

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 are adhering to the guidelines that are in place at your organization! This comprehensive guide will walk you through suggested content, knowledge check-ins, and assessments aimed at providing your employees with essential tools to ensure your workplace stays risk-free.

The recommended content titles referred to in this guide can be found in The BizLibrary Collection. Before the start of your program, we recommend you assign these courses to your learners via your company LMS. This provides your learners with easy access to the content and gives you valuable reporting data to measure participation and training effectiveness.

BizLMS also offers grouped content in the form of Learning Initiatives and curated content learning paths! These carefully crafted lists offer additional resources and suggest related content in areas important to your training goals. You can learn more about what learning initiatives are and how they can enhance your training program by watching the video linked [here](#).

We highly recommend using both the content and assessments included 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 training new employees 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.

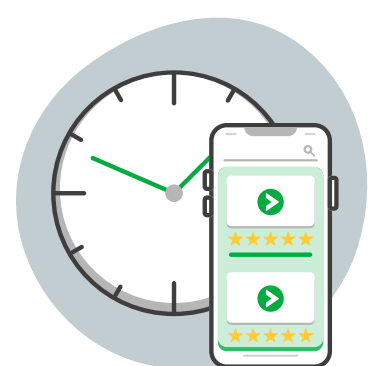
Enter the **Creating a Culture of Compliance Playbook**.

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, it is important they 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!



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, but 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 to not only know how to protect themselves in complex situations but also others they work with.



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.



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.



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.



How can you measure the success of your program?

The Kirkpatrick Model is an excellent resource to consider when creating KPIs for your program. Below are some suggestions on how to incorporate this model into 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 of their new position,
 - 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 self-assessment template and group role play.
- Fully utilize the self-assessment tool by comparing ratings from each stage.

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.
- Do not be afraid to engage with your new managers' team members. A great way to do this is by sending a survey to the new manager's direct reports before and after the program to determine how they rate their relationship with their manager.

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 deep dive into using the Kirkpatrick Model for evaluating training in your organization, download our free ebook [here](#).
- 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.*

We have found that calculating ROI is the best way to highlight the success of your program to your stakeholders! Here is a simple formula to help you get started! You can learn more about measuring ROI in our ebook [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.

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. Your CSM can help you identify courses that may help achieve additional requirements based off the above. Furthermore, this compliance playbook was created for U.S. learners, if you are outside of the U.S., consult your CSM to learn how we can help you create a compliance program that adheres to your country's guidelines.

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

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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. 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 in 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 prior to 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 an individual contributor or manager, 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 is easy to be motivated to complete training 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 who has full completion first, the first person within each department, or even the first ten people at your organization!

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.

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! We know, we know, another series of videos that you must watch and then are tested on. BUT! This time we are doing things differently. 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].

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

The following video courses teach:

- 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 following courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

1. Cybersecurity Toolkit: Safer Passwords (Interactive)
2. Cybersecurity Toolkit: Email Security (Interactive)
3. Cybersecurity Awareness: How to Browse Safely (Interactive)
4. Working Remotely: Cybersecurity at Home (Interactive)
5. Working Remotely: Cybersecurity on the Go (Interactive)
6. Maintain Physical Security
7. Cybersecurity Toolkit: Employee Devices (Interactive)
8. Cybersecurity Toolkit: Personal Devices (Interactive)
9. Cybersecurity Toolkit: Data Privacy (Interactive)
10. Security Awareness Now! Protecting Personal Data
11. HIPAA Toolkit
12. How Cybercriminals Continue to Successfully Sneak Into Your Inbox!
13. Protecting Your Data with the CCPA (Interactive)
14. Data Theft: An Ongoing Concern
15. What is GDPR (Interactive)
16. 12 Tips for Ensuring GDPR Compliance (Interactive)

2

Topic 2- Safety Protocols

The following video courses teach:

- 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

The following courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

1. First Aid (Interactive Video Course)
2. Fire Protection for Office Workers
3. Office Safety: Fire Safety
4. Fire Safety 101(Interactive)
5. Emergency Preparedness: Responding to an Active Shooter (Interactive)
6. Active Shooter and Workplace Violence
7. Active Shooter: Responding in the Worst-Case Scenario (Interactive)

3

Topic 3- DEI

The following video courses teach:

- What diversity is and isn't, gain a picture of what the inclusive mindset picture is, and consider why mindset matters in the first place;
- The concept of DEI, with special attention to the overarching concept of equity;
- Who the five generations are and how to work productively with each one; and
- How to be an ally to someone whose background has exposed them to unfair or discriminatory social, legal, or professional practices

The following courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

1. Expert Insights: Inclusive Mindset with Justin Jones-Fosu
2. Establishing Equity
3. The 5 Generations
4. Allyship: How to be an Ally to Others

4

Topic 4-Anti-Harassment

The following video courses teach:

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

The following courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

1. Expert Insights: Anti-Harassment for Supervisors with Catherine Mattice
2. Expert Insights: Anti-Harassment for Employees with Catherine Mattice
3. Respect and Fair Treatment: Understanding Harassment
4. Identifying and Preventing Sexual Harassment
5. Respect at work: Bullying
6. Culture of Civility: Investigating Harassment Complaints

5

Topic 5-HR and Hiring / Recruiting Compliance

The following video courses teach subjects that are key for HR and recruiting professionals to be up-to-date on:

- 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;
- Which employers and employees are covered by the ADEA and consider application of the law in pre-employment, employment, and retirement;
- About the MEPA which prohibits wage discrimination based on gender;
- Basics of the PDA and consider crucial guidelines for avoiding discrimination and harassment based on pregnancy and related medical conditions;
- Compliance requirements and specific prohibitions, general process for inspections, and the penalties incurred under the OSH Act;
- Employee's rights and the employer's obligations in the case of worker's comp claims and avoid any mismanagement;
- Federal standards for minimum wage, overtime pay, employment of minors, and recordkeeping
- Introduction to health insurance, terms everyone should know as well as describes the different types of coverage and important financial terms;
- The federal law regarding the continuation of health coverage for employees and eligible family members when coverage would otherwise end; and
- The foundation of HIPAA and the three main rules within it

The following courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

1. HR Law: Americans with Disabilities Act (Interactive)
2. HR Law: Age Discrimination in Employment Act (Interactive)
3. The Massachusetts Equal Pay Act (Interactive)
4. HR Law: Pregnancy Discrimination Act (Interactive)
5. HR Law: Occupational and Health Safety Act (Interactive)
6. Discussing Total Compensation
7. Workers Compensation Overview
8. HR Law: Fair Labor Standards Act
9. HR Law: Family and Medical Leave Act
10. 15 Terms for Understanding Health Insurance
11. HR Law: Consolidated Omnibus Budget Reconciliation Act (Interactive)
12. HIPAA Crash Course

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 courses are just a few of the many titles found in the full BizLibrary Collection. Use these titles as guides to explore more content offerings that align best with your desired learning outcomes.

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

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

We also have several other amazing guides that are available for you to use! Check out our New Manager Playbook and Onboarding Playbook.

As your learning partner, we love hearing how we can better support your training program initiatives, you can reach out to us at team@bizlibrary.com.

Need help strategizing KPIs and business goals?

Developing KPIs is important to measuring growth, but knowing the what's, where's, and how's can be hard. Your BizLibrary Client Success Manager is ready to walk through these steps with you to ensure you have the right targets in place to measure success in meaningful ways.

If you have feedback or suggestions on how we can help create a culture of compliance in your organization, or how we can partner with you in other areas of your training program, send a message to your Client Success Manager or team@bizlibrary.com

