

Enterprise Compliance Risk Management: An Essential Toolkit for Banks and Financial Services (Wiley Corporate F&A)

By Saloni Ramakrishna

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The tools and information that build effective compliance programs

Enterprise Compliance Risk Management: An Essential Toolkit for Banks and Financial Services is a comprehensive narrative on managing compliance and compliance risk that enables value creation for financial services firms. Compliance risk management, a young, evolving yet intricate discipline, is occupying center stage owing to the interplay between the ever increasing complexity of financial services and the environmental effort to rein it in. The book examines the various facets of this layered and nuanced subject.

Enterprise Compliance Risk Management elevates the context of compliance from its current reactive stance to how a proactive strategy can create a clear differentiator in a largely undifferentiated market and become a powerful competitive weapon for organizations. It presents a strong case as to why it makes immense business sense to weave active compliance into business model and strategy through an objective view of the cost benefit analysis.

Written from a real-world perspective, the book moves the conversation from mere evangelizing to the operationalizing a positive and active compliance management program in financial services. The book is relevant to the different stakeholders of the compliance universe - financial services firms, regulators, industry bodies, consultants, customers and compliance professionals owing to its coverage of the varied aspects of compliance.

Enterprise Compliance Risk Management includes a direct examination of compliance risk, including identification, measurement, mitigation, monitoring, remediation, and regulatory dialogue. With unique hands-on tools including processes, templates, checklists, models, formats and scorecards, the book provides the essential toolkit required by the practitioners to jumpstart their compliance initiatives. Financial services professionals seeking a handle on this vital and growing discipline can find the information they need in *Enterprise*

Compliance Risk Management.

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Editorial Review

From the Inside Flap

At face value, compliance seems straightforward, however, in the context of the complex financial services industry its nuances and dimensions increase exponentially. You need a comprehensive guide like *Enterprise Compliance Risk Management* to decode and demystify this multilayered subject. The book is an essential toolkit and offers comprehensive single-source guidance on the evolving discipline of compliance risk management.

The easy to understand and easy to implement strategic, structural and operational frameworks will help create a strong and inclusive compliance framework that will be a powerful competitive weapon for your organization. It is enhanced competitiveness and profitability that makes the models, processes, formats, templates, scorecards and tools included in this book so valuable. Written specifically to align with and enhance your fundamental business objectives of value creation, preservation, and enhancement, the lucid narrative provides a broad view of managing compliance and compliance risk holistically, with attention given to the myriad of interrelated facets of financial services. With this practical guide at your fingertips, you can:

- Enhance your bottom line by practicing active compliance management (PAC-M) as a strategic intervention by weaving it into your organization's business model
- Get the most out of compliance initiatives by aligning them with other connected functions like audit, legal, governance, and risk management
- Trace and connect the entire ecosystem of stakeholders of the compliance universe inclusive of the designated compliance officers
- Master an actionable approach to compliance risk covering identification, measurement, mitigation and remediation as well as preparation for the regulatory dialogue
- Explain how benefits of active compliance far outweigh its costs
- Jump start or refine your compliance initiatives with unique hands-on tools the book provides

This complete guide also prepares you for operational challenges by providing lessons from the field and suggestions on turning setbacks into learning opportunities that can help improve the entire process.

From the Back Cover

Praise for *Enterprise Compliance Risk Management*

"*Enterprise Compliance Risk Management* is a unique combination of history, concepts and essential tool kit rolled into one. In a world where many still perceive compliance as a cost function, Ms. Saloni Ramakrishna brings out the much-needed refreshing paradigm shift in both the perception as well as treatment of compliance. Her fluent, unique yet practical handling of this nuanced subject is the hallmark of a thought leader and practitioner, a rare blend. Through her advocacy for a 'positive, preventive and active' approach and a real world context, she brings great value to this young and evolving discipline."

—**Dr. Colin Lawrence, Partner, Ernst & Young LLP; former Director, Risk Specialists Division, Financial Services Authority (FSA), UK; former Strategic Risk Advisor to the Deputy Governor, Bank of England**

"Ms. Saloni Ramakrishna has long and deep experience in advising financial institutions to enhance and adapt their risk and compliance frameworks to changing external environments. She is truly well-positioned to write about the practitioner's guide on how to design, develop and actually implement logical methodology in the new and evolving compliance risk management landscape. Through this practitioner's guide, she has presented the essential toolkit required for setting in place an effective compliance function. I believe that her work will be a milestone in the literature of banks' operational and compliance risk management, which will chart a course towards the next generation of compliance risk management."

—**Tsuyoshi Oyama, Partner, Deloitte Touche Tohmatsu; former Deputy Director-General of the Financial System and Bank Examination Department, Bank of Japan**

"Ms. Saloni Ramakrishna, an acknowledged risk and compliance professional, explores the various aspects of compliance and its risk management in the financial services industry in a strikingly lucid manner. This book, *Enterprise Compliance Risk Management*, with the body of work it encapsulates, is a worthy addition to the literature of the emerging discipline of Compliance Management. A special mention needs to be made for the extra mile she goes to bring out the 'real-world issues' of compliance in the financial services industry in her inimitable style. By addressing the real-life challenges in a meaningful manner and suggesting possible and pragmatic solutions, she has moved compliance and its risk management dialogue beyond financial rhetoric to an actionable business proposition."

—**Dr. Raneey Jayamaha, Chairperson, Hatton National Bank PLC; author of *The Money Pipeline***

"With her extensive and real-world experience as a practitioner in the risk and compliance space, Ms. Saloni Ramakrishna covers the various aspects of the financial services industry's compliance risk management in her simple and straightforward signature style. Her treatment of compliance risk and its definition, 'the risk of impairment of both present and future business, if not compliant and in tune (real or perceived) with environmental expectations,' brings out the nuances of risk in a succinct yet comprehensive manner. The detailing of the sub categories of compliance risk mirrors the layered and complex nature of compliance risk clearly. Special mention needs to be made of the 'Interpretation risk,' which is where most of the real world challenges lie."

—**Benjamin Frank, Senior Executive Vice President, HDFC Bank**

About the Author

SALONI P. RAMAKRISHNA has nearly three decades of experience in financial services, both as hands-on professional as well as a solutions architect and contributor to the industry dialogue. She has been invited to share her thoughts and views on industry trends surrounding compliance, risk, customer centricity, performance, and data management in the analytics space by national and international banking and finance forums.

Saloni's ideas have appeared as articles and quotes in newspapers, journals, magazines, and television interviews. She has presented papers at national and international seminars and conferences. Since 2012, she has been a columnist for one of India's leading monthly magazines.

She is currently a Senior Director with Oracle. In her role she frequently interacts with top managers of banks, consulting professionals, financial services bodies, and senior regulators across multiple countries.

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