Compliance
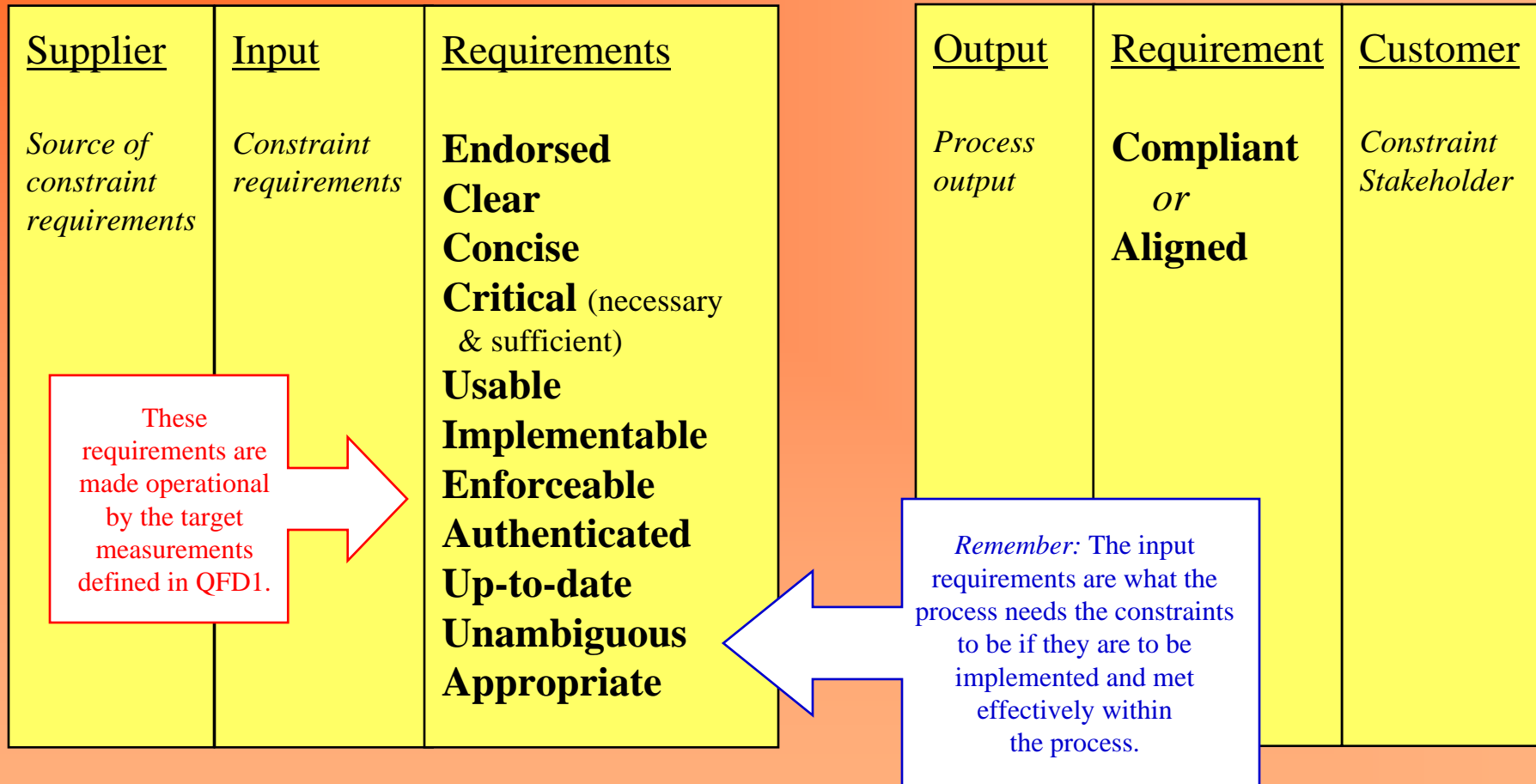
○ **Three types of requirements are:**

- Business (Things a process must *do*!)

- Implementation (Things a process must *be*!)

- Constraints (Realities of life!)

○ **Processes, and the outputs from those processes, must conform to all constraint requirements:**

- Customer preferences

- Governmental regulations

- Management policies

○ **Active conformance is often referred to as compliance.**

○ **Passive conformance is often referred to as alignment.**

SIPOC Compliance Pattern

Supplier	Input	Requirements		Output	Requirement	Customer
Source of constraint requirements	*Constraint requirements*	**Endorsed** **Clear** **Concise** **Critical** (necessary & sufficient) **Usable** **Implementable** **Enforceable** **Authenticated** **Up-to-date** **Unambiguous** **Appropriate**		*Process output*	**Compliant** *or* **Aligned**	*Constraint Stakeholder*

These requirements are made operational by the target measurements defined in QFD1.

Remember: The input requirements are what the process needs the constraints to be if they are to be implemented and met effectively within the process.

SIPOC Compliance Pattern

Supplier	Input	Requirement
Customer	Preferences	Authenticated Up-to-date Unambiguous
Regulator	Standards	Appropriate

Output	Requirement	Customer
< process output >	Compliant	*<customer >*

The customers want the process to produce outputs that are compliant with their own preferences and all appropriate standards.

Customer preferences are always: 1) authenticated as having come from the actual customer, 2) kept up-to-date by providing customers with mechanisms for update, and 3) interpreted in a conservative manner that minimizes risk from ambiguity.

SIPOC Compliance Pattern

Supplier	Input	Requirement	Output	Requirement	Customer

Management	Policies	Endorsed
		Clear
		Concise
		Critical (necessary
		  & sufficient)
		Usable
		Implementable
		Enforceable
			*< process
			  output >*
				Compliant	*<customer >*

Explicit vs. Implicit Applications

- Because all process operate under some form of constraint, all SIPOC models should include at least one instantiation of the pattern.

- Explicit instances include those where the source of the constraint and the interested stakeholder are already in the SIPOC, and requirements are added under the pattern.

- Implicit instances include those where the constraints and stakeholder have to be made explicit because they weren't otherwise needed in the SIPOC.

- The application of this pattern forces every SIPOC and resulting process design to deal with how all processes across the company align and comply with company strategies and external constraints.