

## Observation 1: Your audience has changed – we all have!

- •Internet has re-wired our brains for quick processing – "screen and glean"
- Developments in technology & tools have raised expectations for content & visuals
- •All this = competition for ANY content, including your compliance messages



3

# Observation 2: Compliance training isn't about informing employees, but persuading them.

- "Mandatory" doesn't work any more
- Information alone isn't enough you need to influence culture and inspire action
- Most compliance training is still designed around the "prove you told them" model
- Even regulators/prosecutors want proof of effectiveness



#### What we'll cover:



- Focus on what the law MEANS, not what the law SAYS
- Think like a lawyer, talk like a human
- Aim for persuasion, not just information
- Measure and manage your impact

5







#### National Institute of Standards and Technology U.S. Department of Commerce

- Awareness = "designed to change behavior or reinforce good practices"
- Frequent, engaging communications are ideal
- Evaluation and feedback aimed at ongoing improvement



### For basic literacy & awareness:

- 1. Lead with key behaviors
- 2. Use core concepts and supporting detail for context
- 3. Screen out distracting details

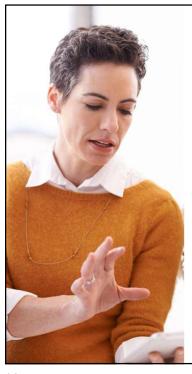
9



## **Key Behaviors**

Specific behaviors and actions you want from learners:

- Involves concrete actions and common situations an individual employee could reasonably encounter
- 2. Can be written as a "we/you" or "do/do not" statement



#### **Core Concepts**

Provide important context for what you're asking employees to know and do:

- 1. Why does this law exist? Why should anyone care?
- 2. If you could tell employees only three things...?
- 3. What's the worst that could happen if someone gets this wrong?
- 4. What constitutes basic literacy?

11



## **Distracting Details**

Things only experts or lawyers need to know:

- 1. Technical terms; certain legal concepts and definitions
- 2. History of the law
- 3. Subtle nuances



#### CODE OF ETHICS [YOUR COMPANY NAME]

[YOUR COMPANY NAME] will conduct its business honesity and ethicidly wherever we operate in the work. We will constantly improve the lequily of our services, products and operations and will create a reputation for honesity, farmers, respect, responsibility, integrity, houst and sound oussess judgment. No thingal or unethod conduct on the part of offices, director, enerophyces or difficulties in the company's helical performance of this company is the sum of the ethics of the men and women who work here. Thus, we are all expected to address to high standards of personal integrity.

Officers, directors, and employees of the company must never permit their personal interests to conflict, or appear to conflict, with the interests of 5 the company, is clients or affiliates. Officers, directors and employees must be particularly careful to avoid representing [YOUR COMPANY NAME] in any interestion with others with when their is early coulse business affiliation or relationship. Officers, directors, and employees shall avoid using their company contacts to advance their private business or personal interests at the expense of their company, this clients or affiliates.

No bribes, kickbacks or other similar remuneration or consideration shall be given to any person or organization in order to attract or influence business activity. Officers, directors and employees shall avoid gifts, grafutiles, fives, bonuses or excessive entertainment, in order to attract or influence business activity.

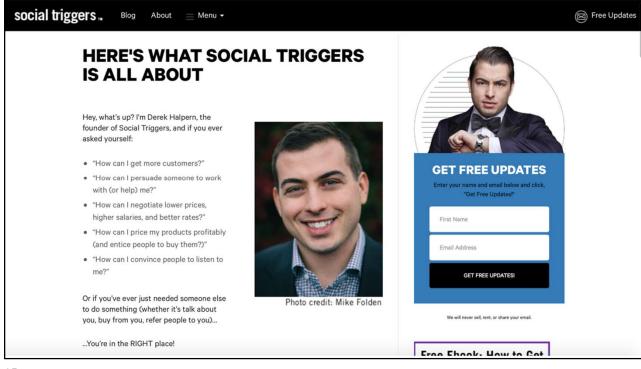
Officers, directors and employees of IYOUR COMPANY NAME; all often come into contact with, or have possession of, projectery, confidential or business-resides information and must take appropriate steps to assure that such information is strictly safegyparted. This information – whether it is on behalf of our company or any of our clients or affiliates – could include strategic business plans, operating results, marketing strategies, customer lists, personnel records, upcoming acquisitions and divestifures, new investments, and manufacturing costs, processes and methods. Proprietary, confidential and sensitive business information about this company, other companies, includuals and entities should be treated with sensitivity and discretion and only be disseminated on a need-to-know basin.

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- Until the material information has been publicly released by the company, an employee must not disclose it to anyone except those within the company whose positions require use of the information.
- Employees must not buy or sell the company's securities when they have knowledge of material information concerning the company until it has been disclosed to the public and the public has had sufficient time to absorb the information.
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  Employees shall not buy or sell securities of another corporation, the value of which is likely to be affected by an action by the company of which the employee is aware and which has not been sublich discreased.

Code of Ethics Page 1 of 2



#### **Copywriting Tactics Can Help**

People online skim rather than read:

- 1. Write like you're explaining to a smart 12 year old
- 2. Use "you" be a person talking to a person
- 3. Style text headers, bullets, line breaks, etc.



#### DATA PRIVACY

When we are entrusted with personal information about individuals, we safeguard it and take appropriate steps to protect it from misuse. We observe all applicable privacy laws when we collect, use, and share personal information about individuals.

#### For You, This Means:

- Follow company guidelines when collecting, storing, using, or sharing personal information about individuals.
- Do not access personal information stored on our systems, except for business purposes that reflect the scope for which the information was collected.
- Let your manager know if you have access to personal information about individuals that you don't need.

#### PROTECTION PROCEDURES

Politely challenge strangers who do not have appropriate identification and notify building security

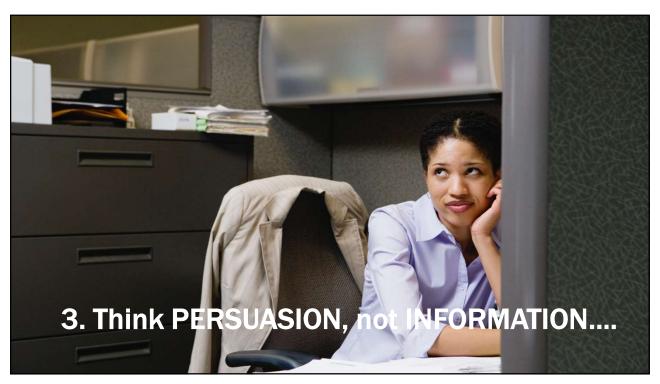
Protect company laptops and other mobile devices

Use strong passwords and do not share your individual passwords

Securely store any removable media, including flash drives, CDs, or external drives

When working with information, use only approved Company equipment and services

Use your company email account for all work communications— do not use personal email accounts to conduct company business







# Persuasion is about Emotion (Not Information)

- Often lack of information is not the problem
- Impact comes from audience insights
- You can do a lot in 90 seconds





"People generally are going about learning the wrong way.

[R]esearch into how we learn and remember shows that much of what we take for gospel...turns out to be largely wasted effort.

But there's a catch: the most effective learning strategies are not intuitive."

"Make it Stick: The Science of Successful Learning



23



#### To learn, retrieve.

- Since 1885, psychiatry has recognized a "forgetting curve"
- We lose 70% of what we learned quickly; the last 30% falls away more slowly
- To improve learning, we must interrupt the forgetting curve



## Key fact: Fast learning leads to fast forgetting.

- Retrieval is like exercise for a memoryit makes it stronger
- To be most effective, retrieval must be repeated, in spaced out sessions
- Repeated retrieval can make skills a reflex – the brain acts before the mind has time to think

25

