

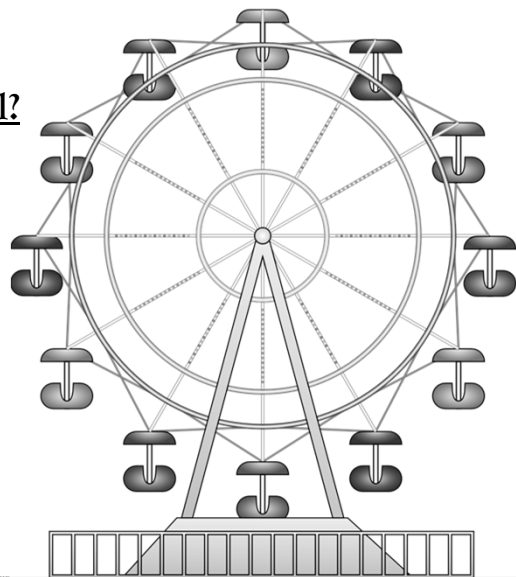
STEP RIGHT UP!

HOW TO THROW A COMPLIANCE CARNIVAL!

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Why should you throw a compliance carnival?

- Reinforcement
- Engagement
- Culture
- Awareness
- People *will* show up
- It's actually gamified training



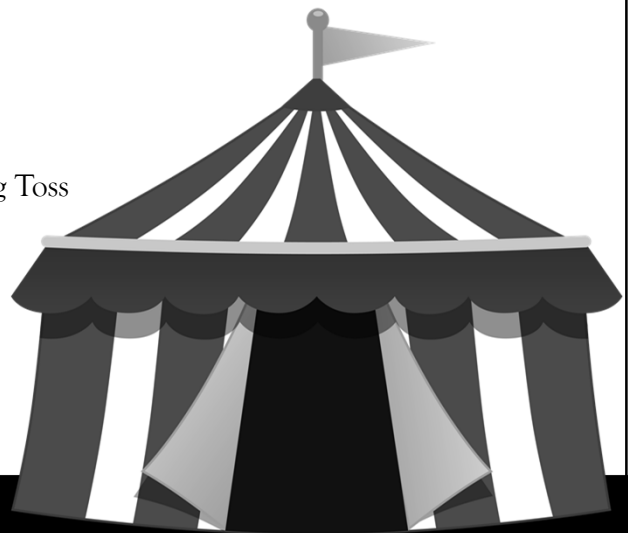


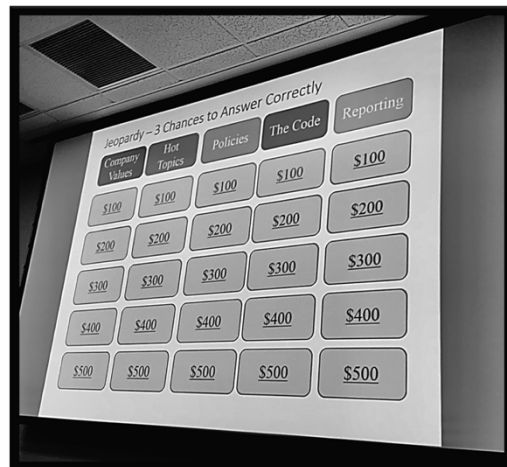
Things to Consider:

- Committee
- Timing
- Location
- Budget
- Communications
- Prizes
- Food & Drink
- Volunteers
- Games
- Decoration/Music

Our First Year (2017)

- Indoor
- Compliance & Ethics Week
- 11am-1pm
- Intranet, Email
- Ethical Decision Tree, Jeopardy, & Bean Bag Toss
- Tacos, Popcorn, Cookies, Tea, Water
- Tumblers, pens, usb chargers, Rustic Cuffs
- Volunteer for each station
- Table cloths (light on the décor)
- **Total Cost \$1,927.00**





Our Second Year (2018)

- Indoor
- Compliance & Ethics Week
- 11am-1pm
- Flyers, Email, Intranet
- Ethical Decision Tree, Basketball, Ring Toss, Can Smash (rented)
- Cotton Candy, Popcorn, Cookies, Water
- Tumblers, pens, usb chargers, screen cleaners, fidget spinners, lunch bags, ethics books
- Volunteer for each station
- Table cloths, plastic top hats for volunteers
- Headcount: 88
- **Total Cost \$2,090.00**





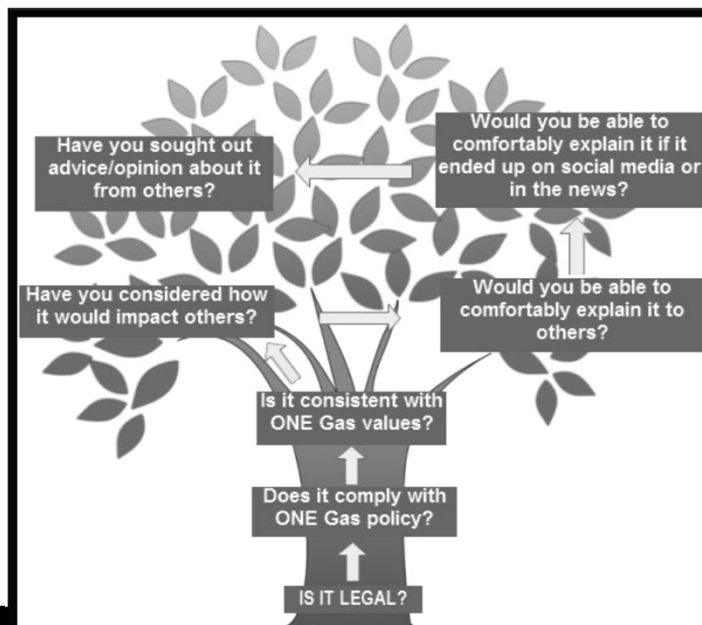
Lessons Learned & Other Ideas:

- Order prizes well in advance (a month or more)
- Games can be rented from local vendors, purchased online, or DIY
- Determine logistics - getting games into building
- Plenty of seating and open space
- Headcount (badge or sign in)
- LOTS of communication
- Be aware of competing events
- Theme
- Think outside the box: fortune teller, mystery prize bags, face painting, etc



Get to the “gamified training” part already

- Pay-to-Play Style: payment = correct answers about the Code of Conduct and other compliance policies
- Contestants answer three questions. Each correct answer = a throw (ring, bag, basketball). Prizes earned for rings or baskets landed, cans smashed, or bags sunk.
- Ethical Decision Tree – Answer at least 4 of the 7 steps correctly = win a prize.



Questions
Policies
Is it acceptable to have a reasonably priced meal with a vendor to discuss business?
Can you put personal expenses on the company credit card?
What's the name of the form you'd fill out if you had a conflict of interest?
Is it OK to accept a \$5 Starbucks gift card from a vendor?
A new employee doesn't have computer access yet. Can I give her my password?
Vocabulary
Employees who routinely work with material non-public information are called what?
Material information that is not public is called what?
Customer information, financial information, and documents marked "confidential" are all examples of what?
Reporting
You heard a coworker threaten another employee. What should you do?
Name one of the six ways you can report a concern?
True or False: if you make a call to the Helpline, you'll receive a code you can use to call back and check the status of your report.
Values
Name one of the six company values.
This value states "we are accountable to the highest ethical standards"?
What are all six company values?

Compliance & Ethics Week FUN Activities

- Essay Contest
 - What does compliance and ethics mean to you?
 - Discuss the importance of ethics in the workplace
 - 500 words or less
 - Judged on: quality of writing, organization of writing, positivity of the message
 - Both internal and external judges
- Quiz
 - 10 questions
 - Part scavenger hunt
 - One winner selected from correct submissions
 - Winner received gift card
- Golden Tickets
 - Randomly selected locations
 - Contained compliance and ethics related question
 - Winners received gift card

