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Explore the how and the why

by Gerry Zack

Anytime a compliance violation occurs—or even a breakdown in compliance controls that doesn’t ultimately result in noncompliance—the remediation process takes center stage. And this is where questions of *how* and *why* are critical.

Whether noncompliance occurred or there was only a close call resulting from a breakdown in controls, remediation steps are determined by understanding how it happened. Did an existing compliance control break down, or is there a flaw in the design of our controls? If a control is well designed but broken down, a follow-up *how* needs to be addressed. Was it skipped entirely, improperly carried out, or what? Each of these leads to a different approach to remediation, which may point to a need for training, additional clarity in our procedures, or a variety of other outcomes.

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