

# Managing Compliance Processes in the Extended Enterprise

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# What We'll Cover

## Agenda

1. Key Challenges in Compliance Learning
2. Best Practice Business Processes
3. Customer Examples
4. Questions & Answers

# What is Compliance Training?

Definition as per Bersin & Associates :

**“...any training program or curriculum that requires mandatory completion by the organization and / or a regulatory agency (or agencies).”**

## Three categories of compliance training:

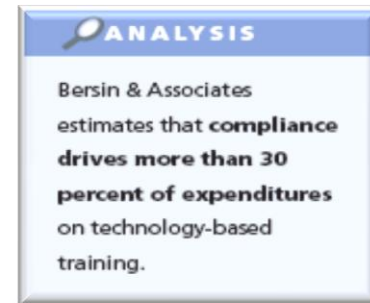
1. Organization-imposed e.g. Code of Conduct Training

2. Operations-critical

3. Regulatory

Regulatory bodies and their requirements vary:

- FDA Compliance (21 CFR Part 11)
- SOX -Sarbanes-Oxley
- Occupational Safety and Health Administration (OSHA)
- GMP - Good Manufacturing Practice
- in Germany: e.g. AGG



# Targetgroups for compliance training

## Partner

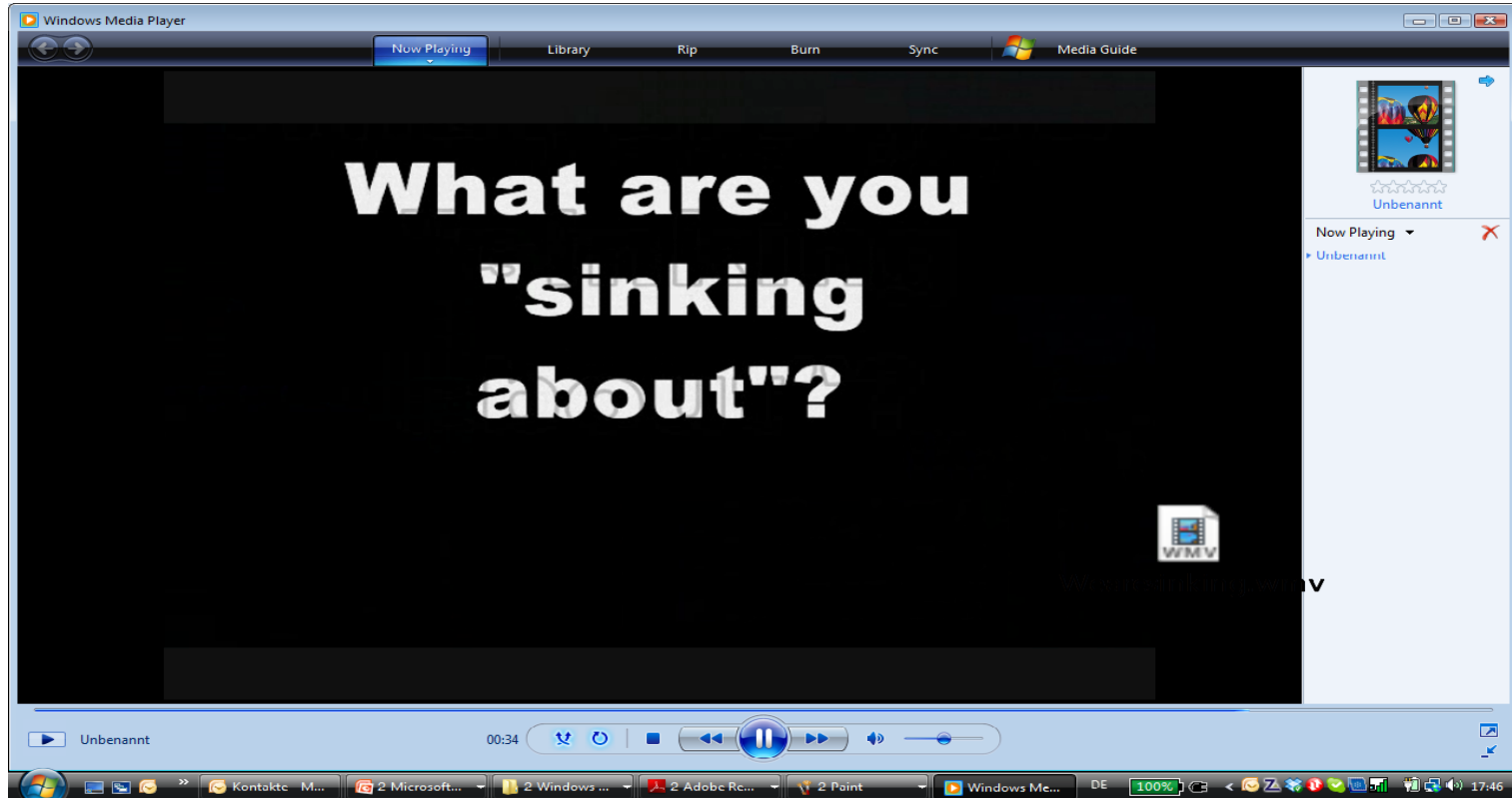
- Dealer
- Supplier
- Joint Ventures

## Employees

- Direct employees
- Contractors



# Why is it important? 1/2



# Why is it important? 2/2

## Why is it Learning Compliance Management important?

- Compliance related issues
  - fines , audits not passed
  - stop of production up to plant shutdowns
  - product recalls
  - ...
- Internal standards and business objectives require tracking
- Administrative effort to manage compliance training is high

# Consequences

The screenshot shows the OSHA website header with the United States Department of Labor logo and navigation links. The main content area features a large image of a destroyed refinery building with the headline "BP agrees to pay \$50.6 million fine". Below the image is a list of links related to the news release, including a "News Release" link, remarks by Secretary of Labor Hilda L. Solis, and an audio recording of a press call. A smaller thumbnail image of the refinery is also visible.

UNITED STATES DEPARTMENT OF LABOR

OSHA

Occupational Safety & Health Administration We Can Help

BP agrees to pay \$50.6 million fine

BP Texas City Refinery, March 2005

- [News Release](#)
- [Remarks by Secretary of Labor Hilda L. Solis](#)
- [Remarks by Deputy Assistant Secretary of Labor for OSHA Jordan Barab](#)
  - [Audio of press call with Secretary Solis and Deputy Assistant Secretary Barab](#)
- [BP History Fact Sheet](#)
- [BP Inspection Data Since 2005](#)

(Click photos to enlarge)

Under the Occupational Safety and Health Act of 1970, employers are responsible for providing safe and healthful workplaces for their employees. OSHA's role is to assure these conditions for America's working men and women by setting and enforcing standards, and providing training, education and assistance.

<http://www.osha.gov/dep/bp/bpagreement.html>

# Quick Poll

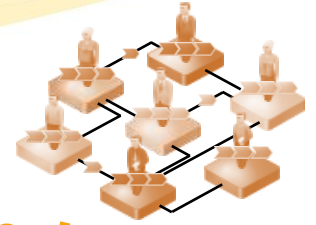
- What Compliance topics are you dealing with?



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# Best Practices 1/3

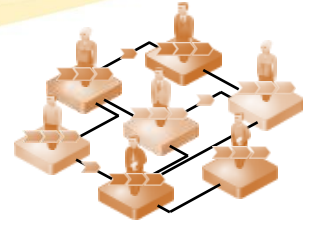


## Organization-imposed

Organizations need to:

- Manage registrations and **track completions** and **attendance**
- Manage resources and logistics for **efficient delivery**
- Provide **e-learning** for self-paced learning
- Enable **blended learning** concepts
- **Identify training needs** based on job role, location, business unit and skill level and push out courses accordingly
- Enable progress and completion **reporting**, exception reporting
- **Enable manager** by providing **approval** functionality and reporting for the business unit
- **Automatically notify users** about necessary courses still open or upcoming skill gaps or retake needs

# Best Practices 2/3

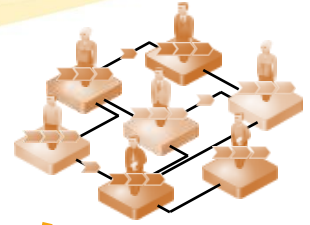


*Operations-critical*

Organizations need to:

- **Retain records** about completion and attendance, based on regulations for years
- Provide automatic re-assignment of courses to learners to make them **retake a course at pre-defined intervals**
- Control the **versions of content** and push out revised version for re-take by learners
- Provide **assessments** to demonstrate that competency has been achieved

# Best Practices 3/3



**Regulatory**

Organizations need to:

- Control the **versions of content** and report which version a learner has been trained on
- **Audit trails:** What was changed, when, old value, new value, by whom and **electronic records**
- Provide **electronic signature**
- CD-ROM support with automatic update of the Learning progress in the LMS and/or data synchronization mechanisms (e.g. for **low-bandwidth areas**)
- **Certify their implementation** with the respective agency (e.g. FDA CFR Part 11)

# Quick Poll

- To what extent do you use e-learning, online-testing and Learning Management Systems



# The role of technology like an Learning Management System

## Bottom Line:

A learning management system can be a ***compliance officer's best tool*** for disseminating information. *Deploying an enterprise-class LMS should be a top priority for any enterprise in a regulated industry* that needs to **track personnel compliance with key items** such as the U.S. Public Company Accounting Reform and Investor Protection Act of 2002 (the Sarbanes-Oxley Act), the Health Insurance Portability and Accountability Act, Food and Drug Administration 21CFR11 and **any critical internal processes that need to be tracked.**

**Gartner Research Note 9 October 2003**

# Compliance Learning Business Process

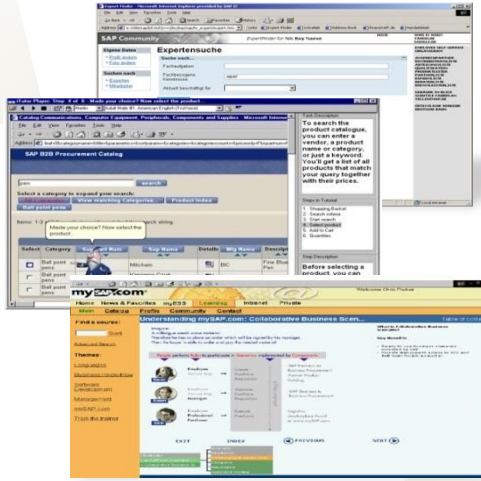


New or revised Training /content is published  
**Administrator / Author**

Training requirements defined /assigned  
**Administrator**

Employee / Manager notified of gap  
**System based/Automatic**

Employee views gap  
**Employee**



Reporting  
**Administrator/ Automatic**

Certification update  
**System based/Automatic**

Tests and assessments  
**Employee / Instructor**

Classroom training and e-learning delivery  
**Employee / Instructor**

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# Customer Example

Australian railway company

## Key objectives of their Learning Compliance Project

- “Single Source of truth” – one central qualification database
- Not „one compliance office“ but rather have every manager and every employee responsible for compliance
- Visibility into compliance, gaps and forecast of upcoming gaps

# Customer Example

American Energy company

## Key objectives of their Learning Compliance Project

- Profiling of learner roles for training requirements
- Tracking of learners profiles
  - Comparison to the target profile
  - Expirations
- Prescribe courses and empower Learners , managers and supervisors
- Implement special regulatory requirements

# Key functions needed

- What is needed to manage compliance?
  - Training **catalog**
  - Requirements profiles and qualifications, **expiration** of qualifications
  - Management of **mandatory training**
  - Content Management **versioning** and tracking, including **testing** for compliance
  - Electronic **signature**
  - Electronic **records /audit trails /change documents**
  - Automatic **notifications** (correspondence)
  - **Workflow** - manager involvement and approval
  - **Self Services** for Learners (Learning Portal) and Managers
  - **Appraisals**
  - **Security** and access
  - **Reporting** (operational and analytical)

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Q&A

Questions?

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