

Compliance Made

The complete guide to compliance training







- Benefits of effective compliance
- Compliance training success stories
- Building the basics of your compliance training program
- Compliance best practices by industry
- Best practices for better compliance training



Regardless of your industry, effective compliance training is the key to ensuring that everyone in your organization is working in accordance with applicable laws and regulations.

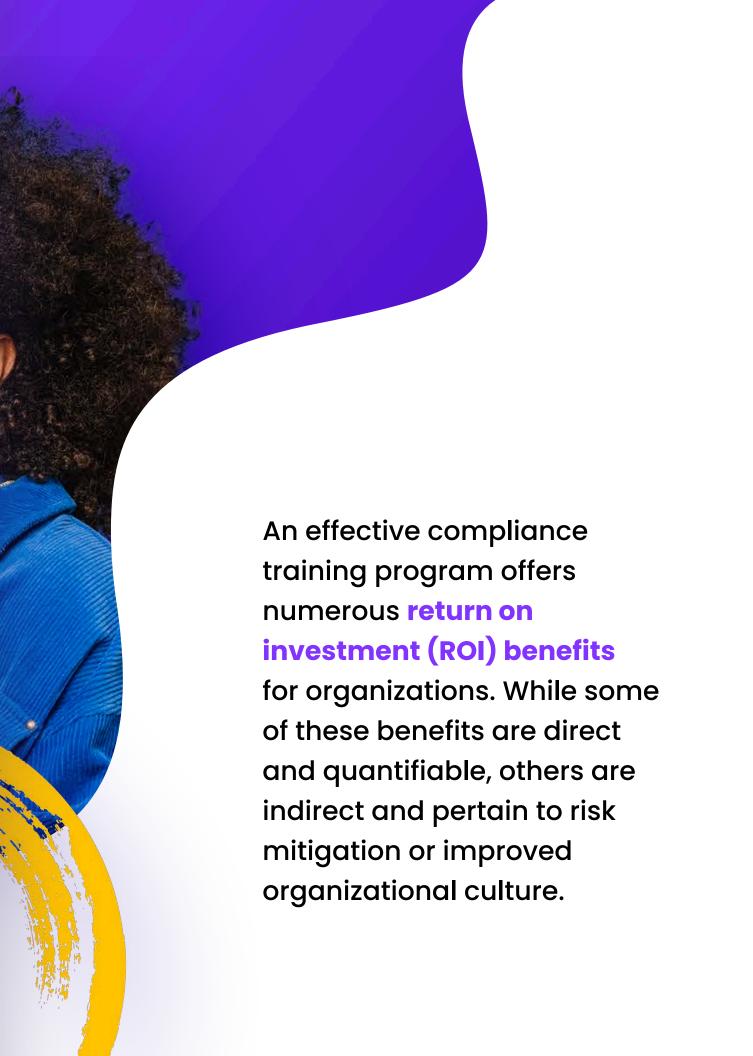
Many organizations are realizing that they need to take a more strategic approach to compliance and, according to <u>Brandon Hall Group</u>, 72% of companies say they are trying to improve their compliance strategy. But it's hard to know where to start. That's why we've created this guide to help make compliance, specifically <u>compliance training</u>, a little easier.

By using this guide, you'll gain a better understanding of the benefits, core topics, and best practices of compliance training. You'll also read real-world examples from companies that have used Litmos' LMS to improve their employee compliance training programs. Ready to stop stressing about compliance training and build a program that works? Read on!









1

Enhanced workplace culture and reputation

Prioritizing the safety and wellbeing of your employees through compliance training can lead to better employee relations, better business opportunities, increased employee retention, and improved talent acquisition. Internally, continual compliance training can improve the way your employees view your organization and can contribute to a healthier workplace culture of compliance. From an external standpoint, investing in the deployment and continual improvement of compliance training demonstrates your organization's commitment to ethical behavior, which is likely to build trust with customers, partners, and other external stakeholders.



Improved efficiency and productivity

When a company has a positive compliance culture, it demonstrates to employees that their employer is looking out for their well-being. This level of trust can lead to a more engaged and productive workforce. Furthermore, standardized processes that are designed with compliance requirements in mind can lead to more streamlined operations, reducing wasted time and resources.



Cost savings from training

By integrating compliance into regular training programs, companies may save on the costs of offering separate training sessions. Having proper compliance training in place could also help organizations avoid unknowingly incurring fines from regulatory bodies, legal disputes, and lawsuits.



Better decision-making

With a comprehensive understanding of compliance standards, management can make more informed decisions related to hiring, compensation, benefits, and other functions.

5

Attract and maintain customers

Some customers, such as large enterprises, highly regulated industries, and government purchasers require businesses to demonstrate adherence to specific compliance standards. These standards may include compliance with a code of conduct, anti-bribery and corruption, and vendor management policies. Improving compliance through effective training could open the door to these lucrative opportunities.



Risk mitigation

Implementing comprehensive compliance training can help employees identify potential issues before they become significant problems. Leaders and employees who receive consistent, high-quality compliance training may be better equipped to address those issues proactively and potentially reduce risks related to workforce management.

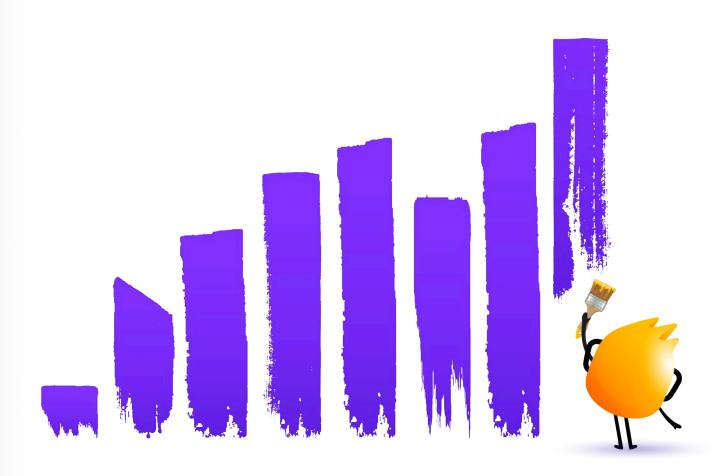


Future-proofing

Regulatory environments are continually evolving. An organization with a robust compliance training program may be better positioned to adapt to changes and ensure long-term sustainability by avoiding the costs of significant overhauls.

To maximize these benefits, it's essential that a compliance training program is not seen as merely compulsory, but is deeply integrated into your organization's culture and operations.

HR and L&D leaders may consider certain safeguards to ensure efficacy and ROI of their compliance programs, such as regular audits, trainings, and feedback mechanisms.



Implementing, tracking, and updating your compliance training program through one centralized learning solution, such as a learning management system (LMS), can also reduce the administrative strain often associated with compliance training — especially if that solution offers a library of regularly updated, off-the-shelf compliance courses, APIs to integrate with your existing tech stack, and robust reporting.









While implementing a compliance training program may seem like more of a chore than a business imperative, having efficient, engaging, and accurate training could make a real difference in multiple business outcomes. Companies across a variety of industries have seen the impact of comprehensive compliance training programs.



A medium-sized, local authority in West Essex struggled to keep their employees engaged in compliance training.

By implementing a compliance training program through Litmos that included pre-built, off-the-shelf training courses in their program, Epping Forest has achieved 90% engagement and their compliance training completion rates have increased with Safeguarding compliance now at 94% and Health and Safety now at 80% compliance.





A strong compliance program is the vital thread that weaves together our commitment to employee mental and physical well-being, regulatory adherence, and a culture of integrity, ensuring our organization's prosperity and growth.

Julie Dixon

Learning & Talent Business Partner, People Team Epping Forest District Council

Read the case study





COMPLIANCE ACHIEVED IN LESS THAN 1 YEAR



In their search for an LMS, compliance with current ISO Accreditation (competency and training) was a top training goal for Russell Mineral Equipment (RME), a global leader in the design, manufacture, and supply of grinding mill relining technologies and services.

Another top priority for RME was passing audits and maintaining accreditations, a challenging task that requires quick access to large amounts of data. Since Litmos gave RME the tools to build learning paths based on area or job role, the RME team was able to easily pull the necessary licensing, requirements, and compliance training reports for the auditor, and passed with flying colors!

Since choosing Litmos, RME has also seen a significant number of new RME-specific technical, technology, sales, and service-related courses now created within the system and accessed by their learners across the globe. They currently have over 120 proprietary courses built out and the RME Fabrication team maintains 99% compliance.



Something that would have taken us months and years to do — go around to each of the teams and develop their courses for them — they've actually been able to develop the courses themselves with our guidance and assistance.

Isabel Malferrari

Learning & Development Advisor Russel Mineral Equipment

Read the case study





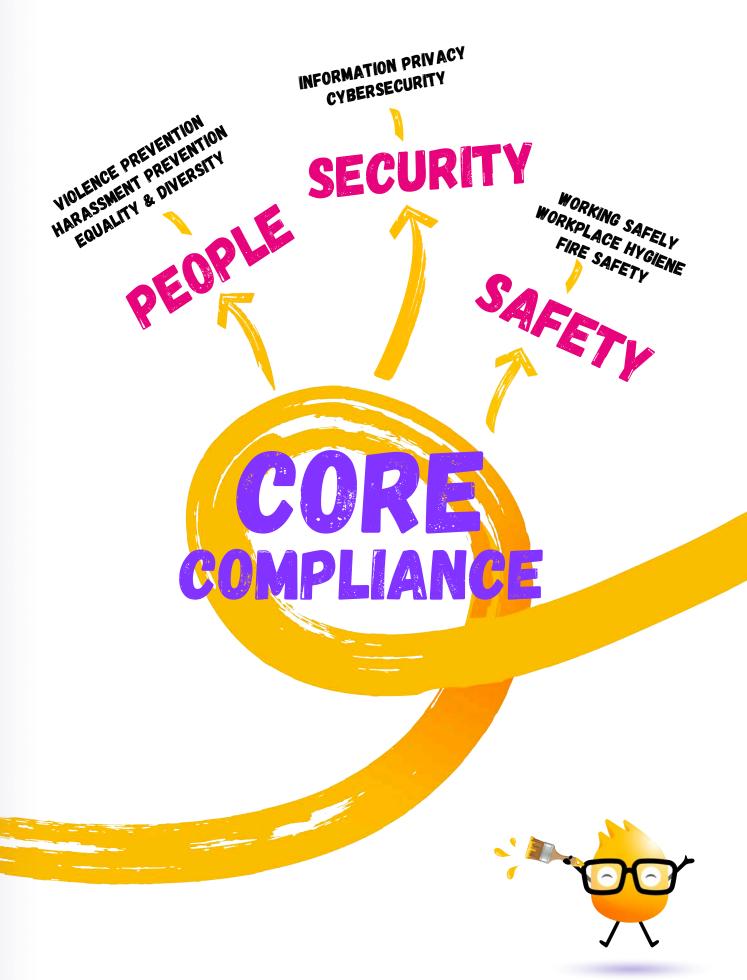
Compliance training is indispensable for organizations aiming to maintain ethical standards and legal adherence.

However, the scope of topics that compliance trainings need to cover – which we'll list for only three industries, below – can be extensive and overwhelming!

A simple way to think about compliance training fundamentals is by focusing on three key areas: your people, their safety, and your organization's security. These three fundamental criteria for compliance are consistent across most businesses, affect most employees, and should be at the core of any effective compliance program.

When building a compliance training program, start with these fundamental considerations before choosing the appropriate training topics for your region(s) and industry.









Compliance best practices by industry:

Healthcare

In the healthcare industry, compliance training is crucial to ensure patient safety, data security, and regulatory adherence across different countries and regions. The list of best practices below is not exhaustive, but may help you start thinking about areas of focus for your healthcare compliance trainings:



International regulatory frameworks

Effective compliance training in different countries may cover a variety of applicable regulatory frameworks. These include, but are not limited to, training on regulations such as the Health Insurance Portability and Accountability Act (HIPAA) in the United States, the General Data Protection Regulation (GDPR) in the European Union, and other country-specific regulations.



Ethical conduct and professionalism

The importance of <u>ethical conduct</u> and professionalism in healthcare can be reinforced through compliance training, with courses that focus on ethical principles, <u>patient rights</u>, informed consent, conflicts of interest, and maintaining professional boundaries.



Clinical guidelines and best practices

Effective compliance training helps healthcare workers understand clinical guidelines and best practices established by international healthcare organizations – such as the World Health Organization (WHO) and the Centers for Disease Control and Prevention (CDC) – and may cover topics such as infection control, medication safety, medical record documentation, and evidence-based practices.



Data privacy and security

Ensuring the security of patient data is paramount in healthcare. Effective compliance training may address data privacy and security regulations, such as the GDPR and HIPAA, while training employees on data handling practices, encryption methods, access controls, and incident response procedures.



Cross-cultural competence

Fostering <u>culturally competent</u>
<u>care</u> and sensitivity to diverse
patient populations is another
potential benefit of compliance
training in healthcare. The best
healthcare compliance training
helps healthcare workers provide
culturally appropriate care that
addresses health disparities.



COURSE HIGHLIGHT:

HIPAA Privacy & Security Basics

Learn the basics of the Health Insurance Portability and Accountability Act (HIPAA) and how to comply with the rules to avoid security breaches and fines.

Learn more

Compliance best practices by industry:

Financial services

In the financial services industry, compliance training is crucial to ensure regulatory adherence, risk management, and ethical conduct. The list of best practices below is not exhaustive, but may help you start thinking about areas of focus for your financial services compliance trainings:



Know your customer (KYC) and anti-money laundering (AML)

Compliance training can help financial professionals understand the importance of KYC and AML procedures which are in place to ensure that employees verify customer identities, assess risk profiles, and detect and prevent money laundering and terrorist financing activities. Consider covering regulatory requirements, red flag indicators, and reporting obligations in your finance compliance training.



Regulatory compliance

Compliance training as it applies to the financial services industry may vary by region, but examples of such regulations may include the Dodd-Frank Act, the Securities Exchange Act, Consumer Financial Protection Bureau (CFPB) regulations, <u>Sarbanes</u>-Oxley Act of 2002 (SOX) for transparent disclosure of financial information, or the Payment Card Industry Data Security Standard (PCI DSS) for handling credit card information. Consider including consumer protection, fair reporting requirements, record-keeping, and disclosure obligations in your finance compliance training.



Investment and trading compliance

Compliance training that addresses regulations related to investment and trading activities may vary by region. Examples of such regulations may include, but are not limited to, the Investment Advisers Act, the Securities Act, or the Commodity Exchange Act. Training topics for investment and trading compliance may include insider trading, market manipulation, conflicts of interest, and compliance with trading rules and regulations.



Risk management

Compliance training could equip employees with risk management practices specific to the financial services industry, if you include training that helps learners identify, assess, and mitigate risks related to investments, lending, cybersecurity, operational processes, and regulatory compliance.



Code of conduct & ethics

The importance of ethical conduct and professionalism in financial services can be reinforced through compliance training. Topics for compliance trainings may include conflicts of interest, confidentiality, fair competition, insider trading, and responsible use of customer information.



COURSE HIGHLIGHT:

Cybersecurity Overview

Define cybersecurity and give you tips on how to identify threats as well as the role employees play in defending those threats.

Learn more



Whistleblower protection

Help employees understand their rights and the importance of reporting potential misconduct by including whistleblower protection laws and reporting procedures in your compliance trainings.



Data protection & privacy

Compliance training that addresses data protection and privacy regulations may vary by region. Examples of regulations that may be covered by your compliance training include - but are not limited to - the Gramm-Leach-Bliley Act (GLBA) or the European Union's General Data Protection Regulation (GDPR). Consider exploring data security training topics like data classification, secure data handling, encryption, identity and access management, incident response, and customer data protection.





Market conduct & fair practices

Help employees understand their responsibilities in treating customers fairly and avoiding discriminatory practices by providing compliance training that covers market conduct regulations and fair practices in the financial services industry. These trainings may include topics like fair competition, antitrust, fair lending, fair debt collection, fair pricing, and fair advertising practices.



Compliance best practices by industry:

Information Technology

In the IT industry, compliance training is crucial to ensure data security, privacy, and regulatory adherence. The list of best practices below is not exhaustive, but may help you start thinking about areas of focus for your IT compliance trainings:



Data protection & privacy

Compliance training as it relates

to data protection and privacy regulations vary by region, but may cover regulations such as the General Data Protection Regulation (GDPR) or the California Consumer Privacy Act (CCPA). Consider including data protection and privacy trainings that cover topics like data classification, secure data handling, encryption, access controls, data breach response, and employee responsibilities in safeguarding customer data.



Cloud computing & data storage

With the increasing adoption of cloud services, compliance training needs to address the unique challenges and considerations of cloud computing. Trainings might cover topics like data sovereignty, data transfer agreements, vendor management, and ensuring compliance when using cloud-based services.



IT governance & risk management

Consider addressing IT governance frameworks, such as COBIT (Control Objectives for Information and Related Technologies), in your IT compliance training program. Topics for IT compliance training may include IT policies and procedures, risk assessment, compliance audits, change management, and disaster recovery planning.



Software licensing and intellectual property

To help employees understand the importance of respecting copyright restrictions and protecting proprietary information, compliance training should explore topics like software licensing agreements, copyright laws, and intellectual property protection.



Cybersecurity awareness

Compliance training on cybersecurity best practices may include topics such as identifying and mitigating cyber threats, secure coding practices, social engineering, phishing awareness, password management, network security, and incident response procedures.



COURSE HIGHLIGHT:

General Data Protection Regulation

Get examples and tips on how organizations can reinforce GDPR compliance in their day-to-day work.

Learn more



Incident response & data breach management

Training on incident response procedures and data breach management is also a consideration for IT compliance training programs. Topics for these trainings may include incident identification and reporting, containment measures, forensic investigations, customer notification requirements, and post-incident analysis for continuous improvement.



Code of conduct & professional ethics

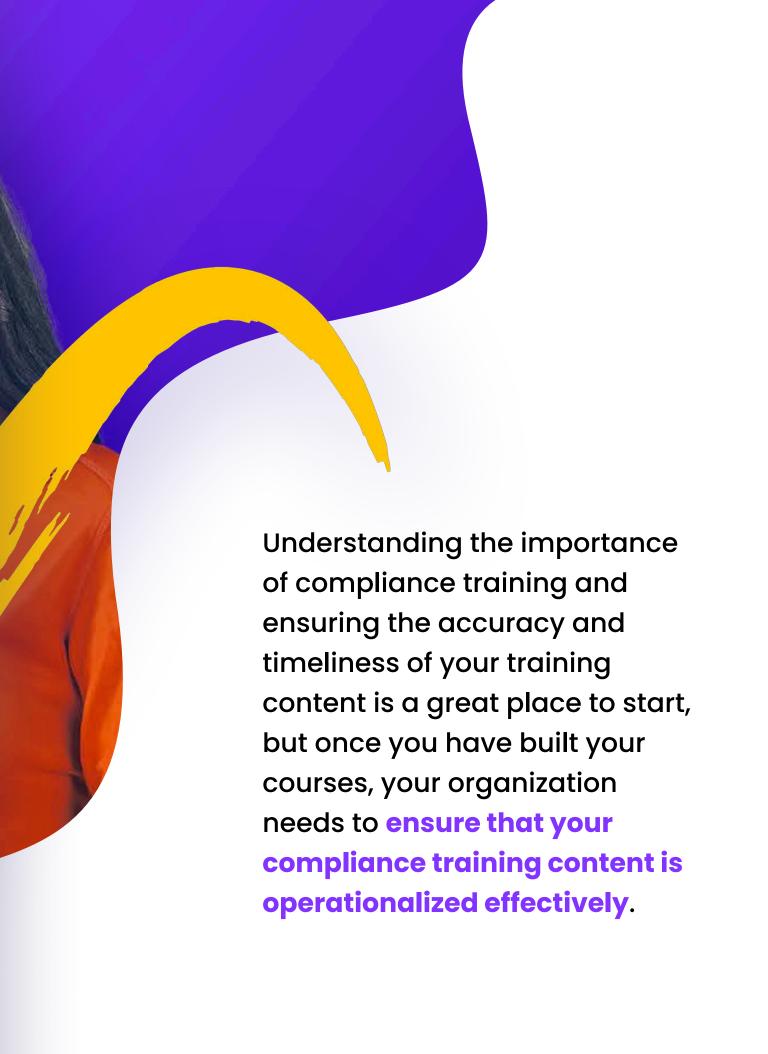
The importance of code of conduct can be reinforced through compliance training. Topics for compliance training may include conflicts of interest, confidentiality, integrity, professionalism, and responsible use of technology resources, including the use of generative artificial intelligence.

By understanding how these best practices apply to your industry and business, and ensuring your employees are well-informed of their compliance responsibilities, your organization could save time, money, and administrative headaches.

Remember, the legal and regulatory landscape can change, so it's essential to stay updated with the latest developments and adjust compliance training programs accordingly. Consulting with legal experts who specialize in regulatory and industry compliance in your region can ensure accuracy. Depending on the size of your organization and the bandwidth of your L&D teams, keeping up to date with the latest compliance requirements can be a challenge. Litmos offers a comprehensive library of off-the-shelf compliance courses that are regularly updated, so that your L&D team can focus more on driving learning results.

View course library







Improve Learner Engagement

Lack of employee engagement is a common challenge in compliance training. Employees may view compliance training as boring or irrelevant, leading to low participation and retention rates. Employees not engaged during compliance training may not retain the information being presented and may need help understanding the importance of compliance in their work. Here are some strategies that L&D leaders use to improve employee engagement. Use these to boost engagement in your compliance training program.



Provide clear objectives

Clearly communicate the objectives and expected outcomes of your compliance training and add compliance training completion metrics to your individual learner and organizational goals. Taking these steps will illustrate your organization's commitment to compliance and let employees know what they will gain from the training.



Make it relevant and accessible

Show your employees how compliance relates to their daily work and the impact it has on the organization using real-life examples and case studies that relate to their job functions. Make course materials available on mobile and offline, to ensure that learners can participate in training anytime, anywhere. Learners who use Al-powered learning tools like the Litmos Al Playlists can more easily find, summarize, or recall key points from critical compliance training, without combing through search results or asking a manager.



Offer bite-sized learning

Break down the compliance training into smaller, digestible modules or microlearning sessions. This approach allows employees to learn at their own pace and fit the training into their busy schedules.



Provide ongoing support

Offer resources and support materials that employees can access after the training. This can include job aids, reference guides, and online forums where employees can ask questions or seek further guidance.



Make learning stick

You can improve learner retention by re-training and providing tools that help learners reinforce core concepts. Push out quiz questions to learners within weeks or months of completion using Litmos' Boost feature, to see if learners have truly retained critical compliance information. Enabling the Litmos Al Assistant can also help learners access instant summaries of their completed training sessions, anytime, anywhere.



Cluster compliance training for a smooth learning experience

Litmos Learning paths package multiple related courses together in a specific order. This means that when you add a variety of workplace safety compliance courses into a learning path, each course would only be accessible by completing the one before it. Keeping related courses in the same learning path allows employees to move through a series of modules more quickly and easily, without leaving the platform. Learners can also create their own custom playlists using the Litmos AI Playlist tool, by simply asking the AI Playlist to create a learning path about their compliance topic of choice.



Use interactive, multimedia learning methods

Incorporate interactive elements into the training, such as quizzes, case studies, and simulations to encourage active participation and application to practical scenarios. Multimedia elements, such as videos, infographics, and interactive presentations also make the training visually appealing and engaging.



Gamify the training

Incorporate gamification elements, such as leaderboards, badges, and rewards to make the training more engaging, enjoyable, and motivating to employees.



Lead by example

Ensure that leaders and managers actively participate in the compliance training and demonstrate their commitment to compliance. When employees see that their leaders value compliance, they are more likely to engage and take it seriously.



Evaluate and seek feedback

Regularly assess the effectiveness of the compliance training and gather feedback from employees. Use your LMS's reporting tools to understand learning metrics and trends, and use learner surveys or focus groups to identify areas for improvement.



Leverage LMS tools for course creation and implementation

Limited resources pose a significant challenge in compliance training. It can be time consuming and costly to create and maintain a compliance training program, especially for organizations that may lack specialized legal knowledge or resources.

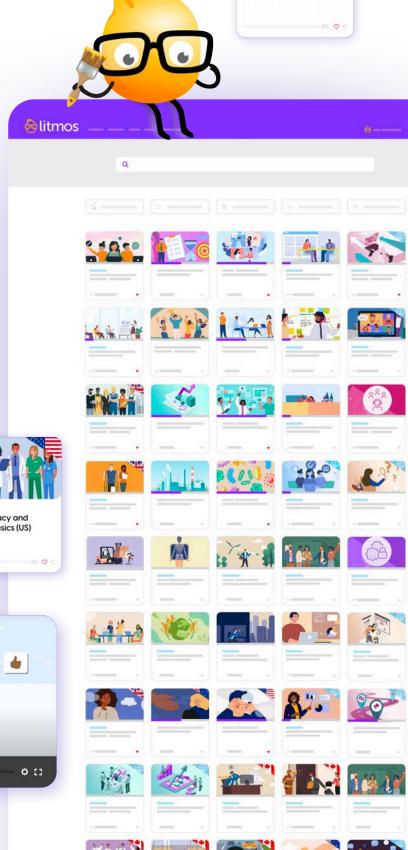
In SAI's 2023 Healthcare Compliance <u>Benchmark Survey</u>, 55% of respondents stated that compliance needs are increasing faster than resources to address them. Compliance training is crucial for helping employees understand the laws, regulations, and company policies that might reduce risk and reputational harm.





OF RESPONDENTS STATED THAT COMPLIANCE NEEDS ARE INCREASING FASTER THAN RESOURCES TO ADDRESS THEM. Use online training platforms that offer pre-built compliance courses, Alpowered learning tools, automation features, and administrative support to reduce the strain on your resources. Litmos offers a diverse library of off-the-shelf learning content, and embedded Al features that make learning management more efficient, so that your team can focus less on administrative tasks and more on driving learning results!

Litmos offers a diverse library of off-the-shelf learning content, so that your L&D team can focus on driving learning results.



Measuring Diversity,

Equity, and Inclusion







Connect your LMS with the rest of your tech stack

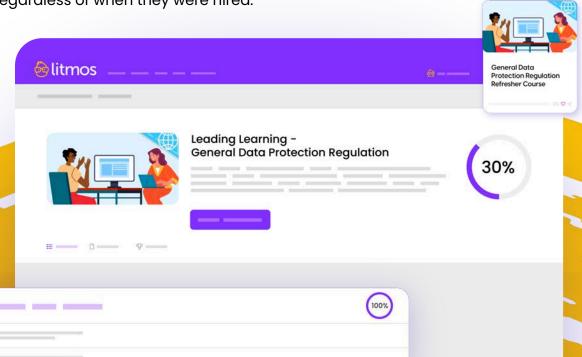
Create a consistent experience for your learners, while integrating learning outcomes with your business goals. Litmos Training LMS plays well with others! Admins can integrate Litmos with other systems such as CRM or HR management software using any of the 50+ connectors or the API.



Standardize and centralize learning for consistency

CCompliance requires all employees across an organization to receive the same level of training, and that all employees grasp their responsibilities and the consequences of non-compliance. Inconsistency in training may lead to disparate interpretations of rules and regulations, which could lead to a lack of clarity.

Using standardized, centralized training materials and implementing an employee-wide onboarding program could help your organization create a more consistent and cohesive compliance training program. Also, consider offering refresher trainings to ensure that all employees have a consistent and up to date understanding of compliance information, regardless of when they were hired.



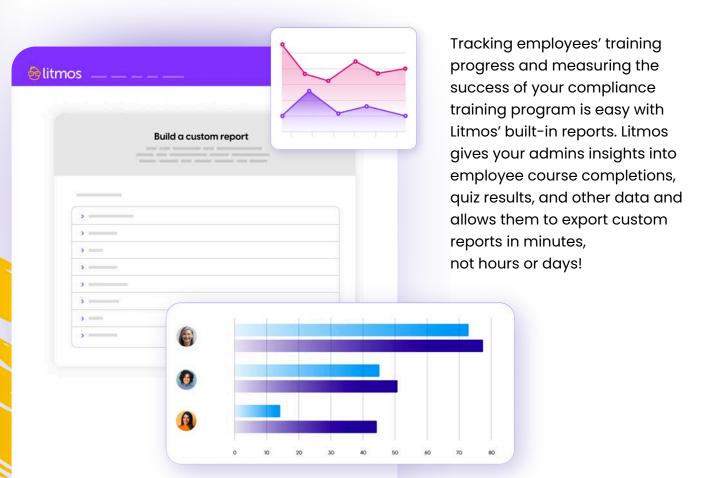


Use robust tracking and documentation tools

Tracking and documenting training is critical for compliance training but remains a challenge for many organizations. KPMG's CCO Survey reported that while 84% of organizations provide enterprise-wide compliance reporting, only 47% of CCOs say their organization has a reporting system that is integrated with compliance monitoring and across functions and business units.

Having a static annual report on compliance training metrics is one thing, but does your organization actively monitor the progress of your employees as they complete trainings? Assessing dynamic data regularly can help improve employee completion rates and could provide regulatory bodies with data that demonstrates compliance.

Consider ditching your manual processes, which could lead to more human error in reporting, and look into centralizing your learner data so that documentation of employee training and completion rates is all in one, easy-to-access place.





Keep content updated and accurate

Keeping up with changes in compliance is another common challenge facing HR and L&D leaders. Laws, regulations, and company policies are constantly changing, and ensuring that employees are up to date on the latest information can be tough. Depending on the resources available in your organization, manual reviews and updates on compliance training isn't always possible, and certain updates can fall through the cracks.

If you have the resources, consider designating leaders within your organization who can assess your current compliance courses and learning for regional, legal, and regulatory accuracy. Using pre-built compliance content can help fill in the gaps when resources are tight, but make sure that any off-the-shelf compliance training you use is up to date.



Make compliance deadline-driven

Get the timing right by ensuring your employees are compliant before a certain date. Litmos' compliance date feature keeps your learners from falling through the gap, by letting admins set firm and dynamic time-based criteria for employee compliance. Compliance can be determined by date of completion, date assigned, or end date. Admins can also set up rolling completion dates. Litmos will automatically send a notification by email or SMS to any learner who does not complete courses within the date parameters, to inform them that they are falling out of compliance and put the course on their to do list. Managers can additionally see which employees are overdue for compliance training.



Set clear goals for measuring compliance training impact

Does your organization know the impact of its compliance training? A recent KPMG CCO survey reports that only 29% of organizations actively assess the compliance proficiencies and skills of their staff on an ongoing basis. Measuring the efficacy of any training program is the best way to identify improvement areas and ensure your training meets its goals.

To understand the impact your training may have on employees, you can use surveys, focus groups, and other evaluation methods. This can help your team understand what knowledge has been retained by your employees and identify areas for improvement.

Your leadership team might also want to review any compliance incidents that occur before trainings, and track trends in incident reporting. Seeing a spike in incident reporting after implementing a compliance training program isn't necessarily a bad thing; it may mean that those employees have more awareness of compliance issues post-training and feel compelled to report. A company that has no incidents isn't an indicator of perfect compliance, it's potentially an indicator that employees are too afraid to report, or they think a report won't be taken seriously by management.

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OF ORGANIZATIONS ACTIVELYASSESS THE COMPLIANCE PROFICIENCIES AND SKILLS OF THEIR STAFF ON AN ONGOING BASIS.



Provide training materials in multiple languages and consider cultural differences when developing training materials and methods. To make your employee learning experience unique, consider leveraging embedded Al learning tools like the Litmos Al Assistant, which instantly provides learners with accurate and sourced responses to course-related questions. Create learning paths and utilize any customization options your LMS provides, including but not limited to: Al-powered content authoring tools, templates, embedded content, and content globalization/translation.





Empower managers

Compliance training requires informed and empowered managers. Give your managers the tools they need to get information at a glance and keep distributed, remote, or hybrid teams on task. Consider leveraging AI tools like the Litmos AI Assistant to automate compliance course assignment and progress reporting. Other one-click solutions from Litmos can help managers notify staff of upcoming or overdue training via email or SMS, approve proposed trainings, review escalations, and run ad hoc reports for compliance.



Align AI tools and AI usage to the latest regulations and company policies

In the age of AI, companies are scrambling to protect their Intellectual Property (IP) and keep their data secure. Whether your organization is restricting the use of Large Language Models (LLMs) or establishing company-wide policies for leveraging AI tools in the workplace, you should be examining the latest regulations and best practices for your industry and region while communicating the importance and implications of your AI policies to every member of your organization. Any AI tools or solutions you integrate into your tech stack should be vetted by leadership to ensure that they meet your company's ethical, privacy, and security standards for AI.







At Litmos, we believe that compliance doesn't have to be a chore, and that making your workforce compliant is so much more than checking off a box.

Companies trust Litmos compliance training LMS for many reasons, including its notable security certifications, data encryption, high availability deployments, strict authentication, and application security. Plus, it automates much of the management of the learning program. L&D professionals can focus their time and attention on ensuring compliance courses are current, keeping employee training up-to-date, and monitoring other important performance measures.

Whether you're starting from scratch or taking a fresh look at your compliance training program, we hope that this guide provided the insights your team needs to get started.



Sources

Reimagining Compliance Training: A New Learning Experience to Drive Performance https://membership.brandonhall.com/blog/reimagining-compliance-training-a-new-learning-experience-to-drive-performance-research-summary/

Al's 2023 Healthcare Compliance Benchmark Survey

https://www.sai360.com/resources/grc/healthcare-grc/2023-healthcare-compliance-benchmark-report-whitepaper-pdf?mkt_tok=NzYwLVIORy010TkAAAGOUjWMRtuto6kdbl_9n_vSvFoWSoCbxn4_I6RVIop36Oig41kqWmozjFhNdYG3YZ68-A_Rd4zNeLHhk36AODSR_QJpuxb8GueyZs8dxRE4TszU

KPMG's CCO Survey

https://assets.kpmg.com/content/dam/kpmg/pa/pdf/compliance-journey-survey-2017.pdf



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Start a free trial

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