

Compliance Training Checklist

360books

As an L&D leader, one of the key challenges of compliance training is organizing learning interventions into a regular framework that makes sense for your employees and the business.

A consistent compliance training framework allows you to ingrain compliance into your organizational culture. To make this a reality, you need to organize ongoing training with a sustained focus to educate teams on a suite of critical topics, whilst also making it easy for **L&D teams to manage the process from start to finish.**

With this in mind, we've created a **compliance training checklist** that highlights what to include in your compliance training program, when employees should take the training, and why it's important for them to do so.

What is compliance training?

Compliance training refers to any employee training course mandated by policy, regulation, or legislation. It educates employees on various issues, including safety, legal, cultural, or company procedures and regulations. Compliance training also **ensures that employees know how and why they must adhere** to the set regulations at work.

Cultural training

Cultural training in the workplace is an in-house process of **increasing employee awareness of the need to acknowledge and appreciate the unique cultures in the organization.** It also covers organizational culture, which is the collection of practices, values, and expectations guiding and informing employees' actions.

Your cultural compliance training should include the following:



Mission and Vision: Your organization's vision describes what you hope to achieve or become in the future, while a mission is a broad statement about your goals. The two highlight **your values, aspirations, and goals**. Communicating your mission and vision should begin during a new hire onboarding. You can also consider **offering this course to employees on an annual basis as a refresher**.



Onboarding training: The onboarding process helps new employees acquire the **knowledge, behaviors, and skills to become effective contributors**. Onboarding programs should take place whenever a new employee joins the organization or when people move roles internally.



Employee benefits: Employee benefits are the direct and indirect compensation your teams attain that are not part of their regular remuneration. Employee benefits training **should happen during onboarding or whenever there are changes to the company's policy** on employee benefits.




Skills training: Skills training provides employees with the knowledge and abilities they **need to fulfill their jobs' specific roles and responsibilities**. Training should occur regularly to upskill new employees whenever you onboard new systems, processes, or technology.



Coaching: Workforce coaching helps employees become career self-reliant, allowing them to adjust to changing business demands. Career coaching is an ongoing **necessity that should occur regularly and when needed**.



Environmental awareness: Environmental awareness training looks at the problems our environment faces and addresses our workplace responsibilities **to help reduce adverse effects**. The recommended industry best practice is annual training and certificate renewal.




Mental health awareness: Mental health awareness training in the workplace **raises awareness of ill-mental health such as stress, anxiety, and depression, provides guidance and tools for daily wellbeing-management, and helps remove the associated stigma.** Mental health awareness training should occur annually with accessible counseling sessions available when required.

Substance abuse: Substance abuse training covers alcohol abuse, misuse of prescription drugs, use of illicit drugs, how to identify the signs of substance abuse, and how to offer support to teammates who may need it. Training should occur annually.


Legal training

Legal training helps **give employees information regarding their rights on the job, as well as their responsibilities.** It encompasses several regulatory bodies related to the industry and covers issues such as best hiring practices, conflicts of interest, corporate compliance, and regulatory compliance.

The legal compliance training you need to offer your employees will **depend on location and/or industry but can include:**



✓ GDPR: GDPR is a European Union (EU) law **requiring appropriate data protection training for personnel with regular or permanent access to personal data.** It governs how you can store, use, and process personal data and should occur during employee induction and regularly, at least once annually. Even if your organization is based outside of the EU, if you conduct business in the EU, you will need to abide by GDPR law.



Ethics: Organizational or business ethics are the values, standards, and principles guiding your employees' individual and group behavior. Policies on ethics **help manage and steer business activities and situations to avoid the risk of illegal or unacceptable practices**, and should occur during onboarding and annual refresher training.

HIPAA (US law): HIPAA is a federal privacy law **requiring organizations to abide by national standards protecting the disclosure of sensitive patient health information without their consent or knowledge**. Therefore, training should occur during employee induction and regularly, at least once annually.

HR law (US law): Human resource laws are federal and state laws governing HR management and employment issues like compensation, development, recruitment, and placement. **It should occur during employee induction and regularly, at least once annually**. Countries outside the US have their own legal frameworks for human resources, which companies may also need to take into account when setting compliance training.

International Organization for Standardization (ISO): ISO training educates employees on meeting the latest ISO standards and maintaining quality management systems. **It should occur during employee induction and regularly, at least once annually**.

Manual Handling (UK law): Employers must ensure employees are trained and competent in manual handling where applicable before starting work. **This training should occur during employee induction and regularly, at least once annually**.

Safety training

Safety training aims at **improving employees' psychological and cultural safety**. Organizations like OSHA mandate safety training for specific industries, while others are a matter of company policy. Occupational **safety training should be enforced across the organization**.

Your safety compliance training checklist should include the following:



Workplace safety (OSHA): Workplace safety involves providing a safe working environment and safe equipment, policies, **and procedures to ensure your employees' health and safety as defined by OSHA**. In addition, OSHA requires employers to train workers before they start their job and do re-training annually.




First aid: First aid in the workplace involves providing initial treatment or life support for injured or ill people. In addition, **trained first aiders should complete a refresher course every three years to maintain their basic skills, stay updated with legal changes**, and retain their confidence and certification.



Workplace violence prevention: Workplace violence prevention training provides **employees with the tools and education to prevent, defuse, and handle potentially violent situations and ensure workplace safety**. Workplace violence prevention training should occur regularly or at least once annually and include regular drills.



Harassment prevention training: Harassment prevention training teaches your employees **how to recognize workplace harassment and react to incidents and their effects**. It aims to provide a safe and comfortable workplace and should occur regularly, at least once annually.



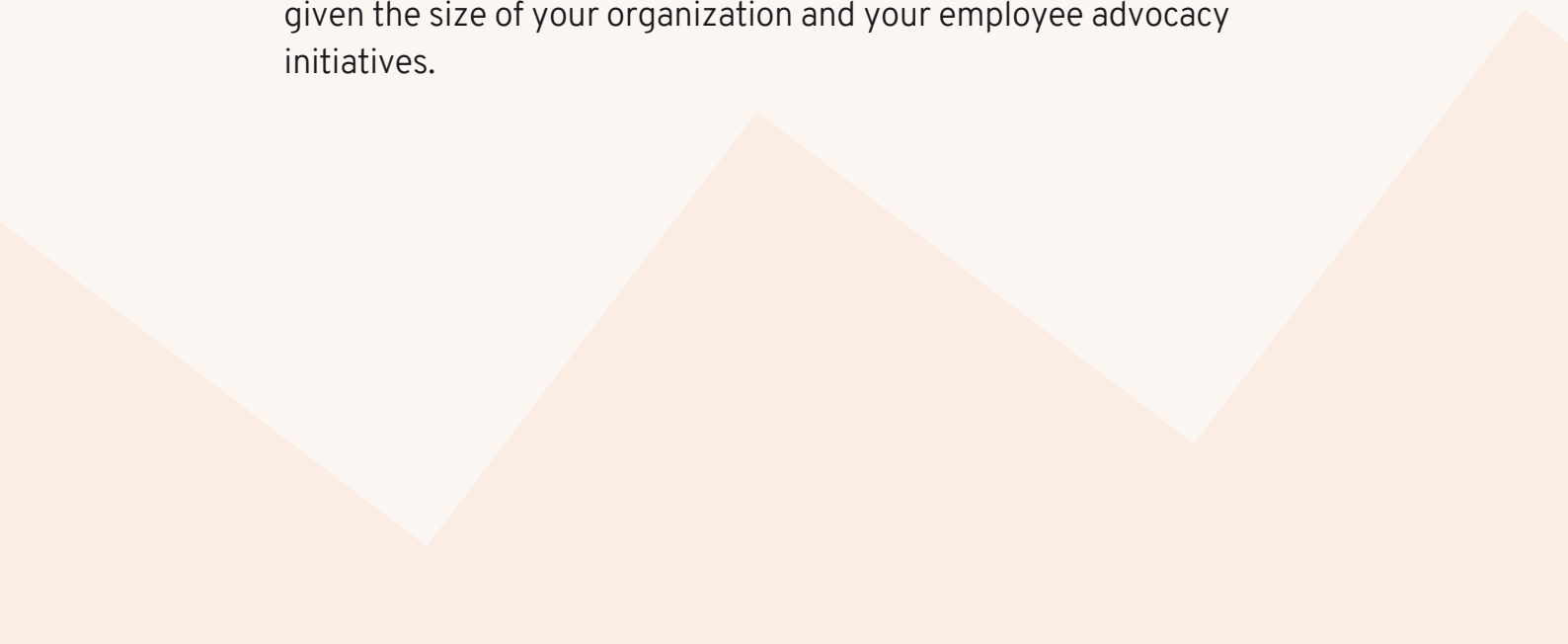
Anti-sexual harassment training: Anti-sexual harassment training focuses on **educating employees about sexual harassment incidents and the concept of an extended workplace and encourages reporting incidents.** Training should occur regularly or at least once annually.

Diversity: Diversity is the representation of an organization's **make-up and includes or involves people from various social and ethnic backgrounds, sexual orientations, and genders.** Training on how to reflect an organization's commitment to diversity and inclusion (for example, identifying and managing unconscious bias in decision-making) should occur regularly or at least once annually.

Inclusion: Inclusion is how well an **organization values and integrates the contributions, perspectives, and presence of different groups of people.** Inclusion training (for example, how individuals can help to build and maintain a culture of inclusion and belonging) should occur regularly or at least once annually.

Phishing protection: Phishing awareness training covers phishing attacks and **educates employees on identifying suspected attempts and protecting themselves and the organization from cybercriminals.** Phishing protection training should occur regularly, at least once a year.

Social media training: Employee social media training has several advantages, **such as expanding their professional network and keeping up with industry trends.** A recurring training cadence is recommended, given the size of your organization and your employee advocacy initiatives.



Conclusion

For L&D teams, compliance training can sometimes feel like an endless and time-consuming job. What's more, without a clear process, you may end up skipping essential mandatory training leading to non-compliance consequences.

You can manage this risk by following this compliance training checklist. And when you're ready, start automating aspects of your compliance training. [See how 360Learning](#) can help you get rid of the admin busywork once and for all.

