

## COMPLIANCE TRAINING CHECKLIST

*This checklist\* provides general guidance on creating effective compliance trainings. Well-designed and effective compliance trainings should be appropriately tailored to the audience's size, sophistication, and subject expertise. This checklist is not an exact formula but rather a set of questions to consider when designing, implementing, and evaluating a compliance training program. Compliance trainings should be risk-based and thoughtfully designed considering the form, content, and effectiveness of the training.*

### **RISK-BASED TRAINING**

- What training have employees in relevant control functions received?
- Has your unit provided tailored training for high-risk and control employees, including training that addresses risks in the area where misconduct is most likely to occur?
- Have supervisors received different or supplementary training?
- Does your unit undertake analysis to determine who should be trained and on what subjects?

### **FORM/CONTENT/EFFECTIVENESS OF TRAINING**

- Has the training been offered in the form appropriate for the audience?
- Is the training provided online or in-person (or both) and what is the rationale for this choice?
- Has the training addressed lessons learned from prior compliance incidents?
- Is there a process by which employees can ask questions during or after the training?

<input type="checkbox"/> How is the effectiveness of the training measured?
<input type="checkbox"/> Are employees tested on what they have learned?
<input type="checkbox"/> If employees fail all or a portion of the training, how is that addressed?
<input type="checkbox"/> Has the unit evaluated the extent to which the training has an impact on employee behavior or operations?

*\*Based on content from the [U.S. Dept. of Justice, Evaluation of Corporate Compliance Programs \(Updated March 2023\)](#).*