



Syncing Minds Leadership Basic Compliance Training Template

How to Use this Template Effectively:

1. Regularly review and update the template to reflect current laws and regulations.
2. Document actions taken and file safely for future reference and audits.
3. Ensure to tailor the content to suit your specific organisational needs.
4. Ensure that leadership team members sign off on each step as 'completed' to ensure comprehension and accountability.
5. It is recommended that this template should be used at least annually or as dictated by changes in compliance requirements.

Step 1: Understanding Compliance and Legal Responsibilities

- Explain what compliance means within the context of your industry and organisation.
- Outline the legal responsibilities applicable to their roles.
- Discuss the consequences of non-compliance.
- Leadership signs off.

Step 2: Familiarisation with Organisation's Policies and Procedures

- Review the policies and procedures that must be adhered to.
- Discuss the importance of each policy and procedure to remain compliant.
- Explain how these policies align with legal obligations.
- Leadership signs off.

Step 3: Review Relevant Legal Frameworks and Regulations

- Analyse any relevant legal frameworks and regulations specific to your industry.
- Discuss how these laws apply to your business.
- Leadership signs off.

Step 4: Risk Identification and Management

- Train leadership on how to identify risks related to non-compliance.
- Discuss effective strategies for managing these risks.
- Leadership signs off.

Step 5: Incident Reporting and Management

- Explain the policies for reporting and managing compliance incidents.
- Role-play scenarios to understand how to respond to potential incidents.
- Leadership signs off.

**Step 6: Assessment and Refresher**

- Evaluate leadership understanding through tests or quizzes.
- Schedule follow-up trainings and refreshers on a regular basis.
- Leadership signs off.

Step 7: Open Discussion and Q&A

- Allocate time for leadership to raise questions or concerns.
- Provide clarification on all concerns raised or seek expert input where needed.
- Make necessary adjustments to systems or procedures based on feedback where applicable.
- Leadership signs off.

Step 8: Documentation and Audit

- Document all training, actions taken, and leaders' acknowledgement.
- File documentation for regular audits and checks.
- Leadership signs off.

This template is linked to many other templates and how-to guides available to you. When working on each step be sure to go back into the Syncing Minds member portal and review how those other how-to guides and templates can assist you.