



How to Make an Impact with Risk-Based Compliance Training

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Presenters



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CEO & Founder
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Agenda

- Why does training program maturity matter?
- Trends in learning
- How adaptive learning can mature your training program
- Conclusion and Q&A



Why Does Training Program Maturity Matter?



Why Program Maturity Matters

- Federal Sentencing Guidelines for Organizations (FSGO) Obligation: Communicate periodically to all employees and agents:
 - By conducting effective training programs and
 - Otherwise disseminating information appropriate to such individuals' respective roles and responsibilities.
- Programs should not stagnate but must evolve and improve:
 - Emerging trends or enforcement in a risk area
 - New requirements or expectations
 - Organizational hotspots may emerge
- Following a Program Maturity model will help you advance your program in a strategic manner – driving towards a more risk-based, effective training program

What Does Maturity Look Like?

THE FIVE HQP HIGH-QUALITY E&C PROGRAM **PRINCIPLES**

STRATEGY

E&C is central to business strategy.

RISK MANAGEMENT

Risks are identified, owned, managed and mitigated.

CULTURE

Leaders at all levels build and sustain a culture of integrity.

SPEAKING UP

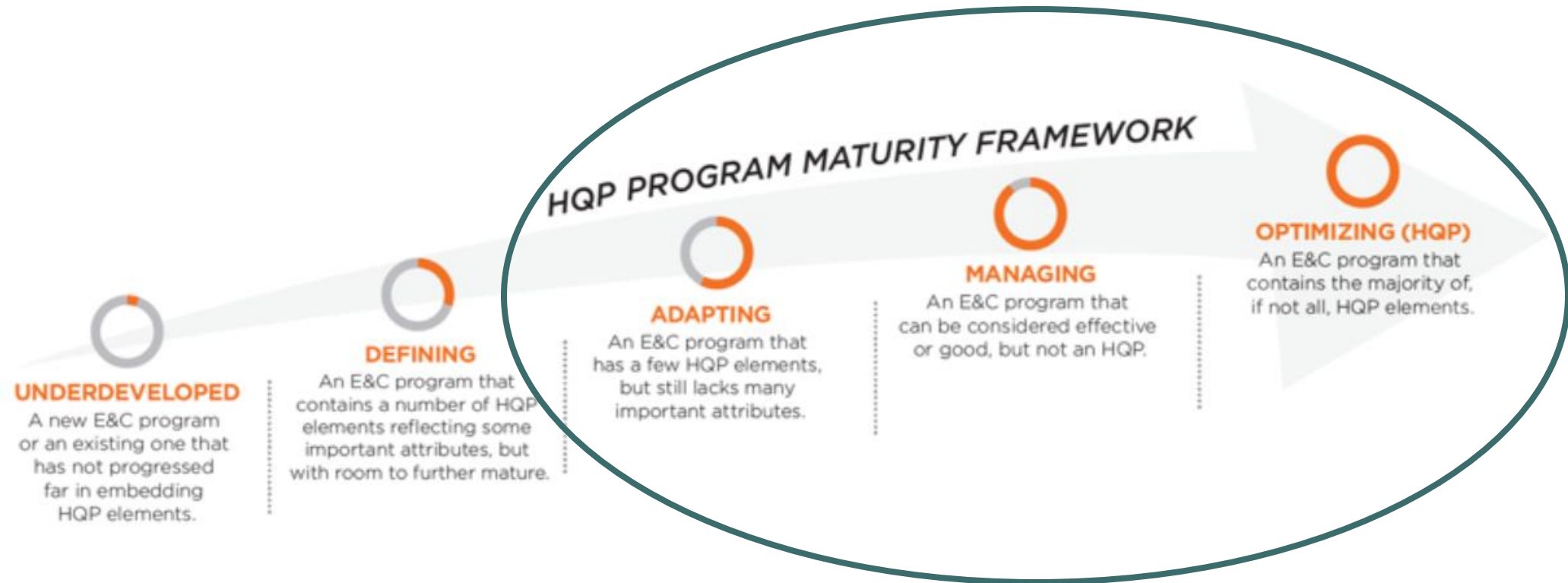
The organization encourages, protects and values the reporting of concerns and suspected wrongdoing.

ACCOUNTABILITY

The organization acts and holds itself accountable when wrongdoing occurs.

Review of Maturity Stages

Focus on Advancing Beyond "Effective"





Compliance Training Maturity

Underdeveloped: React to events as they happen, no board training, check-the-box only

Defining/Adapting: Train all employees on the same topics, interactive content, train on current regulations

Managing: Topic-specific training for employees, management and Boards, training on multiple topics

Optimizing: Train by role/risk, multi-year plan, multiple training methods, modify based on compliance program inputs & feedback

POLL QUESTION (Some options)

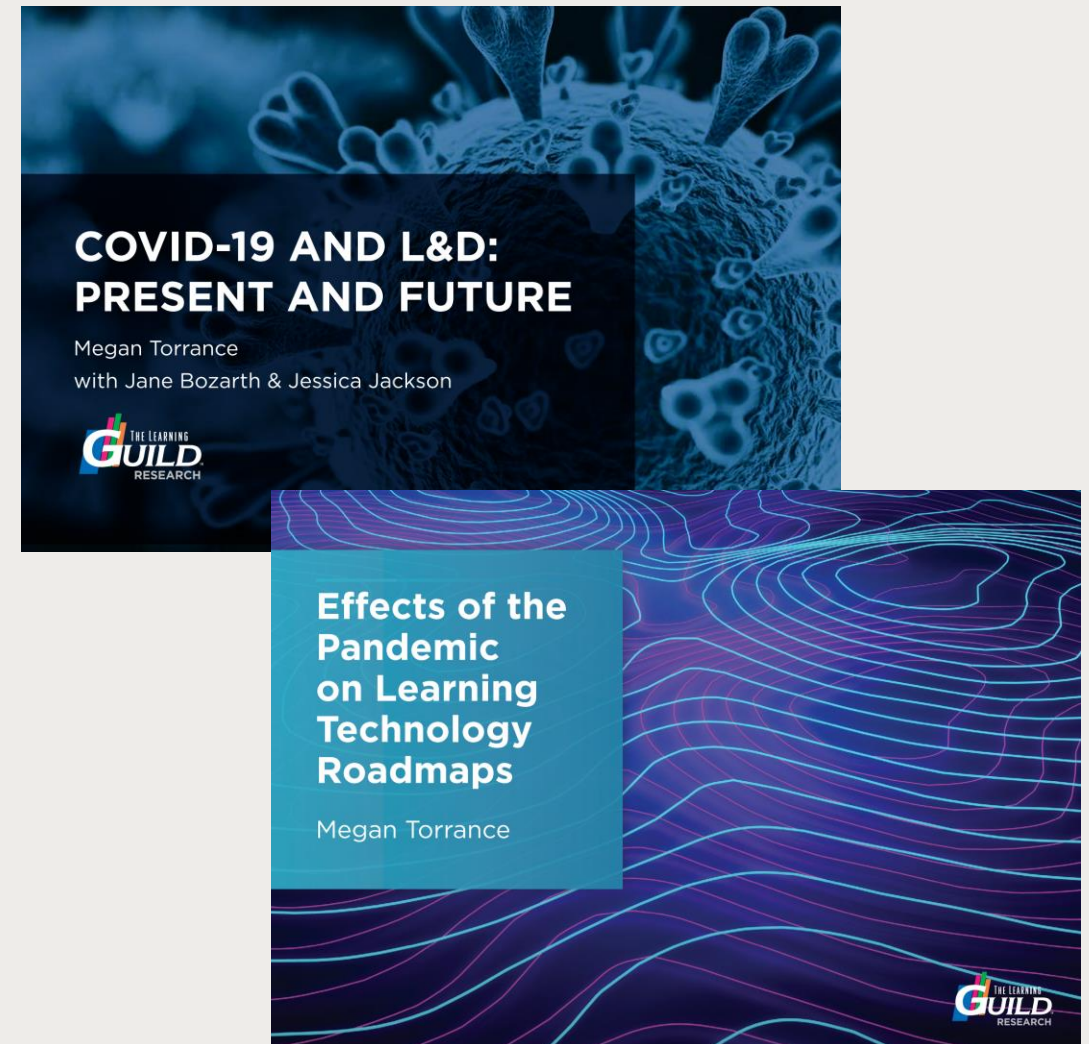
- Where would you place yourself on the curve?
 - Underdeveloped
 - Defining
 - Adapting
 - Managing
 - Optimizing

Trends in Corporate Learning

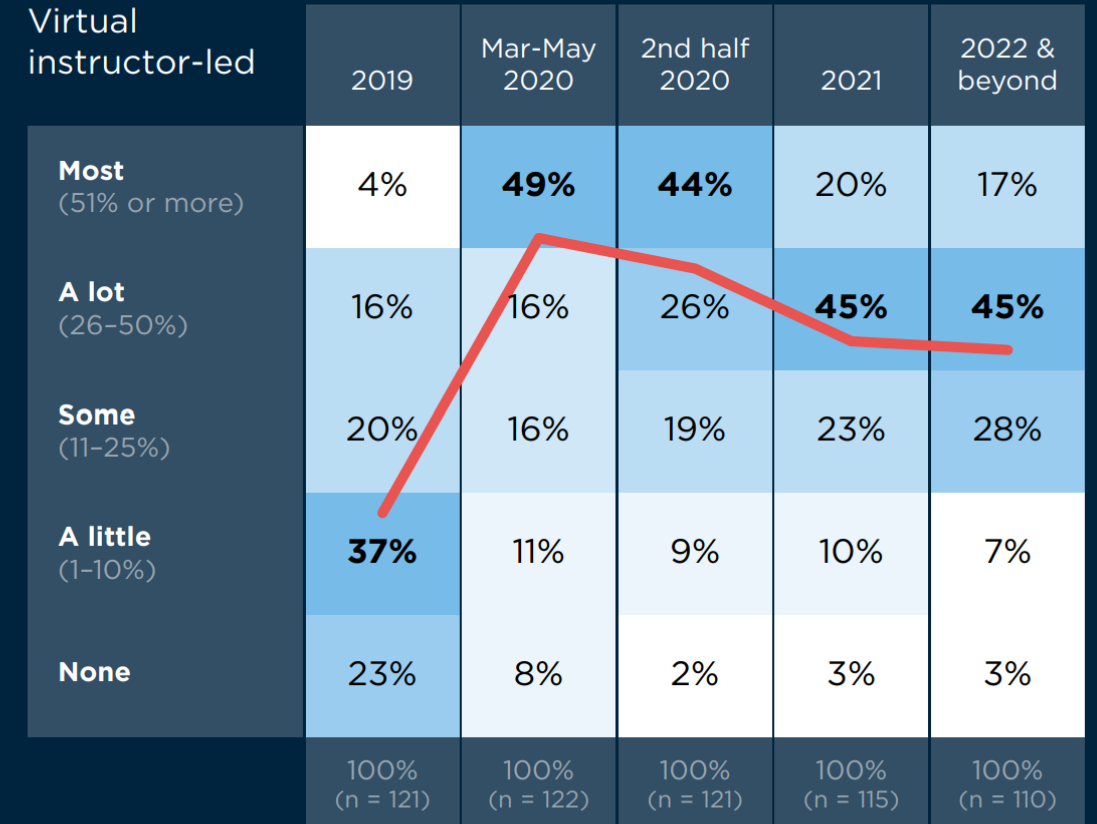
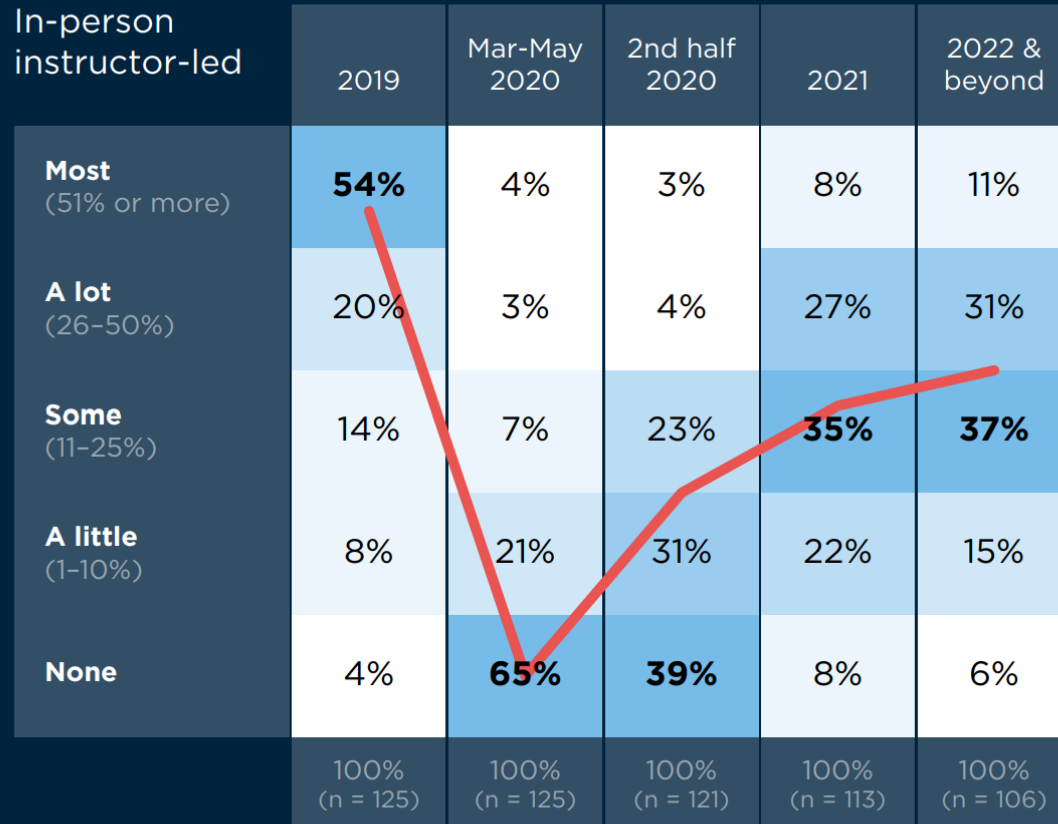


Online and hybrid learning delivery are here to stay

- Learning Guild research in 2020 and 2021 showed strong shifts to online and virtual learning, with no plan to revert to classroom training.
- Organizations that were previously lagging in their basic learning technology ecosystem caught up quickly when the pandemic forced them to.



Please indicate how training has been, is, and will be (in your opinion) delivered.





KEY = Mode = Mean

Self-paced (elearning)

	2019	Mar-May 2020	2nd half 2020	2021	2022 & beyond
Most (51% or more)	13%	26%	26%	24%	25%
A lot (26-50%)	23%	31%	39%	45%	45%
Some (11-25%)	36%	25%	25%	24%	23%
A little (1-10%)	18%	10%	6%	4%	4%
None	10%	8%	3%	3%	3%
	100% (n = 124)	100% (n = 125)	100% (n = 122)	100% (n = 116)	100% (n = 111)

Performance support

	2019	Mar-May 2020	2nd half 2020	2021	2022 & beyond
Most (51% or more)	13%	11%	11%	8%	10%
A lot (26-50%)	11%	13%	15%	22%	25%
Some (11-25%)	20%	21%	33%	32%	30%
A little (1-10%)	39%	38%	29%	27%	26%
None	17%	18%	12%	12%	9%
	100% (n = 112)	100% (n = 112)	100% (n = 109)	100% (n = 104)	100% (n = 100)

KEY  = Mode  = Mean

Data drives learning design and delivery

- Data impacts analysis & design
- Data impacts delivery -- personalizing the learning flow to meet needs
- Data is being used for micro-credentialing, recommendation, & adaptation of the learning path



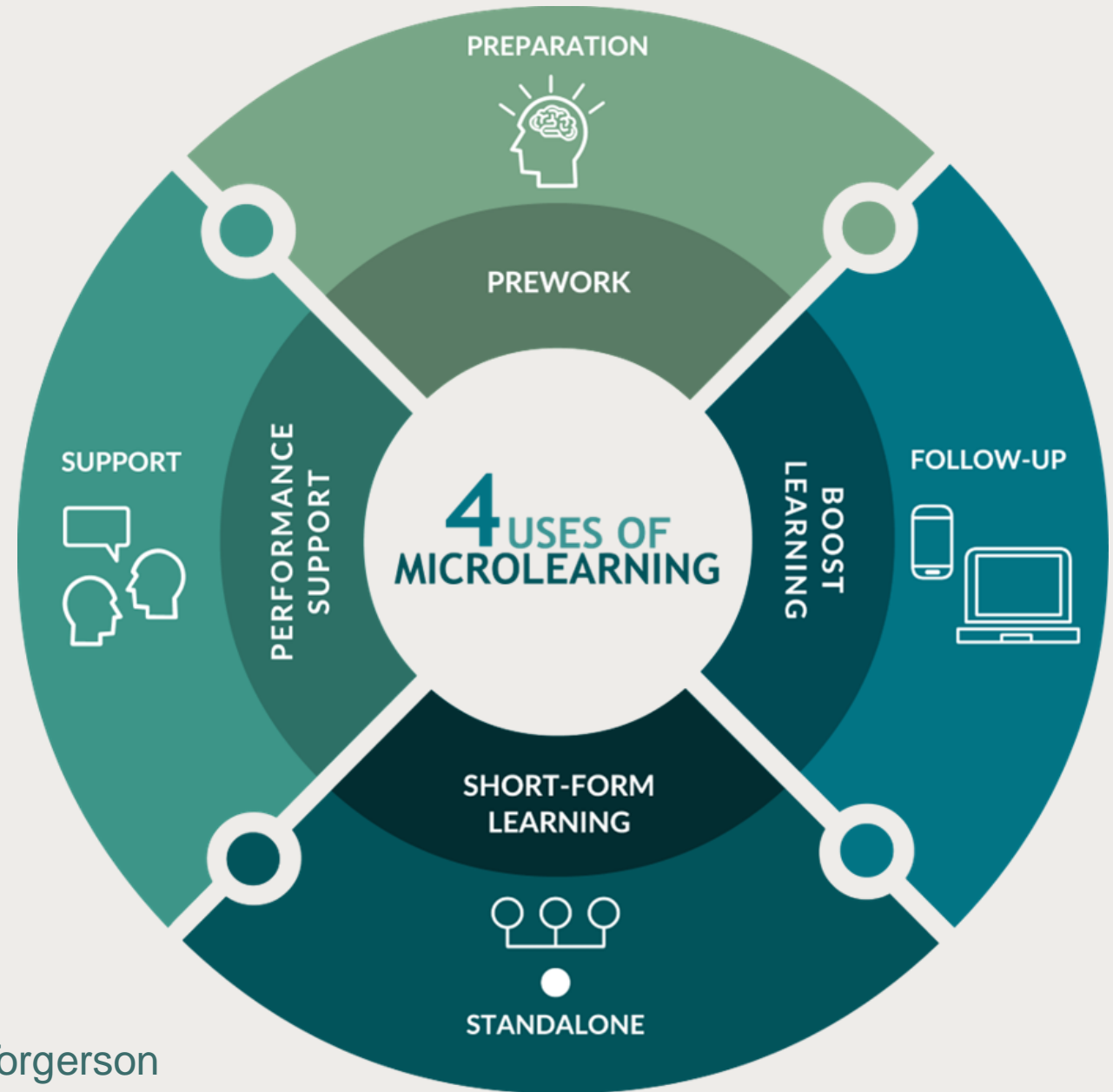
Including both “micro-learning” and “right-sized” learning in the mix

- Microlearning is still hot, but now being seen in the larger learning and performance context.
- Companies are right-sizing learning delivery with modular and micro approaches.
- This approach provides structure, context and meaningful practice of concepts ...

... not just shorter and smaller



Taking a very strategic approach to micro & modular learning



Carla Torgerson

Economic & enterprise-wide dynamics are driving key changes

During the “Great Resignation,” workers are not simply exiting the workforce, they are leaving for other positions.

- Workers are seeking peak employment experiences.
- Organizations are in constant-onboarding mode, & more of it is remote.
- Adaptive learning recognizes existing skills & addresses gaps.



Poll Question

Which of the trends discussed are impacting your E&C training program?

- Shift from live classroom to virtual
- Shift from classroom to self-paced elearning
- Data-driven approach to learning DESIGN
- Data-driven approach to learning DELIVERY
- Microlearning
- Right-sized learning
- Great Resignation
- Online Onboarding

These trends are
nudging the industry
toward a
learner-centric
design approach.

How Adaptive Learning Helps Drive Program Maturity



1: What is Adaptive Learning?



Treats learners as
unique individuals



Offers an
individualized learning
experience
based on:

- Relevance of risks
- Baseline knowledge
- In course performance



Advanced Adaptive
can dynamically
deliver content based
on real time learner
data (stored and live
interactions with
content)



Adaptive Learning: Designed to Drive Effectiveness and Advance Maturity

Compliance Training

E&C TRAINING FUNDAMENTALS

- **Culture:** encourage ethical conduct and a commitment to compliance with the law
- **Coverage:** Comprehensiveness/structure of the program
- **Risk-based:** disseminate information appropriate to individual roles and responsibilities.
- **Continuous improvement:** Evaluate periodically and take steps to improve and modify

ADAPTIVE LEARNING

- Target course to the right people
- Focus the learner on their weaknesses not what they already know
- Allow proficient learners to reduce seat time, making program more effective
- Free up time for other topics/risk areas
- Reduce learner frustration and fatigue

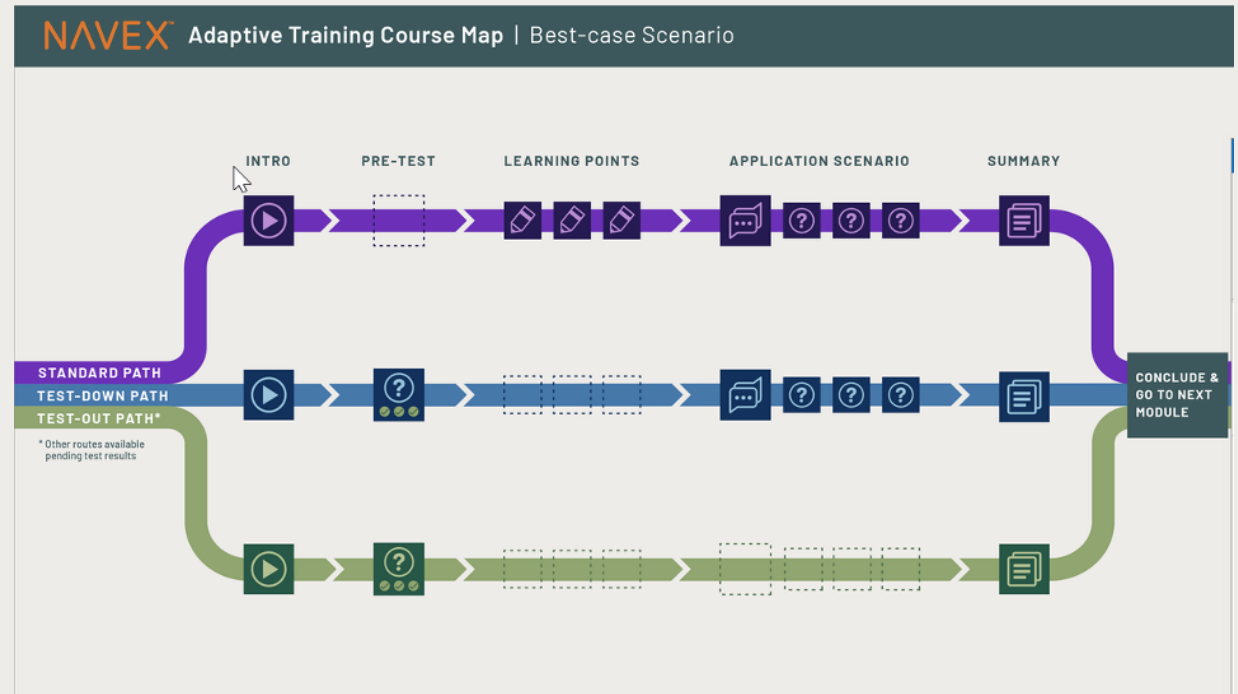
POLL QUESTION

What features of adaptive learning are most valuable to your organization?

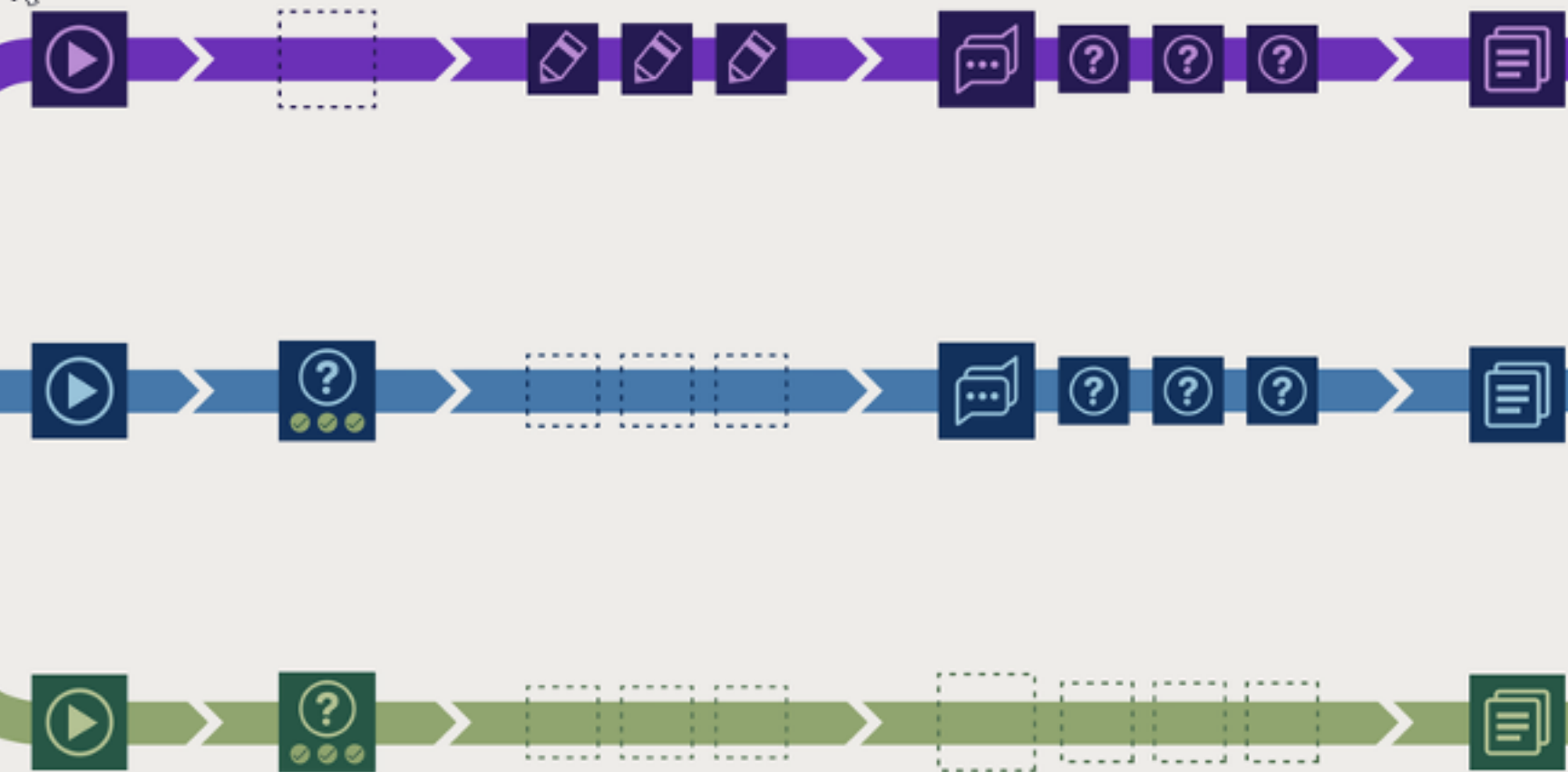
- Reduce seat time for some learners
- Focus content on a learner's individual knowledge gaps
- Free up time for training on other risk areas
- Improve learner engagement
- Reduce learner fatigue from retraining
- Drive program maturity
- Create a more risk-based program
- Address C-Suite concerns about training program

Designed With Purpose

- Not all risks are the same for each organization
- Not all risks are the same for all learners
- But common themes exist
 - Saving seat time was not the driving motivation
 - All learners should be exposed to most important content (summary points and policy)



INTRO PRE-TEST LEARNING POINTS APPLICATION SCENARIO SUMMARY



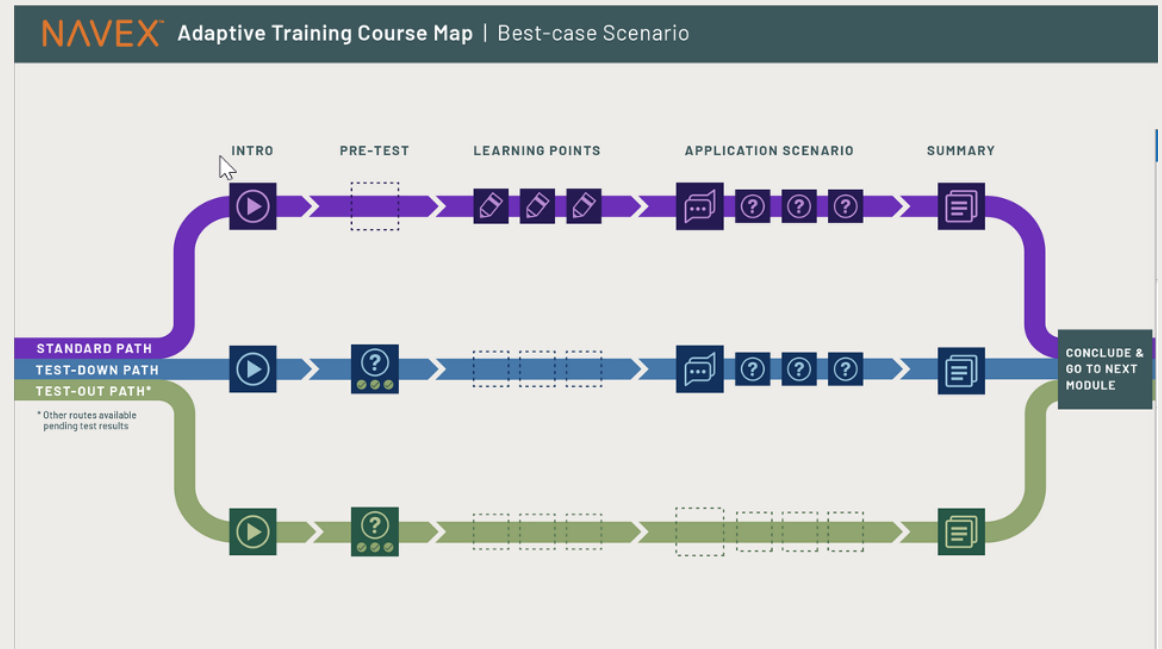
STANDARD PATH
TEST-DOWN PATH
TEST-OUT PATH*

* Other routes available
pending test results

CONCLUDE &
GO TO NEXT
MODULE

NAVEX Engage Adaptive Learning Courses

- Same high-quality content and media, and legal vetting our customers expect
 - Rebuilt from the ground up
 - Mobile first design
 - Meets accessibility standards
 - New course player and user experience
 - New content and scenarios
- Your risks vary, so should your course; for each course you pick the right Adaptive Learning Path for your learners
 - Standard Path
 - Test-Down Path
 - Test-Out Path



Different Paths for Different Purposes



Standard Path

New Employees/Managers (including promotions)
Untrained employees
High-risk areas



Test-Down Path

Lower risk areas
Previously trained employees
Year 2 training (after standard path)



Test-Out Path

C-Suite/Executives:
Employees who have been heavily trained
Low risk areas

POLL QUESTION

- If adaptive E&C courses were available to you, would you use them?
 - Yes, for every topic
 - Yes, but only for some topics (depends on the risk area)
 - Yes, but only for some learners (dependent on risk profile, times trained)
 - Unsure, I would want more information
 - No, we would use the linear option

Conclusion and Q&A



Thank
you.

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