



# The ComplianceWire® Platform

## GETTING STARTED



*On behalf of all of us at UL EduNeering, thank you for choosing ComplianceWire as your Learning Management System.*

In this guide we will introduce you to several key steps you can take to prepare your existing user and training data before it's uploaded into ComplianceWire. These steps help ensure that your organization is taking full advantage of the platform's powerful recordkeeping and reporting capabilities.

During your kick-off, your UL project manager will walk through these concepts and recommendations in greater detail. But it's important to become familiar with these concepts, to greatly reduce administrative time after the platform is launched. Taking these steps up front will deliver great value later, as your organization will be able to deliver consistent training and meaningful reports.

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**STEP 1 – Organize Your Learners**

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**STEP 2 – Organize Your Training Content**

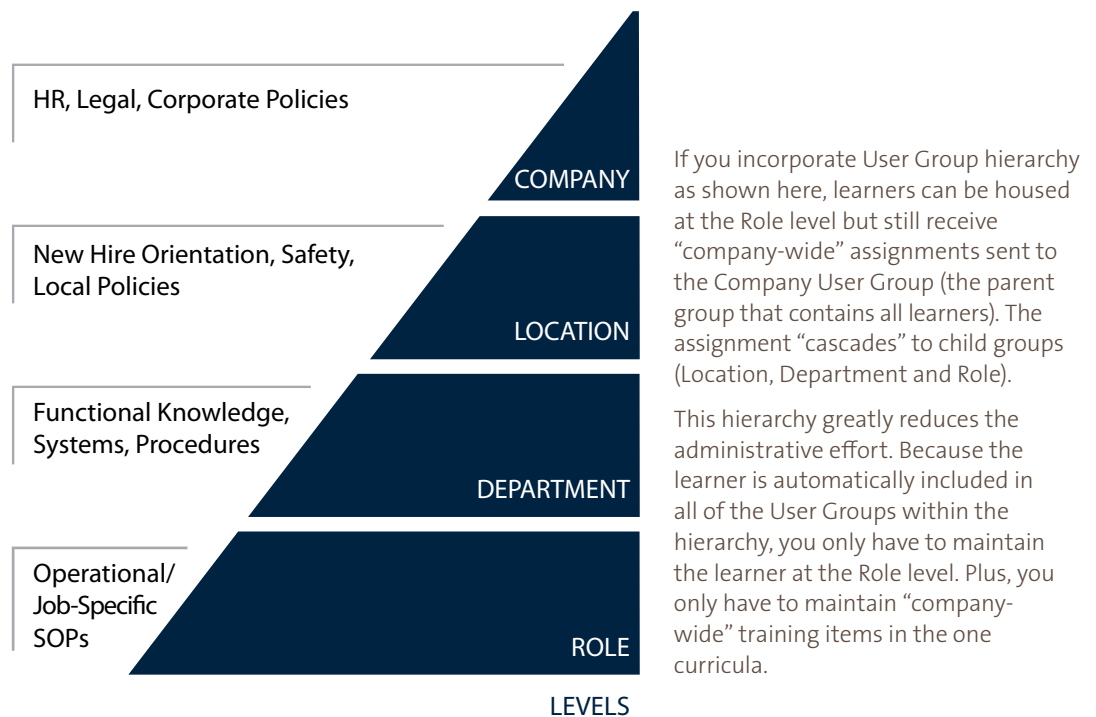
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**STEP 3 – Define Your Reporting Needs**

**STEP 1****Organizing  
Your Learners**

What are the key attributes of your learners that will help you determine their training needs? Answering this question will help shape the learner profile in the ComplianceWire platform. In fact, UL's platform enables you to attach up to 50 attributes to a learner profile. We call these attributes "Custom Fields" and they are values that have the power to automate training assignments. For example, if you capture "Department," then each learner in the same department can receive the same training assignments. Typical Custom Fields are location, department, manager, title, hire date and organization ID. Later in this guide we will discuss how to leverage Custom Fields when building User Groups. As a Custom Field changes for a learner, the platform will change the training assignments for that learner – automatically!

As you decide which Custom Fields will best drive your training requirements, you will need to standardize your qualification and compliance training requirements. If done properly, a standardized learning program can reduce the risk of nonconformity across your facilities and departments. It starts with a training matrix which lists the role and related qualifications for each role across your organization. We'll discuss this later in "Organizing Your Training Content."



The point here is that “title” alone may not be the only value you need to build your training programs. For example, a “Line Operator” on the second shift at a facility in Europe may need to understand the operation differently than the “Line Operator” on the first shift at that same facility, or at another plant in the United States. Fortunately, the platform enables you to define multiple criteria for a group, but it’s important that a learner’s attributes reflect these values. In our example, “location” would be a necessary Custom Field in addition to “title,” so that both could be used to build that User Group.

## Administrators and Their Roles

ComplianceWire enables you to define “Security Roles” for individuals that take them beyond the basic “learner” role. You will need to define “administrators” who can perform certain tasks in the platform, such as adding new groups, running reports, etc. You can define a security role definition right down to specific tasks that can be performed in the platform.

This flexible Security Role structure will help you define various security role levels within your organization to align an administrator with a defined area of responsibility. For example, here are some security roles that have been defined in the platform:

- **Administrator (highest role):** oversee the entire platform and set system preferences.
- **Content Owner:** Create, modify and retire approved content, and match learners with training content they need to receive.
- **Training Management:** Create, modify and retire approved qualifications.
- **Training Assignment Role:** Create, modify and retire assignments.
- **Instructor:** Document training that happens outside of the platform such as classroom training.
- **Manager/Supervisor:** View user qualification status or completion status reports for a specific department.

You may find that the Security Roles will depend on how you set up User Groups, how you build Curricula, and how you define your reporting process, as we’ll discuss later in this guide.

## User Groups and Group Types

In ComplianceWire, User Groups can serve as powerful training management tools. A User Group is a collection of users that receive similar training assignments. User Group functionality makes the task of organizing users and making assignments much more easier to manage.

When you build a User Group, you are doing two very important tasks:

1. You are linking learners who share similar training-related attributes (as captured in Custom Fields).
2. You are reducing the administrative effort related to building curricula; if you set up User Groups in a hierarchical manner, you can build curricula that aligns with the hierarchy.

### Platform Feature: ORGANIZATION NODE PROVIDES SECURITY



The platform enables you to segment your organization based on the security concerns you may have about administrators gaining access to learner data and training items. We call these “Org Nodes.” For example, most clients segment their Org Nodes into “Internal” and “External” to distinguish employees and related training content and completion data from outside vendors, customers, etc.

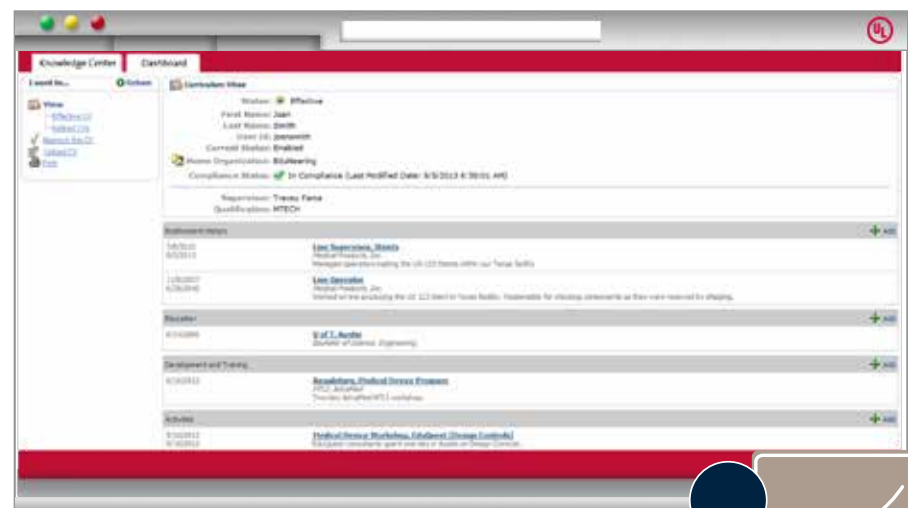
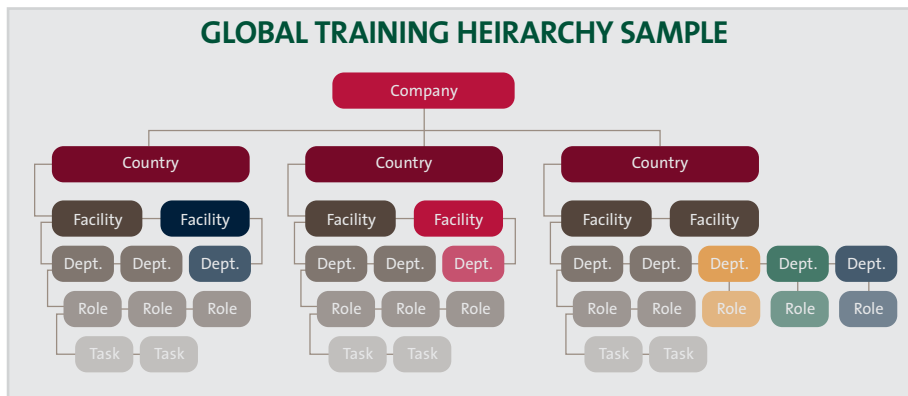


The second task requires some explanation. As you add more and more User Groups, you may find it difficult to keep them organized. For this reason, ComplianceWire enables you to “bucket” similar groups under one umbrella. We call these buckets “Group Types” and they can reduce the effort associated with managing your groups. What’s more, using Group Types, you can establish a “parent/child” relationship between two User Groups to further simplify reporting and assigning tasks. Child User Groups automatically inherit the properties of their parents, and this cascading effect reduces the time spent

manually entering users into User Groups. This “parent/child” functionality could simplify the way you set up your curricula, so that “core” training items are organized for the “parent” User Group, and “specialized” training curricula are created for the “child” groups.

Here’s an example: you may have 10 learners who are required to receive “Molding Machine” role-based training, and so are placed into a Molding Machine User Group. Those same learners are

part of the larger “Manufacturing” User Group, which rolls up under a specific “Location” User Group. Those 10 learners can be connected to all of these larger User Groups, so you don’t have to maintain learners in three different groups. You can simply make the Molding Machine User Group a “child” of the Manufacturing User Group, which is a child of the Location User Group.



Senior executives can quickly identify compliance gaps within departments or business areas to make better decisions about budgeting and resource planning.



## STEP 2

### Organizing Your Training Content

Now that your users have been structured properly, you are ready to organize your training content.

After you have standardized global qualifications and your users, the next step is to “translate” your training matrix within ComplianceWire. You can include different types of training items into a curriculum (known as a blended learning approach). These can include classroom events, on-the-job observations, podcasts, online courses, synchronous training, job-aids in PDF and more. This content shapes the company-defined qualification or certification for each role.

To ensure that each individual receives the right training, content owners (typically facility or department managers) can define all of the training item requirements. Content owners can help in two other ways as well. As explained in the last step, they can help define the organization’s User Group structure. Similarly, a department manager or other content owner can help organize training items into a Curriculum, which is defined in the platform as a collection of training items for a specific role.

#### Define Your Naming Convention

A well-defined training matrix functions best when there’s a well-defined naming convention in place. This includes both the name and a code for all training items. The curricula and course naming methodology is critical, especially since your organization may have thousands of job tasks, and each one may require one or multiple SOPs, job aids, slides, etc. A well-defined nomenclature improves reporting, assignments and curricula building in the platform.

The entire organization will be able to apply this coding structure to all training items consistently over time, and this may require a detailed “Training Item” SOP.

As discussed earlier, the content owner needs to follow the organization’s coding structure. One common standard is to apply the “Dept-Role-Date-Sequential-Number” structure in the code. This structure will simplify both the assignment and reporting process. ComplianceWire provides up to 50 character spaces to define your code.

#### Platform Feature:

#### A CURRICULUM PULLS TOGETHER MULTIPLE TRAINING ITEMS



A curriculum can have different meanings across organizations. Within ComplianceWire, a curriculum is simply a collection of multiple training items that are targeted to a particular User Group. We recommend that you consider a “Curricula” naming convention that accurately defines the user group and the hierarchy level (company, department, role) for which the curricula is targeted.



## Our ROLES Approach

Now that we've walked you through some fundamentals about both your learners and your training, we would like to share our ROLES approach to help you "translate" your training matrix into the ComplianceWire. The ROLES approach ensures that you're taking full advantage of the platform's automation functionality, so as requirements or learners' roles change, the platform can adjust assignments automatically, saving administrators hours of manual effort. Here's how ROLES can help you automate your training assignments:

### **R** Review Your Training Matrix

The first step in the ROLES approach is to review your existing matrix, and determine what skills or tasks are missing, perhaps using a risk-based approach.

### **O** rganize Training into Curricula

Your training matrix should group training items into a curriculum, so that they meet the qualification or certification requirements of a specific role or job function. As you construct the plan, try to capture the following in each curricula: business rules such as the retraining period, whether the items should be trained in sequence and the name of the curricula owner.

### **L** everage User Groups

To automate membership in this "Training Group hierarchy," you can base membership using the Custom Fields described earlier. For example, a User Group can be based on Custom Fields such as "Title" and "Department" – so that when a learner's title changes, the platform will automatically remove the assignments based on former title, and add the assignments based on the current title.

Next, we recommend that you leverage the platform's User Groups functionality and organize groups by "Group Type" (Facilities, Departments, Roles) as explained in this guide to automate your training matrix management.

### **E** mploy Recurring Assignments

ComplianceWire enables you to assign a curricula to a User Group as an ongoing activity. With recurring assignments, you can specify the months or years you want the assignment to repeat for the particular User Group. What's more, the platform will "adjust" a recurring assignment as the training content is updated.

### **S** ystem Maintenance

ComplianceWire reduces the amount of time that administrators spend performing maintenance. However, it is recommended that you monitor platform usage through standard reports you can run, save and even schedule. Additionally, you can maintain control of data entry and system usage through your organization's own documented procedures. Our clients have learned that by performing ongoing monitoring and maintenance of Curricula, User Groups and Recurring Assignments, administrators will uncover opportunities to refine the overall training process.

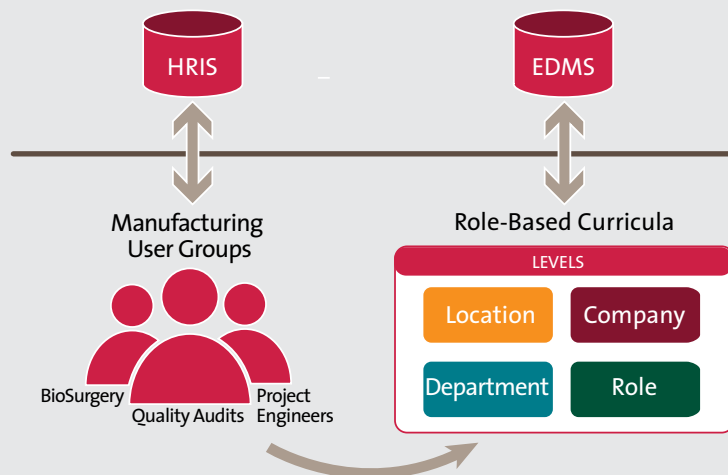
## TIP: EMBEDDING LEARNING INTO YOUR SYSTEM ARCHITECTURE

Your company may embed mission-critical applications, such as Human Resources Information System (HRIS), Electronic Document Management System (EDMS), and Manufacturing Execution System (MES) or Enterprise Resource Planning (ERP) into the system.

**HRIS integration** ensures that employee and contractor records are accurate in terms of title, role and responsibilities, with minimal administration support. As new employees are added or removed, the HRIS seamlessly updates the Learning Management System (LMS) and assigns the correct training.

**EDMS integration** ensures timely distribution of SOPs maintained in the EDMS and validates that the SOP was received and read, or tested on, using quizzes or other assessments that you develop. When a new SOP is added or updated, the learner automatically receives new training, a key issue that has been raised during recent regulatory audits.

**MES integration** ensures that learners receive training right at the point of operation, before they can begin using the equipment. Clients that have integrated the LMS with production equipment, time sheet management systems and other ERP systems have benefitted from 100% compliance with training requirements and its resulting productivity improvements. The graphic below illustrates how these mission-critical applications can be integrated with the LMS to make global training management more effective.





## STEP 3

### Defining Your Reporting Needs

Increasingly, companies have told us that internal and external audits uncover training-related findings due to training inconsistencies and the inability to demonstrate repeatability across facilities. A role-based training plan adds this much-needed consistency. From a compliance perspective, regulators consider a training program “adequate” when the company is “working with a defined protocol with certain criteria, and everybody knows what they’re supposed to be doing.”

An organized, role-based training matrix that lists well-defined training items and curricula can ease the stress of an audit. The matrix ensures that an organization can retrieve training records that show auditors what training an employee has received, which employees have been trained on a particular procedure, and what employees have completed a particular learning plan. With these details, an organization can eliminate audit findings related to training and qualifications.

#### Security Roles and the Training Matrix

Remember the Security Role discussion back in Step 1? After your training matrix has been defined, consider which “administrative rights” you want to grant to specific content owners and training administrators within the organization. For example, you may only want departmental trainers to be able to manage “their” own training data – but not the data in another department. Security Role options within ComplianceWire provide a vast array of security options, from viewing reports, to modifying users, to adding training items.

#### Senior Management Visibility

In many organizations, senior management is ultimately responsible for learning and compliance, and as such, demand visibility into the current learning progress.

If this is the case for your organization, and you need reports that communicate to executives the current state of learning across the organization, or within specific areas of the organization, ComplianceWire provides a series of built-in reports and a senior manager dashboard. These reports can be set up in the system to be automatically delivered via email at a designated period.

The standard dashboard reports provide the overall level of compliance at the corporate level with drill-down available to report on departments, groups, regions or individuals. Corresponding assessments and risk-based reports can point to training effectiveness and on-the-job performance.



### TIP: HAVE TRAINING CODES REFLECT THE HIERARCHY

Many of our clients use a training item code structure that can accommodate up to FIVE levels, ranging from broadest (Level 1) to most specific (Level 5).

**Level 1:** Identifies HQ-BASED, REGION or geographical area.

**Level 2:** Identifies specific SITES within a region (or external).

**Level 3:** Identifies Major Heading: Regulations, Training Type, etc.

**Level 4:** Second Major Heading: Equipment, Process.

**Level 5:** Description: Subsystem, Equipment Number, etc.

Example – single training item that reflects a Paris, France facility of a global company:

FR-PAR-GMP-GRA-MAC-001



### Summary: Concepts to Ensure Success

We're confident the guidelines outlined here will make your ComplianceWire rollout a success! As our clients have learned, a commitment to organizing users, learners and reporting needs can fulfill an organization's goals to meet regulatory requirements and provide opportunities for employee performance development.

The launch of any enterprise-wide system demands some internal planning, but we believe the best practices and concepts in this guide will help you establish consistency among departments and sites, structure your training curricula across job functions and automate the entire learning administrative effort through less data entry. Our team of experts are looking forward to supporting you in this effort at launch and beyond.



## PRE-DEPLOYMENT CHECKLIST

We hope you gained valuable insight into ComplianceWire so that you're prepared for your kick-off meeting with your UL project manager. To help with this effort, complete this Pre-Deployment Checklist which summarizes the concepts and recommendations featured in this guide:

### Step 1. Organizing Your Learners

- ☐ Define necessary user attributes (up to 50 Custom Fields are available in ComplianceWire).
- ☐ Make sure user data is accurate.
- ☐ Define the proper "training user groups".
- ☐ Define "Security Roles" for making employee name, title, department changes, etc.
- ☐ Define steps for entering nonemployees (contractors, consultants, suppliers, etc.)
- ☐ Determine whether HRIS integration may be necessary in the future to reduce manual effort.

### Step 2. Organizing Your Training Content

- ☐ Define a content owner for each specific curriculum, at every organization level.
- ☐ Develop a nomenclature methodology that encompasses training item names and codes for easy retrieval.
- ☐ Define a training hierarchy structure (e.g. location, department, role, etc.)
- ☐ Conduct a training needs analysis to determine the training required by the organization across facilities, departments, job functions, etc.
- ☐ Develop a training or qualification matrix that organizes training items by job function and includes the code, name, role to which it applies, and whether training for this item will be recurring (e.g. every 12 months)
- ☐ Determine how you would like to "tag" training items with "types" or "categories" to simplify searching, retrieval and reporting.
- ☐ Assign content owners to manage the review and revisions of Curricula and User Groups so that they remain accurate.

### Step 3. Defining Your Reporting Process

- ☐ Define senior executive reporting needs.
- ☐ Define management reporting schedule (e-mail on a weekly/monthly schedule).
- ☐ Determine if management should gain security roles to run reports on their own.

### Other Steps to Consider:

- ☐ Develop a Training Service Request Process.
- ☐ Develop process and work instructions for adding and changing training items that includes adding naming conventions and how to retire learning items.
- ☐ Adhere to IT Password/Security Policies.
- ☐ Determine if you want users to reset their passwords (by answering personal questions).
- ☐ Determine how the platform will communicate new and overdue assignments to users.



## About UL EduNeering

UL EduNeering is a business line within UL Life & Health's Business Unit. UL is a premier global independent safety science company that has championed progress for 120 years. Its more than 10,000 professionals are guided by the UL mission to promote safe working and living environments for all people.

UL EduNeering develops technology-driven solutions to help organizations mitigate risks, improve business performance and establish qualification and training programs through a proprietary, cloud-based platform, ComplianceWire®.

For more than 30 years, UL has served corporate and government customers in the Life Science, Health Care, Energy and Industrial sectors. Our global quality and compliance management approach integrates ComplianceWire, training content and advisory services, enabling clients to align learning strategies with their quality and compliance objectives.

Since 1999, under a unique partnership with the FDA's Office of Regulatory Affairs (ORA), UL has provided the online training, documentation tracking and 21 CFR Part 11-validated platform for ORA-U, the FDA's virtual university. Additionally, UL maintains exclusive partnerships with leading regulatory and industry trade organizations, including AdvaMed, the Drug Information Association, the Personal Care Products Council and the Duke Clinical Research Institute.

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