ETHICS & COMPLIANCE TRAINING:
WHAT GETS RESULTS

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The Ethics & Compliance Initiative (ECI) empowers organizations to build and sustain High Quality Ethics & Compliance Programs (HQPs). ECI provides leading ethics and compliance research and best practices, networking opportunities and certification to its membership, which represents more than 450 organizations across all industries. ECI is comprised of three nonprofit organizations: the Ethics Research Center, the Ethics & Compliance Association and the Ethics & Compliance Certification Institute.

www.ethics.org

For more information, please contact:
2345 Crystal Drive, Suite 201, Arlington, VA 22202
Telephone: 703.647.2185 | FAX: 703.647.2180
www.ethics.org | research@ethics.org

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EXECUTIVE SUMMARY

Employee training is a subject that has been examined at length. This ECI research report offers an exclusive ethics and compliance perspective on training. The report acknowledges a certain amount of overlap with studies that more broadly examine training methods. However, because of the specificity and design of ECI's research, the report provides important insights related to ethics and compliance (E&C) training.

Two complementary surveys were conducted. The first survey explored the experiences of employees who had taken company E&C training. The second gathered information about training from the perspective of E&C practitioners. The results of these two surveys contrast the intended goals of E&C training and the employee beliefs about the usefulness of the training they received. The results outline which activities are associated with the best results.

Important E&C training components emerged. Employees see the need for and have positive views of ethics and compliance training, but stress the need for the training to be applicable and informative. The survey indicates, and the results advocate, the use of in-person or monitored training when organizations are influencing their culture or critical policies. The survey also identified the critical importance of senior leadership's visible participation during the training process. Whether in person, or by video, the impact and desired results of training are significantly better when senior leaders are a visible part of the training. This aligns with previous research by ECI indicating that employees' perceptions of the tone at the top come from their perceptions of their personal interactions with leadership. Even if by communicated video, employees indicate that they are positively impacted by senior leadership's endorsement of training.

Other Key Findings:

- E&C practitioners indicate that changing behavior and preventing future misconduct are the most important objectives for training; yet few actually implement methods that accomplish that goal.

- Most employees see the need for and have positive views of ethics and compliance training, but far fewer find it applicable and believe they learned something new during their training.

- Employees say E&C training focuses on compliance, regulation, and standards. This is in direct opposition to the stated objectives of the practitioners who responded to our survey, but coincides with practitioners' beliefs about how training time is used and is most successful.

- Case studies, role play and learning how to solve ethical dilemmas are all associated with improved results. Of these, learning to solve dilemmas seems to be the single most effective activity.

- Live in-person training is linked to far better results – even when the same activities are used.

EXECUTIVE SUMMARY

Recommendations

- Frame ethics and compliance training as important to business success. Workplace integrity is not about a different set of rules applied only in very specific situations, it is woven into the fabric of everyday work life. Rather than competing with business goals, ethics and compliance—and E&C training—should support and inform them.

- Create opportunities for employees to engage with supervisors, senior leaders and peers to discuss and apply the concepts conveyed in training. It is the interaction with leadership that reinforces the importance of culture and changes behavior.

- Take a multi-faceted, blended approach to get the best of both worlds.
  - » Technology-based training is cost effective and consistent.
  - » Just-in-time training delivered via technology can be particularly powerful for sharing critical, targeted information when it will be most useful.
  - » Engage employees in live-in-person training for discussions that are more nuanced, e.g., ethical decision-making.

- Involve leaders. The visible presence of senior leaders makes training more powerful and effective, while serving as a powerful messaging tool regarding the importance of E&C.

- Utilize interactive strategies. Engage employees in discussion.

- Evaluate effectiveness. E&C training is valuable, necessary, and requires considerable investment. Companies should consider evaluation of its effectiveness an essential part of training design and implementation.

MEASURES OF TRAINING SUCCESS

Employee beliefs about the training

- Relevant to my job/role
- Relevant to my seniority/level in the company
- Relevant to my industry/sector
- Learned something new
- Useful in guiding my decisions at work
- Satisfied with training

Employee behaviors and attitudes post-training

- Believe work decisions sometimes or frequently involve ethics or compliance issues
- Frequently or sometimes directly apply training to my job
- Am confident in my ability to recognize ethical issues that may affect my work
- Reported misconduct when observed

ETHICS & COMPLIANCE TRAINING:
WHAT GETS RESULTS

In order to get a better sense of what is being done and what works in ethics and compliance (E&C) training, the Ethics Research Center, the research arm of the Ethics & Compliance Initiative, conducted two complementary surveys. The first survey explored the experiences of employees who had taken company ethics and compliance (E&C) training. The second gathered information about training from the perspective of E&C practitioners. The results of these two surveys give us a clearer picture of the intended goals of E&C training, common practices, employee beliefs about training and which activities are connected to the best results.

> **Most employees see the need for and have positive views of ethics and compliance training, but far fewer find it applicable and believe they learned something new during their training.**

Many employees had positive responses to their training, especially in terms of its relevance:

88% Agree training is relevant to my industry/sector.

82% Agree training is relevant to my job.

78% Find training useful for guiding decisions and conduct at work.

68% Agree training is relevant to my seniority/level in the company.

65% Satisfied with E&C training.

But there are still areas for growth:

50% Only half of respondents say they believe they learned something new in their most recent E&C training.

48% Fewer than half of respondents frequently or sometimes apply their training to their job.

Ethics and Compliance Training may be particularly helpful for younger and less tenured employees.

FIND TRAINING RELEVANT
Younger employees (ages 18-29) are more likely to find training relevant to their jobs than older ones (30-44).
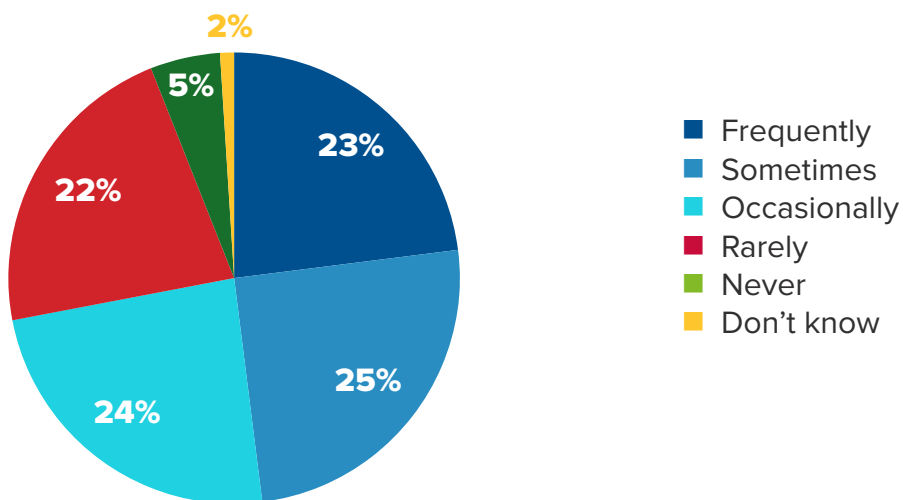
LEARN SOMETHING NEW
Newest employees are most likely to learn something new. Sixty-two percent of employees with less than one year tenure apply training to their jobs frequently or sometimes and 89 percent find E&C training useful.

EMPLOYEE PERSPECTIVE

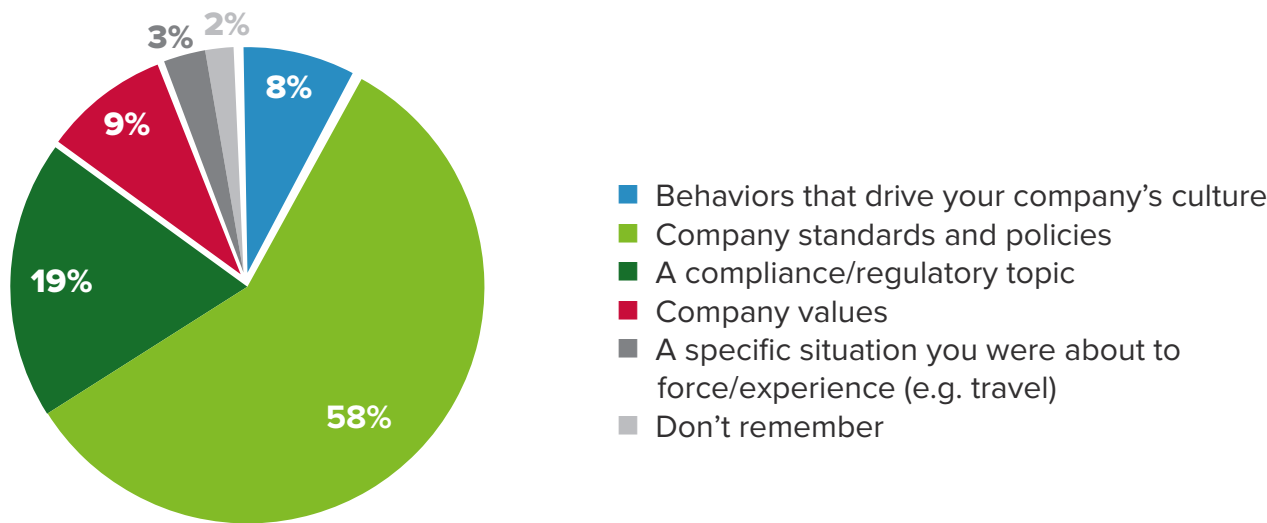## How much E&C training do you need?

1%
4%
13%
13%
28%
41%

- A great deal
- A lot
- A moderate amount
- A little
- None at all
- Don't know
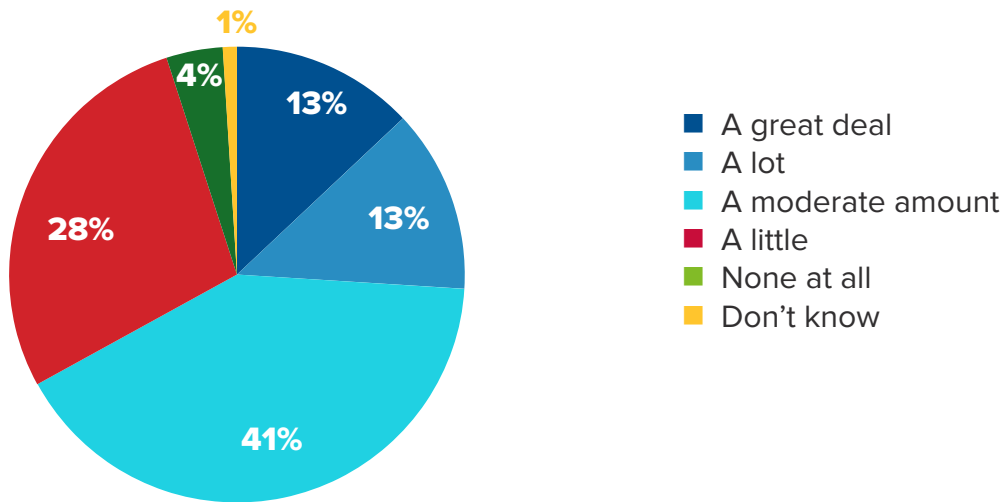
How often are you able to directly apply training to your job?

2%
5%
23%
22%
24%
25%

- Frequently
- Sometimes
- Occasionally
- Rarely
- Never
- Don't know

EMPLOYEE PERSPECTIVE

Employees say E&C training focuses on compliance, regulation, and standards. This is in direct opposition to the stated objectives of the practitioners who responded to our survey, but coincides with practitioners' beliefs about how training time is used and is most successful.

Employee perceptions of training focus

8%

3% 2%

9%

19%

58%

- Behaviors that drive your company's culture
- Company standards and policies
- A compliance/regulatory topic
- Company values
- A specific situation you were about to force/experience (e.g. travel)
- Don't remember

PRACTITIONER PERSPECTIVE

Forty-four percent of our group of practitioners think changing ethics-related behaviors is the most important objective of training, but only 26 percent think training is used that way. Even fewer, just 22 percent, think training succeeds at changing ethics-related behaviors. Fifty-six percent think training succeeds in the compliance area.

Practitioners: Most Important Training Objective
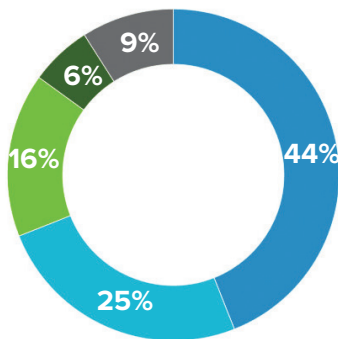
9%
6%
16%
44%
25%

- Changing ethics-related behaviors
- Preventing future misconduct
- Increasing awareness of relevant laws, regulations, policies, procedures and/or standards
- Satisfying regulatory requirements
- Other

Practitioners: Training is most successful at...
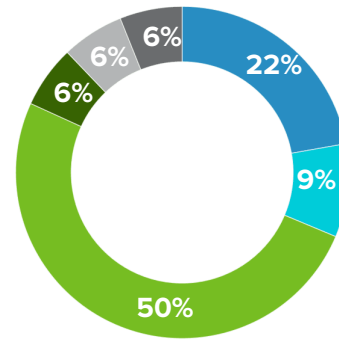
6%
6%
22%
9%
50%

- Changing ethics-related behaviors
- Preventing future misconduct
- Increasing awareness of relevant laws, regulations, policies, procedures and/or standards
- Satisfying regulatory requirements
- Developing employee competencies
- Other

Practitioners: How Training Time Is Used

17%
26%
32%
25%
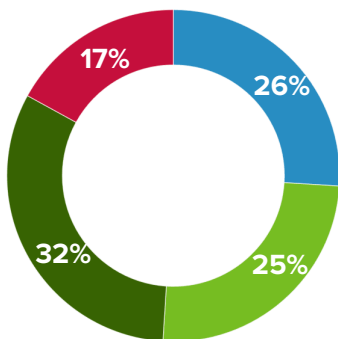
- Ethical behaviors or actions
- Organizational standards and policies
- Compliance/regulatory topics
- Organizational values

POINT TO CONSIDER

The discrepancy in intent, focus, and success points to an opportunity for practitioners to adjust training efforts to more successfully change ethics–related behaviors.

EMPLOYEE PERSPECTIVE

To better understand the factors associated with more successful trainings, ECI explored how training activities and formats linked to measures of success. In determining the success of training program formats and attributes, ECI looked at 10 measures relating to employees' beliefs about the training as well as their behaviors and attitudes post training.

TRAINING ACTIVITIES

- Case studies, including discussions of real-world situations
- Role playing, including acting out various scenarios to practice roles or provoke discussion
- Learning how to solve ethical dilemmas

TRAINING FORMATS

- Live in-person/face-to-face (delivered via trainer, supervisor or other facilitator physically located in the same room)
- Instructor-led training conducted through technology (delivered via webinar, live video, taped video or audio)
- Self-directed training conducted through technology (delivered via online/web module)

MEASURES OF TRAINING SUCCESS

Employee beliefs about the training

- Relevant to my job/role
- Relevant to my seniority/level in the company
- Relevant to my industry/sector
- Learned something new
- Useful in guiding my decisions at work
- Satisfied with training

Employee behaviors and attitudes post-training

- Believe work decisions sometimes or frequently involve ethics or compliance issues
- Frequently or sometimes directly apply training to my job
- Am confident in my ability to recognize ethical issues that may affect my work
- Reported misconduct when observed

Note: While not statistically significant, **trend** differences noted throughout this report show those results that may merit further attention.

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EMPLOYEE PERSPECTIVE

> **Case studies, role play and learning how to solve ethical dilemmas are all associated with improved results. Of these, learning to solve dilemmas seems to be the single most effective activity.**

We explored the connection between desired results and common training activities, specifically: the use of case studies, role playing and learning how to solve ethical dilemmas. Each of these activities is associated with improved results. On the low end, case studies are linked to four significant improvements and show trends suggesting a positive relationship to three others. At the other end, learning how to solve dilemmas corresponds to improvements in nine of the 10 measures; **learning how to solve ethical dilemmas is linked to the most significant positive results.**[1]

	1	2	3	4	5	6	7	8	9	10
Case studies	☑	☑	☑	☑	☑	☑	☑	☐	☐	☐
Role playing	☑	☑	☑	☑	☑	☑	☑	☑	☐	☐
Learning how to solve dilemmas	☑	☑	☑	☑	☑	☑	☑	☑	☑	☐

■ Significant difference
■ Trend
■ No difference

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1. For detailed results, see Appendix A, p. 18-20.

EMPLOYEE PERSPECTIVE

Live in-person training is linked to far better results—even when the same activities are used.

Ethics and compliance training can take many formats. Most employees (56 percent) work through self-directed training using an online/web module. Half as many (28 percent) experience live in-person training delivered by a trainer, their supervisor or another facilitator in the room with them. Only about one in seven employees (14 percent) participated in instructor-led training conducted via webinar, live video, taped video or audio.

Training Format

- Live in-person
- Instructor-led training conducted through technology
- Self-directed training conducted through technology
- Don't know
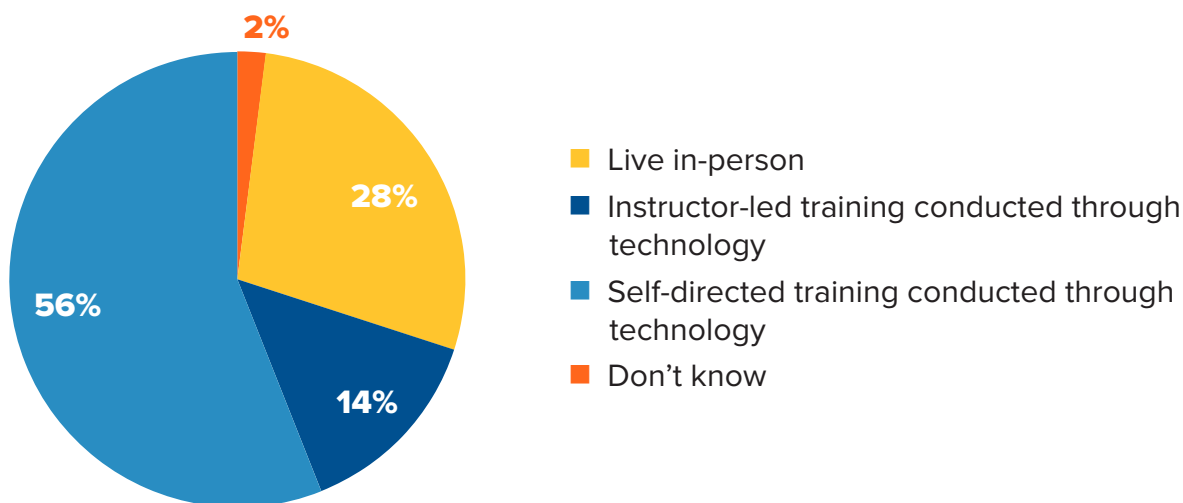
EMPLOYEE PERSPECTIVE

Of the three formats, live in-person training yields markedly better results, particularly compared to self-directed training. (Results for instructor-led training tend to fall between live in-person and self-directed, but extensive comparison is not possible, given the limited sample size.) Comparison of the live in-person vs. self-directed training revealed that live in-person is linked to improvements in four of the 10 measures and is associated with positive trends in an additional three.

More Positive Training Results with Live In-person Training

■ Self-directed training   ■ Live In-person

Measure	Self-directed training	Live In-person
Relevant to my job/role ★	78%	90%
Relevant to my seniority/level in the company ★	66%	76%
Relevant to my industry/sector	90%	88%
Learned something new ★	39%	66%
Useful in guiding decisions at work ★	73%	89%
Satisfied with training ★★	63%	72%
Work decisions sometimes or frequently involve ethics or compliance issues ★★	61%	66%
Frequently or sometimes directly apply training to my job ★★	41%	63%
Am confident in ability to recognize ethical issues that may affect my work	98%	98%
Reported misconduct when observed	62%	74%

★ Statistically significant difference
★★ Trend

EMPLOYEE PERSPECTIVE

One possible explanation for the superior results in live in-person training is varying training content, i.e., if live in-person training is more likely to include effective activities (such as case studies and role playing), then it is likely to yield better results. But a comparison of training activities shows that role playing, case studies, and learning to solve ethical dilemmas are just as likely to be featured in one training format as the other.

The training format may be at least as or even more important than the activities employed during the training session itself. A comparison of results of the training activities when utilized in different formats reveals that the same strategy appears to be more successful during live in-person training than during self-directed. For example, employees who work through cases live in-person are more likely to have positive results than those who work through cases in a self-directed format.[2]

RESEARCH NOTE

There have been numerous studies investigating the efficacy of online learning vis-à-vis live/in-person training. Multiple studies have concluded that the format of the training is less critical than its features, e.g., content, interactive components, etc. Related research indicates that declarative (factual) knowledge is better suited to online learning whereas procedural knowledge (learning how to do something) is better suited to live teaching. It should be noted that none of the studies we reviewed looked at the subject of ethics and compliance specifically. This may explain some of the differences between our findings and some of the past research. (For more information about research on learning formats, please see our Recommendations (p. 13) and "External Research Consulted" (p. 15).)

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2. For detailed results, see Appendix A, p. 21.

EMPLOYEE PERSPECTIVE

**Live In-person Linked to Better Results -
Even When the Same Activities Are Used**

Case studies	🟩	🟩	🟩	🟩	🟩	🟩	🟨	⬜	⬜	⬜
Role playing	🟩	🟩	🟩	🟩	🟩	⬜	⬜	⬜	⬜
Learning how to solve dilemmas	🟩	🟩	🟩	🟩	🟩	🟨	🟨	⬜	⬜	⬜

Live in-person
Self-directed

■ Significant difference
■ Trend
■ No difference

EMPLOYEE PERSPECTIVE

When senior leaders are a visible part of the training, the results are significantly better.

To assess the impact of senior leaders' participation, we asked employees whether any of their senior leaders were visible during the training.

Those who indicate that their leaders are involved in the training respond significantly more positively on eight of the 10 measures of success. **Of all of the training elements that we investigated (format, activity, and format-and-activity combined), this is the second most powerful strategy**. The presence of a senior leader is also linked to significantly lower rates of multitasking among those whose training is self-directed. While it is possible that leaders' participation is the result of a company that values ethics and compliance (and effective E&C training) rather than being the actual driver of effectiveness, our findings suggest that leader participation is one common element of the highest-quality training programs.

KEY TERM: SENIOR LEADER

The most senior executives at your company, including Chief Executive Officer (CEO), President, Chief Financial Officer, Chief Administrative Officer, Chief Operating Officer, General Counsel, Chief Ethics and/or Compliance Officer, etc.

Senior leaders can be a visible part of training by:

» performing a portion of the training

» being in the room and participating in the training

» providing a written, audio or recorded message during the training.

EMPLOYEE PERSPECTIVE

■ Senior leader NOT visible   ■ Senior leader visible

Category	Senior leader NOT visible	Senior leader visible
Relevant to my job/role ★	78%	89%
Relevant to my seniority/level in the company ★	62%	80%
Relevant to my industry/sector	87%	90%
Learned something new ★	43%	59%
Useful in guiding decisions at work ★	73%	87%
Satisfied with training ★	57%	80%
Work decisions sometimes or frequently involve ethics or compliance issues ★	58%	71%
Frequently or sometimes directly apply training to my job ★	43%	58%
Am confident in ability to recognize ethical issues that may affect my work	97%	98%
Reported misconduct when observed ★	58%	77%

★ Statistically significant difference

MULTITASKING DURING SELF-DIRECTED E&C TRAINING

47% Multitask when senior leader NOT visible during training

33% Multitask when senior leader visible during training
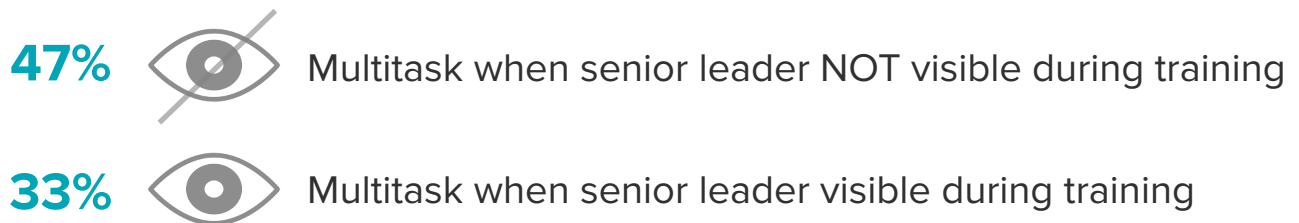
RECOMMENDATIONS:
IMPLICATIONS OF FINDINGS FOR COMPANIES & NEXT STEPS

After reviewing our findings, speaking with practitioners from companies with high-quality E&C training programs, and considering a selection of relevant related research (see "External Research Consulted" p. 15 for more information), several recommendations emerged:

- **Frame ethics and compliance training as business training**. Workplace integrity is not about a different set of rules applied only in very specific situations, it is woven into the fabric of everyday work life. Rather than competing with business goals, ethics and compliance—and E&C training—should support and inform them.

- **Use data to drive content.** For training to be effective, the goals and objectives must be clear. Use data (from employee HR and E&C surveys; risk assessments; advice and hotline data; etc.) to determine training needs and to develop training that is relevant and applicable.

- **Take a multi-faceted, blended approach to get the best of both worlds.**

  » Technology-based training is cost-effective and consistent. It allows companies to train many employees, speaking multiple languages, over great distances. It is also an effective tool for imparting factual knowledge about policies and resources, such as OSHA regulations and safety.

  » Just-in-time training delivered via technology can be particularly powerful for sharing critical, targeted information when it will be most useful, e.g., a short online training for employees about the company gift policy distributed just before the holiday season or a module on travel policies before business travel.

  » Engage employees in live-in-person training for discussions that are more nuanced, e.g., ethical decision-making. Live in-person training can promote dialogue around workplace ethics issues and challenging dynamics within teams, while providing supervisors the opportunity to talk about the importance of workplace integrity.

- **Involve leaders**. The visible presence of senior leaders makes training more powerful and effective, while serving as a powerful messaging tool regarding the importance of ethics and compliance. If leaders are wary of getting involved, use data to help make the business case for E&C training as a critical risk mitigation strategy.

- **Utilize interactive strategies**. Learners respond well to strategies that are engaging and interactive. Incorporate case studies which are relevant to your company and its employees. If appropriate, draw on anonymized cases from within your company. Incorporate role-playing to give employees practice addressing issues and the opportunity to see challenging situations from others' points-of-view. Communication and discussion are particularly important for content that is more nuanced, such as ethical decision-making. Provide employees with practice (and perhaps even a model for) making challenging work decisions.

■ **Optimize user experience**. Trainings that are interactive, engaging, and relevant to employees' work will be better received, more effective, and more memorable. Take the time to consider E&C training as a facet of the company's overall training effort. Look for redundancies and overlaps to make the experience as positive and relevant as possible.

■ **Explain the "why" behind policies. Rather than just focusing on what rules exist, take time to explain** why there is a rule in place. Knowing the rationale and value of policy helps employees to understand why to follow it and how it fits into the bigger picture of their work and your company as a whole.

■ **Equip employees and provide resources**. Use training as an opportunity to reaffirm the available resources for employees to raise concerns and ask questions. Make sure employees understand that the company provides a wide variety of resources whether it's their immediate manager, someone in HR, or someone in an ombudsperson office, etc. Take time not only to present the support systems available, but also to explain what each resource does and how they can help.

■ **Evaluate effectiveness**. E&C training is valuable, necessary, and requires a considerable investment. Companies should consider evaluation of its effectiveness an essential part of training design and implementation.

■ **Create opportunities** for employees to engage with supervisors, senior leaders and peers to discuss and apply the concepts conveyed in training. It is the interaction with leadership that reinforces the importance of culture and changes behavior.

Overall, companies are implementing many innovative and effective E&C trainings. Employees have positive experiences and find it helpful for their work. Our research illuminates the best of what is currently being done and highlights new avenues for continued growth.

EXTERNAL RESEARCH CONSULTED

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ABOUT THE ECI EMPLOYEE AND MEMBER TRAINING SURVEYS

The data reported in this report was gathered from two separate, but complementary, surveys.

Between Dec. 14-15, 2016, ECI fielded a study of employees. Participants were drawn from Qualtrics Panels. In order to take part in the study, respondents had to be 18 years of age or older and working at least 20 hours per week at a for-profit company of at least 5,000 employees *and* who had taken company ethics and compliance training. The Employee Survey yielded 510 employee responses.

ECI also offered a voluntary survey to its membership, as of Nov. 7, 2016. The Member Survey was fielded Nov. 14-Dec. 5, 2016. ECI received 91 responses. ECI filtered out blank surveys, those who only completed the demographic questions and surveys from duplicate companies. When deciding between duplicate responses, ECI gave priority to fully completed vs. partial completes. If both/all were fully complete, priority was given to the senior-most member. Duplicate responses from two companies were left in because these companies employ different programs in different countries. Although ECI retained all data collected, for comparison to the Employee Survey, we filtered the responses to those from for-profit companies with 5,000 or more employees to increase comparability to the employee survey. As a result, the Member Survey responses reported in this brief come from 46 surveys.

TRAINING FOR MANAGERS

Managers, i.e., those who supervise others, are significantly more likely (77 percent v. 53 percent) than non-management employees to believe their decisions frequently or sometimes involve ethics and (by a margin of 34 percent v. 21 percent) to see the need for "a lot" or "a great deal" of training. They are also more likely to have live in-person training and to see senior leadership present during their training. Not surprisingly, supervisors have more positive training experiences overall. **One possible implication of these differences is that leaders may have rosier views of their training programs and be less aware of gaps experienced by non-management employees.**
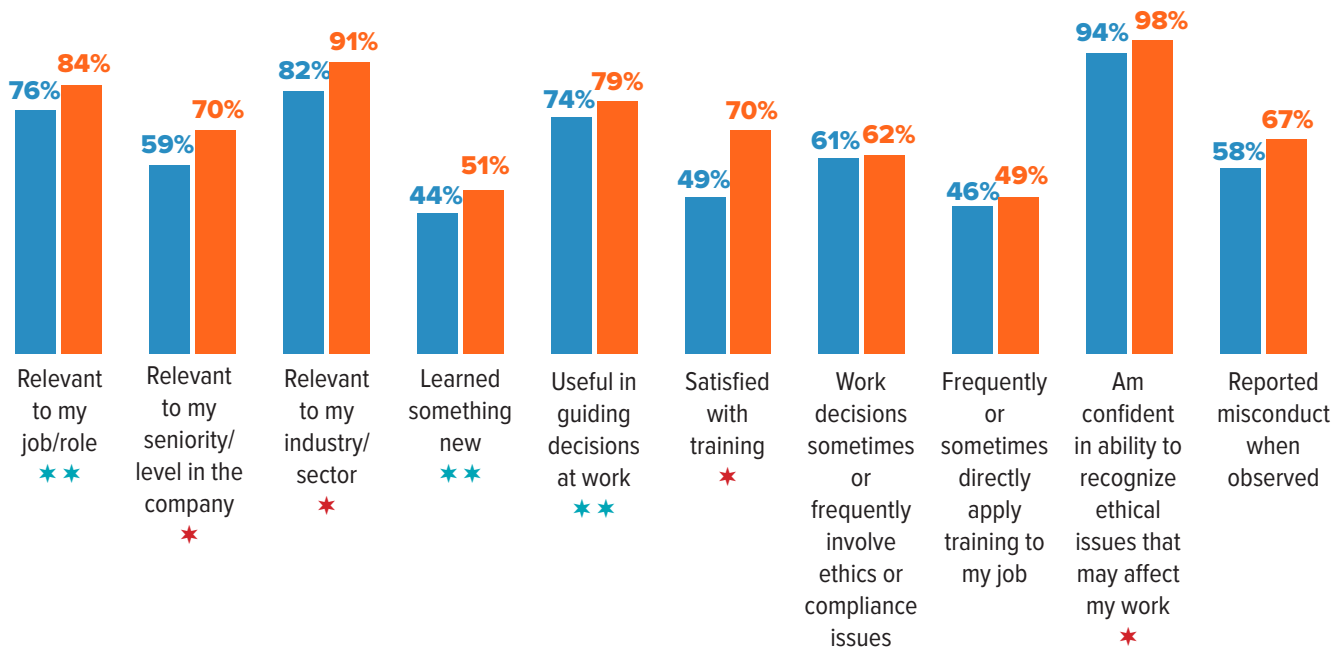
Supervisors Have More Positive Views of Ethics Training

■ NOT a Supervisor ■ Supervisor

Category	NOT a Supervisor	Supervisor
Relevant to my job/role ★	78%	88%
Relevant to my seniority/level in the company ★	63%	77%
Relevant to my industry/sector	89%	87%
Learned something new ★★	46%	55%
Useful in guiding decisions at work ★★	76%	82%
Satisfied with training ★★	63%	69%
Work decisions sometimes or frequently involve ethics or compliance issues ★	53%	77%
Frequently or sometimes directly apply training to my job ★	43%	55%
Am confident in ability to recognize ethical issues that may affect my work	97%	98%
Reported misconduct when observed	61%	66%

★ Statistically significant difference
★★ Trend

APPENDIX A
DETAILED FINDINGS ON E&C TRAINING ACTIVITIES AND FORMATS

Training Activity—Use of Case Studies During Training

77%   Say training involved case studies

Use of Case Studies During Training Linked to Improved Results

■ Training did NOT include Case-Studies   ■ Training included Case-Studies

	Relevant to my job/role ★★	Relevant to my seniority/level in the company ★	Relevant to my industry/sector ★	Learned something new ★★	Useful in guiding decisions at work ★★	Satisfied with training ★	Work decisions sometimes or frequently involve ethics or compliance issues	Frequently or sometimes directly apply training to my job	Am confident in ability to recognize ethical issues that may affect my work ★	Reported misconduct when observed
Did NOT include	76%	59%	82%	44%	74%	49%	61%	46%	94%	58%
Included	84%	70%	91%	51%	79%	70%	62%	49%	98%	67%

★ Statistically significant difference
★★ Trend

APPENDIX A

Training Activity—Use of Role Play During Training

41% 👤⇄👤 Say training involved role playing

Use of Role Playing During Training Linked to Better Results

■ Training did NOT include Role Playing   ■ Training included Role Playing

Category	Did NOT include	Included
Relevant to my job/role ✶	78%	87%
Relevant to my seniority/level in the company ✶	62%	78%
Relevant to my industry/sector	87%	90%
Learned something new ✶	43%	60%
Useful in guiding decisions at work ✶	75%	83%
Satisfied with training ✶	61%	72%
Work decisions sometimes or frequently involve ethics or compliance issues ✶✶	59%	68%
Frequently or sometimes directly apply training to my job ✶	43%	56%
Am confident in ability to recognize ethical issues that may affect my work ✶	96%	100%
Reported misconduct when observed	59%	74%

✶ Statistically significant difference
✶✶ Trend

APPENDIX A

Training Activity—Learning How to Solve Dilemmas During Training

75% ⚖️ Say training involved solving ethical dilemmas

Learning How to Solve Ethical Dilemmas During Training Linked to Better Results

■ Training did NOT Include Learning How to Solve Dilemma
■ Training Included Learning How to Solve Dilemma

Category	Training Included (orange)	Training did NOT Include (blue)
Relevant to my job/role ★	69%	86%
Relevant to my seniority/level in the company ★	57%	73%
Relevant to my industry/sector ★	80%	91%
Learned something new ★	29%	56%
Useful in guiding decisions at work ★	60%	84%
Satisfied with training ★	41%	74%
Work decisions sometimes or frequently involve ethics or compliance issues ★	51%	67%
Frequently or sometimes directly apply training to my job ★	38%	52%
Am confident in ability to recognize ethical issues that may affect my work ★	93%	98%
Reported misconduct when observed	59%	68%

★ Statistically significant difference
★★ Trend

APPENDIX A

Training Formats—Self-Directed vs. Live In-person

	Case studies	Role playing	Learning how to solve dilemmas
Employee beliefs about training			
Relevant to my job/role	👤 (green)	👤 (green)	👤 (green)
Relevant to my seniority/level in the company	👤 (green)		👤 (yellow)
Relevant to my industry/sector			
Learned something new	👤 (green)	👤 (green)	👤 (green)
Useful in guiding decisions at work	👤 (green)	👤 (green)	👤 (green)
Satisfied with training	👤 (green)	👤 (green)	👤 (green)
Employee behaviors and attitudes post training			
Work decisions sometimes or frequently involve ethics or compliance issues	👤 (yellow)		👤 (yellow)
Frequently or sometimes directly apply training to my job	👤 (green)	👤 (green)	👤 (green)
Am confident in ability to recognize ethical issues that may affect my work			
Reported misconduct when observed			

👤 Live In-person linked to significantly better results than Self-Directed
👤 Live In-person trended to better results than Self-Directed
🖥 Self-Directed linked to significantly better results than Live In-person
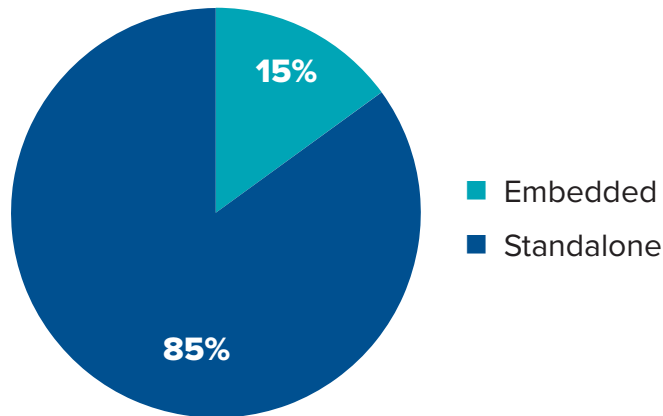🖥 Self-Directed trended to better results than Live In-person

Note: Self-Directed training was not found to have better results on any of these metrics.

WHAT GETS RESULTS

APPENDIX B
PERSPECTIVES FROM LARGE ECI MEMBER COMPANIES—
TRAINING TRENDS AND APPROACHES

Training Format, Duration and Frequency

What kind?

- Embedded — 15%
- Standalone — 85%

How long?

According to company responses, the **average manager** in companies surveyed receives **2.75 hours of E&C training per year,** less than the average employee. Of that, nearly an hour (0.9) is in-person or face-to-face.

EMPLOYEE PERSPECTIVE

HOW LONG?

According to our company-member respondents, the average employee in companies surveyed receives 3.1 hours of E&C training per year. Of that, less than an hour (45 minutes) is in-person or face-to-face.

HOW OFTEN?

Nearly half (49 percent) of employees say they receive E&C training just once per year. Twenty-eight percent receive training at least quarterly. Among the once-per-year, half (50 percent) said it was for less than an hour.

APPENDIX B

Who Receives Training—and Who Doesn't

While Nearly All Companies Train Every Employee, Most Do Not Train Third-Parties and Contract Workers

Survey Question: Does your company train...?

Senior leaders/Executives	**97%**
Middle managers	**100%**
First-line supervisors	**100%**
Non-management employees	**100%**
Third-parties (vendors, suppliers)	**41%**
Contract Workers	**41%**

POINT TO CONSIDER

Many companies intentionally avoid training of vendors and, especially, contractors due to legal concerns, i.e., whether training legally elevates participants to "employee" status. Past ECI research, including the Global Business Ethics Survey and its supplemental report Ethics and Compliance Risk in the Supply Chain (ethics.org/supply-chain), highlight third-parties as an area of significant concern; employees at suppliers are more likely to feel pressure to compromise standards, to observe misconduct, and to experience retaliation for reporting.

APPENDIX B

Training Specialization

Remote employees:

Three in four - 75% - of the large companies who responded to our survey employ full-time remote employees. Most companies do not alter their E&C training plans for remote employees.

Training topics:

Companies identify conflicts of interest and ethical decision making as the E&C topics most difficult to train employees on.

EMPLOYEE PERSPECTIVE

TARGETED TRAINING

Many employees work at companies that offer specialized training to help employees navigate challenging situations.

Targeted Training Offered by Companies:

26% Prior to traveling on business for the company (domestic)

28% Prior to attending a conference or other external event

17% Prior to traveling on business for the company (international)

41% Prior to holiday season (gifts & entertainment)

**18%** Prior to taking a client out to dinner

37% Other

APPENDIX B

Technology & Innovation: Social Media, Just-in-Time and Microlearning

There are many opportunities for companies to expand their training offerings using technology, but relatively few companies who responded to our survey are taking advantage. Only about one in six (16 percent) use social media to deliver their E&C training. Just over a third (36 percent) use just-in-time training to deliver brief, focused training materials to employees when they are most needed. Microlearning is also still in the earlier phases of adoption and is currently used by fewer than half (46 percent) of companies.
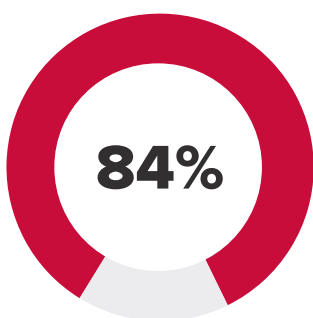
84% Do **NOT** use social media in delivery of E&C Training
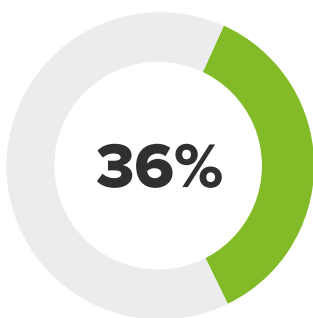
36% Just over 1 in 3 companies use Just-in-Time training

Use of Microlearning

54% Do NOT use training "bursts" or other forms of microlearning.

31% Use for primary training as well as training reinforcement.

9% Use as stand-alone training

**6%** Use as a training reinforcement for broader training initiatives

APPENDIX B

Evaluation of Effectiveness & Training Reinforcement

Among the large ECI member companies who responded to our survey, most do not track the effectiveness of their training efforts.

Among our larger companies who responded, only about two in five (41 percent) that conduct training make efforts to track its effectiveness. Among the companies that do conduct evaluations, the most common activities are tracking completion rates (85 percent); satisfaction surveys (69 percent); questions about ethics and compliance training in culture, engagement, or other enterprise-wide surveys (46 percent); pre- and post-training evaluations (23 percent); and post-training quizzes (8 percent).

Most Companies Do NOT Track Training Effectiveness

41%

59%
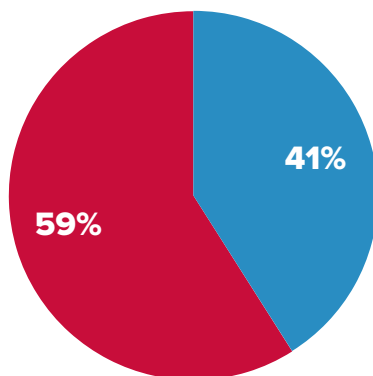
■ Track training effectiveness

■ Do NOT track training effectiveness

POINT TO CONSIDER

E&C training is critical for reducing risk and promoting a productive and positive work environment. It also requires a considerable commitment of resources, including funding. Given the value of, need for, and investment associated with E&C training, it is surprising that the majority of companies fail to evaluate effectiveness. Evaluation of training appears to be a particular "growth area."

APPENDIX B

Many member-company respondents indicate that they intentionally reinforce their training after the fact, but far fewer employees recalled experiencing such follow-up.

Training reinforcement strategy	Companies who use	Employees who experience
Training handouts	69%	13%
Embedded information in post-training communication messages	54%	24%
Manager-led follow-up discussions at team meetings	40%	12%

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ETHICS & COMPLIANCE TRAINING:
WHAT GETS RESULTS

This report was made possible in part through funding from:

KPMG

2345 Crystal Drive, Suite 201
Arlington, VA, 22202

703.647.2185

ethics@ethics.org

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