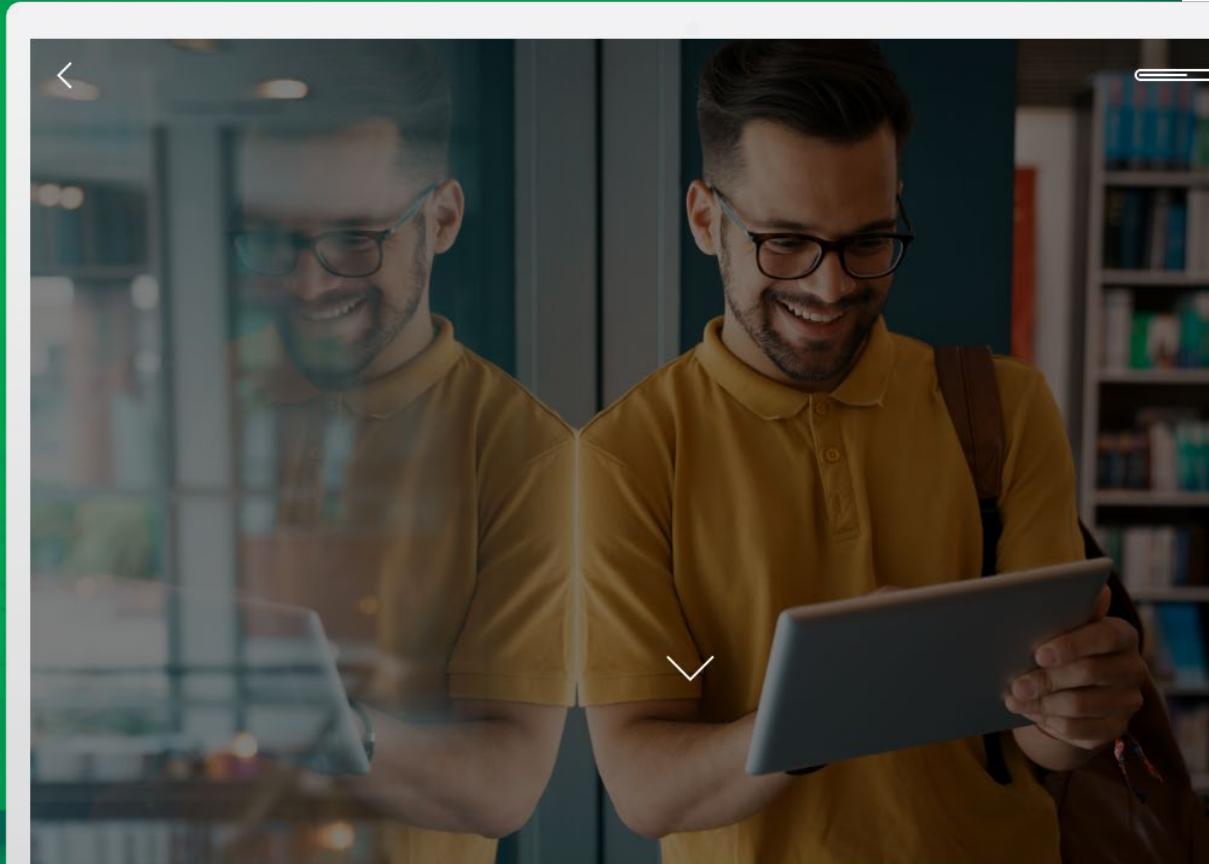


**Compliance
learning that works**

Introduction

Compliance-based learning and training courses can take a lot of time and cost a lot of money. And we know that we don't always get the learning experience right for our employees. So, what can we do about it?

We're taking the time to get our head around the common problems associated with compliance elearning and offer some practical help.



Compliance that works

We think it's fair to say that the compliance training of old didn't have a very good rep. Sound familiar?

- Everyone must do it.
- Nobody wants to do it.
- There's nothing you can do about it – just get on with it.
- Have you done it yet? Please have it done by Friday so we can all move on with our lives.

There's no doubt it's important. It matters to your people, your customers and your regulators. More than ever, organizations face a bewildering thicket of regulatory activity, an increased risk of litigation and liability, and the threat of long-lasting damage to consumer trust and market share if their corporate integrity is brought into dispute.

But in the past the strategies for approaching compliance often failed to address this critical ethical component. 'One size fits all' compliance programs tended to focus on all

the negatives. They over relied on the threat of detection and punishment, attempting to deter employees by emphasizing the personal costs and benefits of their choices – or worse, simply the consequences for the business. It was assumed that employees had no innate interest in following the law. In fact, research in recent years has shown that most people do feel a strong obligation to duty to obey the rules when they believe they are legitimate, morally correct and connected to a shared purpose.



OUR APPROACH TO COMPLIANCE

Integrity

It therefore helps to look at compliance training from the perspective of integrity. Instead of feeding employees unnecessary, tedious facts about the regulatory law and threatening them with the consequences of a violation, the focus should be on the people involved and the organization's culture. On creating an environment which is led by the organization's guiding values. An environment in which root causes for misconduct can be uncovered, discussed openly and collectively addressed. An environment in which employees have a shared accountability for ethically sound behaviour. They follow the guidance not because it's imposed from above or by external authorities but because it's the right thing to do.



Effective and engaging

This shift in focus requires an approach to compliance training which offers an effective and engaging learning experience that doesn't bore your learners stiff but instead appeals to their moral compass. In addition, we need to be mindful of the situation modern learners find themselves today. They are overwhelmed, distracted and impatient, with only 1% of a typical week available to focus on personal development. That means our approach must be both convenient and efficient for your employees.



Scalable, standardized approach

There are also organizational factors to consider. Compliance training is often rolled out to vast target audiences and on a frequent basis. That's a lot of time in seats...and time is money, so we need to limit unnecessary amounts of it doing training. A scalable, standardized approach to compliance training would also allow you to create high volumes of it at low cost.



Our learning approach

So, what do we propose? We have put five design principles at the heart of our proposed learning approach for compliance:

1.

Personalized

Nobody should spend time on training they don't need. A 'test out' approach upfront can save you time and money, by directing your employees only to the content they need to brush up on. That keeps them happy too! You can also include role filters to further tailor your learning.

2.

Goal-based

Provoke curiosity and get people thinking by leading with stories in which they apply their situational judgement in a safe environment. Let them analyze a realistic work-related situation and solve the problem. Show how easy it can be to break the rules. Practice with purpose!

4.

Practical

Support learners with reference guides (we call them coaching cards) they can access during the training at the point of need but also afterwards for ongoing performance support.

3.

Social

Open your employees' eyes to the issues that aren't so black and white by allowing them to compare how they're feeling about an issue with their peers. Not everyone judges a situation in the same way, which illustrates the importance of knowing what support is available to help you make the right decisions.

5.

Data-focused

Maximize on Kineo Analytics functionality to analyse your learners' journey through the content and their performance, using the data to refine and improve the solution moving forward or take remedial action elsewhere in the business.

Our recommendation

for the optimal learning experience would be to launch the training with a campaign for change and follow up afterwards by embedding for results.

As part of our learning content approach, we can provide you with supporting documentation that provides you and your team with guidance on how to best maximize the impact of the solution we deliver.

We'll touch on this more later but first we'd like to explain our approach in a little more detail.



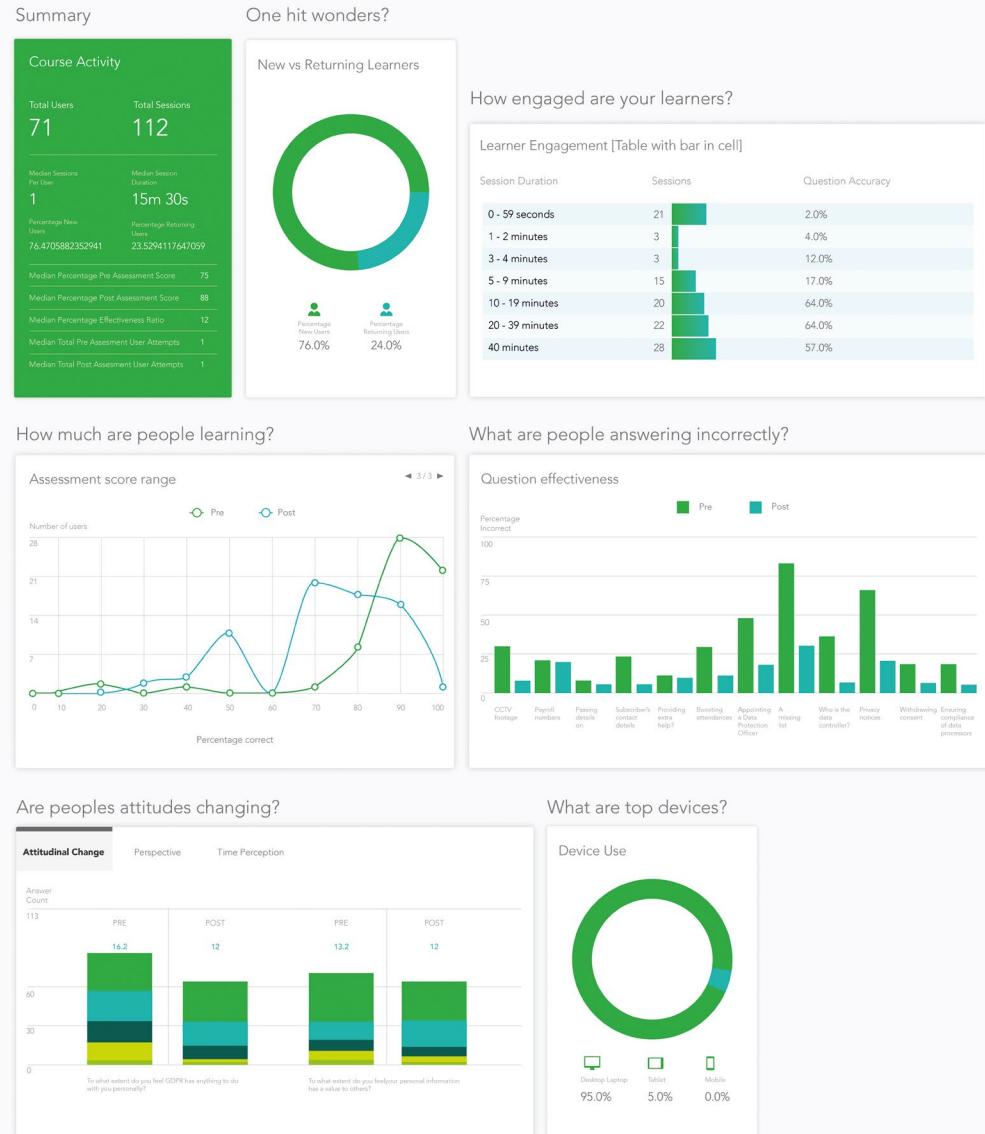
Kineo Data Services

Kineo Data Services and Kineo Analytics allows for the collection of non-personalized trend data from within your elearning courses.

Kineo Analytics can be used to provide you with data which may well not be available via your current learning management system. Insights such as what devices people are using to access the training, common failure points from within your course or the typical pathways taken through the elearning can all be revealed. This data can then be used to refine the learning experience and/or remedial action taken elsewhere in the business. This data can also be used within the course itself to create a more dynamic learning

experience by revealing wider community trend data such as how other users have answered a particular question or feel about a given subject.

Kineo Analytics aggregate data can be configured to be viewed either as a snapshot or trends can be measured over time, and all data is played back to you via the same dashboard. The dashboard's visualizations are easy to read and perfect to drop into your presentations and reports.





The learning experience

Below we have outlined some of the key elements in our learning design approach for compliance subjects, and the order in which your learners will encounter them.



Start with the heart

Take a test - first approach

Create a personalized pathway

Connect on a personal and social level

Practice with purpose

Pre and post support for maximizing the impact of the learning experience



Start with the heart

On entering the learning experience, we'll hit your learners right between the eyes with an attention-grabbing video or animation that really makes clear why it matters. Today's people - particularly millennials (who by 2025 will comprise three quarters of the global workforce) – say they want to work for a company with strong ethics. This is your opportunity to tell your story from the heart and really get their buy-in.

We'll support you to create an opening asset that sets the tone for the learning experience and reminds your employees that you care. Why not use it (or a variation of it) to market the learning beforehand too?

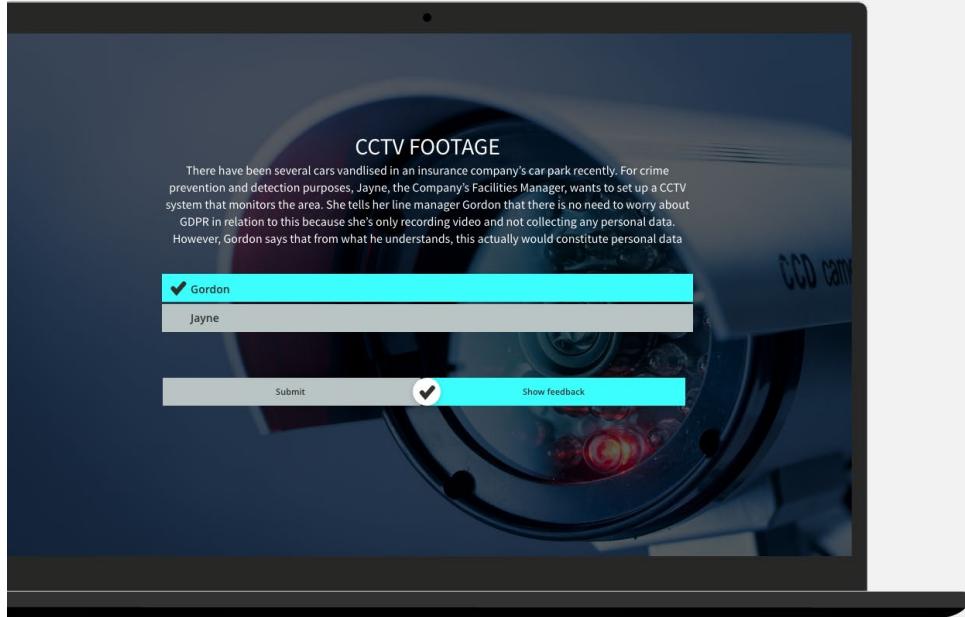


Take a test – first approach

Next up we'll challenge learners to take an upfront diagnostic. This tests out how much of the core learning that follows they will need to go on and complete. We'll make that clear, so they go into the diagnostic primed to give the performance of their lives.

The diagnostic could consist of a large bank of questions in the form of mini scenarios. Questions appear in a randomized order with the answer options also randomized. Each question maps to a clearly defined learning objective which has been deemed critical to the learning experience (we can help you with that) and is covered in the core learning.

We recommend you ask four or five questions per learning objective to give you the assurance that the diagnostic is robust enough to meet both your organization's and your regulator's compliance standards.



If a learner answers every question in the diagnostic correctly, they have passed the course (we can issue certificates should you require them). The learner can exit the course and get back to their day jobs.

If a learner gets one or more questions wrong, they will be redirected to a menu which shows them a personalized learning path depending on their performance in the diagnostic.

Disclaimer: There are critical areas where employees may be legally required to take on specific information and learning. For example, annual renewals of certification to stay current with regulations. Therefore, it is wise to consult governmental guidelines and company policies before you give employees the option to test out.



Create a personalized pathway

Topics within the core learning will be marked on the menu as either:

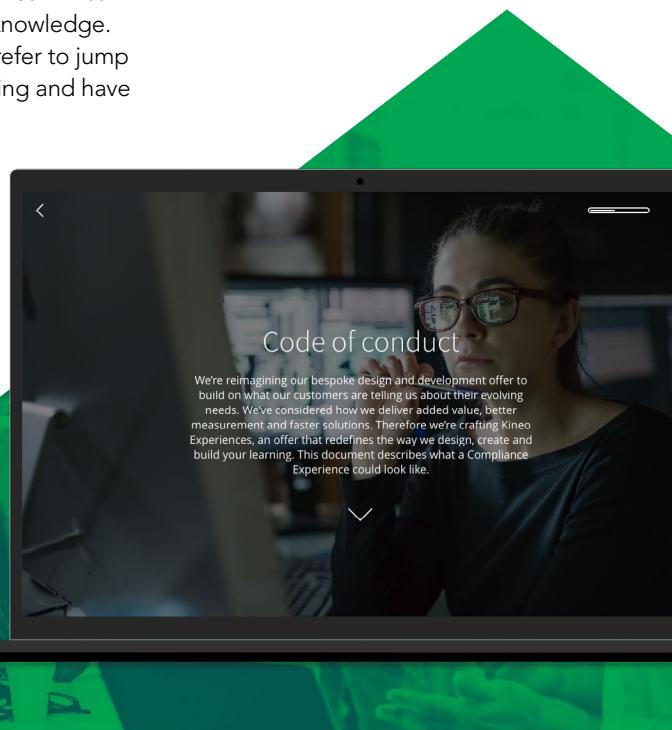
- **Required learning** – these topics cover the learning objectives associated with the questions the learner has failed, or
- **Pre-passed learning** – these topics do not need to be completed but should the learner wish to, they can

In addition, a series of reference guides or coaching cards containing the information learners need to complete the topics are also available on the menu in a resources section. This suits those learners who prefer to learn first and then apply their knowledge. Other learners may prefer to jump straight into the learning and have

a go, calling on the coaching card only if they need it.

You may have one coaching card per topic and each is structured in a consistent way to ease the learning process and to ensure they're quick to use as a reference tool. We can make use of existing content to populate these (and the diagnostic).

One way to further personalize your learning experience, is to include a role filter which tailors the scenarios and questions to resonate with each audience. This would be done at the end of the diagnostic before learners arrive at the menu.



OUR APPROACH TO COMPLIANCE

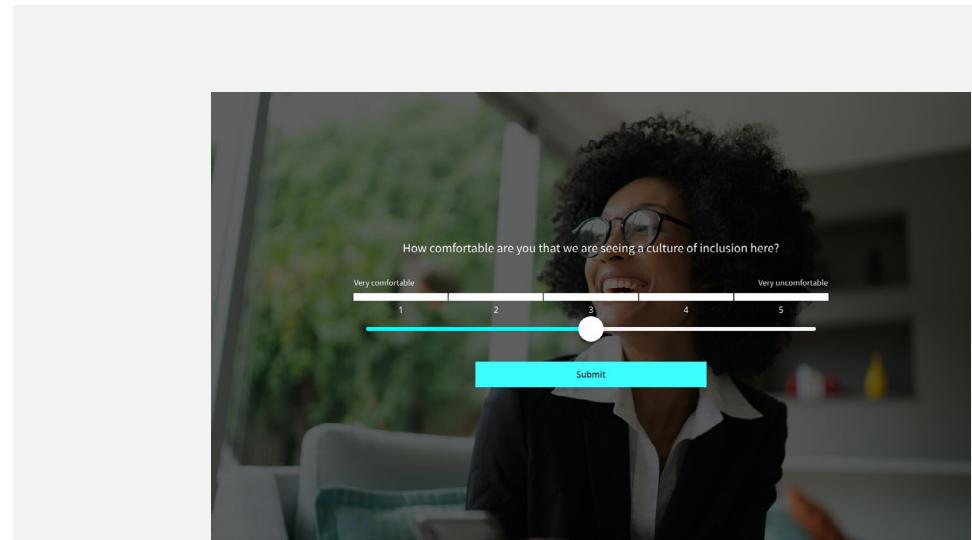


Connect on a personal and social level

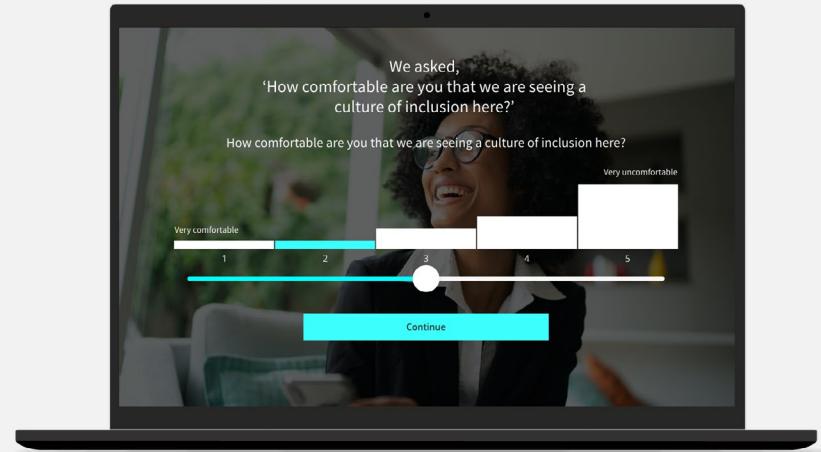
Each menu item leads to a page that consists of a challenge in the form of a detailed scenario (this can be presented in various forms of multimedia, depending on your budget). Each page is self-contained and maps to the learning objectives tested in the diagnostic.

The learner is immersed in an authentic work-based story in which **people and acting with integrity** take centre stage, rather than the specifics of the law. Early on in the story we'll ask a question which gets them relating to the situation on a personal level – how comfortable are they with what they've seen? Or how do they think it will pan out? Would they choose to act in the same way?

The more personally relevant the better to ensure learner buy-in, but statistical-based 'How big an issue is this?' type questions (e.g. 'In the last 10 years, how many breaches involving the theft of our records do you think there have been?') would also work to gain attention.



We can then present back how their peers have responded to the same question via social polling (we can present this in a visually interesting way using Likert scales, pie charts etc).



Social questions like this can really illustrate how the compliance issues matter to them personally and the grey areas where they may need support. They also can emphasize the individual role we all play in getting this right.



Practice with purpose

Next learners are asked to use their situational judgment to resolve the situation we've presented in a safe environment. We can ask questions using a variety of question components, including multiple choice questions, graphical multiple choice questions and matching questions, which involve matching statements to the correct dropdown.

Each time a question is asked, if the learner is unsure of an answer they are given the opportunity to access the coaching card (thus support is provided at the point of need).

Feedback is not given straight away. Instead, learners are presented with a small amount of information or dialogue which develops the story based on the decision they have made. We continue to ask questions and develop the story in this way until it reaches a conclusion (we recommend a maximum of five questions per topic to keep them short and focused).

At the end of the page, the learner receives their feedback. They are told which decision points they answered correctly and which they got wrong. If they got a question right, the correct answer is reinforced. If they got one wrong, they're given a hint as to what the correct answer might be, then encouraged to review the coaching card before reattempting the scenario.

Did you help Belle achieve the right outcome?

Wrong
You were very direct and did not respond to Malcolm's confusion. By carrying on and not adapting your approach you may have caused him distress.
In this case, the better response would have been option one: "It's nice to hear from you, Mister Beck, but I'm afraid you've got your days muddled. I came to visit you yesterday. But don't worry, we can arrange for another day to talk everything through again."

Correct
You were right to adapt your approach by checking Malcolm's understanding and not rushing him. This is an example of changing how something is done.

Wrong
You set up the next annual review, but do you think this gave them enough information to make a decision on their future needs now?
In fact, the correct response in this case would have been option two: "It sounds like we could involve your son Jack more in your affairs. Have you thought about setting him up with the Power of Attorney?"

The learner must answer all questions in a scenario correctly for the chapter to be marked as complete, giving you the assurance that the necessary level of understanding has been reached.

When the learner has passed the scenario, you might like to hear from an expert within the organization or somehow present how the correct course of action within the scenario demonstrates your values in action.

OUR APPROACH TO COMPLIANCE

Pre and post support for maximizing the impact of the learning experience

We've all been there. We take a course because we have to. We go through the motions and then that's it. Nothing transfers into our day-to-day lives and the learning is stuck in the screen, and there's no behavior change.

It doesn't have to be this way. By taking a campaign-based approach to marketing your learning experiences and seeing that journey through after the event, you can make a huge difference to learner engagement and learning retention.

This can be done beforehand via a campaign for change which helps you to position the training in the right way, in the right tone, using a variety of channels. Similarly, you can embed and sustain learning afterwards by keeping the discussion going, debating and channelling hot topics and outcomes in your teams and sharing stories from within the organization and the outside world which illustrate where things have gone right and wrong.

We can help you be as creative as you want here! From posters to social media campaigns, a strong, compelling theme will help to cement key messages in the minds of your learners, as well as create memory 'anchors' that they can attach concepts to and be more likely to draw on in the long-term.

Built on solid foundations



Adapt is an open source tool for multi-device learning with a responsive framework allowing a single piece of elearning in HTML5 that runs on multiple devices including tablets and mobile. Adapt content is easy to translate and is designed to adhere to WCAG AA web accessibility standards, providing consistent experiences to all users.



The Adapt Authoring Tool (AAT) uses a browser-based interface so users of any technical background can maintain content using its simple interface. We use the AAT to allow clients to make edits to our learning experiences post-delivery, meaning clients are free to update their content quickly and in-house.



Kineo Data Services offer enhanced data collection and analytics beyond standard LMSs - and even work standalone. You can share live social statistics for learners to see their peer's opinions and performance, within the learning itself. For admins, reports and visualizations are accessed via a simple dashboard, making it easy to keep track of trends such as engagement and completion.

Discover how we're shaping the future of learning

Everything we do at Kineo stems from a simple idea – if we design a better learning experience, together we'll get better results.

Kineo helps the world's leading businesses improve performance through learning and technology. We're proud of our reputation for being flexible and innovative, and of our award-winning work with clients across the world.

Whatever your business challenge, we will partner with you every step of the way to find the learning solution that fits best – and delivers results.

**So, how can we help you?
Get in touch about your digital learning challenges.**

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