



Nimonik



INTERNAL OBLIGATIONS

40 DAY CHALLENGE

Day 34 – Level 5

**CONGRATULATIONS
ON REACHING THE SUMMIT!**

SCHEDULE



40 DAY INTERNAL OBLIGATIONS CHALLENGE			
DATE	DAY	CHALLENGE	ACTIONS
Wednesday, January 20, 2021	1	Basecamp & Challenge 1	Attend Challenge Stand Up Call
Thursday, January 21, 2021	2		Climb Mountain
Friday, January 22, 2021	3		Complete Challenge Retrospective
Saturday, January 23, 2021	4		Rest
Sunday, January 24, 2021	5		Rest
Monday, January 25, 2021	6	Challenge 2 - Identify Obligations & Metadata	Attend 40 Day Challenge Session # 2
Tuesday, January 26, 2021	7		Climb Mountain
Wednesday, January 27, 2021	8		Climb Mountain
Thursday, January 28, 2021	9		Climb Mountain
Friday, January 29, 2021	10		Complete Challenge Retrospective
Saturday, January 30, 2021	11		Rest
Sunday, January 31, 2021	12		Rest
Monday, February 1, 2021	13	Challenge 3 - Incorporate Obligations	Attend Challenge Stand Up Call
Tuesday, February 2, 2021	14		Climb Mountain
Wednesday, February 3, 2021	15		Climb Mountain
Thursday, February 4, 2021	16		Climb Mountain
Friday, February 5, 2021	17		Complete Challenge Retrospective
Saturday, February 6, 2021	18		Rest
Sunday, February 7, 2021	19		Rest
Monday, February 8, 2021	20	Challenge 4 - Evaluate Compliance Risk	Attend Challenge Stand Up Call
Tuesday, February 9, 2021	21		Climb Mountain
Wednesday, February 10, 2021	22		Climb Mountain
Thursday, February 11, 2021	23		Climb Mountain
Friday, February 12, 2021	24		Complete Challenge Retrospective
Saturday, February 13, 2021	25		Rest
Sunday, February 14, 2021	26		Rest
Monday, February 15, 2021	27	Challenge 5 - Create Compliance & Risk Plan	Attend Challenge Stand Up Call
Tuesday, February 16, 2021	28		Climb Mountain
Wednesday, February 17, 2021	29		Climb Mountain
Thursday, February 18, 2021	30		Climb Mountain
Friday, February 19, 2021	31		Complete Challenge Retrospective
Saturday, February 20, 2021	32		Rest
Sunday, February 21, 2021	33		Rest
Monday, February 22, 2021	34	The Summit - Continuous Improvement	Attend Challenge Stand Up Call
Tuesday, February 23, 2021	35		Climb Mountain
Wednesday, February 24, 2021	36		Climb Mountain
Thursday, February 25, 2021	37		Climb Mountain
Friday, February 26, 2021	38		Complete Challenge Retrospective
Saturday, February 27, 2021	39		Rest
Sunday, February 28, 2021	40		Rest

YOU REACHED THE SUMMIT



COMPREHENSIVE
COMPLIANCE



OBJECTIVES



Climber Status



Sustain Compliance



Your Continuous Challenge

BASECAMP

CLIMBER STATUS



CREATE COMPLIANCE PLAN

CHALLENGE #5

OBJECTIVE	SKILL	DESCRIPTION
1	NOVICE	Create plan to close the gaps identified during the challenge
2	INTERMEDIATE	NOVICE + Create plan to achieve compliance for all internal obligations.
3	EXPERT	INTERMEDIATE + Develop risk plan to increase the probability that all your obligations will be met.

CLIMBER STATUS



COMPREHENSIVE
COMPLIANCE



Update

- How did you do last week?
- What worked or didn't work?
- What lessons did you learn?



SUSTAIN COMPLIANCE

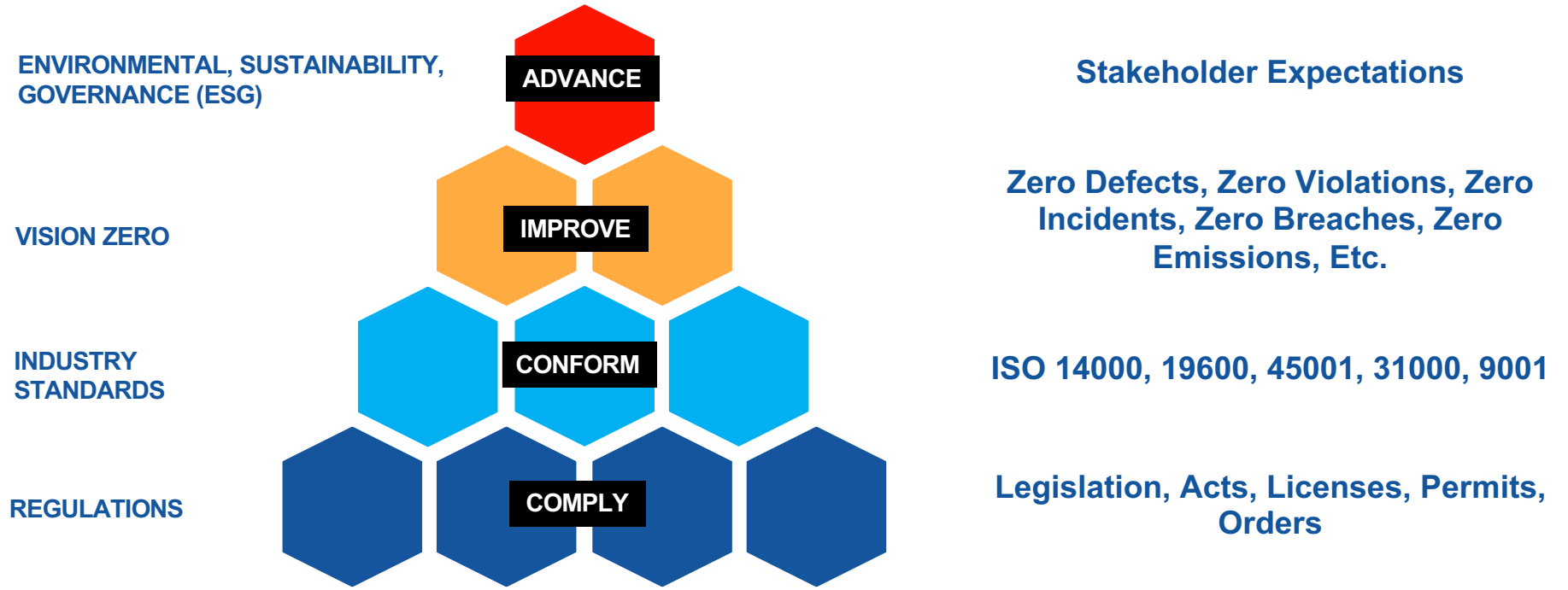
HOW DO WE STAY ON TOP OF ALL OUR OBLIGATIONS?

SUSTAIN COMPLIANCE

HIERARCHY OF OBLIGATIONS



ACCEPTING STAKEHOLDER RESPONSIBILITY



ACCEPTING LEGAL RESPONSIBILITY

**“You do not rise to the level of your goals.
You fall to the level of your systems.”**

– James Clear, Atomic Habits

SUSTAIN COMPLIANCE



CONTINUOUS COMPLIANCE REQUIRES CONTINUOUS IMPROVEMENT

SUSTAIN COMPLIANCE

CONTINUOUS COMPLIANCE



Effects of Compliance

Upper Target



Proactive Zone

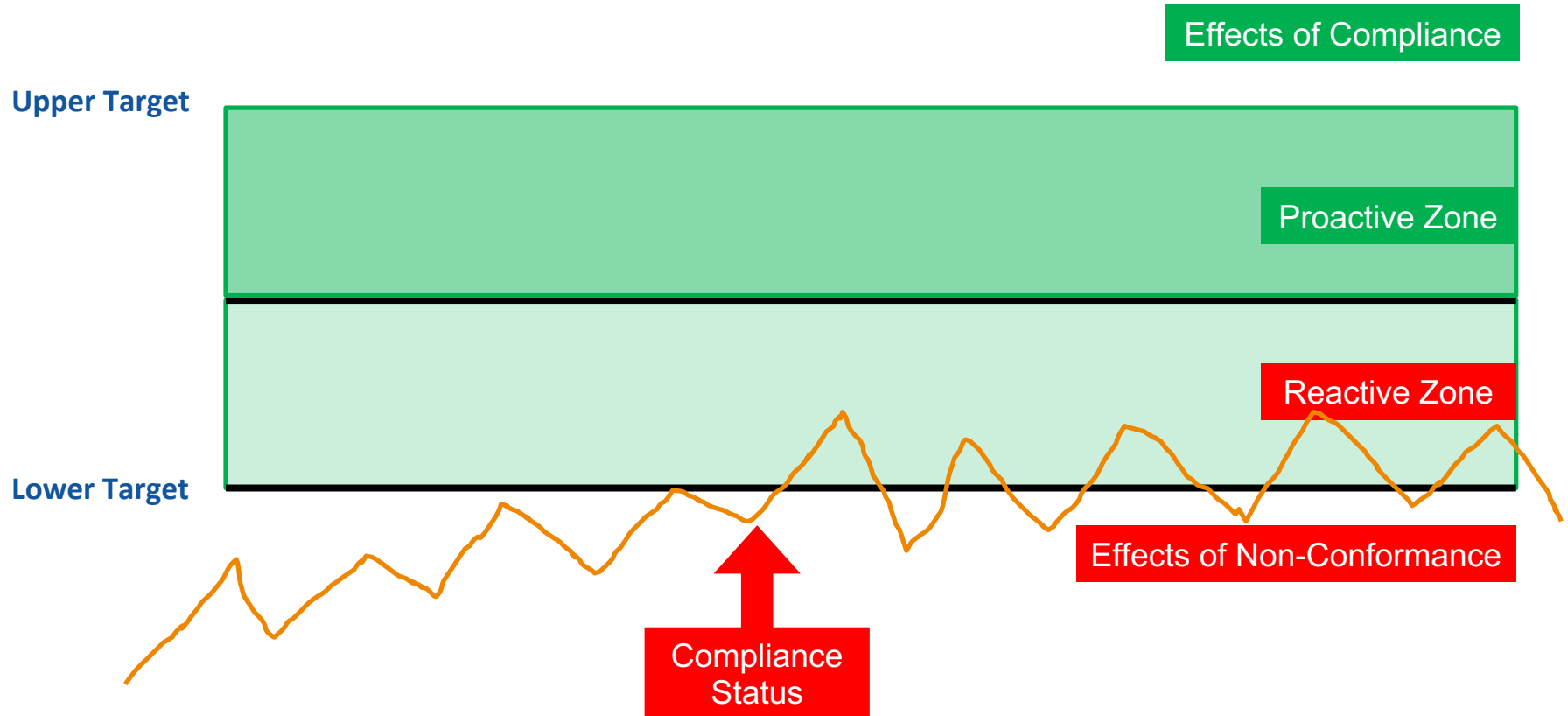
Reactive Zone

Lower Target

Effects of Non-Conformance

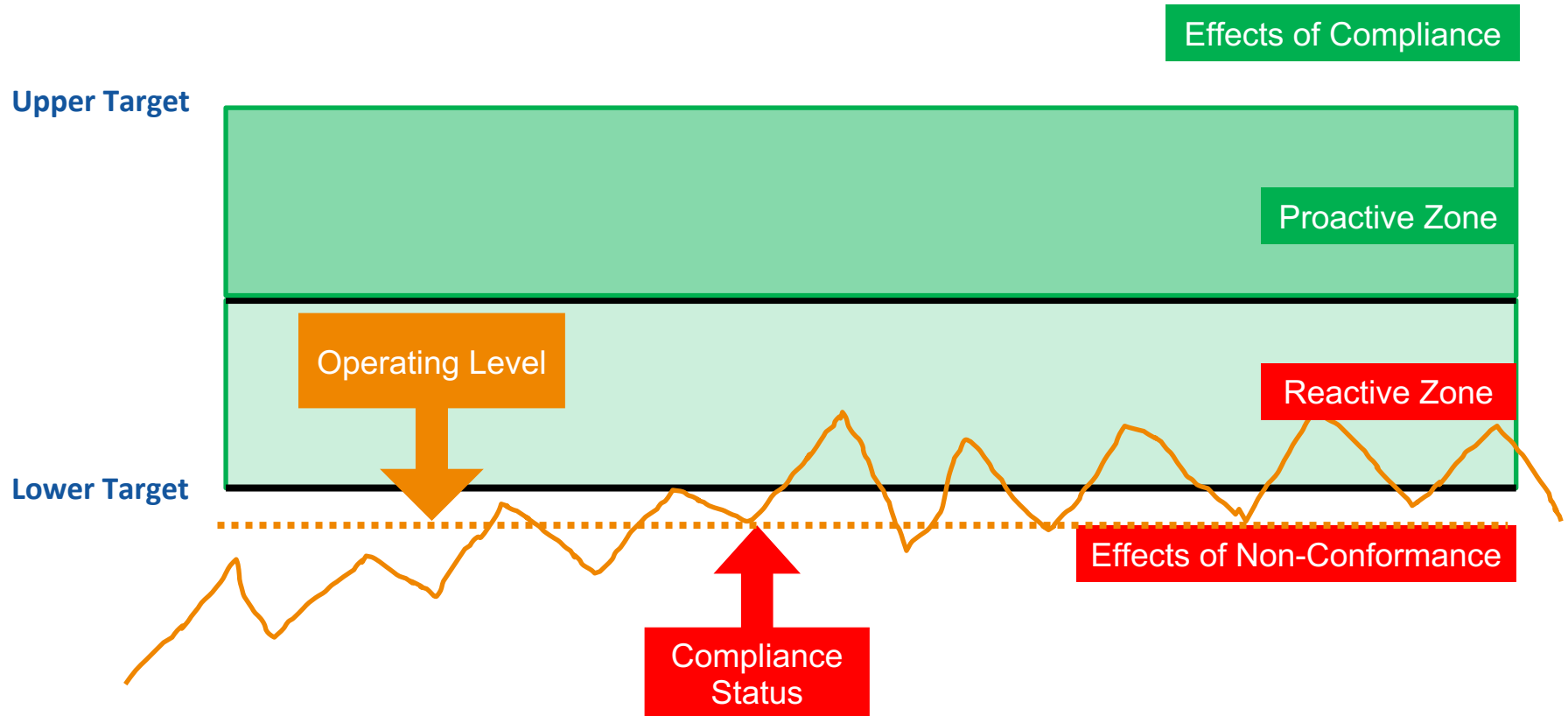
SUSTAIN COMPLIANCE

REACTIVE ZONE



SUSTAIN COMPLIANCE

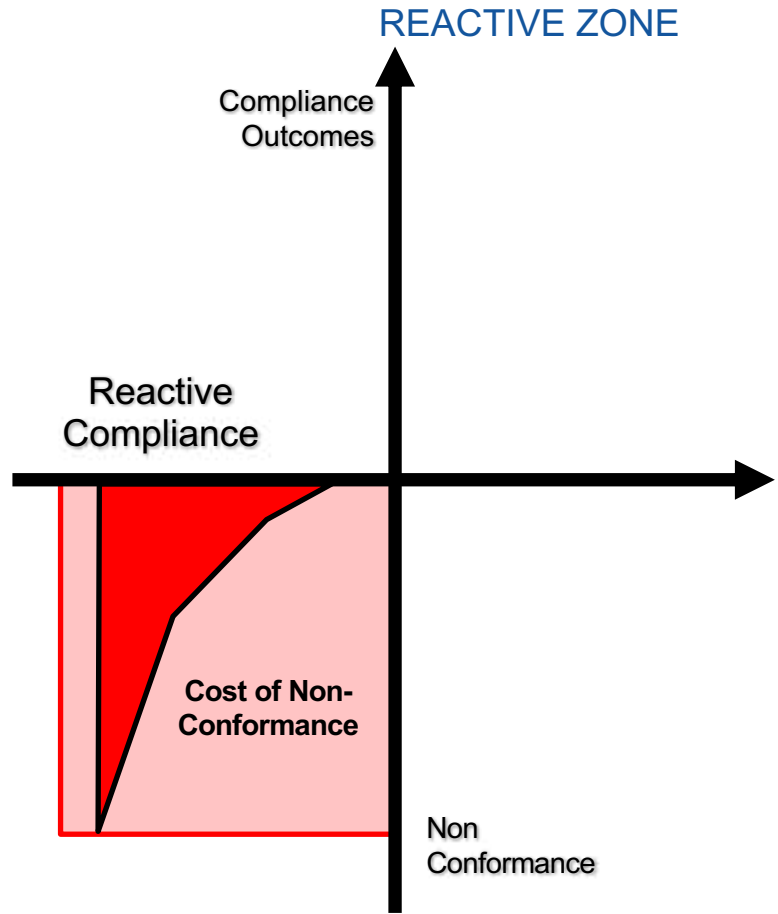
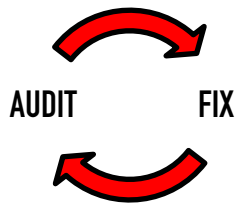
REACTIVE ZONE

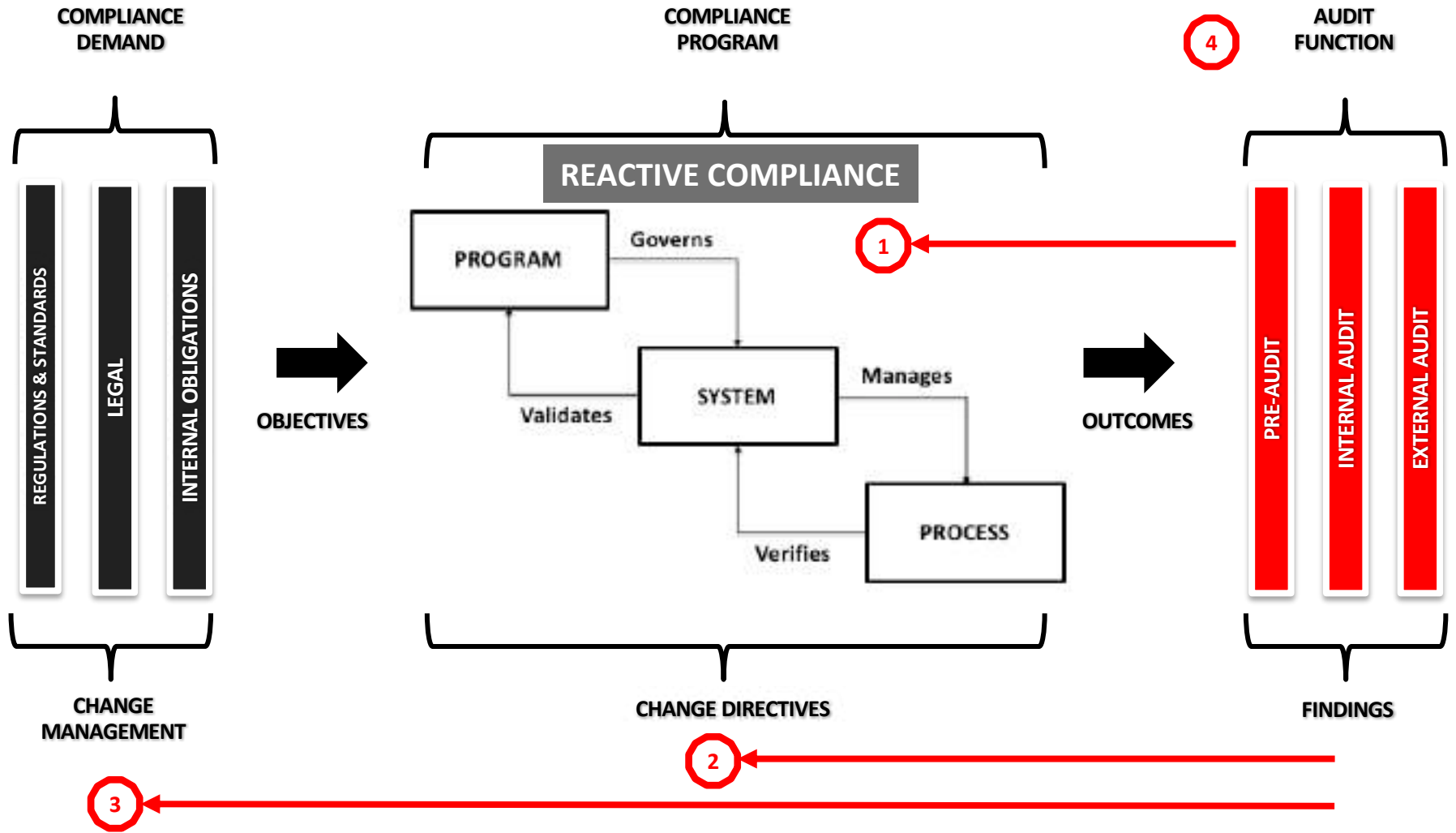




REACTIVE

- No Objectives & Goals
- Lagging indicators
- Uncertain and Surprised
- Focused on Symptoms
- Always Behind
- Sunk Cost





SUSTAIN COMPLIANCE

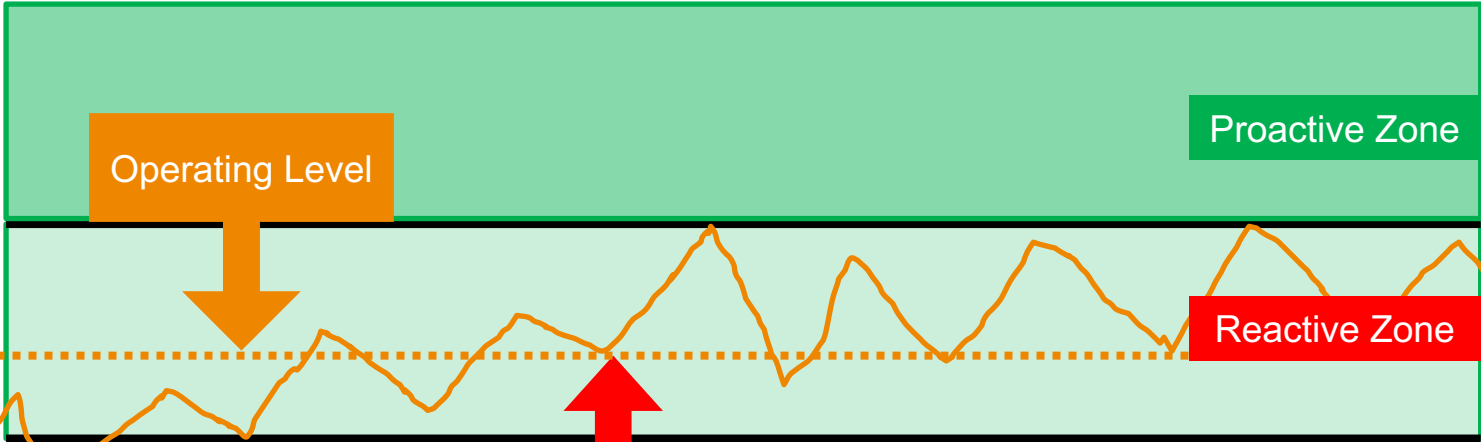
CONFORMANCE ZONE



Upper Target

Lower Target

Effects of Compliance



Operating Level

Proactive Zone

Reactive Zone

Compliance
Status

Effects of Non-Conformance

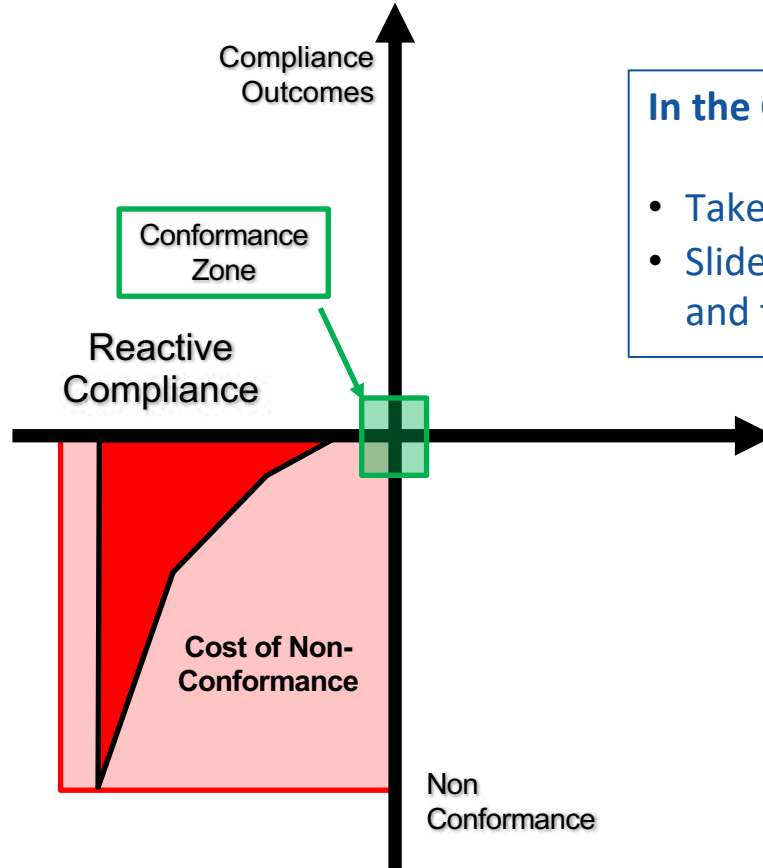
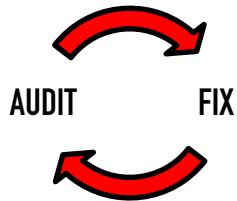
SUSTAIN COMPLIANCE



CONFORMANCE ZONE

REACTIVE

- No Objectives & Goals
- Lagging indicators
- Uncertain and Surprised
- Focused on Symptoms
- Always Behind
- Sunk Cost



In the Conformance Zone we:

- Take our hands off the wheel
- Slide back into the reactive zone and fall back out of compliance.

**“You do not rise to the level of your goals.
You fall to the level of your systems.”**

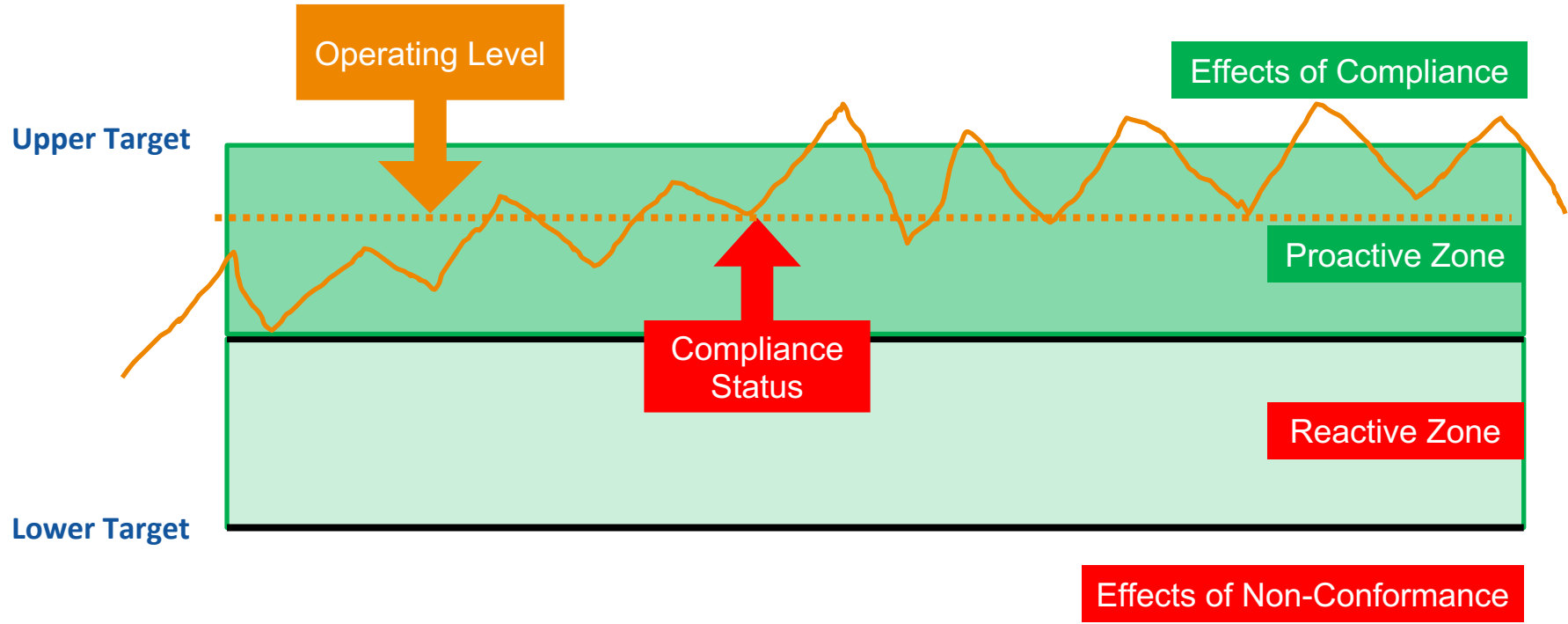
You should be far more concerned with
your current trajectory than with **your**
current results.

– James Clear, Atomic Habits

SUSTAIN COMPLIANCE



PROACTIVE ZONE

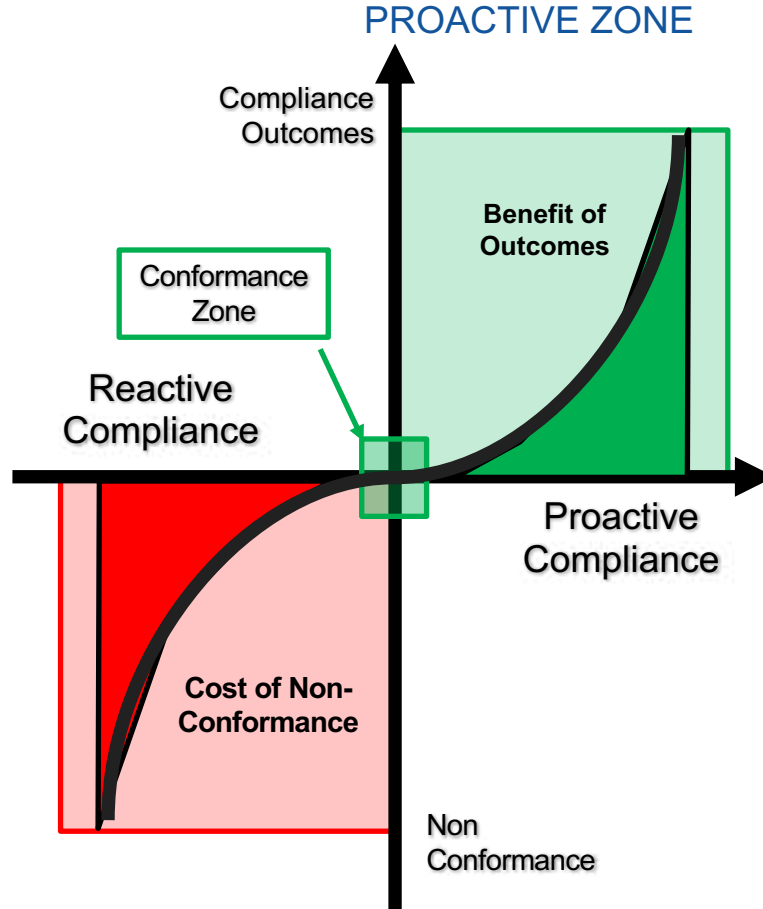


SUSTAIN COMPLIANCE



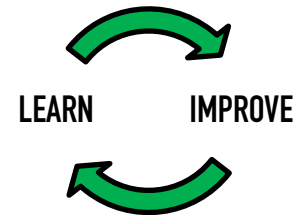
REACTIVE

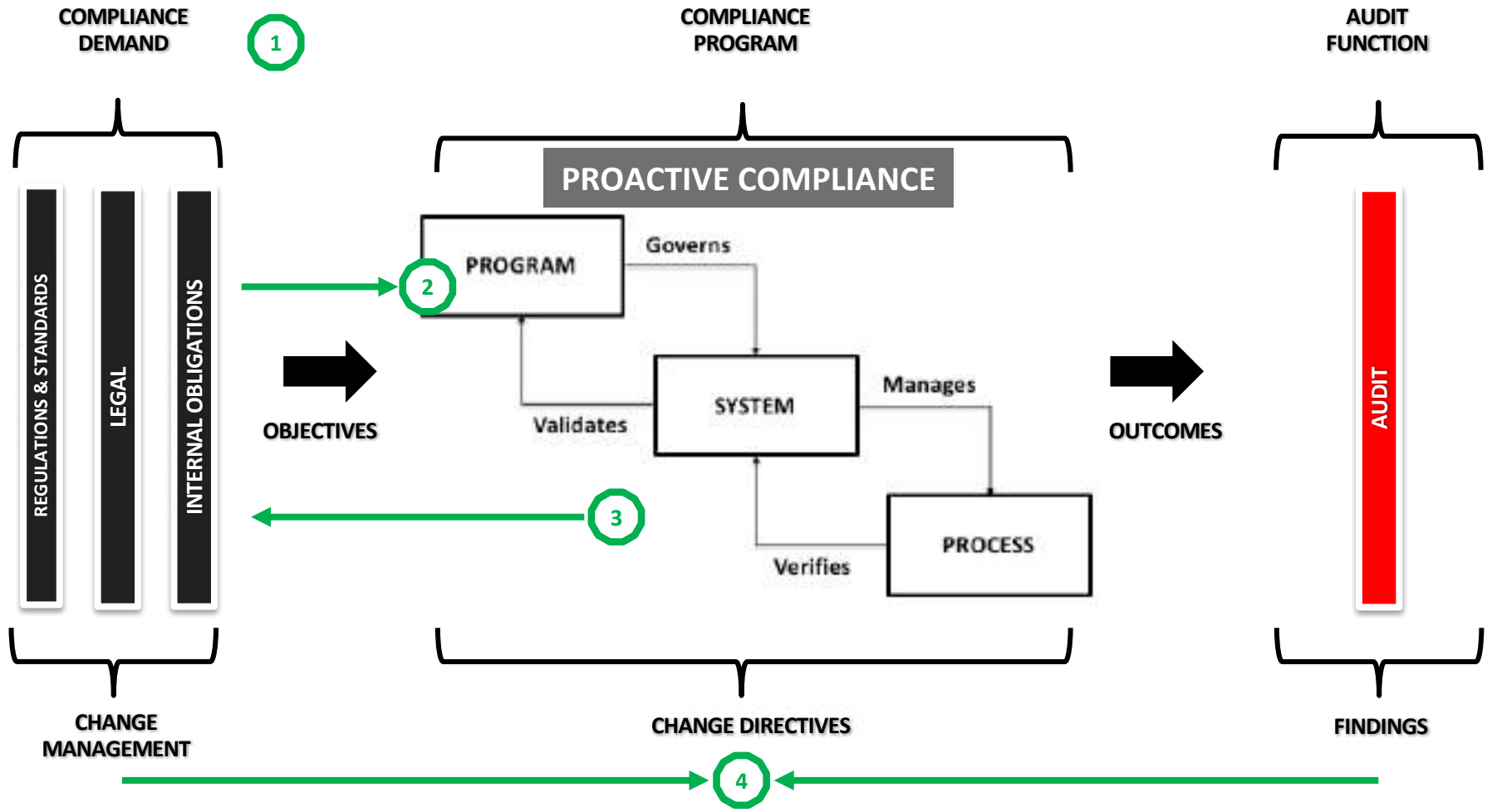
- No Objectives & Goals
- Lagging indicators
- Uncertain and Surprised
- Focused on Symptoms
- Always Behind
- Sunk Cost



PROACTIVE

- Clear Objectives & Goals
- Leading indicators
- Certain and Anticipating
- Focused on Root Cause
- Always Ahead
- Return on Investment





SUSTAIN COMPLIANCE

Continuous Improvement Plan



1. Document the context and expectations for each obligation.
2. Define what constitutes evidence of compliance.
3. Define how progress against outcomes will be measured.
4. Identify what standard will be used to establish normative behaviors and processes (ex. ISO 9001, ISO 31000, ISO 14000, etc.)
5. Identify what is needed (structure, resources, technology, culture, etc.) by the organization to achieve desired compliance outcomes.
6. Identify and evaluate risk (both threats and opportunities) for each obligation.
7. Establish clear accountabilities and responsibilities for meeting our obligations.
8. Embed obligations, controls, and risk treatments into organizational programs, systems and processes.
9. Monitor the status of compliance in real-time.
10. Incrementally and continuously improve compliance effectiveness.

SUSTAIN COMPLIANCE

CONTINUOUS COMPLIANCE



Manual Audit



20 days



Yearly



Compliance
Status

Yearly

SUSTAIN COMPLIANCE

CONTINUOUS COMPLIANCE



Manual Audit



20 days



Yearly



Compliance
Status

Yearly

Improve
Efficiency

Automation



5 days



Yearly



Compliance
Status

Yearly



SUSTAIN COMPLIANCE

CONTINUOUS COMPLIANCE



Manual Audit



20 days



Yearly



Compliance
Status

Yearly

Improve
Efficiency

Automation



5 days



Yearly



Compliance
Status

Yearly

Improve
Effectiveness

CMS



5 days



Monthly



Compliance
Status

Monthly



**WHAT BENEFITS WOULD ACCRUE
IF YOU WERE ALWAYS
IN COMPLIANCE?**

SUSTAIN COMPLIANCE



CONTINUOUS COMPLIANCE REQUIRES CONTINUOUS IMPROVEMENT

YOUR CONTINUOUS CHALLENGE



CONTINUOUS CHALLENGE

SKILL	OBJECTIVE
NOVICE	Establish a continuous improvement process for internal obligations.
INTERMEDIATE	NOVICE + Establish process to manage change to obligation sources, obligations, or mission objectives.
EXPERT	INTERMEDIATE + Identify the capabilities needed to always stay in compliance..

Q&A



40 DAY INTERNAL OBLIGATIONS CHALLENGE SCORECARD

INTERNAL OBLIGATIONS ASPECT	CHALLENGE	BEFORE ASCENT (0-5)	AFTER ASCENT (0-5)	IMPROVEMENT (0-5)	COMMENTS
Obligation Sources	1				
Obligations & Metadata	2				
Obligations Register	3				
Obligation Risk	4				
Compliance Plan	5				
Continuous Improvement	6				
SUMMIT					
TOTALS					

PARTICIPANT	
Name	
Date	
Accepted Challenge	

40 DAY INTERNAL OBLIGATIONS CHALLENGE WORKSHEET

ASCENT	
Participant:	
Challenge	
Date:	
Outcome	

CURRENT CONDITION	PLAN	ACTIVITY / PROGRESS	DO
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Assessment (0-5):

NEXT TARGET CONDITION / OBJECTIVE	PLAN
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TROUBLESHOOTING	GAP FROM STANDARD	RAISE STANDARD	INNOVATE
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IMPLEMENTATION PLAN	PLAN
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THREATS / COUNTERMEASURES	PLAN
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VERIFICATION / VALIDATION	CHECK
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Assessment (0-5):

LESSONS LEARNED / FOLLOW UP (ACTIONS)	ACT
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CONGRATULATIONS ON COMPLETING
THE 40 DAY CHALLENGE
AND
GOOD LUCK WITH
YOUR CONTINUOUS CHALLENGE