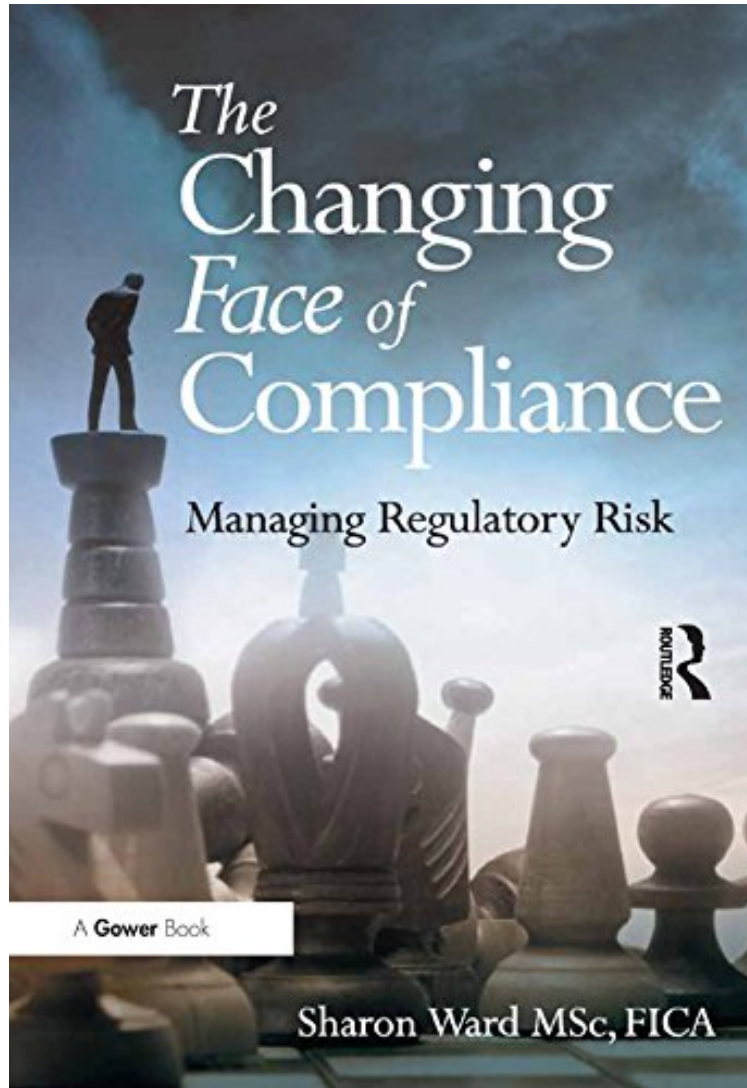


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The Changing Face of Compliance: Managing Regulatory Risk

Sharon Ward

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Sharon Ward : The Changing Face of Compliance: Managing Regulatory Risk before purchasing it in order to gauge whether or not it would be worth my time, and all praised The Changing Face of Compliance: Managing Regulatory Risk:

1 of 1 people found the following review helpful. Provides a solid and broad foundation of what it takes to create a formal compliance program By Ben Rothke Humorist Mark Twain once observed, "If you don't like the weather in New England now, just wait a few minutes." He could have been talking about compliance. For many firms, new regulatory and compliance requirements create significant and shifting challenges. In The Changing Face of Compliance: Managing Regulatory Risk, author Sharon Ward has compiled a convenient reference to help organizations get a handle on their regulatory and compliance requirements. From understanding and interpreting what

needs to be done to finding adequate staff to carry out required tasks, this book shows what firms can do to tackle their compliance issues. Ward is a regulatory compliance specialist based in the United Kingdom, and the chief examiner for the International Compliance Association. She does a good job showing readers how to deal with the different levels of management when pursuing a compliance program. Importantly, she shows how to effectively communicate with a corporate board get buy-in. And her advice crosses national boundaries to apply anywhere. While the book is on the pricey side, it gives the reader a solid and broad foundation of what it takes to create a formal compliance program. Those looking for a serious and useful guide on getting their compliance initiatives in order will find this to be a most worthwhile read.

In the current business climate the impact of the volume and nature of regulatory change and the regulatory risk arising from this is a significant business risk for regulated firms and regulators alike. As a consequence, management of this risk is increasingly high on the board agenda of regulated firms, with those business functions whose activities support this, such as Compliance, facing increasing levels of challenge in their efforts to be effective. *The Changing Face of Compliance* addresses core aspects of this challenge, considering the relationship between regulation and compliance and key influences on both, offering insight into the effectiveness of current approaches and addressing practical compliance challenges. Sharon Ward explains how the role of Compliance might be strengthened and those who work within it further enabled to support the current focus on improving standards in business, offering recommendations for enhancing this role. The text includes a mix of hands-on advice, examples and research based on the experiences of practitioners, educators and regulators drawn from across a wide range of jurisdictions and sectors. This is a thoughtful and timely book, whether you are concerned about the growing and changing implications of regulatory risk; the benefit of leveraging additional value from your Compliance function or your own Compliance role; or ways of transforming and sustaining the function to ensure its continued relevance to the business.

'Sharon Ward has produced a defining book for the function and role of the Compliance function in the twenty-first century. Since its development from an internal control department to a more influential advisory role, there has been a tumultuous process of scandal, business misconduct and regulatory response that is still ongoing. The debate as to the nature of its activities, influence and strategic value within organisations bears the hallmarks of the birth of a profession. Her book is as timely as it is instructive; it is an invaluable read to accompany any effort to understand the value and role of the compliance function, and a must read for practitioners and legislators alike.' --Anthony Smith-Meyer, Editor-in-Chief, *The Journal of Business Compliance*; Certified Independent Non-Executive Director

About the Author Sharon Ward, a regulatory compliance specialist, is Chief Examiner (GRC) for the International Compliance Association (ICA), Module Director for the Financial Services Compliance elective of the Chartered Banker MBA (CBMBA) and Editor of the *Journal of Business Compliance*. A Compliance professional since the mid-1990s, Sharon is a former senior practitioner active in professional education development throughout the past decade as part of her operational roles with ICA and International Compliance Training (ICT). She has taught and written on a range of governance, risk and compliance programmes both in the UK and internationally, has contributed to key industry initiatives and professional education texts, and is currently undertaking doctoral studies at Bristol University. You can find out more about her research and register interest in contributing at www.smtward.co.uk.