

# Comply and Prosper:

## Managing People Risk Arising from Regulation

Foreword by:  
Sir Callum McCarthy  
Chairman, FSA



*“The tone is set at the top.  
You must have an internal code of ethics that  
goes beyond the letter of the law  
to also encompass the spirit of the law”*

William Donaldson  
Former Chairman  
Securities & Exchange Commission

## COMPLY AND PROSPER: MANAGING PEOPLE RISK ARISING FROM REGULATION

*Mounting regulation is a way of life. Since 1998, around 30 new laws have been passed on business conduct, governance and employment. They directly affect fast growing financial & professional services that underpin London's status as Europe's premier business centre.*

*For individual businesses, regulation has proved a double-edge sword: blind adherence can stifle innovation; loose compliance can mean prosecution.*

*The key is to avoid both by understanding the nature of risks and implementing processes that encourage enterprise, on the one hand, and minimise bureaucracy on the other.*

*The issue is two fold: how to have intelligent laws and how to apply them cost effectively such that the UK can be classed as 'the best regulated country' in the world of finance and professions. This theme will be addressed by prominent business leaders and HR professionals.*

This report provides answers to the following questions:

- ◆ How are firms promoting enterprise and creativity within the structured work environment and processes forced by regulation?
- ◆ what critical changes have been made to their business models in order to accommodate the rising tide of regulation?
- ◆ how have the HR policies, structures and practices been adapted to minimise the unintended consequences?
- ◆ what specific actions are being taken to minimise the culture of conformance and maximise the culture of performance within the defined regulatory parameters?

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