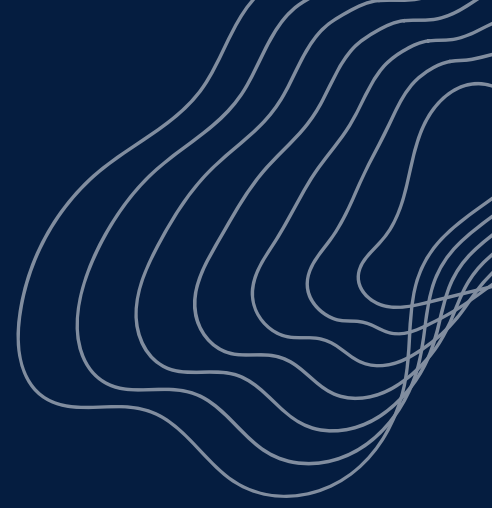


COMPLIANCE TRAINING CHECKLIST ✓

A practical checklist to build a safe, ethical, and legally compliant workplace.



Table of Contents



Introduction	03
People, Culture & Workplace Behaviour	04
Integrity, Anti-Corruption & Financial Crime	06
Data, Privacy & Digital Conduct	08
Health, Safety & Security	10
Market, Customers & Product Compliance	11
Governance, Risk & Controls	13
Trade, Sanctions & Cross-Border Rules	14
Human Rights, ESG & Sustainability	15
Conclusion	16

Introduction

What is compliance training?

Compliance training refers to any employee training that is required by law, regulation, company policy, or key customer expectations. It ensures that employees understand the rules and standards that apply to their role, know how to act in line with the company's values and obligations, and can recognize and manage risks before they turn into incidents.

A consistent compliance training framework helps you protect your organization from legal, financial, and reputational harm, build a culture of integrity, safety, and respect, and make it easier for L&D, HR, and managers to plan, deliver, and track mandatory learning. This checklist outlines the core compliance training areas your company may need.



Disclaimer:

The information provided in this eBook is intended for educational purposes and general guidance only.

People, Culture & Workplace Behaviour (1/2)

- Covers how employees are expected to behave with each other at work: respect, inclusion, professionalism, speaking up, and following the company's values and rules.

Code of Conduct & Ethical Leadership

Defines your organization's core values and expected behaviors, and explains how leaders and employees should act, decide, and role-model integrity in everyday work.

Do we need this?

☐ Yes ☐ No Note:

Workplace Harassment and Discrimination Prevention

Introduces key employee rights and employer obligations, focusing on fair treatment, lawful contracts, working hours, and termination rules.

Do we need this?

☐ Yes ☐ No Note:

Diversity, Equity, and Inclusion (DEI)

Promotes an inclusive workplace by highlighting everyday behaviours that support diversity, equal opportunities, and respectful collaboration.

Do we need this?

☐ Yes ☐ No Note:

People, Culture & Workplace Behaviour (2/2)

Employment Law and Contract Compliance

Introduces key employee rights and employer obligations, focusing on fair treatment, lawful contracts, working hours, and termination rules.

Do we need this?

☐ Yes ☐ No Note:

Whistleblower Awareness and Reporting

Explains when and how to speak up about misconduct, available reporting channels, and the protection employees have against retaliation.

Do we need this?

☐ Yes ☐ No Note:

Conflict of Interest Management

Helps employees recognise personal or financial interests that may affect their judgement, and shows how to disclose and manage those situations.

Do we need this?

☐ Yes ☐ No Note:

Integrity, Anti-Corruption & Financial Crime (1/2)

- Focuses on doing business honestly: avoiding bribery, fraud, money laundering, and other financial crimes, and making sure decisions are fair and transparent.

Anti-Bribery and Corruption (ABC) Awareness

Shows what bribery and corruption look like in practice, how to avoid risky situations, and how to report concerns about improper payments or benefits.

Do we need this?

☐ Yes ☐ No Note:

Anti-Money Laundering (AML)

Covers how criminals use businesses to launder money, red flags to watch for, and steps employees must take to verify and report suspicious activity.

Do we need this?

☐ Yes ☐ No Note:

Know Your Customer (KYC)

Shows why verifying customer identity is important, which checks are required, and how to document and escalate concerns about unusual customers.

Do we need this?

☐ Yes ☐ No Note:

Integrity, Anti-Corruption & Financial Crime (2/2)

Tax Evasion and Corporate Fraud Prevention

Shows how tax evasion and fraud can occur in a business, red flags to watch for, and how to follow proper approval, documentation, and reporting processes.

Do we need this?

☐ Yes ☐ No Note:

Insider Trading Awareness

Explains what inside information is, why trading on it is illegal, and how to handle confidential financial or strategic information safely.

Do we need this?

☐ Yes ☐ No Note:

Data, Privacy & Digital Conduct (1/2)

- Ensures people handle personal and company data safely and use digital tools, email, and social media in a secure, lawful, and professional way.

GDPR and Data Privacy

Explains how to handle personal data lawfully and securely, including consent, data subject rights, and everyday privacy best practices.

Do we need this?

☐ Yes ☐ No Note:

Healthcare Data and HIPAA Compliance

Covers how to handle health information safely and legally, with a focus on confidentiality, minimum necessary use, and HIPAA requirements where applicable.

Do we need this?

☐ Yes ☐ No Note:

Digital Communications & Social Media Compliance

Covers responsible use of email, chat, collaboration tools, and social media, with a focus on confidentiality, respect, and protecting the company's reputation.

Do we need this?

☐ Yes ☐ No Note:

Data, Privacy & Digital Conduct (2/2)

Records Management and Data Retention Compliance

Explains what information must be retained, for how long, and how to store and dispose of records in line with legal and policy requirements.

Do we need this?

☐ Yes ☐ No Note:

AI Governance and Ethical AI Use

Introduces responsible use of AI, including data quality, bias and fairness, transparency, and human oversight in AI supported decisions.

Do we need this?

☐ Yes ☐ No Note:

Health, Safety & Security

- Protects employees' physical and mental wellbeing, covering safe workplaces, emergencies, and everyone's responsibilities to prevent accidents and harm.
-

Occupational Health and Safety

Clarifies everyone's responsibilities for a safe workplace, including hazard awareness, safe work practices, and how to respond to incidents.

Do we need this?

☐ Yes ☐ No Note:

OSHA Safety Standards

Introduces the core OSHA requirements that apply to the business, focusing on practical safety rules, employee rights, and employer duties.

Do we need this?

☐ Yes ☐ No Note:

Fire Safety and Emergency Preparedness

Teaches how to prevent fire risks, recognise alarms, follow evacuation procedures, and respond effectively in emergency situations.

Do we need this?

☐ Yes ☐ No Note:

Market, Customers & Product Compliance (1/2)

- Guides how the company deals with customers and competitors, including fair selling, honest marketing, compliant products and services, and accessible, customer-focused design.

Competition Law and Fair Practices

Explains how to compete fairly by avoiding price fixing, market sharing, and other anti competitive behaviour, especially in sales and marketing.

Do we need this?

☐ Yes ☐ No Note:

Consumer Protection Laws

Covers key rights of consumers, clear and honest advertising, fair terms and conditions, and how to handle complaints and refunds correctly.

Do we need this?

☐ Yes ☐ No Note:

Product Safety Compliance

Focuses on designing, producing, and supplying products that are safe, properly labelled, and compliant with relevant safety standards.

Do we need this?

☐ Yes ☐ No Note:

Market, Customers & Product Compliance (2/2)

Accessibility Compliance

Highlights how to make products, services, workplaces, and communications accessible for people with disabilities, in line with legal and ethical expectations.

Do we need this?

☐ Yes ☐ No Note:

Intellectual Property Rights

Explains how to respect others' copyrights, trademarks, and patents, and how to protect the organisation's own intellectual property.

Do we need this?

☐ Yes ☐ No Note:

Governance, Risk & Controls

- Explains how the organisation is directed and controlled, who is responsible for what, how risks are managed, and how controls keep the business compliant and reliable.

Risk Management & Internal Controls

Introduces basic risk concepts, how controls reduce risk, and the role employees and managers play in identifying, reporting, and managing risks.

Do we need this?

☐ Yes ☐ No Note:

Third-Party and Supply Chain Compliance

Highlights risks linked to suppliers, agents, and partners, and explains due diligence, monitoring, and escalation of concerns in the value chain.

Do we need this?

☐ Yes ☐ No Note:

Public Sector Procurement Compliance

Describes the specific rules and ethical standards that apply when bidding for or delivering contracts to public sector bodies.

Do we need this?

☐ Yes ☐ No Note:

Trade, Sanctions & Cross-Border Rules

- Helps employees understand the rules for doing business across borders, including export controls, sanctions, and restrictions on certain countries, people, and products.

Export Control and Trade Sanctions Compliance

Explains restrictions on certain countries, entities, technologies, and goods, and shows how to screen and clear transactions before proceeding.

Do we need this?

☐ Yes ☐ No Note:

Human Rights, ESG & Sustainability

- Covers the company's impact on people and planet, including human rights, modern slavery, environmental responsibilities, and broader ethical and sustainability commitments.
-

Human Rights and Modern Slavery Compliance

Raises awareness of human rights risks such as forced labour and child labour, and explains how the organisation prevents, identifies, and addresses abuses.

Do we need this?

☐ Yes ☐ No Note:

Carbon Footprint and Climate Compliance

Introduces the organisation's climate responsibilities, key environmental regulations, and practical ways employees can help reduce environmental impact.

Do we need this?

☐ Yes ☐ No Note:

Conclusion

01.

A Guide, Not a Rulebook

This checklist is a flexible guide, not a rigid standard; use it as a structured starting point for your compliance program.

02.

Customize for Your Organization

Adapt each step to your industry, risk profile, size, culture, and regulatory environment so the program truly fits your context.

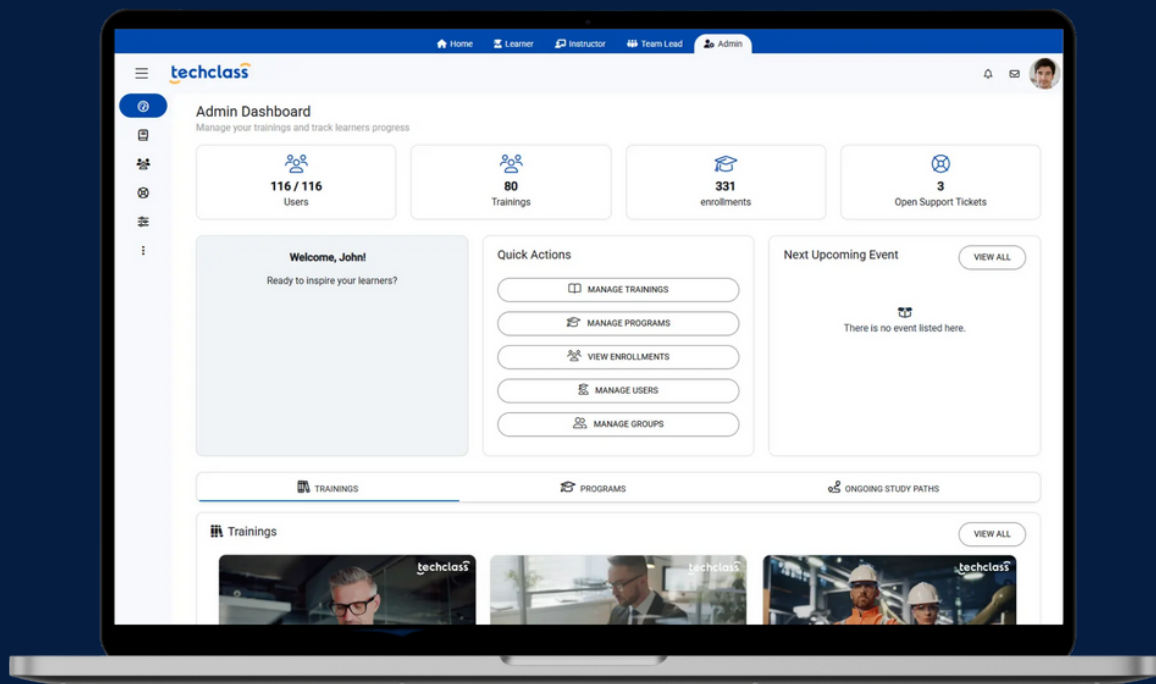
03.

Make Compliance Practically Relevant

Tailor examples, scenarios, and requirements to real roles and decisions so employees see how compliance applies to their day-to-day work.

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