



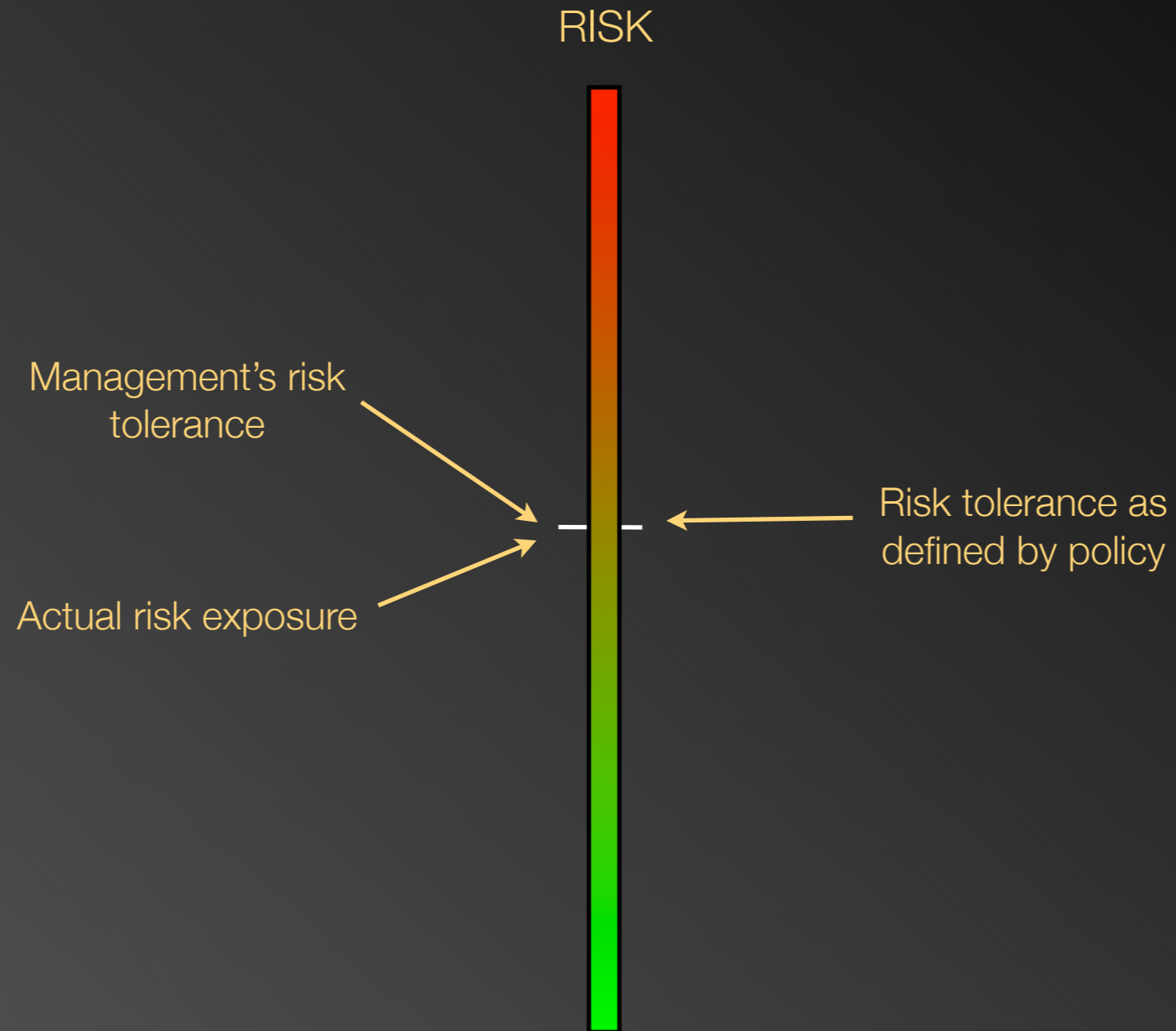
Why We Can't Comply...

Jack Jones

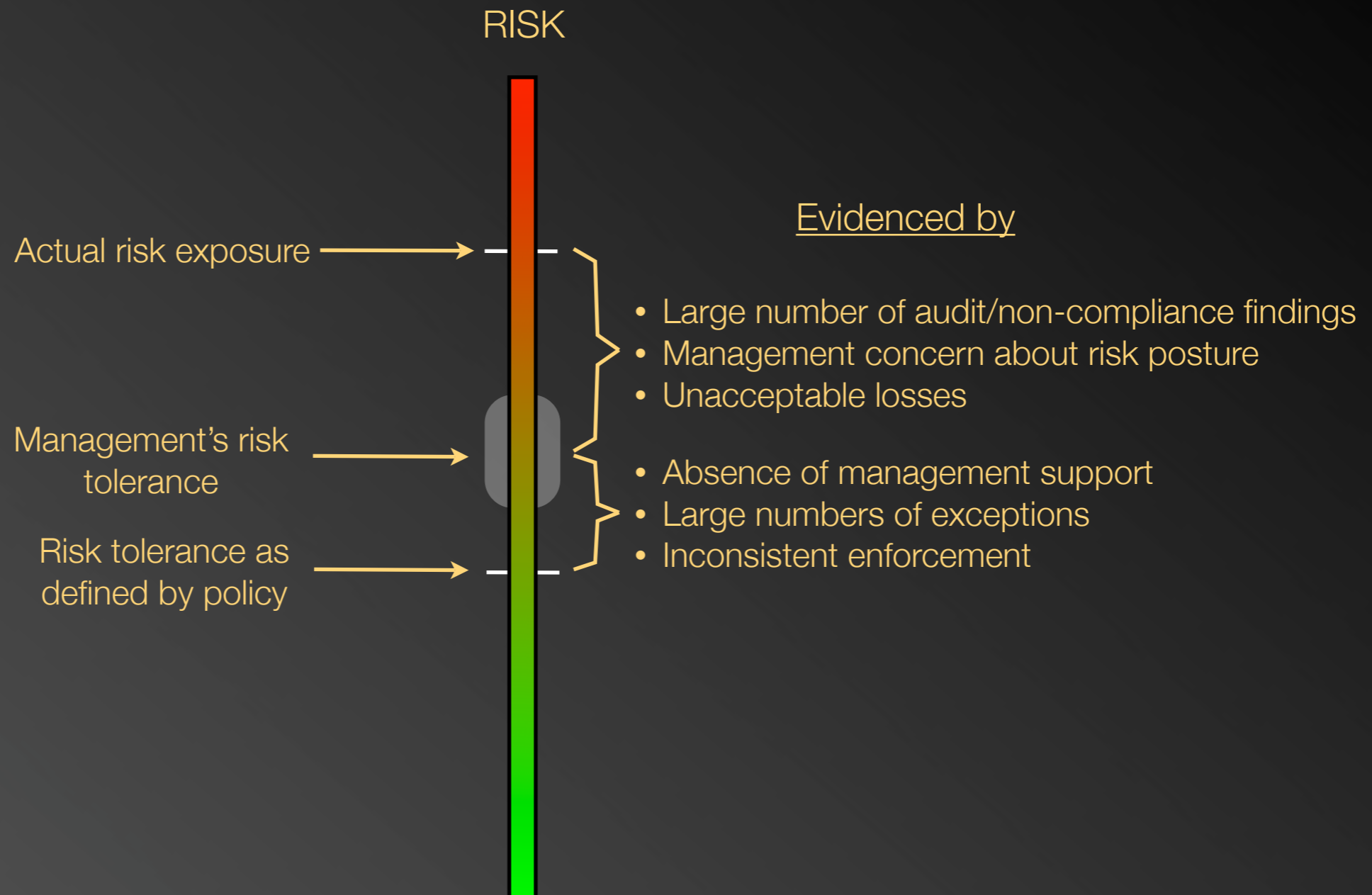
Risk Management Insight



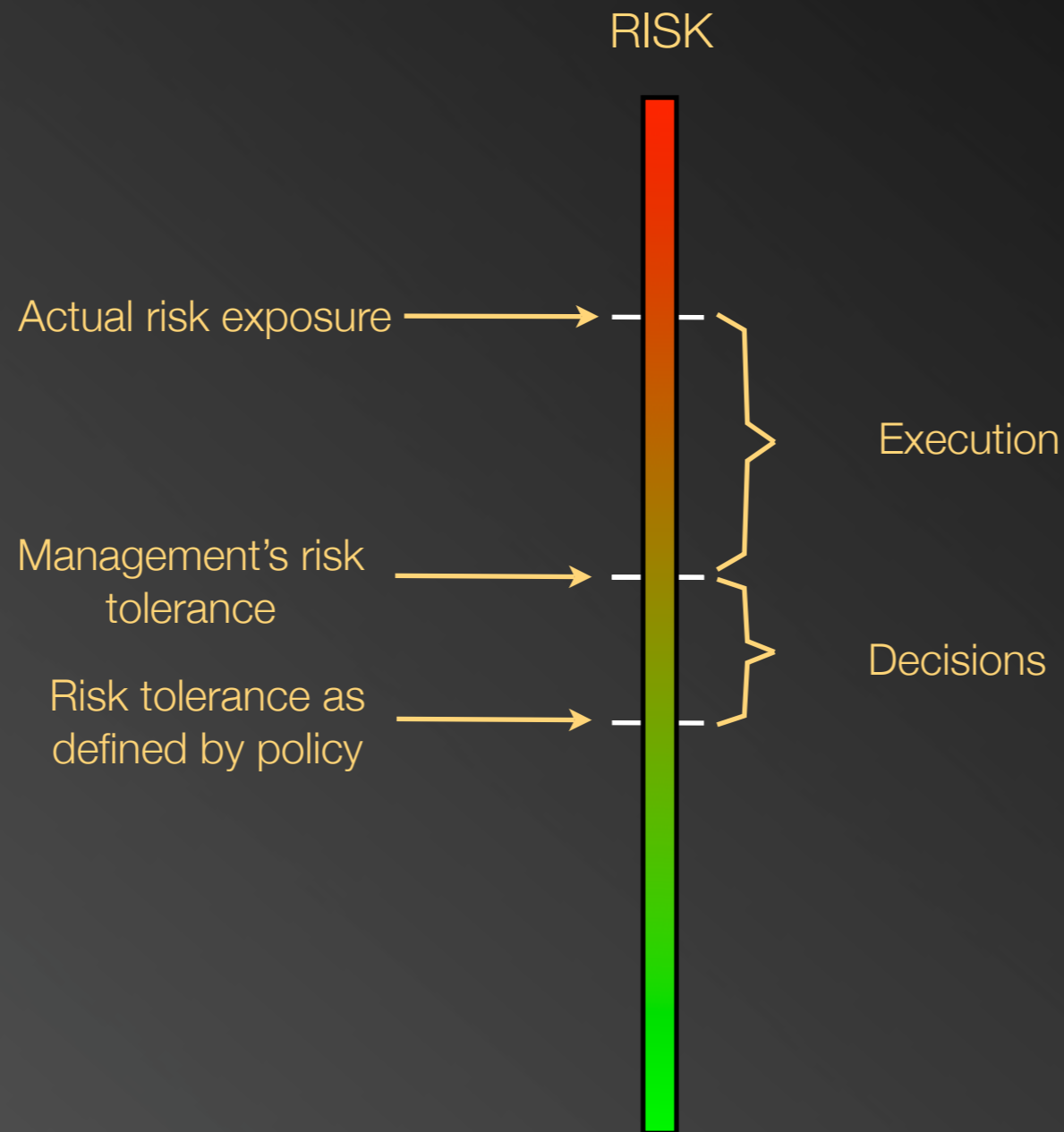
In a perfect world...



The real world...



Determining why...



- Factors that drive non-compliance
 - ▶ Lack of awareness
 - ▶ Lack of ability
 - ▶ Lack of accountability
 - ▶ “Stupid” requirements

Lack of awareness

- People can't comply with requirements they **aren't aware** of
- People aren't as likely to comply if they don't **understand and buy-into** the reasons for a requirement

Lack of ability

- People won't comply with requirements they **aren't capable** of complying with

Lack of accountability

- People aren't likely to comply if there is **no incentive** to comply

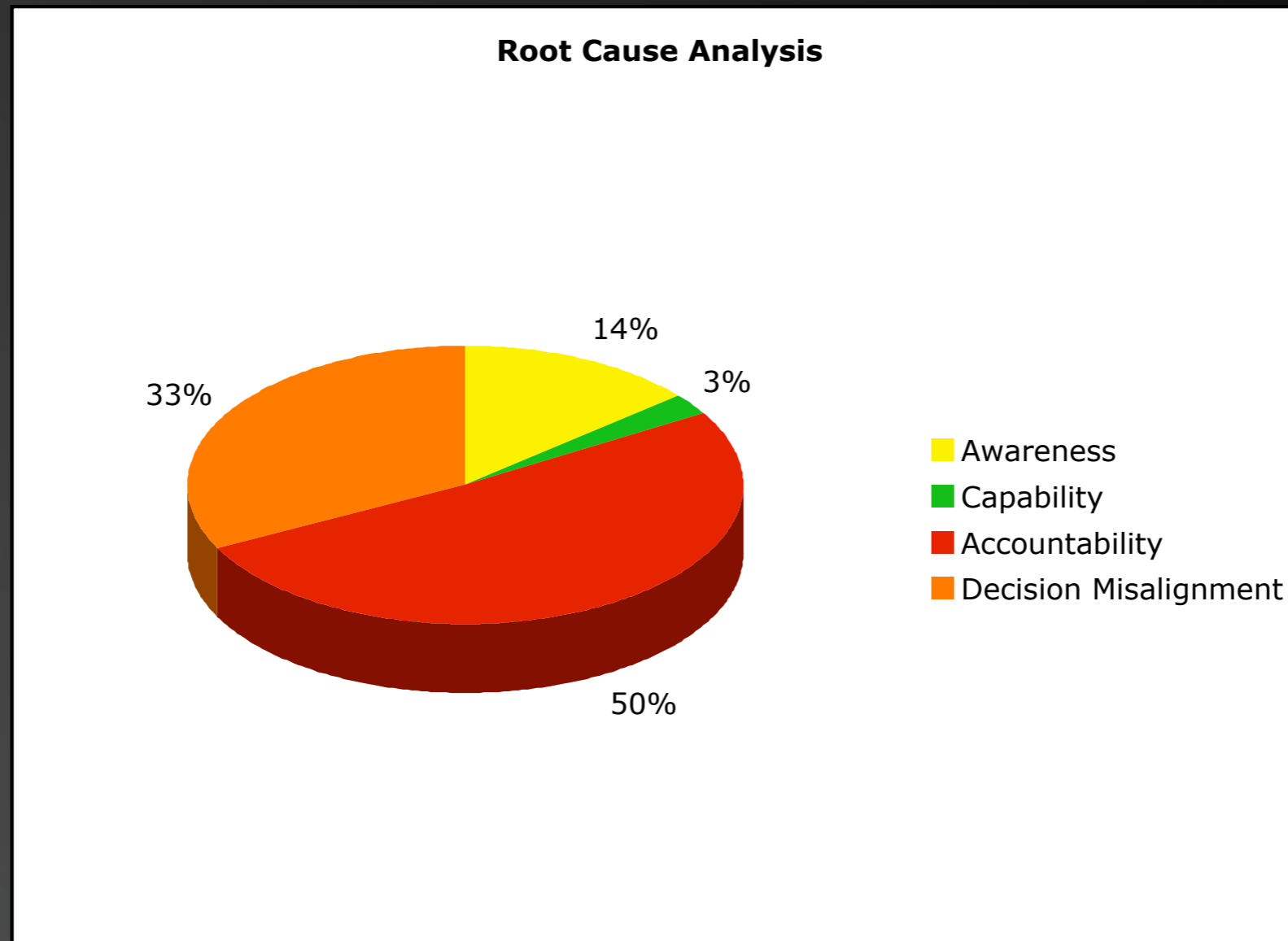
“Stupid” requirements

- a.k.a. - requirements that don't align with **management's** risk tolerance
- Management isn't going to communicate, support, or enforce requirements they **don't believe in**

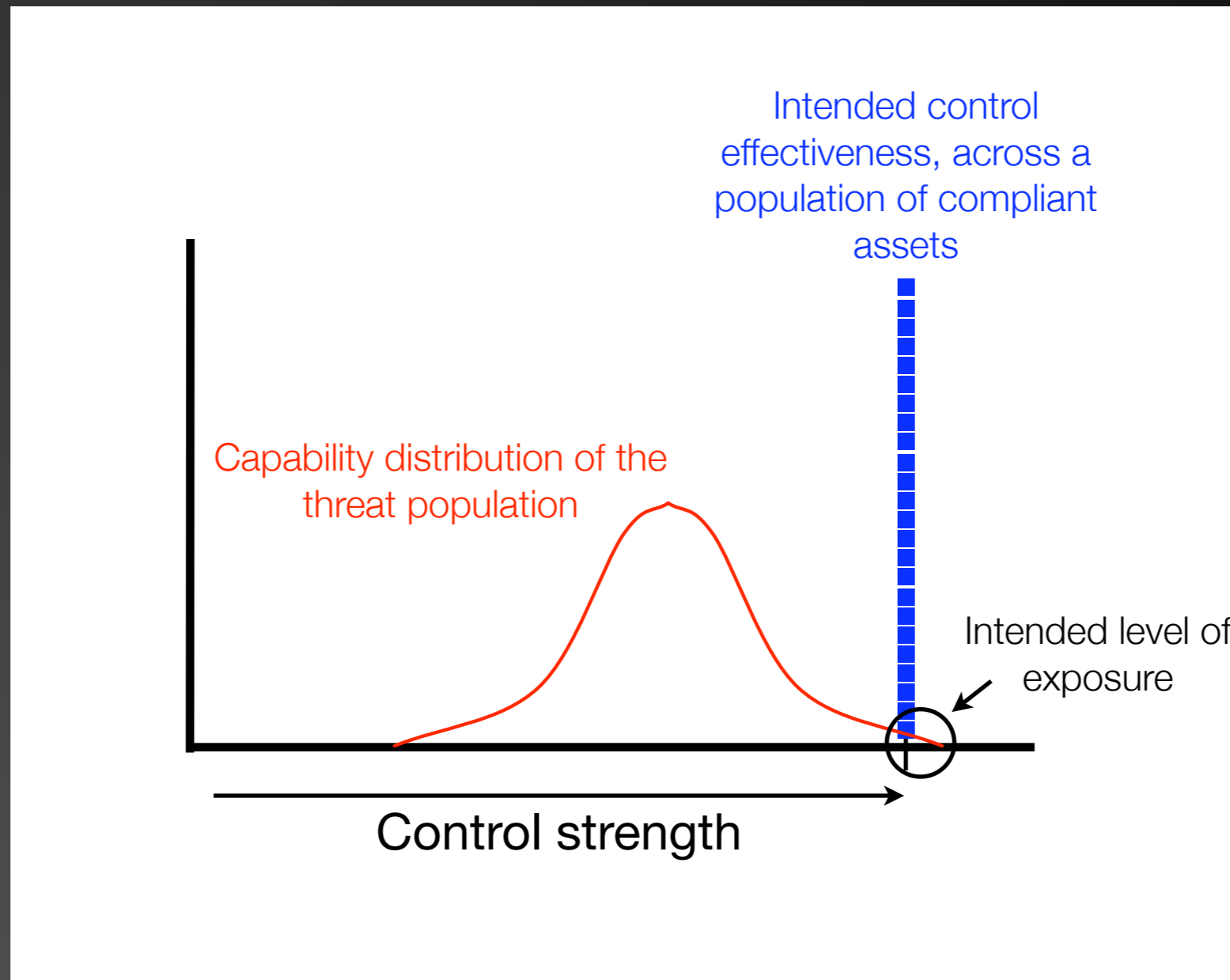
Got data?

- Does your organization, one in awhile, run into non-compliance?

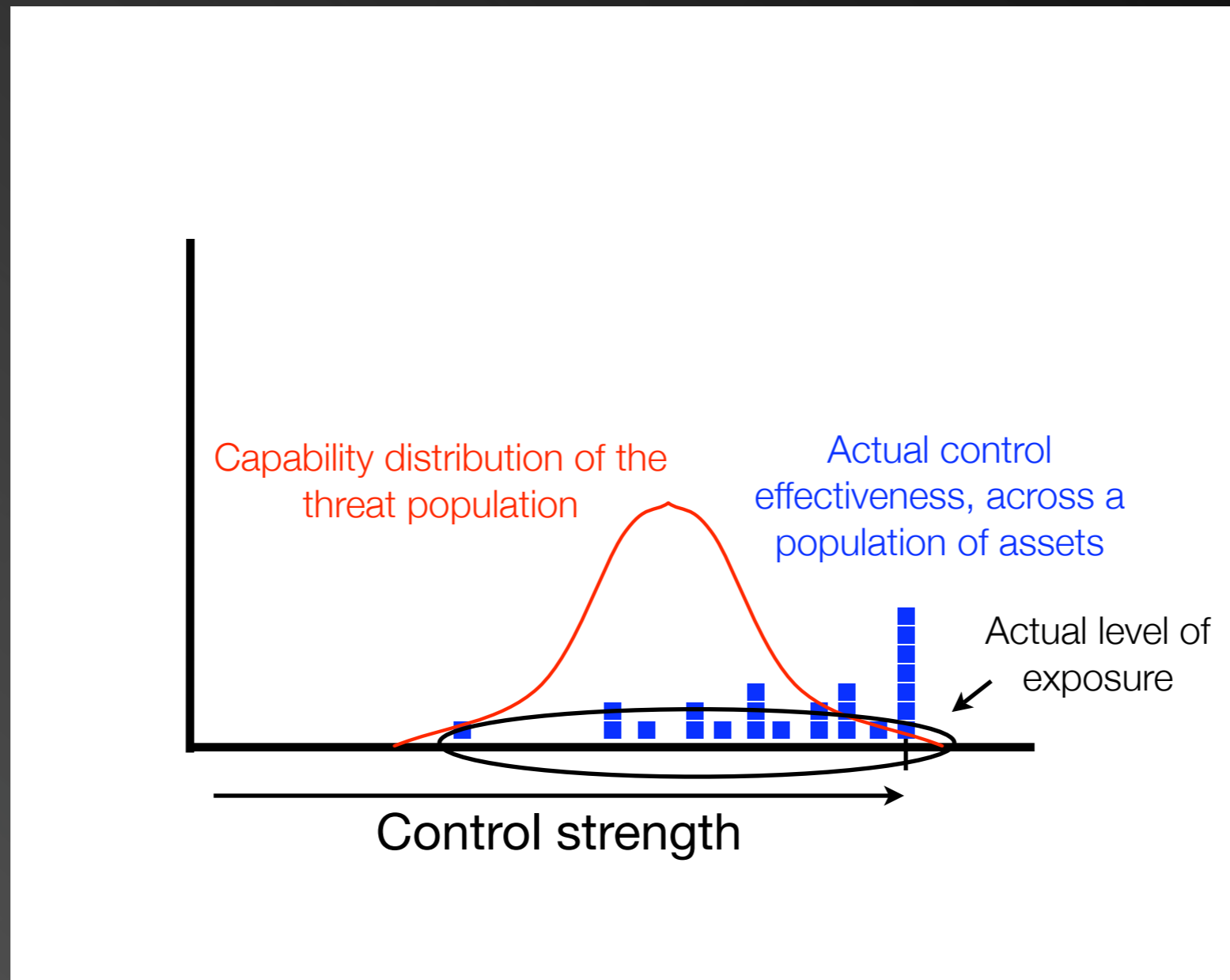
Where would you focus?



Why variance matters...



Why variance matters...



Summary

- Non-compliance is always a function of:
 - ▶ A lack of awareness,
 - ▶ A lack of ability,
 - ▶ A lack of accountability, and/or
 - ▶ Requirements that management doesn't support
- The only way to make long-term improvements is to identify and address the **root causes** within your organization

Questions?

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