terrorism can increase the risk of escalation of conflict between the sponsor and the target states, either directly or indirectly. The target state may retaliate against the sponsoring state or its proxies, either militarily or diplomatically, or seek to undermine its interests or allies. The sponsoring state may also escalate its support to the terrorist group or respond to retaliation by the target state. For example, India and Pakistan have engaged in several military confrontations over Kashmir due to cross-border terrorism.
- Radicalization of violence – state-sponsored terrorism can increase the radicalization of violence by the terrorist group or its affiliates, either intentionally or unintentionally. The sponsoring state may encourage or pressure the terrorist group to adopt more extreme tactics or targets or provide them with more sophisticated weapons or capabilities. The terrorist group may also become more autonomous or independent from the sponsoring state, or develop links with other radical groups. For example, al-Qaeda emerged from a network of mujahideen fighters that were supported by Saudi Arabia and Pakistan against the Soviet invasion of Afghanistan.
- Isolation of diplomacy – state-sponsored terrorism can reduce the chances of diplomacy and dialogue between the sponsor and the target states, either deliberately or inadvertently. The sponsoring state may use terrorism as a way of signaling its resolve or rejection of compromise, or as a way of undermining any peace initiatives or negotiations. The target state may also lose trust or confidence in the sponsor state's sincerity or credibility, or face domestic pressure or opposition to engage with it. For example, Iran's support for Hezbollah has complicated its relations with Lebanon and Israel.

### **Social impact**

Terrorist attacks, change the way the international community interacts, particularly when it is confirmed that an attack or even the threat of an attack has been lodged by the leader of a nation. International aid agencies, for example, may be less willing to send workers into regions of the world where states sponsor terrorist activities. This certainly adversely impacts citizens in desperate need of international aid. It also strains the limited resources of governments of poor and developing nations

by forcing them to address the basic needs of citizens immediately following a natural disaster. This is particularly devastating when the international community may have the resources and the political support to address the basic needs of citizens after a natural disaster in a poor and developing nation, but the threat of a possible terrorist attack serves as a deterrent.

Terrorism hurts key social indicators like poverty, healthcare, and education. We know that the prospect of a terrorist attack changes the way people and governments conduct business. These threats can limit social growth and development. Parents often choose not to send their children to school and clinics which provide medical care to the poor often close. These are key institutions that address social issues that have the prospect of improving the quality of life and standard of living for citizens. These are key indicators that have significant potential to positively impact local, regional, and national economic development.

### **Economic impact**

Governments are forced to devote a greater portion of state budgets to detecting and deterring terrorist activities. This is done in an attempt to protect commerce and trade industries, shipping, travel, and business. This is also done in an attempt to protect consumer confidence in government. Tourists, for example, have to remain confident that the government is doing all it can to protect them. Importers and exporters have to ensure that the government can protect ports and airports where goods enter and leave the country.

Terrorist attacks on the international waters hinder international trade. They have enormous economic consequences in regions where these sea terrorists operate. Cargo ships in some regions of the world are the primary means of importing critical and essential goods and services. These goods and services often include medical supplies food products and humanitarian aid. The very threat of pirate attacks can increase the cost of shipping goods and services. This can also result in a reduction in the availability of certain goods and adversely impact specific industries and national economies. This certainly adversely impacts the quality of life and standard of living for millions of people around the world. It is particularly devastating for people living in poor and developing countries as the price of essential goods and services increases.

### **Infrastructure and production**

In Nigeria, terrorists often strike and destroy oil production pipelines. This significantly reduces oil production capacity and increases the overall cost of production. It also reduces revenue generated which is used to support various services provided

by government agencies<sup>34</sup>. These types of attacks are not uncommon in terms of the types of attacks carried out regionally by terrorists. This is particularly common when countries have longstanding political differences and border conflicts. These types of attacks are extremely effective for terrorists supported by states which seek to disrupt or impede production and cripple the economies of bordering nations.

### **State-sponsored terrorism as both international conspiracy and political engineering**

In light of current realities globally, it has been observed that state-sponsored terrorism is both international conspiracy and politically engineered. First, the very nature or process of designating state sponsors of terrorism is questionable. While the Western world led by the USA chooses and designates states as sponsors of terrorism, they fail to include themselves as sponsors of international terrorism. The activities of the US and European powers in Iraq, Syria, Libya, Africa, and South/Latin America are acts of terrorism based on our definition of terrorism and state-sponsored terrorism.

Similarly, state-sponsored terrorism has in most cases been internationally conspired and politically engineered to topple non-compliant and unfriendly regimes around the world. This is done in the name of making the world safe for democracy as in the case of Iraq, Syria, Libya, and Afghanistan, or to protect Western economic interests as in the case of the Congo, Southern Africa, the Sahel region, etc.

Finally, State-sponsored terrorism is also an international rise of disaster capitalism complex according to Naomi Klein<sup>35</sup>. In her book, the Shock Doctrine, she explains how the USA and Europe use terror shocks to exploit the developing world. Shock and Awe are actions that create fears, dangers, and destruction that are incomprehensible to the people at large, specific elements/sectors of the threat society, or the leadership. Nature in the form of tornadoes, hurricanes, earthquakes, floods, uncontrolled fires, famine, and disease can engender Shock and Awe. That is how the shock doctrine works: the original disaster – the coup, the terrorist attack, the market meltdown, the war, the tsunami, the hurricane – puts the entire population into a state of collective shock. The falling bombs, the bursts of terror, and the pounding winds serve to soften up whole societies much as the blaring music and blows in the torture cells soften up prisoners. Like the terrorized prisoner who gives up the names of comrades and renounces his faith, shocked societies often give up things they would otherwise fiercely protect. Jamar Perry and his fellow evacuees at the Baton Rouge shelter were supposed to give up their housing projects and public schools. After the tsunami, the fishing people in Sri Lanka were supposed to give up their

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<sup>34</sup> V. Nitsch, D. Schumacher, Terrorism and international trade: an empirical investigation, "European Journal of Political Economy" 2004; 20(2): 423-433.

<sup>35</sup> N. Klein, The Shock Doctrine: The Rise of Disaster Capitalism, Metropolitan Books, Henry Holt and Company, New York 2001.

valuable beachfront land to hoteliers. Iraqis, if all had gone according to plan, were supposed to be so shocked and awed that they would give up control of their oil reserves, their state companies, and their sovereignty to U.S./European military bases and green zones.

## **Counterterrorism measures**

### **International cooperation**

One of the facts that must be considered and understood is that no nation can combat state-sponsored, global, or regional terrorism alone. The war on terrorism must be a consorted and collaborative effort. The war on terror, state-sponsored or otherwise must be a consorted global effort. It will take a consorted international effort to put pressure on leaders and nations that support, train, fund, or provide safe areas for terrorists. Companies and corporations have to understand they are a key component of this ongoing war against terrorism. Most nations, work diligently to attract external investments. This in turn creates employment opportunities, reduces poverty, and improves the performance of many key social and economic indicators. Companies and international corporations that agree to stop doing business with countries that sponsor terrorism or provide support to terrorist organizations can help significantly reduce support for terrorists.

Trade embargos are just one of the tools the international community uses to combat state-sponsored terrorism. The problem with this approach is that it does little to deter governments from engaging in the sponsorship of terrorism. More importantly, it is the people who suffer not the government.

### **Intelligence**

Governments must engage in effective counterintelligence operations. This means that governments must be willing to implement strategies aimed at gathering information from people who have inside information. The way information is collected is a powerful tool for changing the mindset about the true intentions of the global community. Forceful interrogations may yield short-term gains in accessing critical and lifesaving information. In the long term, forceful interrogations will not win over people who do not fully support the actions of aggressive and dangerous terrorists.

Respect for regional and national cultures in various regions of the world is a useful and powerful tool in the fight against state-sponsored regional and global terrorism. An effective counterintelligence network aimed at gathering key information from critical sources must be based on respect for national and regional cultures. This process must be focused on building and sustaining long-term viable relationships. Once effective counterintelligence systems have been deployed and implemented, the

information must be shared by and readily available to governments globally who are genuinely committed to fighting state-sponsored terrorism. There must be safeguards in place to ensure information shared by governments is used solely for that purpose. This process will certainly pose a unique set of problems and must be averted if governments are going to win the war on terror.

## **Capacity building**

Governments must constantly improve their ability and capacity to respond to viable substantiated terrorist threats. Embargos have proven useless in this process of combating terrorism. Once a threat has been confirmed a response must be planned and implemented. Governments must have the resources dedicated to respond and personnel committed to this cause on an international scale. These actions must be quick and decisive. Most importantly, these actions and organizations must take all necessary precautions to ensure civilians are not harmed in the process.

## **Access to resources**

Once governments have identified viable threats and acted to neutralize the threat, all efforts must be made to limit access by the terrorist organization to any resources that will make them a viable threat in the future. This means money, military hardware, and facilities used to train terrorists.

## **Safe havens**

The global and international war on terror must also devote substantial resources to eliminate terrorist safe havens. This means those nations which harbor terrorists and provide them with facilities to train and recruit unharassed, must be dealt with in the harshest of terms. This is an extremely important aspect of the war on state-sponsored terrorism. Actions against governments must be consorted and supported by the entire international community. Terrorists must have no place to go and no means to acquire the tools and resources of their trade.

## **Psychology**

In regions where terrorists are known to recruit and train personnel, there must be a consorted effort to educate people about the holistic long-term adverse consequences of terrorist activities. People must be educated on the drain on resources, the impact it has on citizens, and the potential earning power of young men who become terrorists instead of breadwinners for their families.

## **Conclusions**

In light of current realities globally, it has been observed that state-sponsored terrorism is both international conspiracy and politically engineered. First, the very nature or process of designating state sponsors of terrorism is questionable. While the Western world led by the USA chooses and designates states as sponsors of terrorism, they fail to include themselves as sponsors of international terrorism. The activities of the US and European powers in Iraq, Syria, Libya, Africa, and South/Latin America are acts of terrorism based on our definition of terrorism and state-sponsored terrorism. Similarly, state-sponsored terrorism has in most cases been internationally conspired and politically engineered to topple non-compliant and unfriendly regimes around the world. This is done in the name of making the world safe for democracy as in the case of Iraq, Syria, Libya, and Afghanistan, or to protect Western economic interests as in the case of the Congo, Southern Africa, the Sahel region, etc. Finally, State-sponsored terrorism is also an international rise of disaster capitalism complex. That is how the shock doctrine works: the original disaster – the coup, the terrorist attack, the market meltdown, the war, the tsunami, the hurricane – puts the entire population into a state of collective shock. The falling bombs, the bursts of terror, and the pounding winds serve to soften up whole societies much as the blaring music and blows in the torture cells soften up prisoners. Like the terrorized prisoner who gives up the names of comrades and renounces his faith, shocked societies often give up things they would otherwise fiercely protect.

This has gravely impacted the international community as it escalates conflicts, creates opportunities for the radicalization of violent extremism, diplomatic isolation of states and economic misfortunes.

Many useful facts should be considered concerning state-sponsored terrorism. State-sponsored terrorism is on the rise in almost every region of the world. It impacts the economies of most nations including those which have never been and do not appear to be targets of state-sponsored terrorist activities. They are impacted because of the increased cost of doing business with international organizations and companies which have to include the costs incurred for protecting goods and services from terrorist attacks. It is important to point out that a military approach to solving the problem of state-sponsored terrorism is neither feasible nor will it be effective in the long term. It will only serve as a catalyst and tool to recruit more young terrorist candidates, particularly in cases where civilians are injured in the process.

The international community must engage in a comprehensive intelligence-gathering and intelligence-sharing initiative. Most significant terrorist organizations and many of their members are known and their activities are documented by governments. The problem is that when these organizations or their members travel internationally, authorities are not always informed about their movement or the potential threat.

It is important to point out that one of the most effective weapons against terrorism is education and economic development. Economic development initiatives

provide citizens, particularly, in poor and developing nations with the opportunity to improve their quality of life, increase their incomes, and gain access to better healthcare. This decreases the likelihood that citizens from poor and developing countries will see a terrorist organization as a means to improve their lives.

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## ZARYS PRZESTĘPCZOŚCI JAKO LOKALNEGO ZJAWIŠKA SPOŁECZNEGO

### *An outline of crime as a local social phenomenon*

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#### **Summary**

*The aim of the paper is to map, define and indicate the criminal situation of the youth and their problems in the Slovak Republic. Due to the fact that the number of crimes committed by young people has been increasing in recent years, I prepared a study on the topic „Knowledge of the causes of crime among young people and the possibilities of its prevention, and the causes of crime” and its prevention have also been indicated.*

**Key words:** *youth, criminality, juvenile delinquency, youth crime prevention*

#### **Streszczenie**

Celem pracy jest mapowanie, zdefiniowanie i wskazanie sytuacji przestępczej młodzieży i jej problemów w Republice Słowackiej. W związku z tym, że w ostatnich latach wzrasta liczba popełnianych przez młodzież przestępstw, opracowałem pracę na temat „Znajomość przyczyn przestępczości wśród młodzieży i możliwości jej zapobiegania” oraz wskazałem przyczyny przestępczości i jej zapobieganie.

**Słowa kluczowe:** młodzież, przestępczość, przestępczość młodociana, zapobieganie przestępczości młodzieży

### **Wstęp**

Przestępczość jest zjawiskiem społecznym, należącym do ogólnego kontekstu społecznych sytuacji problemowych. Z punktu widzenia prawa karnego charakteryzuje się ono wystąpieniem zachowania przestępczego lub zachowania przestępczego, wyrażonego sumą przestępstw popełnionych w społeczeństwie w określonym czasie. Przestępczość jest wynikiem codziennego współdziałania trzech elementów. Element prawdopodobnego sprawcy, odpowiedni cel działalności przestępczej lub

element kompetentnej straży. Współdziałanie tych trzech elementów determinuje skalę przestępczości<sup>1</sup>.

## **Charakterystyka przestępczości**

Przestępczość to termin używany do określenia występowania zachowań przestępczych jako zjawiska społecznego. Jest to zazwyczaj wyraz podsumowania przestępstw popełnionych w danym społeczeństwie, państwie, regionie. Pojęcie przestępczości opiera się na czynie karalnym, który jest zdefiniowany w obowiązującym prawie karnym, ustawie. Podstawą przestępczości jawnej jest fakt, że większość przestępstw wychodzi na jaw i staje się przedmiotem ścigania za pośrednictwem wyspecjalizowanych instytucji społecznych, które społeczeństwo tworzy właśnie w tym celu. Są to organy ścigania (sądy, prokuratura, policja). O przestępczości utajonej mówimy wtedy, gdy dotyczy ona czynów przestępczych, których dopuściły się organy państwa a organy ścigania się nie dowiedzą. Opóźnienie w przypadku lżejszych przestępstw jest większe, w przypadku poważniejszych – mniejsze, pomimo mniejszej gotowości do składania zeznań w przypadku poważniejszych przestępstw. Największe opóźnienie występuje w obszarze przestępczości wśród młodych ludzi, często dlatego, że przestępstwa wśród młodych są uważane za społecznie nieistotne.

W ostatnich latach przestępczość przekształciła się w zjawisko nowe jakościowo, które swoim zakresem i stopniem zagrożenia znacznie przekroczyło granicę możliwości jej rozwiązania za pomocą dotychczasowych narzędzi i procedur. Na masową skalę przenika przez granice państw, a grupy przestępcze działają na rozległych terytoriach, niezależnie od podziału administracyjnego. Na sytuację przestępczą w każdym kraju wpływa sytuacja kryminalna innych krajów, zwłaszcza tych najbliższych<sup>2</sup>.

Jest bardzo prawdopodobne, że najbardziej rozwinięte kraje świata w ciągu najbliższych dziesięcioleci pozbędą się bezpośredniego niebezpieczeństwa wojny, wejdą jednak w erę długotrwałej wojny pozycyjnej z przestępczością, która przynosi i będzie przynosić znaczne cierpienia społeczeństwu. Ostrzeżeniem powinny być alarmujące statystyki dotyczące rozwoju przestępczości podawane przez ekspertów ONZ, dotyczące podniesienia się wskaźnika przestępczości ogółem do wartości około 10 000 przestępstw na 100 000 mieszkańców. Jeśli przyjąć, że w roku 2000 liczba ludności całego świata wyniesie około 6 miliardów, to przy obecnym wskaźniku rejestrowanych przestępstw wynoszącym 6000–8000 na 100 000 mieszkańców, można spodziewać się co najmniej 360–480 milionów przestępstw rocznie. Jeśli uwzględnić przestępczość ukrytą, ta alarmująca liczba może być 2–3 razy większa, czyli nawet przekroczyć miliard. Porównanie naszej sceny przestępczej z krajami bezpośrednio sąsiadującymi jest nadal więcej niż korzystne i zachęcające. W latach dziewięćdziesiątych na Słowacji popełniono 2300 przestępstw na 100 000 mieszkańców, na Węgrzech 3200,

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<sup>1</sup> Všeoobecné pojmy. Online: [http://www.securityrevue.com/tbm/part1\\_k.html#kriminalita](http://www.securityrevue.com/tbm/part1_k.html#kriminalita).

<sup>2</sup> Ibidem.

w Polsce 3400, w Czechach 4100, a w Austrii 6100. Należy się spodziewać, że stan, dynamika i struktura przestępczości na świecie, zwłaszcza w krajach sąsiednich, będą miały głównie negatywny wpływ na naszą scenę przestępczą. Republika Słowacka będzie poddana stale rosnącemu importowi przestępczości z zagranicy, któremu coraz trudniej będzie się oprzeć. Utrzymanie obecnego poziomu przestępczości (zdecydowanie bardzo niskiego w porównaniu do naszych sąsiadów) będzie niezwykle trudne. Mimo to przyszła scena kryminalna Republiki Słowackiej nie jest skazana na dramatyczny wzrost przestępczości i niedopuszczalne pogorszenie jej struktury.

Przestępczość to jeden z przejawów globalizacji społeczeństwa, gdy jego międzynarodowy charakter przyczynia się do przewyciężenia identyfikacji społeczeństwa z państwem narodowym. Spośród ogólnego wzrostu przestępczości odnotowujemy szczególnie wzrost przestępczości wśród młodzieży.

Wielu młodych ludzi, zwłaszcza tych mieszkających w dużych miastach, dopuszcza się czasem czynu przekraczającego granice prawa. Większość z nich nigdy nie jest badana ani złapana. Dlatego jest wielu młodocianych „przestępców”, którzy nigdy nie trafiają do żadnej próby badawczej<sup>3</sup>.

Przestępczość nieletnich oznacza dla społeczeństwa ogromne straty materialne, finansowe i niestety ludzkie. Zapobieganie tym stratom wcale nie jest łatwe. Badając pochodzenie i przyczyny przestępstwa nie jest łatwo określić, jaki mechanizm lub czynnik przyczynił się do jego powstania. Mówiąc bardziej szczegółowo, kryminologia zajmuje się problematyką badania przyczyn i warunków wystąpienia przestępstwa oraz jego zapobieganiu<sup>4</sup>.

Kryminologia to nauka o stanie, strukturze i dynamice działalności przestępczej (przestępczości), przyczynach działalności przestępczej, sposobach jej zwalczania (zapobieganie działalności przestępczej), osobowości sprawcy oraz sposobach prowadzenia dochodzeń w sprawie przestępstwa. Przestępczość (z łac. *kriminalis* – zbrodnia) jest zbiorowym zjawiskiem społecznym. Ocena czynów jako przestępczych zależy od społeczeństwa i jego struktury ekonomiczno-politycznej. Przestępczość stale się zmienia w czasie. Rozróżnia się przestępczość jawną, która jest rejestrowana przez państwo, oraz przestępczość ukrytą, o której z różnych powodów policja, prokuratura i sądy nie mają wiedzy. Większość popełnionych przestępstw wychodzi na światło dzienne i staje się przedmiotem ścigania karnego, ale niektóre pozostają ukryte. Na stopień latencji przestępczej wpływ ma przede wszystkim zaufanie obywateli do organów policji, obawa przed zemstą sprawców, reakcje współobywateli na zgłoszenie działalności przestępczej oraz wrażliwość przestępcza społeczeństwa, rozumiana jako poziom tolerancji dla łamania prawa<sup>5</sup>.

Zagadnienie dewiacji społecznych i anomii wiąże się bezpośrednio z problematyką społeczno-patologiczną.

<sup>3</sup> Kriminalita na Slovensku a v bližšom euroregióne. Online: <http://www.civil.gov.sk/archiv/casopis/2001/0218zc.htm>.

<sup>4</sup> M. Pétiová, *Sociálno-patologická problematika mládeže v SR, ÚIPŠ, Bratislava 2005*, s. 41-49.

<sup>5</sup> Z. Truhlářová, M. Smutek, *Riziková mládež v současné společnosti*, Gaudeamus, Hradec Králové 2006.

Pod pojęciem przestępczości w węższym znaczeniu tego słowa mamy na myśli przestępczość, tj. naruszenia prawa karnego przez osoby poniżej 18. roku życia, ale także starsze (kategoria „blisko nieletnich”) i młodsze (kategoria młodzieży w okresie dojrzewania i pokwitania, której nie można już uważać za populację dziecięcą).

Literatura kryminologiczna wskazuje, że średnio prawie  $\frac{1}{4}$  wszystkich przestępstw popełniają ludzie młodzi, którzy mają średnio mniej niż 21 lat. Prawie 14% ogólnej liczby przestępstw popełniają młodzi ludzie w wieku od 21 do 25 lat. Charakterystyczną cechą przestępczości młodzieżowej jest tzw. drobna i sporadyczna przestępczość, która rozkłada się stosunkowo równomiernie we wszystkich warstwach społecznych młodzieży do około 16. roku życia.

## **Przyczyny przestępczości**

Obecni autorzy krajowi i zagraniczni podkreślają bio-psycho-społeczną istotę osobowości człowieka i uważają czynniki wewnętrzne i zewnętrzne za potencjalne czynniki rozwoju jego osobowości w kierunku pozytywnym, ale także negatywnym. Przyczyny wewnętrzne są mniej powszechne, ale trudniejsze do skorygowania niż przyczyny zewnętrzne.

### **Przyczyny wewnętrzne**

Przyczyny wewnętrzne leżą w osobowości sprawcy. Reprezentują wyższe predyspozycje do popełniania zachowań dewiacyjnych, które mogą być dziedziczne, wrodzone lub nabyte m.in. z powodu choroby, urazu itp. Te predyspozycje mają tendencję do rozwijania się szczególnie w środowisku socjopatologicznym. Osoba posiadająca je może, ale nie musi, stać się przestępcą. Jednak prawdopodobieństwo jego niepowodzenia jest wyższe niż w przypadku innych osób<sup>6</sup>.

Dziedziczność jest jednym z wielu czynników wpływających na zachowanie jednostki. Skłonność genetyczna może być odpowiedzialna m.in. za obniżoną samokontrolę, za nadpobudliwość. Predyspozycje genetyczne jedynie zwiększają prawdopodobieństwo, że na zachowanie będą miały wpływ inne czynniki, bez których przestępstwo nie miałyby miejsca<sup>7</sup>.

Do najbardziej ryzykownych predyspozycji do zachowań przestępczych zalicza się psychopatie, które reprezentują nieprawidłowy wariant osobowości. Psychozy i schizofrenia, należące do grupy chorób psychicznych, są także częstą przyczyną zachowań przestępczych. Typowym objawem tej choroby są różne urojenia i halucynacje, które pacjent uważa za rzeczywistość. Osoba w stanie rozwiniętej psychozy nie

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<sup>6</sup> J. Hroncová, B. Kraus, Sociálna patológia pre sociálnych pracovníkov a pedagógov, Univerzita Mateja Bela, Banská Bystrica 2006, s. 32.

<sup>7</sup> O. Matoušek, A. Kroftová, Mládež a delikvence, Portál, Praha 1998, s. 22.

jest w stanie rozpoznać niebezpieczeństwa swego postępowania i często nie ponosi za swoje czyny odpowiedzialności karnej<sup>8</sup>.

Do predyspozycji wewnętrznych zalicza się także czynnik płci, gdyż według dostępnych statystyk mężczyźni popełniają przestępstwa znacznie częściej niż kobiety. Przed sądem staje 6 razy więcej mężczyzn niż kobiet, a stosunek mężczyzn do kobiet w odbywaniu kary wynosi 30:1.

## **Przyczyny zewnętrzne**

Zewnętrznych przyczyn powstawania zachowań przestępczych upatruje się w poszczególnych kręgach środowiska społecznego, w którym żyli przestępcy i które ich dotykało. Jest to przede wszystkim wpływ rodziny, szkoły, grup problemowych i innych wpływów otoczenia społecznego<sup>9</sup>.

Jeśli endogenne anomalie spotykają się z niezadowolającym społecznym środowiskiem rodzinnym, dziecko lub nastolatek ulega zaburzeniom emocjonalnym i charakterowym, przyjmuje zachowania aspołeczne i stopniowo staje się trudny do wychowania, nie tylko w rodzinie, ale także w środowisku szkolnym<sup>10</sup>.

## **Rodzina jako czynnik kryminogeny**

Jednym z podstawowych zadań i obowiązków rodziny jest wychowanie dzieci. Rodzina może właściwie spełniać swoją rolę wychowawczą tylko wtedy, gdy cały jej klimat będzie taki, aby mogła korzystnie oddziaływać i kształtować dzieci i młodzież. Rodzinie często brakuje warunków ilościowych i jakościowych, aby była pozytywnym czynnikiem wychowawczym. Niekorzystnie wpływa m.in. zatrudnienie obojga rodziców, brak czasu na naukę, na siedzenie z dziećmi, na nadzorowanie ich, na informację, co robią w czasie wolnym, ale często na rozmowę, jak sobie radzą w szkole, jakie rezultaty osiągają w uczeniu się zachowań w szkole, w grupie i ogólnie poza rodziną.

Do głównych czynników decydujących o przestępczości dziecka można zaliczyć rodzinę niepełną, w której brakuje ojca lub matki, bądź obojga rodziców. Inną przyczyną jest rodzina prawnie nienaruszona, ale rozbita wewnętrznie na skutek alkoholizmu, dużych różnic osobistych między rodzicami, niewierności, nieodpowiednich warunków mieszkaniowych, gdy w jednym pokoju mieszka rodzina licząca od 5 do 7 osób, złych warunków ekonomicznych lub alkoholizmu obojga rodziców, lub negatywny stosunek do pracy, unikanie pracy. Nieodpowiednie wychowanie dzieci, słaba spójność pomiędzy członkami rodziny itp. również mają negatywny wpływ<sup>11</sup>.

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<sup>8</sup> Ibidem, s. 29.

<sup>9</sup> J. Hroncová, B. Kraus, *Sociálna patológia...* op. cit., s. 34.

<sup>10</sup> M. Faltin, *Delikvencia detí a mladistvých*, SPN, Bratislava 1972, s. 30.

<sup>11</sup> M. Faltin, *Delikvencia detí...* op. cit.

Deprywację emocjonalną dzieci w rodzinach dysfunkcyjnych pogłębiają częste kary cielesne i brak artykułów pierwszej potrzeby. Codzienne nieporozumienia, sprzeczki, kłótnie i bójkę deformują moralnie charaktery dzieci i młodzieży, zniechęcają do wypełniania obowiązujących norm społecznych, obowiązków szkolnych i domowych, zachęcają do wychodzenia poza szkołę i tułaczki, z którą w naturalny sposób kojarzą się kradzieże i wandalizm, niestosowne zachowanie.

Dzieci i młodzież wywodzące się z takich warunków rodzinnych i środowiska nie mają żadnych zahamowań w swojej początkowej działalności przestępczej. Dziecko lub nastolatek żyjący w niezadowolającym środowisku rodzinnym albo próbuje się z niego uwolnić, albo popada w nerwicę. Dziecko jako istota społeczna pragnie być kochane. Konfliktowe środowisko rodzinne niekorzystnie wpływa na rozwój psychiczny dzieci i młodzieży, zwłaszcza gdy jest aktywne od wczesnego dzieciństwa. Efektem jest rozstrój emocjonalny, agresywność, wrogie podejście do członków rodziny i innych osób. Manifestacje bywają albo gwałtowne, albo pełne rezygnacji, szczególnie w okresie dojrzewania, kiedy nastolatek konsoliduje siebie i czasami rekompensuje sobie poczucie niższości wykroczeniami i przestępstwami<sup>12</sup>.

Czynniki prowadzące do przestępczości, zwłaszcza w odniesieniu do wpływu rodziny na genezę i rozwój przestępczości wśród dzieci i młodzieży:

- niewłaściwość wychowania w rodzinie lub jego okrucieństwo (zwłaszcza ze strony ojca) lub nadmierne rozluźnienie dyscypliny,
- niewystarczająca opieka i kontrola ze strony matki,
- wrogi lub obojętny stosunek emocjonalny ojców do dziecka,
- wrogi lub obojętny stosunek emocjonalny matki do dziecka,
- brak odpowiedniej spójności rodziny<sup>13</sup>.

## **Szkoła i przestępczość**

Szkoła jest jednym z kluczowych czynników wychowawczych i socjalizacyjnych, ale jednocześnie jej działanie może stymulować wiele elementów psychodeprywacyjnych i kryminogennych.

Przechodząc do szkoły, każde dziecko traci wyłączny status w rodzinie, jaki posiadało do tej pory. Musi dostosować się do nowego rytmu życia. Szkoła traktuje go jak jedno z wielu dzieci i przede wszystkim wymaga od niego przystosowania się, bycia „jak inne dzieci”. Początkowo nauczyciel jest dla dziecka najważniejszą osobą w szkole, jednak stopniowo na znaczeniu zyskują relacje z kolegami z klasy i solidarność z nimi. Nauczyciel staje się autorytetem konkurującym z autorytetem rodziców, a później rówieśników. Ze strony nauczyciela dziecko jest prawie zawsze oceniane na podstawie ocen – za osiągnięcia w poszczególnych przedmiotach i za zachowanie.

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<sup>12</sup> M. Faltin, *Delikvencia detí...* op. cit., s. 34.

<sup>13</sup> M. Faltin, *Delikvencia detí...* op. cit., s. 69.

Z tego dziecko w pierwszych latach nauki czerpie poczucie własnej wartości. Później zależy to także od tego, jak zostanie to odebrane przez kolegów z klasy<sup>14</sup>.

Komunikacja z dziećmi, która skupia się wyłącznie na treści (najczęściej w formie krytyki), ocenach, notatkach, ignorowaniu inicjatyw dziecka, „reakcjach alergicznych” na wykroczenia przeciwko dyscyplinie czy nieznamomości tematu, nie może przyczynić się do dobrego samopoczucia dziecka.

Negatywnym czynnikiem, wpływającym na klimat psychologiczny szkoły, jest niesprawiedliwość niektórych nauczycieli, którzy nie oceniają swoich uczniów realistycznie. Uczniowie są „zapakowywani” według osiągnięć lub znajomości i w ten sposób traktują ich przez cały okres studiów. Kolejnym minusem, który wyraźnie zaburza dobrostan psychiczny i równowagę psychiczną młodych ludzi, jest to, że gdy pedagog awansuje, jest oceniany, jego stosunek do uczniów jest drwiący lub nadmiernie rygorystyczny<sup>15</sup>.

## **Grupy rówieśnicze**

Dla młodzieży zagrożonej, pochodzącej z rodzin dysfunkcyjnych, ważniejsza jest grupa rówieśnicza niż dla młodych ludzi wychowujących się w rodzinach, w których zapewnia się dzieciom odpowiedni poziom wsparcia, a jednocześnie odpowiednio wyznacza granice dopuszczalnych zachowań.

Każda grupa rówieśnicza zawiera także element stresujący dla swoich członków: przeciwstawienie się rówieśnikom. Dzieci sfrustrowane niskim wsparciem ze strony rodziny mają większą potrzebę pozytywnej akceptacji ze strony grupy rówieśniczej. Lider grupy ma na te dzieci ogromny wpływ i wykorzystuje go. Popęśnienie przestępstwa jest często przepustką do przyjęcia do grupy<sup>16</sup>.

Dzieci i młodzież pochodzące z niesprzyjających warunków rodzinnych i środowiska nie mają żadnych zahamowań w początkowej działalności przestępczej. W domu spotykają się z brakiem zainteresowania, a w towarzystwie skorumpowanych rówieśników z uznaniem. Jeśli dziecko lub nastolatek trafi do towarzystwa przestępczego, już w pierwszych dniach zachęca się go, nawet bezpośrednio lub pośrednio, aby przyniósł z domu trochę jedzenia lub pieniędzy na papierosy, alkohol itp., a gdy już się wykaże, uczestniczy wraz z nimi w kradzieżach żywności, pieniędzy itp. Motywacją tych kradzieży jest najczęściej chęć zapalenia, jedzenia, picia itp. Miejsce kradzieży jest wszędzie tam, gdzie jest ku temu okazja: na dworcu, w sklepie, w szkole, w cudzym mieszkaniu i gdziekolwiek indziej. Nuda prowadzi inne grupy do przestępstwa.

Zdarzają się także przypadki, gdy dziecko ma dobre pochodzenie rodzinne, a mimo to ulega wpływom grup przestępczych. Może to wynikać z jego łatwo ulegającego wpływom charakteru, braku sukcesów, słabych wyników w nauce, powtarzania klas, częstego wyśmiewania przez kolegów i nauczycieli.

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<sup>14</sup> O. Matoušek, A. Kroftová, *Mládež a...* op. cit., s. 77.

<sup>15</sup> L. Ďurdiak, *Psychohygiena mladého človeka*, Enigma, Nitra 2001, s. 79.

<sup>16</sup> O. Matoušek, A. Kroftová, *Mládež a...* op. cit., s. 85.



Aby zapobiec tworzeniu się grup negatywnych, należy podjąć następujące działania: wystarczające możliwości dla pozytywnych działań społecznie i indywidualnie, kierowanie dzieckiem w czasie wolnym od wczesnego dzieciństwa, budowanie właściwych postaw wobec czasu wolnego jako istotnej wartości, rodzice muszą mieć przegląd tego, z kim i jak dziecko spędza swój wolny czas<sup>17</sup>.

## **Inne wpływy społeczne**

Inne czynniki społeczne, które przyczyniają się do pojawienia się zachowań dewiacyjnych, mogą obejmować:

- negatywny wpływ środków masowego przekazu, zwłaszcza telewizji, z dużą prezentacją fikcyjnej i rzeczywistej brutalności, co prowadzi do stępienia wrażliwości dzieci na przestępczość;
- braki legislacyjne i stan anomiczny w społeczeństwie po 1989 r.;
- penetracja przestępczości międzynarodowej;
- kryzys gospodarczy i wzrost bezrobocia;
- wpływy regionalne, szczególnie na osiedlach mieszkaniowych (wysoka anonimowość, niska kontrola społeczna, brak możliwości pozytywnego spędzania wolnego czasu itp.)<sup>18</sup>.

## **Zapobieganie przestępczości**

Obecnie dominującym elementem w rozwiązywaniu zachowań przestępczych dzieci i młodzieży staje się profilaktyka.

Zgodnie ze Strategią Zapobiegania Przestępczości w Republice Słowackiej, podstawowym materiałem koncepcyjnym dla danego obszaru, zapobieganie przestępczości to zespół działań, poprzez które oddziałujemy na przyczyny i warunki przestępczości w celu zapobiegania im, eliminowania ich lub częściowo eliminując je lub negatywnie ograniczając wyrażenia. Poprzez profilaktykę możemy zapobiec nie tylko szkodom finansowym i moralnym, ale przede wszystkim szkodom w życiu, które są niezastąpione.

## **System i rodzaje profilaktyki**

Zapobieganie przestępczości odbywa się:

- poprzez prawo karne i inne środki prawne – opiera się na odstrasżającym działaniu kary i jest realizowane jako profilaktyka ogólna (efekt ogólny) lub prewen-

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<sup>17</sup> J. Hroncová, B. Kraus, *Sociálna patológia...* op. cit., s. 36.

<sup>18</sup> *Ibidem*.

cja szczególna (efekt zorientowany na grupy docelowe i jednostki), a także na zastosowaniu kar alternatywnych do pozbawienia wolności itp. Podmiotem tak zorientowanej profilaktyki są przede wszystkim organy ścigania we współpracy z pracownikami socjalnymi;

- poprzez specjalne działania profilaktyczne, które mają charakter działań niekarnych, w których uczestniczy szeroka gama podmiotów społecznych (administracja państwowa, policja, samorząd, stowarzyszenia i fundacje obywatelskie, kościoły, środowiska biznesowe i osoby fizyczne<sup>19</sup>.

Zapobieganie przestępczości odbywa się poprzez:

- profilaktykę społeczną – to ogólne zapobieganie wszelkim zjawiskom społeczno-patologicznym, w tym przestępczości. Jej istotą jest tworzenie sprzyjających warunków społecznych oraz zmiana niekorzystnych warunków społecznych, ekonomicznych, kulturowych i innych środowiskowych, które mogą stać się czynnikami kryminogennymi;
- zapobieganie sytuacyjne jest w szczególności ukierunkowane na przestępczość, na ochronę porządku publicznego, zdrowia, życia i mienia obywateli. Opiera się na wiedzy, że określone rodzaje przestępstw mają miejsce w określonym czasie, miejscu i okolicznościach i można im zapobiec. Jego istota polega na tym, że z jednej strony utrudnia potencjalnemu sprawcy popełnienie przestępstwa lub innego przestępstwa, z drugiej strony zwiększa prawdopodobieństwo wykrycia sprawy rzeczywistego;
- zapobieganie wiktymizacji to rodzaj specjalnie ukierunkowanego zapobiegania przestępczości, który zapewnia, że dana osoba nie stanie się ofiarą przestępstwa. Obejmuje stosowanie środków zapobiegawczych, które mogą zmniejszyć ryzyko zagrożenia przestępczością. Są to środki będące połączeniem sytuacyjnych środków zapobiegania, własnych zachowań zapobiegawczych i właściwej reakcji w sytuacji zagrożenia, a także pomocy ofiarom przestępstw<sup>20</sup>.

Profilaktykę społeczną, profilaktykę sytuacyjną i zapobieganie wiktymizacji można wdrożyć:

1. według kryterium rozwoju problemu karnego, takie jak:

- profilaktyka pierwotna, która oznacza działania zapobiegawcze wobec osób i środki zapobiegawcze podejmowane w stosunku do sytuacji i przedmiotów, które nie miały jeszcze kontaktu z przestępstwem,
- profilaktyka wtórna, która jest ukierunkowana na osoby zagrożone, które mogą stać się sprawcami lub ofiarami działalności przestępczej, a także eliminowanie sytuacyjnych czynników kryminogennych,
- profilaktyka trzeciorzędna, która w odniesieniu do sprawców i sytuacji polega na zapobieganiu nawrotom działalności przestępczej, w stosunku do ofiar także pomoc socjalna, medyczna, psychologiczna i prawna, której głównym celem jest ich stabilizacja psychiczna i integracja społeczna<sup>21</sup>;

<sup>19</sup> Strategia prevencie kriminality v Slovenskej republike, Ministerstvo vnútra SR, Bratislava 2003, s. 6.

<sup>20</sup> Ibidem.

<sup>21</sup> Ibidem.

2. według kryterium zasięgu, szerokości lub rozmiaru obiektu docelowego jako:
  - rozległy obszar (realizowany w skali kraju lub regionu),
  - grupowe (skoncentrowane np. na młodzieży lub grupie),
  - indywidualny (skoncentrowany na konkretnej osobie, przedmiocie lub mieście).

## **Spoleczne srodki zapobiegawcze**

Obecnie profilaktykę uważa się za mniej wymagającą ekonomicznie formę opieki niż środki karne. Zapobieganie musi opierać się na szczegółowej wiedzy o wszystkich czynnikach, które mogą przyczynić się do wystąpienia przestępczości. Ważne jest, aby skupić się na czynnikach zewnętrznych, ponieważ na wiele czynników endogennych nie można wpływać.

Coraz większą rolę w zapobieganiu przestępczości odgrywają narzędzia komunikacji masowej, praca socjalna i pedagogika społeczna. Wśród całej gamy społecznych działań profilaktycznych należy podkreślić rolę rodziny, edukacji szkolnej i wykorzystania czasu wolnego.

## **Rola rodziny**

Dla rozwoju dziecka już od najmłodszych lat ważny jest rodzaj rodziny, w której dorasta. Rodzina ma ogromny wpływ na kształtowanie się osobowości człowieka, jego zachowania, nawyki itp. Według danych statystycznych osoby wychowujące się w rodzinach niepełnych lub rozbitych stwarzają więcej problemów niż osoby żyjące w rodzinach zorganizowanych. Również niezadawalające warunki życia stwarzane przez liczbę dzieci w rodzinie i związane z tym niewłaściwe warunki mieszkaniowe, niskie dochody, niski poziom edukacji szkolnej przyczyniły się do powstania czynników kryminogennych. Wychowanie dzieci w takich rodzinach jest często zniekształcone. Zdarzają się także przypadki, gdy dziecko ma dobre pochodzenie rodzinne, a mimo to ulega wpływom grup przestępczych.

Całe społeczeństwo musi być zainteresowane tym, aby każde dziecko dorastało w jak najbardziej optymalnej rodzinie.

## **Rola edukacji szkolnej**

Kolejnym elementem, który również ma istotny wpływ na kształtowanie się osobowości, jest edukacja szkolna. Zadaniem szkoły jest nie tylko profesjonalne kształcenie uczniów, ale także wpajanie im zasad postępowania i moralności, a tym samym zapobieganie patologicznemu rozwojowi dzieci i młodzieży.

Do najważniejszych form organizacyjnych zapobiegania przestępczości w szkole należą:

- proces nauczania (poprzez przedmioty edukacji etycznej, nauk społecznych, edukacji literackiej i inne);
- rozwijanie zainteresowań uczniów;
- projekty specjalne realizowane we współpracy z policją, sądami i innymi podmiotami, m.in. Policjant, Przyjaciel, Zachowuj się normalnie i tak dalej;
- edukacja w zakresie zdrowego stylu życia i realizacja konkretnych projektów, m.in. Zdrowa szkoła, Szkoła bez alkoholu, narkotyków i papierosów;
- tworzenie pozytywnego klimatu psychologicznego w szkole;
- wzmocnienie funkcji wychowawczej szkoły poprzez wychowawców klas i pozostałą kadrę pedagogiczną szkoły, działalność koordynatora ds. profilaktyki itp.

### **Wykorzystanie czasu wolnego**

W procesie socjalizacji młodego pokolenia ważną rolę odgrywa sposób spędzania czasu wolnego. Jeśli czas wolny nie jest wypełniony zajęciami kulturalnymi, akceptowanymi społecznie, nieuchronnie dochodzi do zachowań dewiacyjnych lub działalności przestępczej.

Kulturalne i celowe wykorzystanie czasu wolnego przez uczniów wymaga spełnienia dwóch warunków. Pierwszym z nich jest istnienie różnorodnych możliwości spędzania czasu wolnego przez uczniów. Drugim jest edukacja do pozytywnego spędzania czasu wolnego poprzez aktywność zainteresowań<sup>22</sup>.

Tworzenie warunków do wysokiej jakości realizacji i zaspokajania potrzeb dzieci i młodzieży w czasie wolnym odbywa się głównie poprzez szkoły i placówki szkolne (szkolne kluby, świetlice czasu wolnego, centra aktywności zainteresowań szkolnych).

Kluby szkolne zapewniają naukę i szkolenie poza godzinami lekcyjnymi oraz w czasie wakacji szkolnych uczniom, którzy spełniają obowiązek szkolny. Ogólnie rzecz biorąc, kluby szkolne w niewystarczającym stopniu spełniają swoją misję. Stały się one w większości placówkami szkolnymi o funkcji społecznej, służącymi dzieciom z klas niższych do wypoczynku i przygotowania do zajęć.

Tworzenie warunków i ofert sensownego wykorzystania czasu wolnego dzieci w zasadzie pozostało w gestii ośrodków czasu wolnego, poza szkołą. Ośrodki wypoczynku realizują różnorodną, regularną i okazjonalną działalność w jednostkach zainteresowań, organizują imprezy wakacyjne i obozy, konkursy, wycieczki, działalność metodyczną i redakcyjną. Mają one największy potencjał pozytywnego wpływu na czas wolny dzieci i młodzieży z całego obszaru oddziaływania, przy czym należy zaznaczyć, że są dostępne jedynie dla niewielkiego odsetka młodej populacji zamieszkującej miasta, w których powstały ośrodki. Zwiększa to liczbę dzieci i młodzieży, które mają ograniczone możliwości sensownego wykorzystania swojego

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<sup>22</sup> J. Hroncová, B. Kraus, *Sociálna patológia...* op. cit., s. 106.

czasu wolnego. Częściowo rozwiązuje się to poprzez tworzenie szkolnych ośrodków zainteresowań, które zapewniają rozwój i organizację rekreacji oraz zajęć w czasie wolnym uczniów szkół podstawowych i średnich. Władze samorządowe powinny zwracać szczególną uwagę na wykorzystanie czasu wolnego dzieci i młodzieży, m.in. poprzez tworzenie ogólnodostępnych placów zabaw, terenów sportowych, korzystanie z obiektów socjalno-kulturalnych, a zwłaszcza organizowanie nieformalnych i atrakcyjnych wydarzeń<sup>23</sup>.

Uczniowie często nie wiedzą, jak efektywnie wykorzystać otrzymane możliwości spędzania czasu wolnego. Według danych statystycznych młodzi ludzie większość wolnego czasu spędzają w gronie znajomych, głównie w lokalach rozrywkowych i na ulicy, gdzie swoje problemy rozwiązują za pomocą papierosów, alkoholu lub innych narkotyków. Tylko około 14% ich wolnego czasu spędzają w kręgu rodzinnym. Dzieje się tak dlatego, że rodzice są przeważnie zajęci pracą i nie mają czasu, aby poświęcić wystarczająco dużo czasu swoim dzieciom. Z punktu widzenia profilaktyki rodzice powinni zwracać większą uwagę na swoje dzieci, powinni być świadomi tego, jak spędzają wolny czas, jakie mają zainteresowania, z kim się przyjaźnią. Wierzymy, że główna odpowiedzialność za edukację dzieci w czasie wolnym spoczywa na rodzinie. Jednak wiele zależy również od instytucji oświatowych (państwowych, prywatnych, kościelnych), jakie dają dzieciom możliwości spędzania czasu wolnego.

## **Wnioski**

Człowiek ma prawo do życia, do nietykalności cielesnej, a także do odpowiednich środków zapewniających godziwy poziom życia, w szczególności żywności, odzieży, mieszkania, odpoczynku, leczenia, a także do niezbędnych usług, które państwo powinno zapewnić jednostce, czyli pomoc prawną w przypadku choroby, niepełnosprawności, wdowieństwa, starości, bezrobocia itp.

Przestępczość jest w naszym kraju uregulowana prawnie. Precyzyjnie określono, co uważa się za naruszenie standardów, zasad i przepisów prawa, a także określono sankcje za to naruszenie. Jednak profilaktyka jest ważna. Sugerowałbym zatem zaangażowanie pracowników socjalnych w system szkolny i pozaszkolny młodzieży oraz terenowych pracowników socjalnych, którzy byłiby oddani młodzieży poza środowiskiem szkolnym. Jednocześnie chciałbym jeszcze bardziej wzmocnić pracę trzeciego sektora, który interesuje się osobami bezdomnymi, osobami prowadzącymi ryzykowny tryb życia, osobami zwalnianymi z zakładów karnych i więziennych oraz prostytutkami.

Podsumowując, mogę stwierdzić, że rozwiązywanie nowych problemów społecznych wymaga współpracy i wzajemnego porozumienia pomiędzy państwem, organizacjami pozarządowymi i stowarzyszeniami wolontariackimi.

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<sup>23</sup> Koncepcia štátnej politiky vo vzťahu k deťom a mládeži do roku 2007, Iuventa, Bratislava 2002, s. 99.

Nikt w naszym społeczeństwie nie wątpi, że problemy społeczne, które dotyczą każdego człowieka, wymagają uwidocznienia i poświęcania im coraz większej uwagi. Codziennie jesteśmy świadkami nasilających się zjawisk społeczno-patologicznych, które dotyczą nie tylko dorosłych, ale zaczynają ujawniać się także w coraz młodszym pokoleniu.

Analizując indywidualne problemy społeczne, stwierdzono, że prawie wszystkie problemy społeczne charakteryzują się złą sytuacją materialną, niewłaściwie wykorzystanym czasem wolnym, niewystarczającą psychohigieną, stresem, wysokimi wymaganiami i zaangażowaniem w pracy, nieprawidłowymi nawykami żywieniowymi. Dla młodych ludzi jest to próba dorównania rówieśnikom, zwrócenia na siebie uwagi, spróbowania czegoś nowego – nieznanymi, pokoleniowymi problemami, przejawów lęku i nieuwagi. Doszliśmy do przekonania, że odpowiednie działania i programy profilaktyczne mogą znacząco wpłynąć lub nawet wyeliminować wpływ i działanie tych czynników na powstawanie problemów społecznych.

Trudno powiedzieć lub precyzyjnie określić, kiedy dana osoba znajduje się w trudnej sytuacji społecznej. Nadchodzi powoli, niepostrzeżenie, nagle zaczyna pędzić w otchłań. Jest to rozwój powolny, jedyne co można rozpoznać to ryzykowne zachowania, które pokazują, że z daną osobą coś się dzieje. Wtedy sąsiedzi powinni zwrócić większą uwagę. Dla wielu osób potrzebujących pomocy społecznej momentem zwrotnym jest moment, w którym opuszczone przez wszystkich zaczynają szukać dla siebie jakiegoś celu życiowego. To także pierwszy udany krok przeciwko deformacjom osobowości człowieka. Często jednak konieczne jest podjęcie profesjonalnego leczenia, tylko od nich zależy, jak poradzą sobie w dalszym życiu. Niezależnie od tego, czy całkowicie poddadzą się swojemu problemowi, stracą osobowość, czy też staną się pełnoprawnymi członkami społeczeństwa, na których mogą polegać, na których mogą liczyć w przyszłości, od których oczekują pomocy, wsparcia, czy życzliwej dłoni.

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## **PICTURING CHANGE – PUBLIC HEALTH ENTREPRENEURSHIP, PUBLIC HEALTH COMMUNICATION AND TELEMEDICINE IN NIGERIA IN THE POST COVID ERA**

### ***Obrazowanie zmian – przedsiębiorczość w zakresie zdrowia publicznego, komunikacja w zakresie zdrowia publicznego i telemedycyna w Nigerii w erze post-COVID***

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## **Streszczenie**

*Tradycyjną metodą, za pomocą której pracownicy służby zdrowia wchodzi w interakcję z pacjentami w Nigerii, jest głównie kontakt twarzą w twarz. Pojawienie się COVID-19 doprowadziło do przyspieszenia wdrażania już istniejących innowacji – przedsiębiorczości, komunikacji w zakresie zdrowia publicznego i telemedycyny – których zakres był ograniczony ze względu na niewiedzę, słabą infrastrukturę, niewystarczające informacje i słabe finansowanie. Do tej pory wyzwania te nadal istnieją, co prowadzi do różnic w świadczeniu opieki zdrowotnej w różnych regionach kraju, przy czym najbardziej dotknięte są obszary oddalone. Przegląd ten ma na celu zwrócenie uwagi na pojawiające się innowacje w systemach opieki zdrowotnej, omówienie wyzwań, które utrudniają przyjęcie innowacji w telemedycynie, oraz omówienie strategii mających na celu zwiększenie wykorzystania telemedycyny. Przeprowadzono szeroko zakrojone kwerendy literaturowe, aby zobrazować zmiany, jakie w tej innowacji wprowadziła pandemia oraz wyzwania związane z ich wdrożeniem. Chociaż odnotowano sukcesy we wdrażaniu tych innowacji, zaobserwowaliśmy, że nadal istnieją wyzwania związane z ograniczeniami w zakresie zasobów ludzkich, słabym finansowaniem oraz brakiem odpowiednich przepisów i polityk chroniących prawa przedsiębiorców i użytkowników końcowych. Wezwanie do współpracy publiczno-prywatnej oraz uchwalenia przepisów i polityk wspierających wdrażanie tych innowacji będzie miało ogromne znaczenie.*

**Słowa kluczowe:** komunikacja, COVID-19, zdrowie publiczne, przedsiębiorczość, pandemia COVID-19, telemedycyna

## **Summary**

The traditional method through which healthcare professionals interact with patients in Nigeria is mainly through face-to-face contact. The advent of COVID-19 led to the acceleration of uptake of already existing innovations – entrepreneurship, public health communication, and Telemedicine- which were limited in scope due to ignorance, poor infrastructure, insufficient information, and poor financing. To date, these challenges still exist, leading to disparities in healthcare delivery to the different regions of the country, with the remote areas being the worst hit. This review aims to highlight emerging innovations in the healthcare systems, discuss the challenges that hinder the adoption of innovations in Telemedicine, and discuss strategies to enhance the uptake of Telemedicine. An extensive literature search was done to picture the changes brought into this innovation as a result of the pandemic and the challenges in their implementation. Though successes have been recorded in the adoption of these innovations, we observed that challenges still exist in terms of human resource constraints, poor funding and lack of appropriate legislation and policies to protect the rights of the entrepreneurs and the end users. A call for public-private collaboration and enactment of laws and policies to support the implementation of these innovations will make a world of difference.

**Key words:** communication, COVID-19, public health, entrepreneurship, COVID-19 pandemic, telemedicine

## Introduction

Numerous challenges afflict Nigeria's public health system, and this has, in no small measure, impacted negatively on public health outcomes in the country<sup>1</sup>. Prior to COVID-19 the healthcare system in Nigeria has been endangered. With the enormous public health challenges that accompanied COVID-19, the country became a worse hit in pandemic. It was obvious that the Nigeria was lagging in areas of preparedness, responses and interventions to contain the pandemic. Though fewer casualties and deaths were recorded when compared to more developed nations, the actual state of the Nigerian health system was not reflected. Nigeria, being one of the most populated African countries, is still facing myriads of demanding health issues<sup>2</sup>. The reasons given for the challenges include poverty, illiteracy, inadequate and incomprehensive public health, corruption, and poor political will. Consequently, there is a high rate of infant and maternal mortality, poor sanitation and hygiene, inadequate disease surveillance, and the emergence of infectious diseases<sup>3</sup>.

A significant challenge that has caught the world's attention is that Nigeria needs mechanisms to handle disease outbreaks and pandemics and better emergency preparedness. Preventable diseases are therefore responsible for most deaths in Nigeria due to inadequate infrastructure, many power and reduced budgetary allocation on health. Aregbeshola reported that the signs that people will continue to die from these preventable diseases are in the country<sup>4</sup>. WHO reports on communicable diseases showed that Nigeria and other African countries account for the highest number of deaths. The report brought to the fore the gaps in the poorer countries and the poor state of healthcare in the African regions. Infectious diseases, cardiovascular diseases, cancer, diabetes, asthma, sickle cell anemia, and respiratory diseases were listed as those with the highest burden on Nigeria's public health system<sup>5</sup>.

The onset of the COVID-19 pandemic between the end of 2019 and the beginning of 2020 added more stress to the already stretched healthcare system. It has brought various changes in the lifestyle of people globally. Initially, there were severe outbreaks of COVID-19 in a few countries, such as China, South Korea, Italy and Iran. In contrast, others experienced a temporary interval of quiet or lack of spread

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<sup>1</sup> I.I. Omoleke, The primary health care services in Nigeria: Constraints to optima performance, "Nigerian Journal of Medicine" 2005; 14: 206-212.

<sup>2</sup> F. Muhammad, J.H. Abdulkareem, A.A. Chowdhury, Major public health problems in Nigeria: a review, "South East Asia Journal of Public Health" 2017; 7: 6-11.

<sup>3</sup> James Lind Institute Public Health in Nigeria, 2020. Online: <https://jliedu.ch/public-health-nigeria/>.

<sup>4</sup> B. Aregbeshola, Addressing the public health challenges Nigeria faces. Online: <https://www.inigerian.com/addressing-the-public-health-challenges-nigeria-faces/>.

<sup>5</sup> F. Muhammad, J.H. Abdulkareem, A.A. Chowdhury, Major public... op. cit.

of the virus yet with high levels of uncertainties. People in unaffected countries understood that Corona SARS CoV-2 virus might spread to their shores at one point.

By the end of March 2022, governments from different countries had set out stringent measures to contain the spread of the disease as schools, campuses, churches, companies, shops and restaurants were shut down. Many in specific jobs were asked to work from home, and many were quarantined. The massive flow of information about COVID-19 matched the extent of this pandemic and Government measures. The speed of spread of the virus, combined with the initial lack of solutions for the treatment and cure of the disease, immediately forced the national public health authorities to think of and plan a series of measures that could control the spread of the disease and protect the populace and the healthcare professionals. The resulting measures in a bid to contain the pandemic were accompanied by significantly communicative efforts to seek the general population's compliance and enable the established political and health strategies to be effective. As the pandemic progressed, there was a need to provide clear and valid information to the public globally, as expressed in a February editorial in *Lancet*, which stated that "(...) the only effective way to prevent the COVID-19 pandemic globally was through verified information"<sup>6</sup>.

Political leaders and experts in health were forced to provide widespread and accurate information and put in place measures that required behavioral changes to fight the pandemic. Since the pandemic took the world by surprise, there has been palpable tension on how long it will take to roll out a vaccine, and since few have been developed, the need for preventive measures has become more imperative than curative measures. Nigeria, just like most countries in Sub-Saharan Africa, made attempts to manage the pandemic through prevention using awareness campaigns. The Ministry of Health, the Nigeria Center for Disease Control (NCDC), and the Presidential Task Force (PTF) on COVID-19 were at the forefront, leading the fight to defeat the virus<sup>7</sup>.

In the last decades, healthcare outlook around the world has witnessed a substantial change in the traditional dynamics due to population increase, epidemiologic shift, newer innovations in technology and increasing expectations from healthcare consumers. The COVID-19 pandemic brought to the fore weaknesses and vulnerabilities in the health system, such as disparities among different individuals from different regions, insufficient communication between public health systems and healthcare delivery systems, and a call for a complete maintenance and upgrading of our health system and need to tackle our physicians' lack of preparedness to emergencies. These changes are referred to as "The New Health Economy", speeding up innovation in both the practice and the delivery of healthcare services, thus promoting entrepreneurial activities of small and medium-sized enterprises (SMEs) and start-ups to

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<sup>6</sup> A. Finset, H. Bosworth, P. Butow et al, Effective health communication – a key factor in fighting the COVID-19 pandemic, "Patient education and counseling" 2020; 103(5): 873-876.

<sup>7</sup> R. Scardigno, P. Musso, P. Cicirelli, Health Communication in the Time of COVID-19 Pandemic: A Qualitative Analysis of Italian Advertisements, "International Journal of Environmental Research and Public Health" 2023; 20(5): 4424.

accelerate innovation within the health sector<sup>8,9</sup>. New ventures have fueled a wave of innovation in the health sector using data, telehealth, Videoconferencing, artificial intelligence and other technologies<sup>10</sup>. The aim of this review is to highlight emerging innovations in the healthcare systems, to discuss the challenges that hinder the adoption of innovations of telemedicine, as well as strategies to enhance their uptake using the traditional method of literature review.

## **Public health entrepreneurship**

Public Health Entrepreneurship is an emerging field in medicine that combines business innovations with a focus on human healthcare outcomes<sup>11</sup>. It ensures equity in health and drivers of health, ensuring that everyone has an equal and fair opportunity to be as healthy as possible<sup>12,13</sup>. It requires dealing with obstacles to health such as ignorance, poverty, racism, gender disparity, poor access to quality healthcare, poor and unsafe environment and other drivers of health and their consequences. Hence, public health entrepreneurship helps in bridging the gap in healthcare. A public health entrepreneur is always at the forefront of addressing challenges and making a tremendous positive impact on patients' outcomes. There are ample opportunities in this field of medicine to address unmet needs through the development of new medical devices, apps, and or improving healthcare processes. It encompasses the spirit of innovation, problem-solving, and a commitment to patient-centered care, which has numerous benefits for healthcare professionals. This transformative journey to entrepreneurship in the healthcare system ranges from addressing unmet needs to fostering global impact and personal fulfillment with a wide range of avenues for reshaping healthcare delivery<sup>14,15</sup>.

The United Nations Conference on Trade and Development (UNCTAD) report entitled "Entrepreneurship and innovation in the new health economy" says that traditional dynamics of health economies have changed, as digital solutions, data-driven models, and consumers' needs are now at the heart of new health ecosystems, thereby

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<sup>8</sup> PWC, Accelerating the health economy of tomorrow: Transforming health systems and embracing innovation amid a pandemic. Online: <https://www.pwc.es/es/sanidad/pwc-new-health-economy.pdf>.

<sup>9</sup> S. Singhal, B. Kayyali, R. Levin, Z. Greenberg, The next wave of healthcare innovation: The evolution of ecosystems. McKinsey & Company, 2020.

<sup>10</sup> Global Innovation Index, Creating Healthy Lives – The Future of Medical Innovation. Online: [https://www.wipo.int/edocs/pubdocs/en/wipo\\_pub\\_gii\\_2019.pdf](https://www.wipo.int/edocs/pubdocs/en/wipo_pub_gii_2019.pdf).

<sup>11</sup> E. Becker, T. Chahine, R. Shegog, Public health entrepreneurship: a novel path for training future public health professionals, "Front Public Health" 2019; 7: 89.

<sup>12</sup> T. Chahine, Introduction to Social Entrepreneurship, CRC Press, 2016.

<sup>13</sup> T. Botelho, D.C. Fehder, Y.V. Hochberg, Innovation Driven Entrepreneurship, NBER Working Paper No. w28990, 2021.

<sup>14</sup> WIF Africa, Entrepreneurship in the New Health Economy, World Investment Forum. Online: <https://worldinvestmentforum.unctad.org/session/entrepreneurship-in-the-new-health-economy/>.

<sup>15</sup> I. Alon, M. Farell, S. Li, Regime type and COVID-19 response, "FIIB Business Review" 2020; 9(3).

offering entrepreneurs new opportunities. The report also examined the pressure on global healthcare systems arising from the pandemic, how entrepreneurs are innovating to help alleviate such pressures and what the government can do to support the health system and protect the healthcare professionals<sup>16</sup>.

Emerging diseases, increasingly complex health conditions requiring access to specialists, management of patients beyond standard practices of care, non-communicable diseases, and the ageing populations globally leading to increased demand in health care, as well as poor access to quality healthcare, especially in middle and low-income countries contribute to the high burden the public health systems must overcome<sup>17</sup>. Recently, the COVID-19 pandemic has quickened these struggles due to increasing demands for healthcare services. As a result, the pandemic has resulted in the increasing use of digital innovations in the practice and delivery of care for patients, leading to intense transformation in the existing healthcare system<sup>18</sup>. These shifts may continue to exist, underlining the need to promote and encourage innovations as the key to ensuring development in a post-crisis recovery.

During the pandemic and beyond, it has been observed that the public sector cannot face the increasing challenges in the healthcare system alone. Therefore, governments in developing countries, have increasingly collaborated with the private sector to provide efficient healthcare services and improve the quality of care. Mixed delivery of healthcare services is usually characteristic of high-performing healthcare systems, with private providers playing an integral role<sup>19</sup>. The public-private-partnership model through which the public, and the private sector provide health care infrastructures, as well as delivery of health care services to patients, has been adopted by many countries<sup>20</sup>. To provide an equitable health system, it is therefore crucial to consider the private sector as a complementary partner to the public sector<sup>21</sup>.

The health-related Sustainable Development Goals (SDGs) call for innovations in the traditional way of healthcare delivery, promoting the development of new and, dynamic ways of efficient healthcare delivery to achieve optimum healthcare standards globally. Entrepreneurship moves and investment through different mechanisms have a direct impact on the existing firms in the healthcare system but, most importantly, on the development of private-public collaborations, allowing smaller firms, from start-ups to SMEs, to develop their ideas, thus throwing open innovations for advancement in the health system while imbibing the SDG principle of “leaving no one behind”. Digital health can provide access to quality healthcare services in remote areas. However, it is worth noting that in countries where remote areas

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<sup>16</sup> D. O Afriyie, J. Nyoni, A. Ahmat, The State of Strategic Plans for the Health Workforce in Africa, “BMJ Global Health” 2019; 4(9): e001115.

<sup>17</sup> PWC, Accelerating the health economy of tomorrow... op. cit.

<sup>18</sup> IFC, International Finance Corporation. The Role of the Private Sector in Expanding Health. Online: [https://www.ifc.org/wps/wcm/connect/3a4d636b-adaa-4724-8997-9a2714ae6175/60939\\_IFC\\_Health](https://www.ifc.org/wps/wcm/connect/3a4d636b-adaa-4724-8997-9a2714ae6175/60939_IFC_Health).

<sup>19</sup> S. Kanneganti, Unlocking the Power of the Private Sector to Build Resilient and Equitable Health Systems. World Bank Blog 2021.

<sup>20</sup> IFC, International Finance Corporation. The Role of the... op. cit.

<sup>21</sup> S. Kanneganti, Unlocking the Power of the... op. cit.

and vulnerable groups still lack access to information and communication technologies, advancement into digital health will further deprive them<sup>22</sup>. Hence, a paradigm shift towards the implementation of the NHE, characterized by scalable and sustainable healthcare innovations guided by consumer needs with digital solutions and data-driven models, becomes a vital component of economic growth and sustainable development<sup>23</sup>. The new healthcare innovations have been accepted and adopted globally. Entrepreneurs in both developed and developing countries are equally grabbing these opportunities to innovate. innovating towards entrepreneurial healthcare technologies calls for a revision in existing policies in developing countries and countries in transition to activate sustainable, scalable and inclusive growth while expediting entrepreneurship<sup>24</sup>.

The United Nations recognizes entrepreneurship as a vital tool in sustainable development through a series of resolutions by the General Assembly on entrepreneurship for sustainable development since 2012, and through UNCTAD, it has continued to provide support to micro, small, and medium-sized enterprises and start-ups in line with meeting the 2030 agenda for sustainable development. Globally, international organizations have provided initiatives to focus on improving the healthcare ecosystem and paving the way for the Government of each country to develop and implement national policies to ensure continuity in the development of entrepreneurship and innovations in the healthcare sector. In response to the COVID-19 pandemic, the focus of these global initiatives shifted towards telemedicine, e-health applications, manufacturing of newer digital equipment, Apps and human resource development. Some of these initiatives include the WHO Global Strategy on Digital Health 2020-2025, WHO MAPS Toolkit (M Health Assessment and Planning for Scale, UNCTAD Global Initiative towards Post-COVID-19 Resurgence MSME 2020-2022, UN Framework for Immediate Socioeconomic Response to COVID-19<sup>25</sup>.

The World Health Organization (WHO) laid out in 2020 a global strategy on digital health principles for health innovations which included that “(...) digital health should be a fundamental part of health prime concern and should be of benefit to people, in a way that is ethically right, reliable, accessible, sustainable, equitable and in a safe, secured and confidential manner. It should be transparent, reliable, scalable and interoperable”<sup>26</sup>.

Accelerated moves have been observed towards innovation during COVID-19 and beyond. Every aspect of the healthcare cascade, ranging from prevention, testing,

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<sup>22</sup> R. Purbasari, Z. Muttaqin, D. S. Sari, Digital Entrepreneurship in Pandemic Covid-19 Era: The Digital Entrepreneurial Ecosystem Framework, “Review of Integrative Business and Economics Research” 2021; 10(S): 114-135.

<sup>23</sup> J. Chowdhury, Hacking Health: Bottom-up Innovation for Healthcare, “Technology Innovation Management Review” 2012; 2: 31-35.

<sup>24</sup> United Nations Conference on Trade and Development (UNCTAD), Entrepreneurship Policy. Entrepreneurship Policy Framework and Implementation Guidance II.

<sup>25</sup> Ibidem.

<sup>26</sup> WHO, Global strategy on digital health 2020-2025. Online: <https://www.who.int/publications/item/9789240020924>.

diagnosis, treatment, and follow-up care, is adopting different types of innovation to provide optimum care to patients. In Africa, the e-health entrepreneurial ecosystem is booming with the number of e-health start-ups operating in Africa having increased by more than 50% since 2017<sup>27</sup>. According to Disrupt Africa (2020), there are currently 180 health-tech-focused start-ups across the African continent. Hence, a strong potential exists for the development of digital answers to our healthcare system challenges, particularly eHealth and mHealth, to ensure equitable and quality healthcare.

In Nigeria, a similar trend has been observed with the increasing adoption of digital health. Nevertheless, challenges in terms of growth, expansion and sustainability of health innovations, with an increasing population, poor resources and little or no Government support, are leading to the failure of very innovative ideas. Additionally, some remote regions of the country are restricted from the flourishing e-health ecosystem. Consequently, it is essential to identify the main barriers to innovation, preventing the latter from spreading across the country and within regions. Nigeria faces three main challenges to health innovation and entrepreneurship<sup>28</sup>. These include human resources, funding and health system constraints.

## **Human resource constraint**

The African region faces the most severe shortage of health workers globally<sup>29</sup>, more so in Nigeria. Additionally, more data and tools need to be available for the existing workforce to maximize healthcare services and champion more resources<sup>30</sup>.

To curb the negative effect of human resource constraints in Nigeria is vital. The role of Community Health workers has been acknowledged and employed in the African healthcare system to deliver proven healthcare services and help and help actualize health innovations as they are closer to the communities. Therefore, community health workers can bridge the gap between the communities and health systems<sup>31</sup>. Training and retraining of community of community health workers should be an integral part of our health system to help support and promote these innovations.

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<sup>27</sup> WIF Africa, Entrepreneurship in the New Health Economy... op. cit.

<sup>28</sup> O.O. Oleribe, J. Momoh, B. Uzochukwu et al, Identifying key challenges facing healthcare systems in Africa and potential solutions, "International Journal of General Medicine" 2019; 12: 395-403.

<sup>29</sup> S. Haseeb, The Critical Shortage of Healthcare Workers in Sub-Saharan Africa: Comprehensive Review, "Young Scientists Journal" 2018.

<sup>30</sup> WHO, The State of the Health Workforce in the WHO Africa Region Survey Report 2021. Online: <http://apps.who.int/bookorders>.

<sup>31</sup> A.T. Gebremeskel, A. Out, S. Abimbola, S. Yaya, Building Resilient Health Systems in Africa Beyond the COVID-19 Pandemic Response, "BMJ Global Health" 2021; 6(6): 1-5.

## **Financial constraint**

Another major challenge that kills innovative ideas in Nigeria is limited finance. It is estimated that about 69% of healthcare financing in Nigeria is made out-of-pocket<sup>32</sup>. Out-of-pocket payment is a significant limitation in achieving equity in health. Financing of public structures is often neglected in favor of the mobilization of public or private funds and external funding from foreign initiatives geared towards the funding of disease-specific projects or programs, leaving restricted opportunities for innovation or flexibility in the innovation process. Consequently, the dependence on donor funding is interlinked with the widespread vertical and silo funding impact on the health system and Government prioritization<sup>33</sup>. Thus, over-dependence on external funding for health tends to leave countries in a more susceptible and unsure state with short-term inflows of medical supplies and finances. The Government should, therefore, consider health as a top priority sector, increase the budget on health and be willing to attract more and more investment and innovations towards the health sector in their national strategies and economic plan.

## **Health system constraint**

The budgetary allocation to health in Nigeria could be better, but there needs to be more dependency on foreign aid. This funding model hinders the Government from using a sustainable funding model to allocate more funds to the healthcare sector, which has a deleterious impact on our health systems. Lack of political will in prioritizing health has dramatically influenced the allocation and channeling of resources to health and adequate support for the health systems. The healthcare delivery system in Nigeria is complex, with variations in delivery, access, and quality of healthcare to the different regions of the country, with the remote areas being at a disadvantage. This inequality in access and distribution of health is a significant drawback to entrepreneurship

## **Public health communication**

“Health communication” is a broad term that describes a distinctive type of communication designed to use targeted strategies to change the behavior of an individual or community with the primary aim of enhancing health<sup>34</sup>. Public health communication aims to scientifically develop, strategically disseminate and critically

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<sup>32</sup> C.O. Okechukwu, Trends and Challenges of Health Care Financing in Nigeria, “International Journal of Medical Case Reports and Reviews” 2023; 2: 1-12.

<sup>33</sup> A. Gichaga, L. Masis, A. Chandra et al, Mind the Global Community Health Funding Gap, “Global Health Science and Practice” 2021; 9(1): 9-17.

<sup>34</sup> O. Oyama, N. Okpara, Health communication: the responsibility of the media in Nigeria, “Specialty Journal of Medical Research and Health Science” 2017; 2: 1-4.



evaluate relevant, accurate, and clear information that can be easily accessed by the required audience and improve the health and well-being of populations. The major goal of public health communication is to help them reach informed decisions regarding their health. It includes verbal and written concepts aimed at influencing and empowering individuals and communities to make healthy choices<sup>35</sup>. It plays a vital role in the healthcare ecosystem and contributes significantly to social sustainability<sup>36</sup>. It entails more than passing information to someone; it involves clear strategies and planned activities properly designed to promote and enhance health<sup>37</sup>. Health information could be recorded information, oral, on paper or in electronic formats. The accuracy and timely availability of health information is crucial in healthcare delivery<sup>38</sup>. Health promotion through the provision of direct or remote information to individuals and the community is crucial in equipping the communities with sound and adequate information needed to improve their health<sup>39</sup>.

Health communication has been identified to be helpful in virtually all areas of human life and well-being and has garnered much attention globally. It cuts across intrapersonal, interpersonal, group or mass communication<sup>40,41</sup>. It plays vital roles in three key areas: disease prevention, health promotion and quality of life. Accurate information facilitates how societies and individuals handle their fears and uncertainties and promotes acceptance and adherence to behavioral changes. However, it is well recognized that public health is a highly versatile area in which interventions with massive communication campaigns inform citizens about health risks and disease prevention<sup>42</sup>. Prior to the COVID-19 pandemic, the traditional mode of interaction between healthcare professionals and their clients was face-to-face contact. The pandemic presented difficult times, varying from social isolation, closure of schools and churches, delayed office openings, labor shortages, working from home, healthcare providers burn out, and brought about behavioral changes to help contain the disease. The pandemic brought to the limelight the challenges in our healthcare systems, more particularly in developing countries like Nigeria. People were pushed

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<sup>35</sup> A. Anwar, M. Malik, V. Raees, A. Anwar, Role of mass media and public health communications in the COVID-19 pandemic, "Cureus" 2020; 12: e10453.

<sup>36</sup> C. De Las Heras-Pedrosa, D. Rando-Cueto, C. Jambrino-Maldonado, F.J. Paniagua-Rojano, Exploring social media on the communication professionals in public health. Spanish official medical colleges case study, "International Journal of Environmental Research and Public Health" 2020;17(13): 4859.

<sup>37</sup> D. Bucur, The role of the media, "Common Health Summer" 2000; 9-11.

<sup>38</sup> P.P. Sokey, E. Adjei, E. Ankrach, Media use for health information dissemination to rural communities by the Ghana Health Service, "Journal of Information Science, Systems and Technology" 2018; 2: 1-8.

<sup>39</sup> V. Kaul, Development Communication in India: Prospects, Issues and Trends, "Global Media Journal: Indian Edition" 2011; 2: 1-31.

<sup>40</sup> B. Nichols, The importance of health communication. Online: <https://www.chcr.org.uk//importance-health-communication/>.

<sup>41</sup> G. Ezeah, E.O. Ogechi, N.C. Ohia, G.V. Celestine, Measuring the effect of interpersonal communication on awareness and knowledge of COVID-19 among rural communities in Eastern Nigeria, "Health Education Research" 2020; 35: 481-489.

<sup>42</sup> N. Naveena, Importance of mass media in communicating health messages: An analysis, "IOSR Journal of Humanities and Social Science" 2015; 20: 36-41.

to adopt new means of communication following several restrictions put in place to stop the spread of Coronavirus. Social media became popular as people were eager to learn about the virus and probably get an answer on the cure. The advantage of social media platforms in communication has been described years before COVID-19<sup>43</sup>. The usefulness is attributed to the speed of information dissemination in a short period to a high number of users.

The wide use of social media has resulted in unvetted scientific information being shared on platforms such as WhatsApp, YouTube, and Facebook. Unverified and false information and conspiracy theory found their way into these platforms. Much of such information was adopted by ignorant and gullible users, and they acted in such a manner deemed to have been deleterious to their health. The spread of misinformation has undermined public health efforts with respect to issues on COVID-19, vaccination and health protective behaviors<sup>44</sup>. Exposure to fake news and conspiracy theories may lead to decisions that will affect the individuals and public health of the citizens if not controlled. The preceding discussion, therefore, emphasizes the importance of safe and effective health communication in society. Public health communication has had tremendous growth since after COVID-19.

## **Challenges to effective communication of information in the COVID-19 era in Nigeria**

There are several challenges facing public health communication in the post-COVID era in Nigeria.

### **Shortage of Functional and Modern Equipment for Communication**

Most information agencies lack ultra-modern equipment that can be used in communication. These equipments are expensive, and most media houses do not have the required equipment to adopt these newer means of communication. The available ones are unevenly distributed at the expense of remote areas<sup>45,46</sup>. Adegboye et al reported that one of the most significant problems facing media houses is the use of obsolete and poorly operating equipment.

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<sup>43</sup> S. Balit, Communication for Development in Good and Difficult Times: FAO Experience, "Nordicom Review" 2012; 33: 105-120.

<sup>44</sup> M. Adegboye, B. Omodunbi, A. Esan, Electronics health technology and its application area: A Review, "Advances in Multidisciplinary and Scientific Research Journal" 2017; 3: 125-130.

<sup>45</sup> Ibidem.

<sup>46</sup> S. Ocheni, B.C. Nwankwo, The role of mass media in rural information system in Nigeria, "Studies in Sociology of Science" 2012; 10-14.

## **Poor communication skill**

Communication must be effective and efficient for it to achieve its desired aim. One thing is to communicate; another is to communicate effectively to enable the client to understand the information and make informed decisions. The poor communication skills of some stakeholders may affect the effectiveness and efficiency of public health communication.

## **Lack of internet connectivity**

Poor internet connectivity is a significant obstacle to effective communication in Nigeria, particularly in remote areas of the country. Most rural/remote communities need access to Internet facilities. Hence, the deployment of internet-enabled devices to such areas as a means of communication will be a venture that will yield no positive result.

## **Poor knowledge of the information needs of users**

The information needs of communities vary from one community to the other and from one individual to the other. Ignoring the information needs of users will impede sustainable development. Public health information providers should have vast knowledge of the users' information needs to enable the provision of timely and relevant information that meets the people's needs.

## **Lack of partnership drive among stakeholders in the information industry**

Partnership drive among various stakeholders in the public health information industry is a problem in transmitting information to individuals and communities. Private-private or private-government partnerships and entrepreneurship should strengthen teamwork between health workers, media houses, librarians, private entrepreneurs and government agencies to present health-related information services. Healthcare providers should also collaborate strongly to provide legal information that can promote sustainable development.

## **Lack of strong political will**

Government policies in most developing countries are unpredictable and inconsistent. The Federal Government of Nigeria recently banned "Twitter". During the ban, all information passing through Twitter will be put to a halt, and all business agencies that use Twitter to showcase their business will be stopped. So, in cases where the primary audiences of the people are Twitter-based, public health communication with them becomes problematic.

## **Poor funding**

Information communication to people at different levels requires funds. Most information agencies lack the required financial capacity to disseminate information and communicate it to citizens particularly those in remote areas.

### **Strategies for effective communication in public health information services**

Media professionals, library and information professionals must be ready and willing to adopt different strategies for effective communication in information service delivery geared towards sustainable development. Some of the basic strategies that can be adopted are at this moment explained as follows:

- Adopting participatory approach in public health communication  
Effective communication in a development process cannot be unidirectional because it requires feedback and continuous exchanges of information between partners and interest groups, communities and official entities<sup>47</sup>. Participatory communication, which is the bidirectional sharing of ideas, information, knowledge and experiences, ensures that development community people are the most qualified at the local level to decide if and in what ways a given project planning, and objectives are situation realistic in the context of the people's needs or the local level<sup>48</sup>.
- Collaborative approach in organizing programs  
There is a need for solid collaboration between librarians, mass media practitioners and other stakeholders in the information industry. Through strategic collaborative initiatives, library and information professionals can liaise with other stakeholders with a view to contributing to sustainable development.
- Use of social media  
Social media refers to the web-based tools and media that allow users to personally and informally interact, create, share, retrieve, and exchange information and ideas in virtual communities and networks. Social media is a powerful tool for interaction, communication and collaboration. With the availability of multiple social media platforms, stakeholders in the information sector can harness its potential for communicating information towards development.
- Use of social media influencers: social media influence  
Social media influencers can be used by stakeholders in the information industry to communicate information to rural areas.
- Partnerships with non-Governmental Agencies  
Media and information practitioners should partner with non-governmental agencies. This will help contribute significantly to sustainable development.

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<sup>47</sup> Ibidem.

<sup>48</sup> R.D. Castelo, P.M. Braun, Framework on effective rural communication for development, FAO, Rome 2006.

– Use of community radio

This plays a crucial role in educating the community members because it disseminates information to the target community.

Collective efforts are required to strengthen the Nigerian health system. Entrepreneurs should be empowered with “push incentives” such as tax credits and grants and engage in public-private partnerships to enable them to compete with their counterparts on a level playing field. Continued support from UNCTAD is needed in developing countries to help drive entrepreneurship-led innovations in health sectors.

## **Telemedicine**

Telemedicine is a subset of telehealth, which renders and distributes healthcare services with the use of information and communication technologies embedded in software programs<sup>49</sup>. Telemedicine supports and promotes interactions with patients or clients and provides healthcare services remotely rather than face-to-face encounters between a patient and a healthcare provider. It is a pivotal tool in modern healthcare delivery. Innovations such as Telemedicine can reduce routine physical interaction and direct hospitalization while significantly enhancing the delivery of equitable and high-quality healthcare services. Its use dates to the early 1900s, when healthcare professionals transmitted information or exchanged messages over long distances by means of electricity or radio signals<sup>50</sup>. The use of Telemedicine has evolved over the past few decades. However, paucity of data still exists regarding the extent of its use in various countries across the globe. In the USA, a study showed that Telemedicine use among Medicaid was found to be 0,1% out of 45,233,602 participants from 22 states. Another study in Norway reported that actual utilization remains low compared to in-person visits despite its implementation in all regions of Norway and its implementation in about 68% of hospitals. Telemedicine started to gain popularity in Africa in the 1980s as a panacea for the region’s healthcare problems<sup>51</sup>. Ethiopia saw the earliest usage of Telemedicine in the African region<sup>52</sup>. Between 2011 and 2012, Sudan also created its own Telemedicine programs as part of the HealthNet project. Nigeria, Ghana, and Gambia were also included in the HealthNet project. It has been used in diverse areas of medicine such as tela-

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<sup>49</sup> G.O. Imoh, Application of development communication in Africa’s rural development – need for a paradigm shift, “Global Journal of Arts Humanities and Social Sciences” 2013; 1: 15-33.

<sup>50</sup> D.M. Hilty, D.C. Ferrer, M.B. Parish i wsp., The effectiveness of telemental health: A 2013 review, “Telemedicine Journal and e-Health” 2013; 19: 444–454.

<sup>51</sup> Ibidem.

<sup>52</sup> B.L. Burke Jr, R.W. Hall, Section on telehealth care. Telemedicine: Pediatric applications, “Pediatrics” 2015; 136: 293-308.

-pediatrics, telepsychiatry, dermatology, obstetrics and gynecology, international medicine and e-learning via video conferencing<sup>53</sup>.

The onset of the COVID-19 pandemic caused by the SARS-CoV-2 Virus has triggered a paradigm shift in global healthcare delivery. The virus spreads like wildfire through aerosols<sup>54</sup>. The rapid spread disrupted healthcare services globally. The spread of this pandemic brought about the need for a rethink of the conventional face-to-face contact of patients and healthcare professionals<sup>55,56</sup>. It has also provided healthcare services during quarantine and social isolation, particularly in regions with limited access to healthcare, leading to an acceleration in the adoption of Telemedicine as a safer option for healthcare delivery in both developed and developing countries. It has become a viable component of healthcare delivery<sup>57,58</sup>.

As we move into the post-COVID era, it is anticipated that Telemedicine will continue to evolve and influence healthcare providers, patients and policymakers. In sub-Saharan African countries, including Nigeria, there needs to be more data and evidence supporting the proper use of telemedicine in healthcare delivery<sup>59</sup>. However, studies have shown enthusiasm for adopting Telemedicine in developing countries like Nigeria, which have low-income settings and remote and inaccessible populations<sup>60</sup>. The widespread adoption has shown potential in enhancing access to healthcare, reducing the risk of disease transmission and reducing resources spent on health, such as in the purchase of personal protective equipment<sup>61,62</sup>.

However, its use is in the bud in the developing countries and facing numerous challenges, particularly in low and medium-income countries where new inequalities

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<sup>53</sup> V. Mahajan, T. Singh, C. Azad, Using telemedicine during the COVID-19 pandemic, "Indian Pediatrics" 2020; 57: 652-657.

<sup>54</sup> M.D. Douglas, J. Xu, A. Heggs i wsp., Assessing telemedicine utilization by using Medicaid claims data, "Psychiatr Serv" 2017; 68: 173-178.

<sup>55</sup> World Health Organization, WHPO Coronavirus Disease (COVID-19) Dashboard with Vaccination Data. Online: <https://covid19.who.int/>.

<sup>56</sup> B. Moazzami, N. Razavi-Khorasani, A.D. Moghadam et al, COVID-19 and telemedicine: Immediate action required for maintaining healthcare providers' well-being, "J Clin Virol" 2020; 126: 104345.

<sup>57</sup> I.T. Adeleke, Q.B. Suleiman-Abdul, Research, communication and education for health information in the new normal: the pains and gains of COVID-19 in Nigeria, "Intl J Health Recs and Info Mgt" 2020; 3: 1-3.

<sup>58</sup> X. Wang, L. Wang, A literature survey of the robotic technologies during the COVID-19 pandemic, "J Manuf Syst" 2021; 60: 823-836.

<sup>59</sup> S. Abbaspur-Behbaham, E. Moaghesh, A. Hajizadeh, S. Fehrest, Application of mobile health in support of the elderly during COVID-19 outbreak: A systematic review, "Health Policy Technol" 2022; 11: 100595.

<sup>60</sup> T.K. Manyati, M. Mutsau, Exploring the effectiveness of telehealth interventions for diagnosis, contact tracing and care of corona virus disease of 2019 (COVID-19) patients in sub-Saharan Africa: a rapid review, "Health and Technology" 2021; 11: 341-348.

<sup>61</sup> T.Y. Akintunde, O.D. Akintunde, T.H. Musa et al, Expanding telemedicine to reduce the burden on the healthcare system and poverty in Africa for a post-coronavirus disease. Covid-19 pandemic reformation, "Glob Health J" 2021; 5: 128-134.

<sup>62</sup> A. Kapor, S. Guha, M.K. Das et al, Digital healthcare: the only solution for better healthcare during COVID-19 pandemic?, "Indian Heart J" 2020; 72: 61-64.

in health will arise based on disparities in income and access to technology<sup>63</sup>. Therefore, this work explores the telemedicine approach as an evolving option for delivering quality healthcare services in Nigeria in the post-COVID era, the challenges hampering its utilization, and the ways to overcome those challenges and promote the growth of Telemedicine in Nigeria. The simplest forms of telemedicine have reportedly been used in health facilities in Nigeria. For instance, some people communicate medical pictures using their mobile devices for remote diagnostics, and electronic medical records are used to reduce paperwork stress<sup>64</sup>. Telemedicine promises to enhance the treatment of both communicable and non-communicable diseases<sup>65</sup>. There is also evidence of the use of telemedicine services in Nigeria to provide healthcare against diseases like Ebola, hypertension, and cancer<sup>66</sup>.

## **Challenges faced by telemedicine in Nigeria in the post-COVID era**

The effectiveness of telemedicine stems from its patient-oriented nature, encouragement of self-quarantine, and ability to protect patients, doctors, and the public from COVID-19<sup>67,68</sup>. Despite these benefits, factors such as human, organizational, social, technological and individual characteristics might contribute to the underutilization of telemedicine in the Nigeria making its full integration into our healthcare system a herculean task with many challenges. Human resource restraint has been a significant challenge to Nigeria's utilization of telemedicine. This has been worsened by the 'JAPA SYNDROME,' with healthcare professionals leaving the shores of this country in their numbers. Additionally, there is inequitable distribution of health workers across the country, with most health workers preferring urban areas, and this has caused a significant hindrance to developing the Nigerian health sector over the years<sup>69</sup>. Nigeria has approximately 35,000 doctors<sup>70</sup>, with a physician-doctor ratio of about one physician to 5,500 patients in a population of over 200 million

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<sup>63</sup> L. Pecchia, D. Piaggio, A. Maccaro et al, The inadequacy of regulatory frameworks in time of crisis and in low-resource setting; Personal Protective Equipment and COVID-19, "Health Technol" 2020; 10: 1375-1383.

<sup>64</sup> M.J. Rho, I.Y. Choi, J. Lee, Predictive factors of telemedicine acceptance and behavioral intention OF physicians, "Int J Med Inform" 2014; 83: 559-571.

<sup>65</sup> T.K. Manyati, M. Mutsau, Exploring the effectiveness... op. cit.

<sup>66</sup> Ibidem.

<sup>67</sup> K.I. Adenuga, N.A. Iahad, S. Mikson, Telemedicine system: service adoption and implementation issues in Nigeria, "Indian J Sci and Technol" 2020: 1321-1327.

<sup>68</sup> T. Greenhalgh, J. Wherton, S. Shaw, C. Morrison, Video consultation for COVID-19, "BMJ" 2020; 368: m998.

<sup>69</sup> A.J. Bokolo, Exploring the adoption of telemedicine and virtual software for care of out-patients during and after COVID-19 pandemic, "Ir J Med Sci" 2021; 190: 1-10.

<sup>70</sup> D. Adeloye, R.A. David, A.A. Olaogun et al, Health workforce and governance: the crisis in Nigeria, "Hum Resour Health" 2017; 15: 32.

people<sup>71</sup>. The COVID-19 pandemic has added an extra burden on the health system and, as a result, worsened the scarcity of health workers, indicating the need for innovations such as telemedicine as an essential tool for delivering quick, equitable and efficient healthcare services to the populace<sup>72,73</sup>.

Telemedicine uses technology tools, such as emails, messaging platforms, phones, tablets, wireless monitors, video conferencing, teleconferencing and other information and telecommunication technologies. The reliance on technology and smart phone devices warrants that both the patients and their providers should be knowledgeable about these devices and the ways to utilize them on various platforms effectively. This may be a barrier to its use, especially among uneducated citizens and the aging population<sup>74</sup>.

Poor funding for healthcare is a significant and recurrent problem for many countries in sub-Saharan Africa, including Nigeria, with many public healthcare facilities depending on government funding, which is inadequate to care for our large and growing population<sup>75</sup>. Many rural inhabitants need access to standard health facilities as most of these healthcare facilities are concentrated in the urban areas. Limited economic investment in technology is also a significant barrier<sup>76,77</sup>.

The lack of a legal framework to regulate the use of telemedicine and these new innovative technologies is a significant drawback in its use. There is also the need for more legislation in the country regarding its use in terms of privacy, confidentiality, and data protection<sup>78,79</sup>. Other barriers to Telemedicine in Nigeria include poor or no internet connectivity, unstable power supply, high cost of telecommunication equipment and poor ICT and virtual health infrastructure<sup>80</sup>. Technical challenges such as unstable internet, poor WIF-FI signals, limited penetration of smartphones and poor or no expansion of 3G/4G networks make full adoption of Telemedicine very challenging<sup>81</sup>.

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<sup>71</sup> Nigeria – Country Commercial Guide. International Trade Administration. Online: <https://www.trade.gov/country-commercial-guides/Nigeria-healthcare>.

<sup>72</sup> Nigeria needs 100,000 family physicians, only 1,200 available-AGPMPN president Punch. Online: <https://punchng.com/nigeria-needs-100000-family-physicians-only-1200-available-agpmpn-president/>.

<sup>73</sup> D. Babalola, Anayo Michaeli Telehealth during COVID-19: Why Sub-Saharan Africa is yet to log-in to virtual Healthcare, “AIMS Medical Science” 2021; 8: 46-55.

<sup>74</sup> E. Monagesh, A. Hajizadeh, The role of telemedicine during COVID-19 outbreak: A systemic review based on current evidence, “BMC Public Health” 2020; 20: 1193.

<sup>75</sup> Nigeria needs 100,000 family physicians, only 1,200 available-AGPMPN president Punch... op. cit.

<sup>76</sup> D. Babalola, Anayo Michaeli Telehealth... op. cit.

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<sup>78</sup> M. Shankar, M. Fischer, C.G. Brown-Johnson et al, Humanism in telemedicine connecting through virtual visits during the COVID-19 pandemic, “Ann Family Med” 2022; 20: 62-65.

<sup>79</sup> Y.R. Hong, J. Lawrence, D. Williams, A.G. Mainous, Population-level interest and telehealth capacity of US hospitals in response to COVID-19: A cross-sectional analysis of Google search and National Hospital Survey Data, “JMIR Public Health Surveil” 2020; 6: e18961.

<sup>80</sup> S. Keshvaridoost, K. Bahaadinbeigy, T. Fatehi, Role of telemedicine in the management of COVID-19: Lessons learned from previous SARS, MEPS and Ebola outbreaks, “Telemedicine and e-Health” 2020; 26: 7.

<sup>81</sup> Ibidem.



Most healthcare professionals will likely face challenges such as resistance to change in role redefinition, responsibilities, new skill development, and a lack of a business model that incorporates Telemedicine. The cost of a license and technology<sup>82,83</sup> and also insufficient knowledge of operating Telemedicine devices are problems that healthcare workers encounter when attempting to use Telemedicine services. Poor insurance coverage of the cost is also a significant barrier.

## **Consolidating and scaling-up the health system through telemedicine**

The use of Telemedicine in healthcare provision in Nigeria is still emerging<sup>84</sup>. Telemedicine enhances easy access and efficient healthcare delivery while protecting medical professionals from infection. In Nigeria, Telemedicine is underutilized as a critical tool for providing access to high-quality healthcare for patients in our healthcare system. Therefore, there is a need to scale up the health system through the incorporation of Telemedicine. Strategies to support Telemedicine are needed to guide and regulate the adoption of Telemedicine services in Nigeria due to the disproportionate implementation of Telemedicine systems in our healthcare delivery. In sub-Saharan African nations, including Nigeria, regulatory and legal structures for Telemedicine are dearth<sup>85</sup>. More laws and policies are often needed to enable virtual healthcare<sup>86</sup>. Progress in Telemedicine is hampered by the lack of active e-health regulatory structures and policies, which include ethical and mainly electronic health laws regarding privacy, security and protection of patients' medical data. Therefore, the Nigerian Government should demonstrate a strong political will to incorporate Telemedicine into the country's public healthcare system. Supportive policies, Telemedicine facilities, and private-public partnerships should be developed to promote the development of Telemedicine in Nigeria<sup>87</sup>.

Challenges in the use of Telemedicine related to confidentiality, privacy, and security should be mitigated by providing a solid platform that recognizes and verifies healthcare professionals on both sides<sup>88</sup>. Additionally, owners' security should be of utmost importance as data availability, sharing, and privacy concerns should

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<sup>82</sup> A.E. Loeb, S.S. Rao, J.R. Ficke et al, Departmental experience and lessons learned with accelerated introduction of telemedicine during COVID-19 crisis, "J Acad Orthop Surg" 2020; 28: e469- e476.

<sup>83</sup> A. El-Mahalli, S.H. Elkhafif, M.F. AL-Qahtani, Success and challenges in the implementation and application of telemedicine in the eastern province of Saudi Arabia, "Perspect Health Inf Management" 2012; 9: 1-27.

<sup>84</sup> Ibidem.

<sup>85</sup> M.J. Rho, I.Y. Choi, J. Lee, Predictive factors of telemedicine... op. cit.

<sup>86</sup> E. Mbuge, B. Muchemwa, J. Batani, Are we there yet? Unbundling the potential adoption and integration of telemedicine to improve virtual healthcare services in African Health system, "Sensors Int" 2021; 3: 100152.

<sup>87</sup> Nigeria needs 100,000 family physicians, only 1,200 available-AGPMPN president Punch... op. cit.

<sup>88</sup> M.J. Rho, I.Y. Choi, J. Lee, Predictive factors of telemedicine... op. cit.

be respected<sup>89</sup>. A Government agency should address sensitive issues such as rights and abuses, policies should be developed, and the citizens should be sensitized. Laws should back these policies, and violators should be punished<sup>90</sup>. Stakeholders need more information and need to be made aware of the significance of Telemedicine in our health system. Stakeholders and decision-makers need to be versed in technology to understand the role of Telemedicine in strengthening our health system and enabling them to prioritize projects<sup>91</sup>. Previous research found that Telehealth and Telemedicine in Africa are ignored due to a lack of information. In addition, the use of virtual healthcare technology in Africa is negatively affected by digital illiteracy and a need for more professionals with virtual healthcare training<sup>92</sup>.

Therefore, training, seminars and workshops with healthcare practitioners and other key stakeholders are necessary. Knowledge of technological innovation and data security assurances in the form of training is one of the several ways to raise Telemedicine applications and create positive interactions with the systems<sup>93</sup>. Incorporating Telemedicine into traditional procedures would be much easier with these workshops and training. Demonstrations and case studies could also be organized to explain and persuade stakeholders and health workers who are skeptical of Telemedicine<sup>94</sup>.

Another drawback of the use of Telemedicine in Nigeria is its high cost. Subsidizing telehealth and Telemedicine and reduction of import duties on telehealth equipment with adequate financing by the Government will make a world of difference<sup>95</sup>. Collaboration between healthcare professionals and policymakers with international and local organizations and philanthropic groups to raise funds for the implementation of Telemedicine will also go a long way in advancing Telemedicine<sup>96</sup>. However, long-term planning is required to implement Telemedicine, necessitating a planned budgetary allocation before commencement of the project. Other recommendations to promote Telemedicine include the incorporation of virtual care training into the school curricula. Funding for Telemedicine research will further hasten the development of Telemedicine in Nigeria.

## **Conclusion**

This paper discusses innovations brought into Nigeria's public healthcare system as a ripple effect of the COVID-19 pandemic. These innovations ensure the quick

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<sup>89</sup> Nigeria needs 100,000 family physicians, only 1,200 available-AGPMPN president Punch... op. cit.

<sup>90</sup> T.K. Manyati, M. Mutsau, Exploring the effectiveness... op. cit.

<sup>91</sup> E. Mbuge, B. Muchemwa, J. Batani, Are we there yet?... op. cit.

<sup>92</sup> P. Das, A. Sharma, Deployment of telemedicine as another mitigation tool during the COVID-19 pandemic in India, "Public Health Pract" 2021; 2: 100167.

<sup>93</sup> M.J. Rho, I.Y. Choi, J. Lee, Predictive factors of telemedicine... op. cit.

<sup>94</sup> A. El-Mahalli, S.H. Elkhafif, M.F. AL-Qahtani, Success and challenges... op. cit.

<sup>95</sup> Ibidem.

<sup>96</sup> Nigeria needs 100,000 family physicians, only 1,200 available-AGPMPN president Punch... op. cit.

transmission of reliable information and deliver accessible and equitable healthcare to the populace. The innovations range from public health entrepreneurship, public health communications and Telemedicine. Ample opportunities exist in these areas to address unmet needs through the use of information and communication technologies. However, challenges abound in the country, negatively impacting the growth and development of these innovations. Strategies to drive these innovations should be in top gear with the collaboration of the Government and private enterprises. Additionally, laws should be enacted, and policies should be implemented to support these innovations. Healthcare professionals should also be trained in the use of information and communication technology to offer optimal care to our clients.

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Z RECENZJI

[...] POLSKA JEST ZBYT MAŁYM KRAJEM O ZNIKOMYM POTENCJALE GOSPODARCZYM W SKALI ŚWIATA, ABY DETERMINOWAĆ KSZTAŁTOWANIE SIĘ ŚWIATOWEJ GOSPODARKI. JEJ POTENCJAŁ INNOWACYJNY JEST ZBLIŻONY DO ZERA. PRAKTYCZNIE RZECZ BIORĄC IMPORTUJEMY Z ZEWNĄTRZ WSZYSTKO, CO USPRAWNIA PROCESY GOSPODAROWANIA. TYM WIĘKSZA ROLA NINIEJSZEJ MONOGRAFII, KTÓRA W TRUDNYCH WARUNKACH PODEJMUJE WYZWANIE NAKREŚLENIA STRATEGII WYBRNIĘCIA Z PUŁAPKI ZACOFANIA INNOWACYJNEGO.

DR HAB. ADAM SZAFARCZYK

PREZENTOWANA MONOGRAFIA JEST EFEKTEM WSPÓŁPRACY NAUKOWCÓW REPREZENTUJĄCYCH RÓŻNE DYSCYPLINY NAUKOWE - Z ZAKRESU NAUK EKONOMICZNYCH, O ADMINISTRACJI, POLITYCE, ZARZĄDZANIU, ZDROWIU, INFORMATYKI, PSYCHOLOGII. ROZDZIAŁY UKAZUJĄ PROCES UWALNIANIA SIĘ OD WĄSKIEGO PODEJŚCIA DO ZŁOŻONYCH ZAGADNIENI, OSADZONEGO W JEDNEJ DZIEDZINIE WIEDZY, ORAZ WYNIKAJĄCYCH Z TEGO WIELU OGRANICZEŃ BADAWCZYCH. PREZENTOWANE ROZDZIAŁY SĄ WYNIKIEM WSPÓŁPRACY NAUKOWEJ ZARÓWNO NA STYKU WYŻEJ WYMIENIONYCH DYSCYPLIN, JAK I WSPÓŁPRACY MIĘDZYNARODOWEJ POMIĘDZY UCZELNIAMI PARTNERSKIMI, A TAKŻE SZEROKO POJĘTEGO BIZNESU (PRAKTYKI BIZNESOWEJ).

PROF. DR HAB. NAZAR PODOLCHAK

THE PRESENTED MONOGRAPH IS AN INTERESTING ACCOUNT OF THE DIVERSITY OF APPROACHES TO THE PRESENTED RESEARCH PROBLEMS, USING AN INTEGRATED, MULTIFACETED APPROACH TO THE PRESENTED MICRO- AND MACROECONOMIC PROBLEMS, WITH A PARTICULAR FOCUS ON THE COMPONENT OF MANAGEMENT AND QUALITY SCIENCES. THE AUTHORS PRESENT A GOOD SCIENTIFIC WORKSHOP, USE CORRECTLY SELECTED LITERATURE ON THE SUBJECT, AS WELL AS PRESENT THE RESULTS OF THEIR OWN RESEARCH. THE SUBMITTED MONOGRAPH MEETS THE REQUIREMENTS OF A SCIENTIFIC WORK [...].

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ISBN wersja elektroniczna: 978-83-67550-21-5