

Philosophical Thinking on Strengthening Enterprise Compliance Management Based on Social Theory

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Abstract: the Enterprise Risk Prevention and Control Mechanism is in the Stage of Gradual Improvement, and the Compliance Construction is Relatively Weak, Which is Incompatible with the Rapid Development Trend of Business and the Fierce Competition in the Financial Market. Therefore, It is Imperative to Strengthen the Compliance Construction. Compliance Management Refers to the Company's Establishment of a Series of System Processes to Ensure That All Decisions, Operations and Management Behaviors of the Company Conform to the Norms of Laws and Regulations and Do Not Violate Basic Social Ethics. Compliance Risk is the Cause of Legal Risk, Market Risk, Credit Risk, Liquidity Risk, Especially the Existence and Performance of Operational Risk. in Terms of Incentive Mechanism, the Distribution of Business Performance and Rewards is Obviously Unbalanced, Which Leads to a Certain Degree of Reduction in the Enthusiasm of the Grassroots in Implementing the System. Based on the Perspective of Social Theory, This Paper Has Carried on the Philosophical Thinking and Analysis of Ways to Strengthen Corporate Compliance Management.

1. Introduction

In Recent Years, through Cultural Construction, Special Work Such as Case Prevention and Control and Management of Commercial Bribery, the Compliance Construction of Enterprises Has Achieved Initial Effect [1]. Compliance Management Refers to the Company's Establishment of a Series of System Processes to Ensure That All Decisions, Operations and Management Behaviors of the Company Conform to the Norms of Laws and Regulations and Do Not Violate Basic Social Ethics. Governing an Enterprise According to Law Means That an Enterprise Launches Its Management Activities According to the Requirements of National Laws and Regulations So That All Activities of the Enterprise Conform to the National Rules and Regulations [2]. Enterprises Shoulder Social Responsibilities. Law-Abiding is the Red Line That Enterprises Cannot Touch While Compliance is the Bottom Line That Enterprises Must Stick to. Legal Work Continues to Be Carried out in-Depth within the Enterprise, Which is Highlighted by the Deepening of Compliance Management, New Progress in System Construction, Continuous Improvement of the Legal Argumentation and Control Mechanism for Major Decisions, and Steady Improvement of Contract Management [3]. by Further Emphasizing the Independence and Authority of Compliance Officers and Compliance Management Departments, It is Possible to Further Increase the Right of Compliance Management in the Company's Business Management Activities, Which is Conducive to Ensuring the in-Depth Promotion of Compliance Management Work in Insurance Companies.

Due to the Transformation of Corporate Functions and the Continuous Expansion of Business Scope, Various Businesses Have Achieved Rapid Development. At the Same Time, However, the Construction of Corporate Compliance System Seems to Be Lagging Behind the Process, So That It Cannot Fully Adapt to the Needs of Business Development, Which is Not Conducive to the Sustainable Development of Business [4]. Compliance Risk is the Cause of Legal Risk, Market Risk, Credit Risk, Liquidity Risk, Especially the Existence and Performance of Operational Risk. in Terms of Incentive Mechanism, the Distribution of Business Performance and Rewards is Obviously Unbalanced, Which Leads to a Certain Degree of Reduction in the Enthusiasm of the Grassroots in Implementing the System [5]. in Terms of the Restraint Mechanism, Sometimes the Problems Found in the Inspection Are Understated, and No Relevant System is Responsible for the

Investigation. It is Necessary to Enhance the Support, Service and Guarantee Role of Legal Work for Enterprise Development, Promote the Ability of Enterprises to Comply with Laws and Regulations, and Promote the Construction of a Long-Term Mechanism for Legal Compliance of Enterprises, Ensuring That All Production and Operation Activities of Enterprises Have Laws and Risks. Controllable and Smooth Operation [6]. Based on the Perspective of Social Theory, This Paper Has Carried on the Philosophical Thinking and Analysis of Ways to Strengthen Corporate Compliance Management.

2. Compliance Management Supervision Takes Root

To Strengthen Compliance Management and Supervision, Publicity is of Vital Importance. It Will Be the Key to the Success of This Work to Effectively Play the Role of Supervision and Publicity and Let Compliance Management Supervision Take Root. Because the Development of Corporate Compliance Culture Generally Starts Late, Naturally, the Compliance Awareness of the Majority of Employees Will Appear Relatively Weak, and Compliance Values Have Not Yet Been Formed. Compared with the Past, the Current Management Level Has Made Noticeable Improvements, But There Are Still Shortcomings in the United States and China, and There Are Still Some Problems Like That or This, or More or Less. in Recent Years, Although the Enterprise Has Continuously Publicized the Knowledge of Law and Compliance, It Aims to Raise the Awareness of Law-Abiding and Compliance of Employees. However, It is Mostly Superficial, the Publicity and Education of Legal Popularization Are Not Deep Enough, the Energy and Capital Investment Are Insufficient, and the Cultural Atmosphere in Which Employees Consciously Abide by the Law and Respect the Law is Not Effectively Formed [7]. under the Effect of Market Mechanism, Some Enterprises Will Realize the Importance of Compliance Management and Strengthen Their Compliance Risk Prevention to a Certain Extent. in Actual Work, Leaders Should Not Only Be Familiar with Various Rules and Regulations of Enterprise Compliance Management, But Also Consciously Practice and Be Cautious and Independent in Their Work. in Chinese Enterprises, the Importance of Compliance Management is Becoming More and More Obvious, and It Has Gradually Received the Attention of Chinese Enterprises.

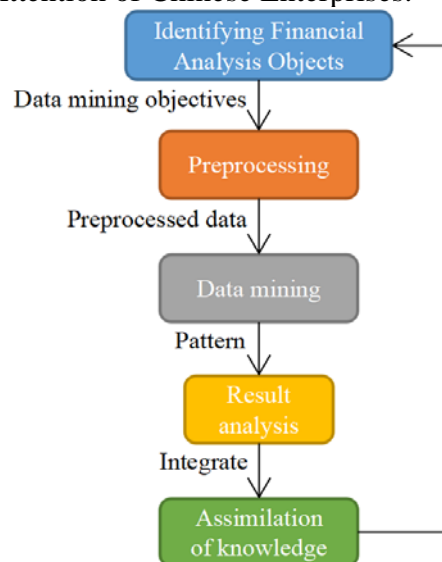


Fig.1 Data Mining Process in Financial Analysis and Management

Management cadres are like the trunk of a big tree in compliance management and supervision. After receiving the support of roots, they should assume the important function of compliance management and supervision. Management cadres carry the great trust of leaders and the expectations of employees. In the process of market economy operation at this stage, the management and operation ability of enterprise leaders is an important factor in attracting and retaining talents. The construction of organizational behavior plays an immeasurable role in the

performance development of enterprises. The organizations are mainly systems of organic combination of individuals, groups and environment. The data mining process in financial analysis generally consists of five main stages: determining financial analysis objects, data preparation, data mining, result analysis and knowledge assimilation, as shown in Figure 1.

Due to the uneven quality of the workforce in the enterprise, the overall quality of the workforce is not high, and the serious shortage of professional talents has not been fundamentally reversed [8]. Compliance management personnel are part-time, part-time staff are busy with their own work, low attention to compliance work, insufficient attention, and a perfunctory and coping attitude [9]. Because the non-conforming enterprises can still operate in the gray area and will not be sanctioned, this in fact results in the unfairness to the compliant enterprises, which makes it awkward for the enterprises to carry out the compliance management. From the perspective of enterprise management mode, business management and control mode is directly related to the degree of risk compliance. In general, the higher the level of centralized management, the lower the risk of violation. As the executor of compliance management and supervision, we must be familiar with all rules and regulations of the enterprise. In terms of implementation, we should not only adhere to the compliance system, perform the supervision obligations, but also be clean.

3. Let Compliance Management Supervision Play a Role

Compliance management supervision cannot be carried out without managers and employees. In order to better play the role of compliance management and supervision, it is necessary to close the distance between the management and operation levels, and to come from and go to the masses. Due to the continuous expansion of credit scale and the expansion of business scope, the contradiction between the relatively insufficient basic management of enterprises and the accelerated development, the relatively backward development of new business marketing and compliance construction, and the increasingly obvious contradiction between ignoring the system implementation and unilaterally pursuing business objectives. The focus of compliance management lies in how the enterprise should carry out its business activities. Its primary contents include corporate governance, internal risk control, internal ethics, rules and regulations, and improvement of codes of conduct. As the leadership of an enterprise, the wisdom of grass-roots employees cannot be underestimated. Grass-roots employees are in the front line of production and directly feel and implement all aspects of compliance management [10]. The enterprise strengthened the construction of compliance management system, and revised the compliance system to clarify and clarify the management responsibilities and work interfaces of the compliance management department and other business departments in compliance management, avoiding unclear duties and overlapping work. If the decentralized management mode is adopted, the branch management authority is too large, and there are too many risk points. Once it breaks out, it is difficult to control.

Table 1 Significant Test of the Impact of Marketing Sub-Category on Marketing Performance Sub-Indicators

	Customer value	Competition results	Brand equity	Product innovation
Marketing capability	0.81	0.67	0.69	0.68
Customer management capability	0.42	0.58	0.52	0.51
Market learning ability	0.46	0.44	0.57	0.53

Many times, Chinese companies have established a compliance management system, but they still let freedom in execution. Especially when compliance and business interests need to be traded off, business interests often replace the adherence of compliance values. The impact of marketing capabilities on customer value and product innovation is not significant, and the positive impacts on the other three indicators are significant. Similarly, the factor load of the corresponding indicators is also less than the factor load associated with the customer. The structural parameter estimation and

significance test of the impact of marketing sub-category on marketing performance sub-indicators are shown in Table 1.

In order to give full play to the supervisory function, individuals believe that it is necessary to establish a discipline inspection and supervision network structure, enhance the ability of discipline inspection and supervision personnel, expand the discipline inspection and supervision team, and increase the intensity and means of handling cases. Discipline inspection cadres must have a responsible attitude and sense of responsibility to the enterprise, and must clearly understand the role and significance of compliance management supervision, so as to have a clear direction and assume the responsibility of supervision in their work. In terms of compliance assessment mechanism, enterprises can consider both performance and compliance to conduct a comprehensive performance assessment of managers and employees. Benefits arise from compliance and compliance create value. Therefore, the strengthening of compliance construction is also an important way to develop business levels. The real problem faced by Chinese companies in compliance management is not only to formulate complete and high-standard rules and regulations, but how to bridge the huge gap between existing rules and regulations and compliance management loopholes. Actively carrying out activities to strengthen compliance construction and fostering a sound compliance culture are important foundations and guarantees for achieving sound and sustainable development.

4. Conclusion

In recent years, through cultural construction, special work such as case prevention and control and commercial bribery have been carried out, and the company's compliance construction has achieved preliminary results. If enterprises want to be bigger and longer, they must adhere to sustainable development if they want to go further. Due to the change of the business environment of the enterprise, there are still some problems that the compliance construction needs to be solved urgently. To make the work combined with the actual situation, it is necessary to strengthen the importance of enterprise compliance and the importance and necessity of strengthening compliance construction in the first place. For enterprises to achieve self-improvement and self-development, compliance construction is indispensable. Through compliance construction, enterprises are striving to achieve a more perfect regulatory mechanism, tighter risk control and a more mature compliance culture. As long as the relevant departments show a firm attitude and determination to do this job well, and the middle executor has the courage and energy to do this job well, the enterprise compliance management supervision will certainly be able to do it well. Judging the value of compliance management, from the perspective of long-term development, compliance management is not conducive to fast lane overtaking enterprises. If an enterprise has a long-term goal and a sustainable development strategy, then compliance management will bring a stable, sustainable, safe and effective development guarantee to the enterprise.

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