

Mindsets Tool

For organisations, understanding who needs to think in a deliberate and effortful way as opposed to simply following a standard operating procedure (SOP) or perhaps even working intuitively, can be the difference between compliant and non-compliant behaviours. The table below identifies four mindsets vertically, and role-types horizontally.

Mindset	Mechanistic	Technocratic	Managerial	Innovatory
General description	Follows pre-determined rules, scripts using pre-determined approaches to collect data and information.	Follow pre-determined rules to identify and analyse information and data	Uses analytical and evaluative tools to understand, authenticate and process data into intelligence (MI)	Interprets MI and other forms of data to establish how well overarching outcomes aligns with the approach of the organisation for strategy, risk appetite, vulnerabilities and exposures.
Personal Engagement	Primarily transactional	Primarily instructional	Primarily collaborative	Primarily transformational
Senior Leader	Considers discrete interactions between functions and processes across an organisation to address issues achieving strategic objectives.	Applies technical expertise to navigate strategy, its objectives, obstructions and constraints and to address issues achieving strategic objectives.	Identifies key actors who can contribute to creating positive outcomes for the organisation to meet or exceed its strategic objectives.	Challenges organisations over existing objectives and generates new goals seeking ways to overcome hurdles and anticipating new and emerging factors.
Head of function	Considers how the application of resources in response to strategic obligations for a function can achieve desired outcomes.	Applies technical expertise to refine the approach to delivering GRC objectives	Works within and across functions to enable collaboration and cooperation to achieve objectives.	Positions their function as forward-looking and a solutions provider, while still aiming to meet regulatory requirements using new approaches, methods or techniques.
Manager	Controls resources on a daily basis and carries out tasks in an order necessary to meet daily, weekly and monthly goals. Ensures tasks are carried out in accordance to agreed parameters.	Planning is conducted to match available resource to the priorities of regulatory risk management and compliance aligned with the specific concerns identified in policy. Manages complex challenges using technical expertise to establish solutions.	Uses a variety of managerial techniques to navigate current issues, anticipate and plans for known challenges, and establishes collaborations to deliver appropriate outcomes.	Anticipates changes and engages with colleagues to effect change. Enables a proactive approach to policy and management of staff. Provides insights to establish business evolution and transformation.
Supervisor	Focus is on ensuring tasks are completed according to instructions meeting schedules.	Focus on ensuring teams deliver compliant activities in accordance with procedures.	Focus on ensuring teams are engaged with tasks according to priorities and that the right resources are available at the right time.	Encourages individuals to be prepared and adaptable to changing needs, while continuing to deliver on existing requirements.
Operative	Focus is simply on delivering set tasks through a clear procedure following a step-by-step approach within the timeframe.	Focus is on accurate completion of set tasks through a clear procedure following a step-by-step approach to meet deadlines and milestones.	Focus is on completing tasks in accordance with procedure by collaborating with team colleagues.	Focus is on completing tasks by using available shortcuts and finding ways to do things quicker without the need for repetition.
Risks	Cannot manage change, unexpected problems or exceptions very easily.	Can be derailed if rules are not followed precisely as defined within their own understanding.	Can lose decisiveness if there are too many contradictory perspectives or tensions in relationships	May appear slapdash or easily fatigued with repetitive or regimented work and can become easily distracted.
Opportunities	Productive in conclusion of repetitive programmes and associated tasks and where responses are intended to deliver binary outcomes.	Applies methods consistently to ensure completion of programmes, projects and tasks that meet external and internal requirements.	Supports the health, well-being and teamwork of the organisation, its functions, teams and staff members, to deliver optimal outcomes.	Has useful insights based on often ambiguous and incomplete information that provides a platform for changes increasing efficiencies or preparedness for emerging risks and opportunities.