

Ethics and Compliance Training Benchmark Report

Navex Global

July 2014

OBJECTIVE:

The purpose of the survey was to provide the industry with data on an overlooked area of research: benchmarking the top priorities and challenges in disseminating ethics and compliance-focused training.

METHODS USED:

In early 2014, NAVEX Global partnered with an independent research agency to survey 763 ethics and compliance professionals with responsibility for administering training across their organizations.

KEY FINDINGS:

- Ninety percent of survey respondents cited their top ethics and compliance training objective as “Create a culture of ethics and respect.” This is closely followed by “complying with laws and regulations” (89 percent) and “preventing future issues or misconduct” (82 percent).
- Over half of respondents (56 percent) cite seat time constraints as a major challenge to ethics and compliance training. A close second are difficulties measuring the effectiveness of programs (54 percent).
- When asked about their outlook for their organization’s training program, 75 percent of respondents either “agreed” or “strongly agreed” that “each employee receives the ethics and compliance training they need to safeguard our people, reputation and bottom line.”
- When asked to provide details about the effectiveness of training specific audiences, respondents revealed some startling concerns that contradict their otherwise positive attitudes about the effectiveness of their training programs overall. Fifty-four percent of respondents say they are concerned that their supervisors are not receiving adequate training, and nearly 30 percent of respondents have the same concerns related to the amount of training they are providing to non-supervisory employees.
- Sixty-two percent of respondents are satisfied with the training they provide to non-supervisory employees—regardless of whether they deliver a lot of training or very little. However, 29 percent of respondents are concerned about the amount of training they provide to non-supervisory employees.
- On average, organizations provide employee groups six hours of compliance training annually, and 76 percent of organizations are deploying five or fewer hours of training annually. Board members and third parties receive even less training than employees.
- The majority of respondents’ organizations are training on one-to-five topics with approximately 96 percent of respondent organizations offering fewer than ten courses per year.
- Overall, “Ethics and Code of Conduct” training was the clear frontrunner for training topics, with “Workplace Harassment” a close second and “Conflicts of Interest” a distant third.
- Online training is the most frequently-used form of training for survey respondents, with live training a close second. E-mail—whether it is used to deliver links to training, training files, or training and awareness messages and reminders—is the third most frequently-used communication format.

- The number one trend ethics and compliance professionals are currently applying—or will be looking to apply in the next year—is “adding course titles to cover more risk areas.” The second is improving measurement of training effectiveness, and the third is bolstering middle manager training.
- More than half of respondents plan to increase the number of risk areas covered by their training programs.
- Nearly all (92 percent) of the survey respondents agree that quality of an online training course is critical to ensuring that training is effective.
- Sixty-one percent of respondents believe short-form training is effective at covering more risks; 49 percent believe short-form training is an effective substitute for full-length courses in lower risk areas.
- The top three effectiveness measures in place in respondents’ organizations today are: (1) Training completion rates, (2) unsolicited feedback from employees, managers or senior leaders and (3) results of learning retention quizzes. Almost three quarters of companies (72 percent)—regardless of organization size—measure training effectiveness using completion rates.

CONCLUSION:

- Compliance professionals are broadening the focus of their programs beyond just establishing key legal defenses; program effectiveness now also depends on compliance professionals’ ability to create a culture of respect and prevent future misconduct.
- Reaching these goals will require organizations to rethink and innovate the way they are training their employees. Compliance professionals will need to be increasingly focused on prioritizing and addressing top risk areas, and using short-form training to cover more risk areas even in the midst of limited training hours and pressured budgets. And, as they look to the future, leaders must be increasingly focused on laying the groundwork today to measure the effectiveness of their training investment tomorrow.
- A balanced, thoughtful ethics and compliance training program is no longer optional—it is a cornerstone for organizations that are committed to building an ethical culture, and protecting their people, reputation and bottom line.

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