

# Compliance Training and the Board

*Society of Corporate Compliance and Ethics & Health Care Compliance Association*

## **OBJECTIVE:**

The survey was conducted to discover and better understand what compliance training is made available to the board.

## **METHODS USED:**

Responses were solicited via an email to contacts in the organization's database and using social media. Responses were collected anonymously using SurveyGizmo, a third-party, web-based survey provider.

## **KEY FINDINGS:**

- 28% of companies report that the board does not receive compliance and ethics-related training, while 72% of companies report that the board does receive compliance and ethics trainings.
- Companies reported that 71% of these compliance-related trainings are done annually.
- During these trainings, the majority of respondents reported that four topics were addressed: the board's role in compliance (78%), conflicts of interest (71%), overall government expectations for compliance programs (67%), and specific legal issues (59%).
- The compliance professionals' level of satisfaction with training was not appealing at all. Overall just 18% of survey respondents were very satisfied with the amount of training given, compared to 42% as being somewhat, 18% being slightly satisfied and nearly a quarter at 23% being not at all satisfied.
- Live training was by far the most popular, with 73% reporting this was how they educated the board, compared to 14% responding that it was web-based and 13% reporting that they were educated in writing.

## **CONCLUSION:**

- Organizations not providing training to their board on compliance and ethics issues are clearly in the minority, and that may carry some risk.
- Organizations providing training less than annually are clearly deficient as compared to their peers. Given the responses to the survey, it is clearly the norm to provide training at least once a year if not more.
- There appears to be significant room for improvement, even for organizations training their board annually. Compliance professionals surveyed were generally not fully satisfied with the level of training provided to the board. This suggests that likely more could and should be done.

[Full Report](#)