

## Contents

List of Figures		раде х
List	of Tables	xii
List	List of Contributors	
1	Introduction: Compliance as the Interaction between Rules and Behavior Benjamin van Rooij and D. Daniel Sokol	1
	PART I COMPLIANCE CONCEPTS AND APPROACHES	
2	Compliance as Costs and Benefits Vikramaditya S. Khanna	13
3	The Professionalization of Compliance Eugene Soltes	27
4	From Responsive Regulation to Ecological Compliance: Meta-regulation and the Existential Challenge of Corporate Compliance Christine Parker	37
5	Behavioral Ethics as Compliance Yuval Feldman and Yotam Kaplan	50
6	Constructing the Content and Meaning of Law and Compliance Shauhin A. Talesh	63
7	Compliance as Operations Management Saed Alizamir, Sang-Hyun Kim, Suresh Muthulingam	81
8	Compliance and Contestation Fiona Haines	93
9	Compliance as Management J. S. Nelson	104
10	Compliance as Liability Risk Management Donald C. Langevoort	123



vi	Contents	
11	Criminalized Compliance Todd Haugh	133
12	Supply Chain Compliance Li Chen and Hau L. Lee	145
13	Regulatory Compliance in a Global Perspective: Developing Countries, Emerging Markets and the Role of International Development Institutions Florentin Blanc and Giuseppa Ottimofiore	158
	PART II DETERRENCE AND INCAPACITATION	
14	Deterrence Theory: Key Findings and Challenges Alex Raskolnikov	179
15	General Deterrence: Review with Commentary on Decision-Making Greg Pogarsky	193
16	Incarceration and Crime Alex R. Piquero	209
17	Corporate Crime Deterrence Melissa Rorie and Natalie Schell-Busey	219
18	Deterrence Perceptions Robert J. Apel	236
19	Reputational Effects of Noncompliance with Financial Market Regulations Douglas Cumming, Robert Dannhauser, and Sofia Johan	<del>2</del> 45
20	Deterrability and Moral Judgment Arynn A. Infante and Adam D. Fine	277
21	US Debarment: An Introduction John Pachter, Christopher Yukins, and Jessica Tillipman	288
	PART III INCENTIVES	
22	Does Tort Deter? Inconclusive Empirical Evidence about the Effect of Liability in Preventing Harmful Behaviour Benjamin van Rooij and Megan Brownlee	311
23	Crowding-Out Effects of Laws, Policies and Incentives on Compliant Behaviour Christopher P. Reinders Folmer	326
<b>2</b> 4	Financial Incentives for Whistleblowers: A Short Survey Giancarlo Spagnolo and Theo Nyreröd	341
25	Designing Corporate Leniency Programs Miriam H. Baer	351



	Contents	VI
26	Incentive Contracts Jesse Bull	373
	PART IV LEGITIMACY AND SOCIAL NORMS	
27	Procedural Justice and Legal Compliance Daniel S. Nagin and Cody W. Telep	385
28	Social Norms and Persuasion Jessica M. Nolan and Kenneth E. Wallen	404
29	Social Contagion and Goal Framing: The Sustainability of Rule Compliance Siegwart Lindenberg, Frédérique Six and Kees Keizer	422
30	Shaming and Compliance Judith van Erp	438
31	Neutralization Stephanie M. Cardwell and Heith Copes	451
	PART V CAPACITY AND OPPORTUNITY	
3 <sup>2</sup>	Do People Know the Law? Empirical Evidence about Legal Knowledge and Its Implications for Compliance Benjamin van Rooij	467
33	Self-Control and Offending Travis C. Pratt and Kristin M. Lloyd	489
34	Substance Abuse, Self-Control and Crime Emmeke B. Kooistra	499
35	The Opportunity Approach to Compliance Benjamin van Rooij and Adam D. Fine	516
	PART VI COMPLIANCE AND COGNITION	
36	Heuristics and Biases in the Criminology of Compliance Greg Pogarsky	531
37	Prospect Theory and Tax Compliance Stephan Muehlbacher	541
38	Nudging Compliance Elena Kantorowicz-Reznichenko and Liam Wells	551
	PART VII MANAGEMENT AND ORGANIZATIONAL PROCESSES	
39	Compliance Management Systems: Do They Make a Difference? Cary Coglianese and Jennifer Nash	571



viii	Contents	
40	Business Codes: A Review of the Literature Muel Kaptein	594
41	Third Party and Appointed Monitorships Veronica Root Martinez	605
42	Ethics and Compliance Training David Hess	616
43	The Social and Organizational Psychology of Compliance: How Organizational Culture Impacts on (Un)ethical Behavior Elianne F. van Steenbergen and Naomi Ellemers	626
44	Organizational Factors and Workplace Deviance: Influences of Abusive Supervision, Dysfunctional Employees, and Toxic Work Environments Anne Leonore de Bruijn	639
45	Corporate Social Responsibility, ESG, and Compliance Elizabeth Pollman	662
46	Agency, Authority, and Compliance Sean J. Griffith	673
47	Life-Course Criminology and Corporate Offending Arjan Blokland, Marieke Kluin and Wim Huisman	684
	PART VIII MEASURING AND EVALUATING COMPLIANCE	
48	Laboratory Experiments James Alm and Matthias Kasper	707
49	Compliance Experiments in the Field: Features, Limitations, and Examples Dane Thorley	728
50	Naming and Shaming: Evidence from Event Studies John Armour, Colin Mayer and Andrea Polo	748
51	Validity Concerns about Self-Reported Surveys on Rule Compliance Henk Elffers	761
52	Factorial Surveys and Crime Vignettes Nicole Leeper Piquero, Vrishali Kanvinde, and Whitney Sanders	773
53	Qualitative Methods and the Compliance Imagination Garry Gray	780
54	Policy Evaluation Saba Siddiki	788



	Contents	ix
	PART IX ANALYSIS OF PARTICULAR FIELDS	
55	Strengthening Tax Compliance by Balancing Authorities' Power and Trustworthiness Erich Kirchler	799
56	Compliance in Occupational Safety and Health John Mendeloff	822
57	Intellectual Property Compliance: Systematic Methods for Building and Using Intellectual Property Richard S. Gruner and Jay P. Kesan	836
58	Insider Trading Compliance Programs Stephen M. Bainbridge	855
59	Antitrust Compliance: Collusion Johannes Paha and Florence Thépot	868
60	Understanding AI Collusion and Compliance Justin Johnson and D. Daniel Sokol	881
61	HIPAA Compliance Stacey A. Tovino	895
62	Biopharmaceutical Compliance Jordan Paradise	909
63	Transnational Anti-Bribery Law Kevin E. Davis and Veronica Root Martinez	924
64	Data Security, Data Breaches, and Compliance Chirantan Chatterjee and D. Daniel Sokol	936
65	Doping in Sports: A Compliance Conundrum Jeffrey Cisyk and Pascal Courty	949
66	Food Safety Compliance Donald Macrae and Florentin Blanc	962
67	Global Supply Chain Auditing Galit A. Sarfaty	977
68	Corporations, Human Rights and Compliance Wim Huisman	989
69	Aiming for Integrity with Integrity Jonathan E. Soeharno	1010