Best Practice for Implementing Compliance Programs
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For better or worse, corporate governance and regulatory obligations are here to stay. The volume of compliance regulations and legislation has grown at a record pace in recent years. This has brought about increased risk, and just because you’re protected from risk doesn’t mean you’re compliant, and vice versa.

As a result, compliance training has become an indispensable part of an organization’s risk management program. This approach alleviates the biggest risks and addresses industry specific compliance guidelines. For many organizations with limited budgets and resources, this is no easy task.

Having the right compliance training program in place is critical for an organization to ensure maximum protection against potential liabilities. It is widely accepted that the cost of providing compliance training and managing organizational risk for employees is far less than the implications of non-compliance.

However, for risk management and compliance programs to be successfully implemented in the workplace, they must meet certain business objectives, audience expectations and make a measurable impact. In this Best Practices guide, we highlight some key considerations that can help you create effective programs and build a culture of compliance within your organization.

Common Challenges

Some of the challenges frequently encountered by an organization planning a compliance training program rollout include:

- Designing a compliance training program to suit a global multicultural audience.
- Delivering within short timeframes – mandated training programs usually come with very tight delivery schedules (90 days in some cases). Elements include writing and structuring the training program, testing on multiple delivery platforms, implementing the compliance program for participants and certifying completion, all within this tight window.
- Managing multiple review points – there are many stakeholders involved (including Compliance, Legal, and HR personnel), many of whom need to be involved when signing off on the various program elements.
- Providing engaging content – it can be difficult to convert a low stimulation factual learning program into an informative learning experience that will positively change behaviours.

Key Considerations

Consider the following strategies to help you plan, design and implement an effective compliance training program:

1. Before designing a mandatory training program for your workforce, ask yourself a few key questions:
   - Who is your audience?
   - What problem are you trying to solve?
   - How would you know you’ve solved it?

Some issues that can trigger a demand for compliance training include the enforcement of new regulations, a lack of compliance knowledge within your organization or non-compliance across a range of areas. These can result in professional negligence, regulatory warnings, fines, lawsuits, employee turnover, or customer dissatisfaction.

2. Be strategic and tactical in your approach – this means developing a business case that makes sense to your stakeholders. But how do you create a detailed development plan that can be successfully implemented within a tight project timeframe? Start by stepping back and looking at the bigger picture before proceeding.
Develop a business case using a high-level approach and involve the key stakeholders in the process to gain their support. Key kickoff activities include defining your budget and assigning project resources.

Create a tactical instructional design plan to accompany your business case, as well as developing a clear communication and implementation plan. If you’re considering outsourcing any elements of the project such as content development, select the right service provider by evaluating their experience in the relevant subject area, technical capabilities, ancillary services and and references.

3. Identify your audience – Who is your target audience and what relevant training have they completed to date in this field? Gathering this information will help you determine their core competencies and identify any performance and knowledge gaps. Consider how, where and when your employees will access the compliance training program.

4. Design content – Based on your target audience review, use a design methodology such as ADDIE (Analyse, Design, Develop, Implement, Evaluate) to implement your compliance program. Identify any knowledge gaps between what the compliance learning program will deliver and the target audience’s core expertise. Based on this research, develop a clear strategy for closing these knowledge gaps. Consider the ease of updating or repurposing content in the future to improve quality and structure.

5. Consider technology – Create a prototype compliance program early in the project and test it through various channels from different locations including office, home or in the field. Design your prototype compliance program with bandwidth and performance capabilities in mind. Considering these requirements will alleviate any potential problems during the live program rollout.

6. Set timelines – When generating a comprehensive project schedule, identify key milestones, deadlines, and all resources assigned to the project. Always build in a contingency plan to allow for unforeseen issues. You can manage the project effectively through weekly project status reports, and by holding weekly and informal status meetings to review progress. Carefully monitor the progress of the compliance program to ensure that it concludes successfully within the agreed timeframe.

**Conclusion**

If you have identified a compliance education requirement for your organization and you don’t have the necessary in-house expertise or content development team, then your choice of provider is a key decision. As this paper outlines, there are some key considerations that you should carefully evaluate prior to rolling out a successful compliance training initiative.

Intuition is a global leader in the provision of knowledge management solutions, with customized content development, technology and advisory services forming a core part of this delivery. We have over 25 years of experience working with clients delivering time-sensitive and business critical compliance training programs, to help mitigate their risk and build cultures of compliance in their organizations.