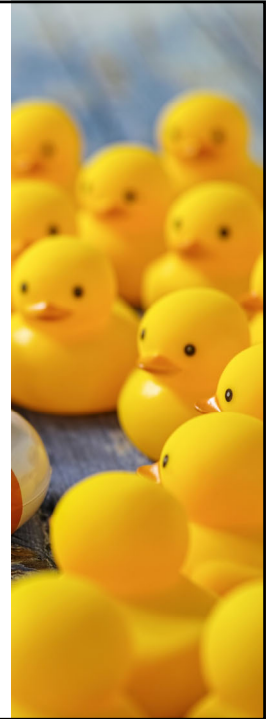
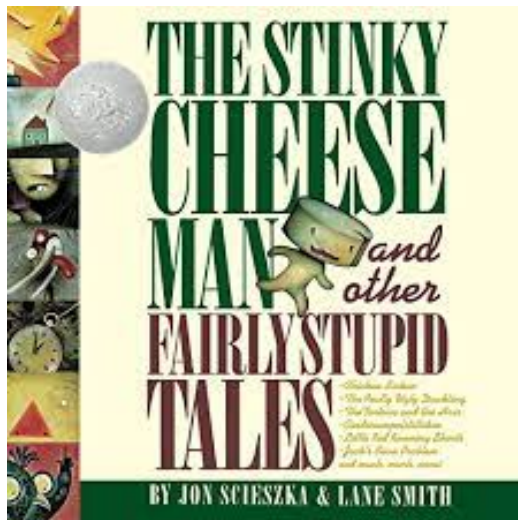


The Really Ugly  
Duckling and Other  
Stories to Ensure Your  
Training Doesn't Stink

Kristin Roberts and Milly Tye



1



1. The Really Ugly Duckling
2. Little Red Running Shorts
3. The Princess and the Bowling Ball
4. Cinderumpelstiltskin
5. The Stinky Cheese Man

2

“Well, as it turned out, he was just a really ugly duckling. And he grew up to be just a really ugly duck.”

The End.”



3

We've all seen trainings like this....



- Today we are going to learn about the ethics law and why it is important for you to understand and why it is important for you to perform your job ethically at our university. The ethics law states that “No public official or public employee shall use or cause to be used his or her official position or office to obtain personal gain for himself or herself, or family member of the public employee or family member of the public official, or any business with which the person is associated unless the use and gain are otherwise specifically authorized by law. Personal gain is achieved when the public official, public employee, or a family member thereof receives, obtains, exerts control over, or otherwise converts to personal use the object constituting such personal gain.” Furthermore, “No public official or public employee shall use or cause to be used equipment, facilities, time, materials, human labor, or other public property under his or her discretion or control for the private benefit or business benefit of the public official, public employee, any other person,.....”

4



5

## Storytelling

- Used to teach lessons
- Capture our attention
- Easy to remember
- Imprint morals
- Deeper and longer lasting
- How our brain works
- Recall information
- Remember the message

6

## 4 P's of Storytelling

1. People
2. Place
3. Plot
4. Purpose



7

## Rules for Great Storytelling

- Clear structure and purpose
- A relatable character
- Appeal to our emotions
- Surprising and unexpected
- Simple and focused

— Once upon a time there was \_.  
Every day, \_.  
One day \_.  
Because of that, \_.  
Because of that, \_.  
Until finally \_.

The Story Spine

8

## Compliance Trainings

- FERPA
- HIPAA
- Conflict of Interest
- Ethics
- Code of Conduct
- Title IX
- Workplace Safety
- GLBA
- Research Integrity
- Controlled Unclassified Information (CUI)
- Cybersecurity
- Data Privacy
- Hiring Practices
- Intellectual Property
- Diversity, Equity, & Inclusion

9

## Poll

- Does your institution **mandate** any trainings for **ALL** employees?
  - A. Yes, 1-2 trainings are mandated
  - B. Yes, 3-4 trainings are mandated
  - C. Yes, 5 or more trainings are mandated
  - D. No, no trainings are mandated

10

## Poll

- What do you find **most difficult** about compliance training?
  - A. Finding a solution that is tailored to higher education
  - B. Getting people to complete the training
  - C. Lack of institutional support/resources
  - D. Monitoring who has completed what trainings and when
  - E. Evaluating the effectiveness of your training

11

## Poll

- Does your institution **require** Conflict of Interest training?
  - A. Yes, for all employees
  - B. Yes, for all full-time employees
  - C. Yes, but only for researchers
  - D. No

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# Story-based Training Approaches

Pick-a-Path

Scenarios

Role Play

Videos

13

Course Preview

Conflicts of Interest and Conflicts of Commitment (COI/COC)

ON COMPLETE

WELCOME

Welcome

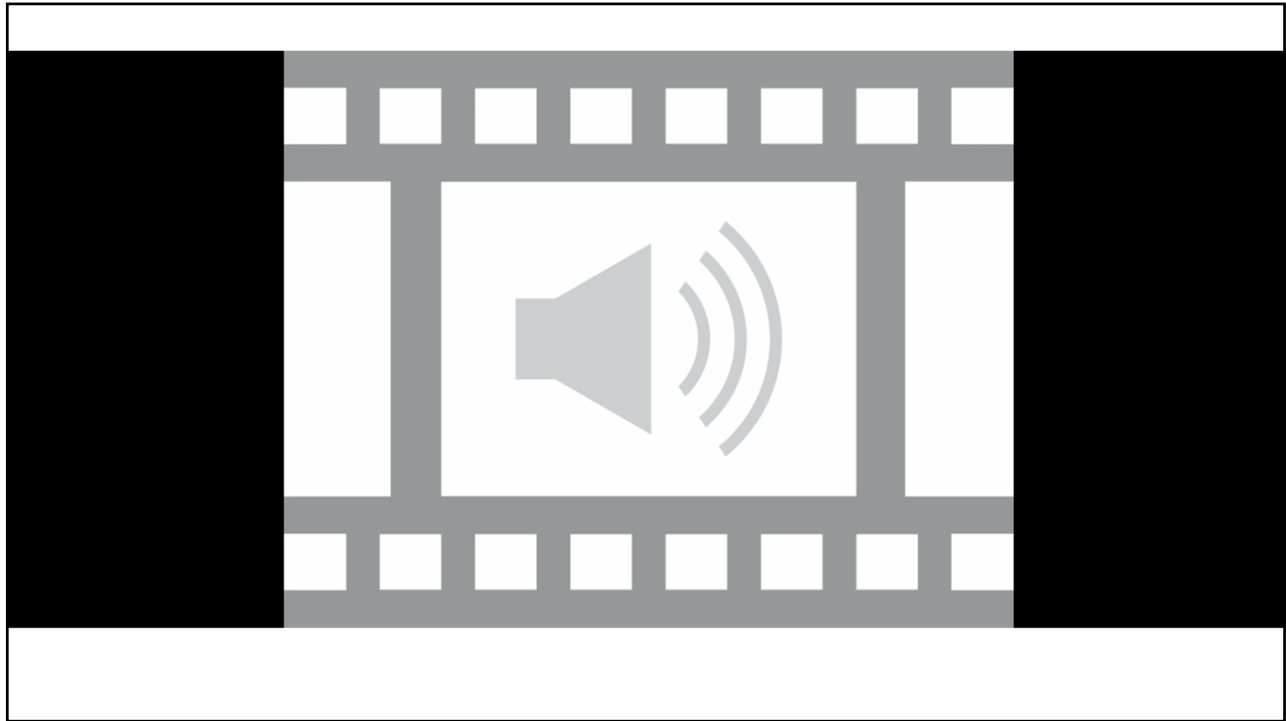
Yes, this is a potential conflict of interest.

That's right, a conflict of interest exists because the employee might be put in the position of purchasing supplies from her spouse's company.

Pick-a-Path

- Self-paced e-training
- Articulate 360 “choose your path” feature
- In the shoes of the character/protagonist – branching with choices

14



15

## Case 1: Trap Doors – a Tale of Nepotism

- John Doorman is a project manager in Facilities and is responsible for ordering interior doors, trim, and hardware for the new Rane Culinary Science Center.
- John's brother, Bill, owns a supply company in Atlanta that sells the materials needed. Bill said he would give his brother a 15% discount on the doors and quoted him \$34,000.

from the project funds.

### Scenarios

- In person or via Zoom
- Case studies - audience discuss
- Use Breakout groups/rooms



16





## Case Study: To Report or not to report - Academic Nepotism

- Dr. Samuel Phillips is a faculty member in Mechanical Engineering. Dr. Phillips is teaching 2 sections of Concepts in Mechanical Design in the spring semester, and he is the only instructor that teaches the course.
- Dr. Phillips' son, Peter, is a junior Mechanical Engineering student and needs that course for graduation.
- Peter is registered for this class in the current spring semester.
- Dr. Phillips is unsure if he needs to report that his son is registered for one of his classes.

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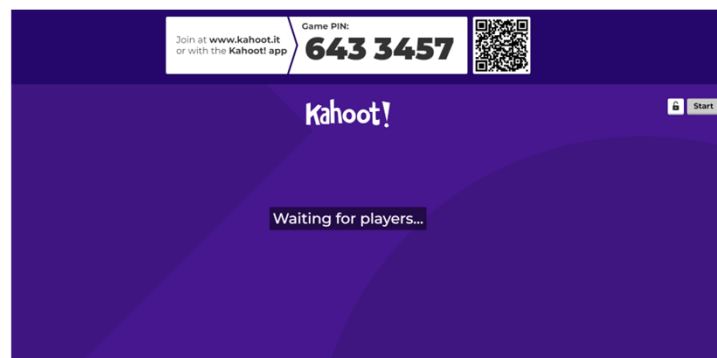
Hqj djhp hqw

- Polls
  - Zoom/Poll Everywhere

- Gamify
  - Kahoot

\*People like Scenarios & Kahoot the best!

<https://Kahoot.it>



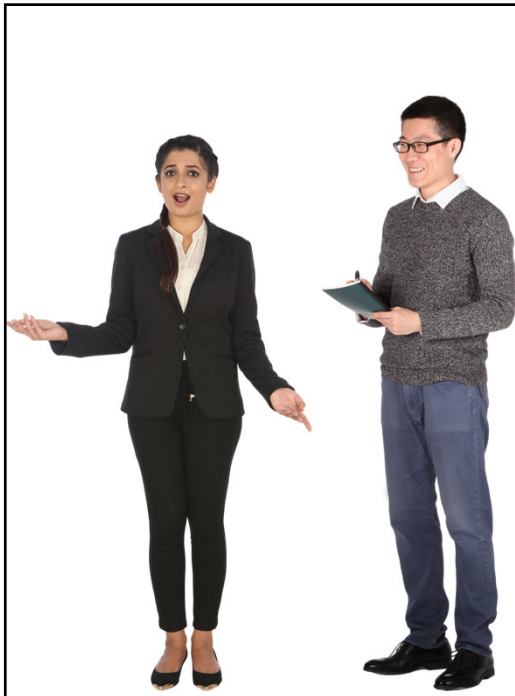
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## Role Play

- 2 characters: employee & supervisor
- One or more scenarios to act out
- Prompt/script and questions to consider



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- Instructions
- Role Play topic
- Character 1 Description
- Character 2 Description
- Scenario One
- Prompt
- Questions to Consider
- Scenario Two
- Prompt
- Questions to Consider

20

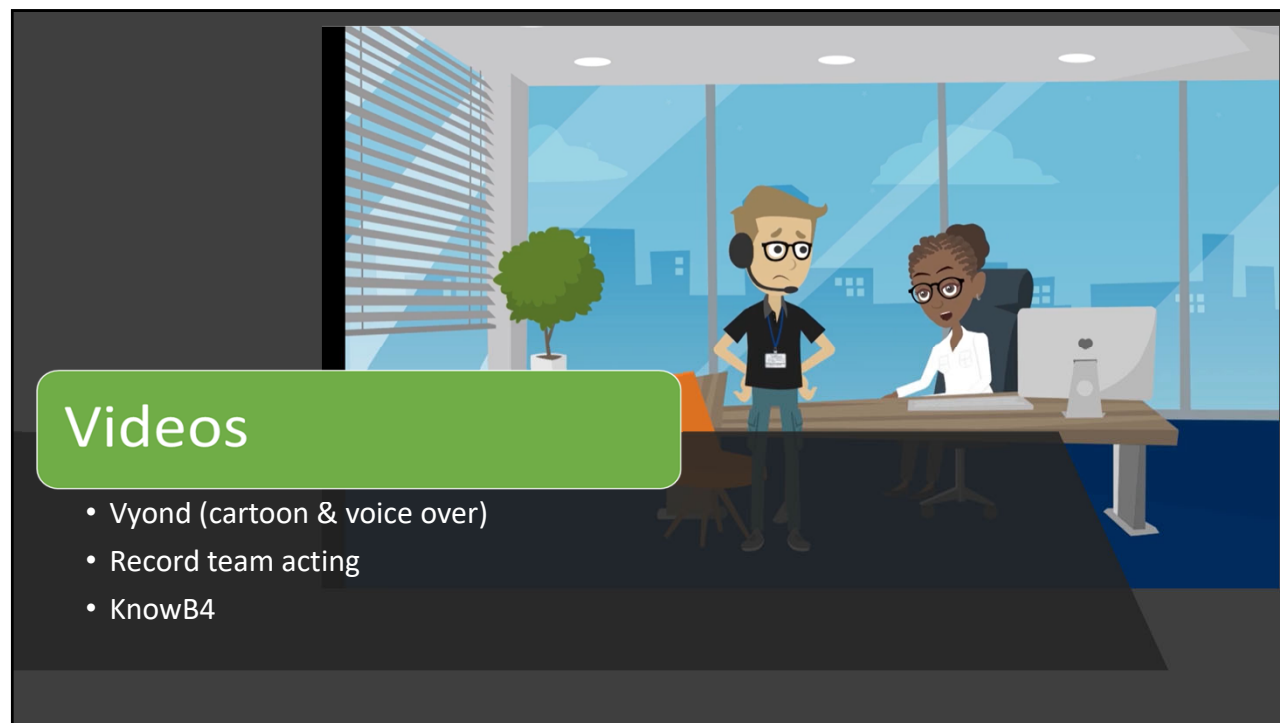
## Vxsschp hqw

- Qualtrics surveys
  - Planning/prep up front
  - Distribute during the session
  - Ask how will implement plans
  - Email respondents after
  - Follow up on action plans
  - Measure behavior change

- Fed Govt videos:  
<https://ori.hhs.gov/integrity-scientific-research-videos>

- Tip: Same scenario 2 different ways:
  - Poor choices
  - Good choices

21



### Videos

- Vyond (cartoon & voice over)
- Record team acting
- KnowB4

22



23

## Questions for the Audience

How have you made your organization's compliance trainings engaging?

What has worked and what hasn't worked?

What approaches have been low investment and high reward?

24

## W d n h d z d | v



Use stories to make training engaging and memorable



Scenarios based training helps employees understand what you want them to do



Leave your audience with a moral of the story to effectively change behavior

25

Subscribe to Case In Point!



## Case in Point

### Case In Point: Lessons for the proactive manager

Volume 14 Number 03 | March 2022

This month we continue our review of the events of 2021 with a focus on the Fraud & Ethics Category. This category has historically been dominated by occupational fraud – situations where employees use their position to commit misappropriation. Good old fashioned occupational fraud still led the way last year, but we have seen a great deal more diversity in this category than in many prior years.

1. Occupational Fraud (1st)
2. Grant Fraud (2nd)
3. Bribery (3rd)



Subscribe!

26



# Thank You!

Kristin Roberts  
Assistant Director  
Institutional Compliance & Privacy

Milly Tye  
Associate Director  
Research Integrity & Compliance