Compliance Decision Making Process (CDMP)

version 2024.1

START HERE

CDMP Step 1: Awareness of Compliance Obligations

INPUTS

1. Source requirements (e.g., specific law, regulation and/or contractual obligation).
2. Operational authority to conduct compliance operations within the organization.
3. Documented roles and responsibilities.
4. Understanding of risk (e.g., risk appetite, risk tolerance, risk threshold, materiality, etc.)
5. Documented stakeholders.

Sub-steps:

- **1. Establish a formal project to resource and manage the compliance process.**
- **2. Conduct an initial assessment of the compliance mandate.**
- **3. Determine the compliance intent.**
- **4. Define the initial scope of compliance.**
- **5. Identify applicable stakeholders.**
- **6. Conduct a gap assessment.**
- **7. Issue preliminary requirements guidance (including facts and assumptions) to stakeholders.**
- **8. Monitor for evolving requirements / changes to compliance requirements.**

OUTPUTS

1. Project plan (including running estimate for timeline and budget).
2. Running Estimate
3. Preliminary stakeholder guidance on compliance requirements.

CDMP Step 2: Identify Facts & Assumptions

INPUTS

1. Initial Assessment
2. Running Estimate

Sub-steps:

- **1. Determine facts that affect compliance operations.**
- **2. Determine assumptions that affect compliance operations.**

OUTPUTS

1. Facts
2. Assumptions

CDMP Step 3: Define A Problem Statement

INPUTS

1. Initial Assessment
2. Running Estimate
3. Facts & Assumptions

Sub-steps:

- **1. Determine the difference between the current state of the operational environment and desired state.**
- **2. Determine what is preventing the organization from reaching the desired end state.**

OUTPUTS

1. Problem Statement

CDMP Step 4: Determine Constraints

INPUTS

1. Initial Assessment
2. Running Estimate
3. Facts & Assumptions
4. Problem Statement

Sub-steps:

- **1. Determine resourcing limitations.**
- **2. Determine technical limitations.**
- **3. Determine conflicting business processes.**

OUTPUTS

1. Constraints

CDMP Step 5: Identify Possible Courses of Action (COA)

INPUTS

1. Initial Assessment
2. Running Estimate
3. Facts & Assumptions
4. Problem Statement
5. Constraints

Sub-steps:

- **1. Analyze compliance intent.**
- **2. Analyze facts, assumptions and constraints.**
- **3. Determine decision points / triggers.**

OUTPUTS

1. One or more Courses of Action (COA)

Selected COA

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