

**BIZ**  **LIBRARY**

# Creating a Culture of Compliance Playbook:

Your 101 Guide for  
Building a Robust  
Compliance Program



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# Welcome!

Welcome to the Creating a Culture of Compliance Playbook, your guide to ensuring employees at your organization adhere to the guidelines in place at your organization! This comprehensive guide will walk you through suggested content topics, knowledge check-ins, and assessments aimed at providing your employees with essential tools to ensure your workplace stays risk-free.

We highly recommend using the content topics and activities in this guide for an optimal training experience. The content and activities can be tailored to your company's specific needs and are meant as a starting point for compliance training in your organization.

Let's get started!



# Use Case

How can the Compliance Playbook uphold your organization's reputation and trust?

Ensuring your employees know how to follow your organization's regulations, policies, and commitment to the law has never been more important. Your clients rely on you to be the leader in your industry and your employees rely on you to feel protected while at work.

The [EEOC](#) reports that in 2020 there were **6,587 workplace sexual harassment charges filed costing companies a total of 65.3 million dollars**. Additionally, [IBM](#) notes that a **data breach can cost an organization 3.86 million dollars**. Reports of any of the above plus other failure-to-comply scenarios (discrimination, wrongful termination, workplace safety claims, etc.) are costly to organizations not only financially, but reputationally as well. So, in order for your employees to continue to operate lawfully and respectfully; compliance training must not only be mandatory but understood in a way that resonates and sticks with your employees.

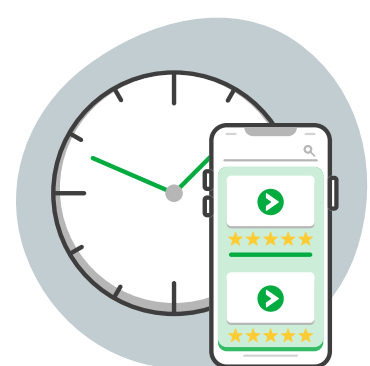
Enter the **Creating a Culture of Compliance Playbook**.

This ultimate how-to guide is your blueprint for creating a culture where everyone looks out for each other, rather than only themselves! It outlines the topics that employees need to understand and know how to respond to that are important to their organization.

In this guide, you will receive:

- ▶ Guidance on how to set up your program to achieve optimal results
- ▶ Actionable email templates to launch your program
- ▶ Recommended courses to create understanding amongst your learners
- ▶ Knowledge check-in opportunities
- ▶ And more!

So, let's dive in! We can't wait to hear about all the success your Creating a Culture of Compliance Program will bring.



# Who? What? Where? When? Why? How? Tips to boost your Creating a Culture of Compliance Program.



## Who will get the most out of this guide?

This guide is set up to create a culture of compliance within your organization. No matter what level your employees are at, they must spend time learning how to adhere to laws and standards set forth by your state, industry, and/or organization. As each topic of compliance is outlined, we also give guidance on who it should be distributed to, i.e. supervisors, individual contributors, HR personnel, etc. Also, this guide is for HR and L&D trainers who want to implement transformative compliance training that is beyond just “checking the box”. Organizations with these types of programs statistically have a better company culture, lower turnover, and higher rates of success!

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## Whose support does your program need?

No matter what program you’re trying to implement, it is vital to have the support of C-suite or VP leadership. Here are some key points you can mention when presenting the importance of having a robust online compliance training program:

- **Saves time and money:** the time and cost savings are tremendous when you use an online off-the-shelf content library with instructor-led training rather than having to develop your own content.
- **Up-to-date content:** compliance regulations change frequently. If you’re looking for up-to-date compliance courses, BizLibrary is consistently updating our content to stay compliant with specific regulations and films new content based on client requests.
- **Easy accessibility:** employees are more on-the-go than ever, so to achieve maximum participation, implementing a program that can be taken wherever is vital to success. Additionally, allowing them to take it when it fits in with their schedule best, rather than needing to attend a live version, better allows for full completion of the program on time.
- **Built-in reinforcement:** the content outlined in this program has quizzes and reinforcement within the delivery of your program. This allows for better retention of information and a better understanding of how to apply the content being learned to real-life scenarios.

From these key points, it is obvious that training employees on compliance topics should be a top priority to ensure all laws and guidelines are met. When securing buy-in from key supporters, it is also important to show how you will measure success. Keep reading to learn how we recommend you measure success!



## What can you expect to gain from this guide?

From this guide, you can expect learners to become employees who care about following compliance protocols so they know not only how to protect themselves in complex situations but others as well.

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## Where should this training take place for optimal success?

The following program is set up to be executed through a combination of mediums- self-study video lessons, quizzes, and virtual/in-person knowledge check-ins.

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## When should training be completed?

The topics outlined in this playbook should be reviewed and tested on at least annually. When you disperse this training to your employees, it may depend on your local and state laws. Please consult your legal department/state guidelines to know when you need to show proof of your organization's annual compliance program completion.

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## Why does training on compliance matter?

At the end of the day, what is most important to an organization is that the employees know how to behave appropriately so that their coworkers are treated kindly and fairly. Ensuring your employees know how to respond to situations like the ones outlined in this playbook can protect you from a loss of capital and brand reputation.

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## How can you measure the success of your program?

Measuring ROI is an important part of implementing and maintaining impactful training programs. Below are some suggestions on how to measure the success of your compliance training program.

### 1

#### *Level 1: Reaction, Satisfaction, and Intention.*

- Evaluate the response from learners – specifically, how they felt about the training course materials and activities.
  - At this level, you should also measure engagement from your learners. Do you have 100% participation? If not, you may need to reach out to learners for more information on what they need to give the necessary time and attention to the program.
    - Some common issues learners face are:
      - not enough allotted time to complete training,
      - excess stress and responsibilities,
      - difficulty with work/life balance, and
      - fear of speaking up when they don't understand a concept.
- 

### 2

#### *Level 2: Knowledge Retention.*

- Measure how effectively the information was absorbed by your learners. Typically, this is done through testing like the built-in quizzes and knowledge reinforcers.
- 

### 3

#### *Level 3: Application and Implementation.*

- Measure the degree to which your training has influenced the behavior of the participants, and how they are applying their new knowledge to their jobs. A great way to do this is by sending periodic knowledge check-ins throughout the year to ensure your employees know how to respond in certain situations.

#### 4 *Level 4: Business Impact.*

- ▶ Measure the impact your training has had at the business level and get a clear sense of ROI for your training program. If you are looking for a deeper dive into evaluating training in your organization, download the [free ROI ebook!](#)
- ▶ At this level, you should start seeing measurable results that you can show to your C-Suite and VP-level stakeholders!

#### 5 *Level 5: Return on Investment (ROI) Calculator.*

Here is a simple formula for calculating ROI. You can also use our ROI workbook to help you put together unique KPIs for measuring ROI at your organization. [Check it out here!](#)


$$\frac{\text{Return (Benefit)}}{\text{Investment (Cost)}} = \text{ROI}$$



# Using this guide for optimal success.

The following topics are designed to educate your employees on subjects that lead to a fully compliant organization by outlining necessary outcomes with suggested learning content. You should also consider including some interactive activities to diversify the learning methods of your program and make a deeper impression on your learners. Check out our [Compliance Training Activity Guide](#).

We recommend following these topics to ensure your compliance program goes beyond checking the box.

 Please note: this compliance program covers the basic topics that are needed in all 50 U.S. states. You may need to consult your legal department and state/local/industry guidelines to ensure you do not need to add additional learning topics. Furthermore, this compliance playbook was created for U.S. learners only, and other countries may have separate compliance requirements for you to consider.

## 1 Topic 1- Cybersecurity Best Practices

*Your learners will walk away understanding best practices when it comes to:*

- Passwords, email scams, and safe internet usage
- Mobile usage in and out of the workplace
- Lost or stolen devices
- Data protection
  - HIPAA (healthcare profession)
  - Privacy Protection (handling email subscriptions and consumer data in U.S.)
  - GDPR (data protection and privacy in the EU)

## 2 Topic 2- Safety Protocols

*Your learners will walk away understanding best practices when it comes to:*

- In-office safety
  - First-aid
  - Fire Safety
  - Active shooter

*Please note that the above gives a high-level overview of safety protocols for workplaces. To create a more robust training program, especially for healthcare and manufacturing industries and those that have OSHA guidelines, please consult our [Creating a Safe Workplace Playbook](#).*

### 3

## Topic 3- DEI

*Your learners will walk away understanding best practices when it comes to:*

- Working with other cultures, ethnicities, beliefs, genders, generations, abilities, and lifestyles
- Representation of different demographics

*Please note that the above gives a high-level overview on DEI topics related to the workplace. To create a more robust training program, please consult our in-depth **DEI Playbook**.*

### 4

## Topic 4- Anti-Harassment

*Your learners will walk away understanding best practices when it comes to:*

- Definitions of the following:
  - Harassment
  - Sexual harassment
  - Bullying
- Response to harassment incidents
- Intervention strategies

### 5

## Topic 5- HR and Hiring / Recruiting Compliance

*Your learners will walk away understanding best practices when it comes to:*

- **Workplace discrimination laws**
  - Americans with Disabilities Act
  - Age Discrimination in Employment Act
  - Equal Pay Act
  - Pregnancy Discrimination Act
- **Workplace safety laws**
  - OSHA
  - Workers compensation
- **Wage and hour laws**
  - Fair Labors Standard Act
  - Family and Medical Leave Act
- **Employee benefit laws**
  - Affordable Care Act
  - Consolidated Omnibus Budget Reconciliation Act (COBRA)
  - Health Insurance Portability and Accountability Act

### 6

## Topic 6 – Additional Topics You May Want to Consider

*Your learners will walk away understanding best practices when it comes to:*

- Romantic relationships in the workplaces
- Drug and alcohol policy

## Activity Instructions

The activity ideas included in this playbook are designed to function like learning boosters and level up your compliance training program from just watching online videos. To start, choose some activities from our [Compliance Training Activity Guide](#) or the list below to include throughout your program.

We encourage you to tailor these activities to fit the needs of your organization, adding or changing them based on your unique set of desired business and learning outcomes.

### 1 Idea 1 – Insert Your Organization’s Code of Conduct

Reach out to your CSM to learn how you can add your own content to the training videos you select as part of your program. This is a great way to show your learners how your policies reflect what your organization prioritizes when creating a respectful and safe environment.

### 2 Idea 2 - Pre-Recorded Videos

Another great way to add your own custom content is to have members of your C-Suite record videos on why each topic is important.

For example, if your organization has a Chief Information Officer, have him or her record a video that can be used before Topic 1 – Cyber Security Best Practices. This allows total alignment across the organization when you have members from the top level taking time to reiterate how important it is for everyone, no matter if they are individual contributors or managers, to take compliance training.

You can also use this opportunity to tie in your core values. When you begin compliance training, consider a message from your CEO on why the core values are your guiding principles and how staying compliant is the foundation to living them out each day.

### 3 Idea 3 – Department Competition

It's easy to get excited about completing training assignments when there is an extrinsic motivator at play. Offering a prize such as a gift card, company-paid lunch, or additional PTO day can be a fantastic way to ensure you get 100% completion from your employees on time. This can be set up in a variety of ways whether you want to reward the department that has full completion first, the first person within each department, or even the first ten people at your organization! There are so many ways to engage your employees during your compliance training program.

## 4

### Idea 4 – Company-Wide Trivia

Having a compliance program that stands out and becomes something your organization looks forward to taking is a sure way to know you have gone beyond a check-the-box program. One way to accomplish this is to kick off your training program with a company-wide trivia game. This can easily be done virtually, in the office, or a combination of both.

There are many great companies to use to accomplish this, but we recommend looking into Kahoot! You can create your questions online and have the answers built in with scoring done for you. By kicking off with trivia, you can address any changes to your code of conduct, reinforce important topics, and have fun while doing it.

## Marketing Your New Training Program to Your Learners

The following email template can be sent to your learners before training begins as preparation for the upcoming training program!

*It is that time of year...compliance training kicks off next week! This year we are doing things differently and we couldn't be more excited to share it with you!*

*You can look for a trivia invite to kick things off on [INSERT PREFERRED DATE HERE]. Additionally, we are running a department completion contest. The first department to achieve 100% completion of the program will receive [INSERT YOUR PRIZE HERE].*

*While compliance isn't the most glamorous, these lessons are important to our organization. This robust training allows you to learn what we here at [INSERT COMPANY NAME HERE] prioritize to ensure our employees feel safe and secure and are treated kindly and fairly. We hope you walk away knowing best practices when it comes to looking out for your fellow employees and you, too!*

*You should receive an email letting you know you have been assigned training within [COMPANY LMS NAME HERE]. If you do not, when you log in you should see your assigned training! If you do not, please let us know.*

*Thank you for your participation!  
[Your email signature here]*

# 1

## Topic 1- Cybersecurity Best Practices

This section of your compliance training program should teach subjects that are key for HR and recruiting professionals to be up-to-date on, such as:

- How to evaluate the strength of your passwords and how to protect them in the future;
- The seven best practices for securing your email and three best practices for steps to take if your email is hacked;
- How to be alert when browsing the internet and what browser settings can provide protection;
- Basic knowledge of what a data breach is and how to avoid one;
- How you must comply with HIPAA, how to handle Protected Health Information (PHI) effectively and knowing when to get authorization when using it, the importance of knowing the minimum necessary standards, and other best practices; and
- What GDPR is and key terms like data protection assessments and right to portability as well as knowing how to apply them, so they are compliant to GDPR;

*The full BizLibrary Collection holds many titles associated with these topics and can be used as guides to explore more content offerings that align best with your desired learning outcomes. Select the video courses that address skills in email security, cybersecurity at home, data privacy, HIPAA, GDPR, and more!*

[Explore Compliance Training Titles](#)

# 2

## Topic 2- Safety Protocols

This section of your compliance training program should teach subjects that are key for HR and recruiting professionals to be up-to-date on, such as:

- How to react appropriately in an emergency and in their first aid program that thoroughly prepares against any risks they may face;
- The basics of fire safety as an office worker; and
- How to respond in an active shooter situation and keep you and your coworkers safe

*These topics are just a few of the many found in the full BizLibrary Collection and can be used as guides to explore more content offerings that align best with your desired learning outcomes. Select the video courses that address skills in the following areas: first aid, fire protection, office safety, emergency preparedness, active shooter, and more!*

[Explore Compliance Training Titles](#)

# 3

## Topic 3- DEI

This section of your compliance training program should teach subjects that are key for HR and recruiting professionals to be up-to-date on, such as:

1. What nuances of diversity, a picture of what the inclusive mindset picture is, and why mindset matters in the first place;
2. The concept of DEI, with special attention to the overarching concept of equity;
3. Who the five generations are and how to work productively with each one; and
4. How to be an ally to someone whose background has exposed them to unfair or discriminatory social, legal, or professional practices

*These topics are just a few of the many found in the full BizLibrary Collection and can be used as guides to explore more content offerings that align best with your desired learning outcomes. Select the video courses that address skills in the following areas: creating inclusive mindsets, establishing equity, allyship, and more!*

[Explore Compliance Training Titles](#)

# 4

## Topic 4-Anti-Harassment

This section of your compliance training program should teach subjects that are key for HR and recruiting professionals to be up-to-date on, such as:

1. Business leaders how to create a positive work environment that prevents harassment;
2. The damage that negative behavior has on an individual and organization as a whole;
3. Topics such as harassment, sexual harassment abusive conduct, and bullying, as well as how to step in when they occur; and
4. How to handle a harassment complaint from the moment they're aware of the alleged inappropriate behavior

*These topics are just a few of the many found in the full BizLibrary Collection and can be used as guides to explore more content offerings that align best with your desired learning outcomes. Look for videos that address skills in anti-harassment, and bullying at every level.*

[Explore Compliance Training Titles](#)

# 5

## Topic 5-HR and Hiring / Recruiting Compliance

This section of your compliance training program should teach subjects that are key for HR and recruiting professionals to be up-to-date on, such as:

1. What the ADA forbids, who it applies to, and what employers can and can't do when it comes to employees with a disability, history of disability, or perceived disability;
2. Which employers and employees are covered by the ADEA and consider application of the law in pre-employment, employment, and retirement;
3. MEPA, which prohibits wage discrimination based on gender;
4. Basics of the PDA and consider crucial guidelines for avoiding discrimination and harassment based on pregnancy and related medical conditions;
5. Compliance requirements and specific prohibitions, the general process for inspections, and the penalties incurred under the OSH Act;
6. Employee's rights and the employer's obligations in the case of worker's comp claims and avoid any mismanagement;
7. Federal standards for minimum wage, overtime pay, employment of minors, and recordkeeping
8. Health insurance, terms everyone should know as well as describes the different types of coverage and important financial terms;
9. The federal law regarding the continuation of health coverage for employees and eligible family members when coverage would otherwise end; and
10. The foundation of HIPAA and the three main rules within it

*These topics are just a few of the many found in the full BizLibrary Collection and can be used as guides to explore more content offerings that align best with your desired learning outcomes. Check out our collection of video lessons that address skills in HR Law, workers' compensation, HIPPA, and understanding health insurance.*

[Explore Compliance Training Titles](#)



# 6

## Topic 6-Additional Topics You May Want to Consider

The following video courses teach:

- The potential issues they may need to address with romantic relationships and how to face them head-on when love is on the line; and
- Everything you need to know about substance abuse and the workplace

*The following topics are a few of the many found in the full BizLibrary Collection. Use these as a guide to explore content offerings that align best with your desired learning outcomes.*

1. Romantic Relationships Between Supervisors and Employees (Interactive)
2. Substance Abuse Toolkit (Interactive)

[Explore Compliance Training Titles](#)

## Creating a Culture of Compliance Recap

Now that your employees have completed this in-depth training, they have the knowledge needed to conduct business safely, respectfully, and securely.

We encourage assigning refreshers of these or related courses every quarter to help learners continue developing their skills and keep what they have learned throughout this guide top of mind.

## Need help strategizing KPIs and business goals?

Developing KPIs is important to measuring growth, but knowing the what, where, and how's can be hard. At BizLibrary our Client Success Manager's work with clients to ensure they have the right targets in place to measure success in meaningful ways.

Also available are free resources including the ROI [ebook](#) and [workbook](#) that will help develop KPIs unique to your organization.

## Looking to Build a Robust Compliance Training Program?

BizLibrary can help you build a culture of compliance and inclusivity!

[Check out our key topic areas for compliance training programs](#) and discover how BizLibrary can be your greatest asset in designing impactful programs that last.

[Talk with a representative today!](#)

