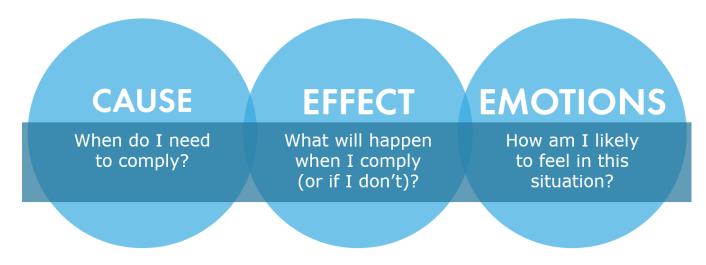


## **COMPLIANCE TRAINING** • Insider Tips for Effective Compliance Scenarios

The starting point for any compliance training is to analyze the points of impact. These items must be included in your program. After these are in place, begin to think about creating effective scenarios to make them come alive. Here are some project-tested tips for creating these!

In *Developing Technical Training (3rd ed),* learning researcher Ruth Clark suggests that we should provide the following:



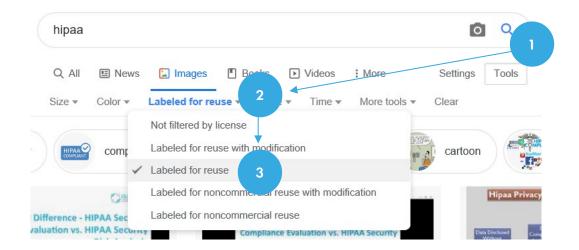
Think about realistic scenarios that would deliver one, two, or all of these requirements. There are a variety of sources for these "stories," including:

- Your SMEs. These subject matter experts will likely be happy to share their stories around the subject of the compliance topic. To get the conversation rolling, the questions I've listed here usually work like SME catnip:
  - ✓ Why do you think this guideline rule exists?
  - ✓ What are some clear-cut examples of violations?
  - $\checkmark$  What are some easy to make or common violations?
  - ✓ What was the worst incident you've experienced or heard about?
  - ✓ What consequences resulted from this incident? How could the incident have been prevented?
  - ✓ What are some reasonable mistakes that could be made with this specific guideline?
  - ✓ What are some potential outcomes of making this mistake?
  - ✓ Why wouldn't an associate follow the guidelines?
  - ✓ Are there any disadvantages to following the guideline (e.g. takes longer, hassle, makes the experience bad for a customer, etc)?
  - ✓ Are there things that seem like they'd be a violation, but aren't? How would a person know?



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- Case studies and accident reports provided by the regulatory agencies themselves. For example:
  - ✓ OSHA offers a searchable database of Fatality and Catastrophe Investigation Summaries.
  - ✓ The U.S. Department of Health and Human Services (HHS) provides summaries of HIPAA violations.
- Online searches. Use search terms such as "famous HIPAA violations" or "common OSHA violations" to surface sources of real-life scenarios.
  - ✓ Ensure that your results are in the public domain by adding ".gov" to your search string.
  - ✓ If you're looking for images via Google Images, ensure that they are not copyrighted by making the following choice under the Tools menu:



- Fictional composites built using a variety of sources and incidents. You get to play theatrical director here! For each requirement or point of impact category you mapped earlier, what's a reasonable scenario in which an incident might occur? Can you build this out persuasively?
- Your own knowledge. This includes internal incidents you may know about, or even dilemmas that you've faced personally around compliance topics.

## And finally, don't forget this important tip!

Your learners will benefit from seeing both examples of good compliance and examples of noncompliance. When you clue people into a range of example stories and scenarios, you're showing them the same things they'll encounter in their daily work environment, not just a cleaned-up, sanitized version of reality.