



Global Compliance Solutions

## Does your code of conduct program hit the mark?

Ten questions you should be asking yourself.

To compete in today's global marketplace, employees at every level of your organization need to understand the risks associated with a broad spectrum of compliance issues and feel empowered to make the right decisions — even when no one is watching. Sixty-two percent of organizations cite risk management and assessment as a top-three concern when asked about elements of success<sup>1</sup>. Many companies struggle to meet this challenge, but an effective compliance training program can foster a culture of workplace best-practices from the boardroom all the way to the shop floor. Here are 10 questions that you may find useful to consider when planning or reviewing your code of conduct program.

### 1. How does our code of conduct program address the differences in law in different countries

Typically, a code of conduct training program addresses the general principles and practices of compliance issues. This allows a consistent message concerning corporate expectations to be delivered throughout the business. By linking local laws and regulations, you ensure that no matter where they are located your employees know what is correct.

### 2. How do I keep the program up to date?

Normally, programs are reviewed on a yearly basis, or when there is a substantial change in prevailing laws. Obviously, as laws change in different countries, local policies and procedures need to be amended at that time. By leveraging an independent content provider who has the knowledge and experience to track and respond to evolving regulations, you can stay in step with these changes.

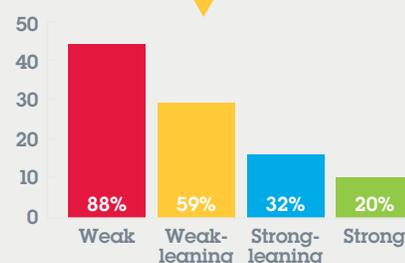
### 3. How do I ensure that the training is communicated in an effective manner?

There are several issues to consider — learning style, language of delivery, and training time involved. Using a well-established and proven elearning solution, you can ensure that no matter the employee's learning style (auditory, visual, or physical), their needs will be met. With an elearning solution, content can easily be adapted or translated. Lastly, elearning is often faster and more efficient than classroom training because employees can access the content at a time that's most convenient for them.

### THE CURRENT STATE OF COMPLIANCE

In strong ethical cultures, the majority of misconduct is done by a single employee. **67%** by a single person, **30%** by multiple people, and **4%** company wide.

As the strength of compliance programs  , the incidence of observed misconduct .



Misconduct and retaliation rates are still at all time highs.

#### 2009

Reported misconduct **63%**  
Experienced retaliation **15%**

#### 2011

Reported misconduct **65%**  
Experienced retaliation **22%**

#### 2013

Reported misconduct **63%**  
Experienced retaliation **21%**

<sup>1</sup> Integrating Compliance with Business Strategy: The Skillssoft Compliance Maturity Model by the Skillssoft Global Compliance Solutions Team. March 2014.

#### 4. How can I target appropriate compliance topics to the employees who need them?

Utilizing online code of conduct training means that employees only need to access the topics that are relevant to them. Because different versions of the training can easily be created for different groups of staff, you can easily tailor courses to deliver applicable information. This strategic approach explains in part why Skillsoft learners apply 86%<sup>2</sup> of the information provided.

#### 5. How do I ensure that all relevant staff takes the training?

A Learning Management System (LMS) can play a dual role both in deploying a training program to staff and in tracking the results. Important features to look for include: allowing training programs to be deployed to specific business units or roles; integration with a third-party HR system to have regular updates of staff details; supports the administration of instructor-led and elearning courses (to serve compliance programs that are delivered using a blend of the two methods); and providing online compliance reporting at different levels and within different business units so managers can monitor progress towards training objectives. Also, having online compliance dashboards that provide at-a-glance views are particularly useful for business executives.

#### 6. How do I get code of conduct compliance training out to the field?

This issue is much easier to address than it used to be! Any code of conduct elearning program that can be viewed on a PC should also be able to be taken by an employee using a tablet device, especially as tablets are now coming into mainstream use by engineers, waiters, kitchen staff, sales reps, as well as office staff. Any effective elearning solution will support tablet-based learning as part of a full enterprise solution.

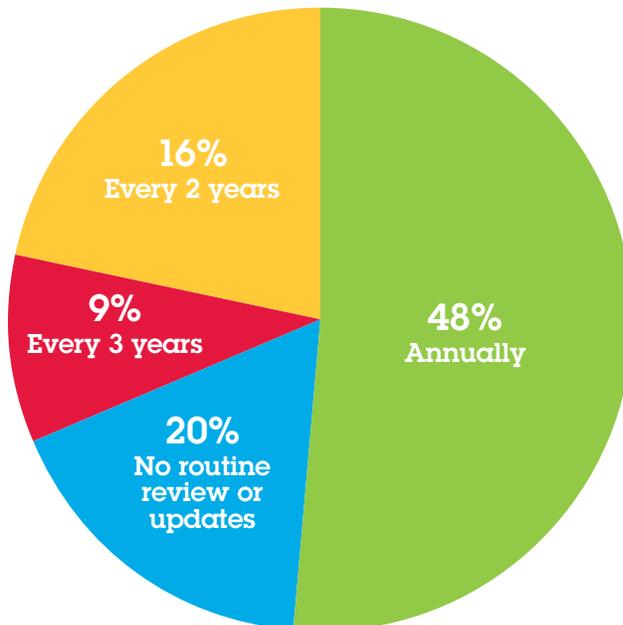
#### 7. How do I ensure that employees understand the relevance of the training?

By ensuring content is tailored to their roles, you reinforce to employees that the program is meant for them and not just a generic course they “have to complete.” Customization options and brand implementation within the LMS can also convey the full organizational endorsement of the training.

#### 8. Am I doing everything to ensure that our code of conduct program protects our business effectively?

In many cases, when companies take a long, hard look at their code of conduct programs, they will identify ways that they can improve. Whether it be bringing policies up to date, extending the program to an additional group of employees, making the training more accessible to staff, or targeting the training more strategically, administering a program is always a work in progress. Thus, it's essential to work with a partner who can support the evolution of your program from its early to mature stages.

#### Frequency of reviewing and updating corporate policies<sup>3</sup>



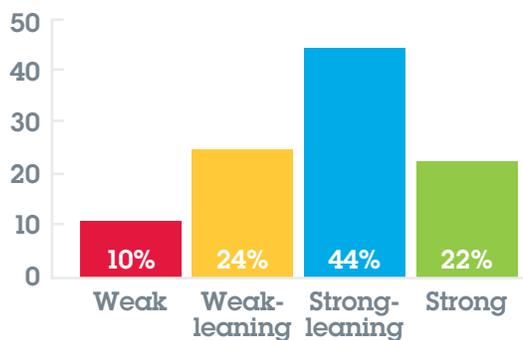
<sup>2</sup> Challenging the Status Quo with a Smarter Approach to the Global Talent Crisis by John R. Mattoz, II, PH.D and Kieran King. KnowledgeAdvisors and Skillsoft, February 2013.

<sup>3</sup> 2013 Global Compliance and Ethics Benchmarking Survey by Paul McNulty and Stephen Martin. Baker&McKenzie. May 2013.

## 9. Why do I need a training program for my code of conduct?

Training on the code of conduct reinforces the commitment to a strong ethical culture and clearly conveys the company's expectations for employee behavior. Consider this: the Ethics Resource Center, in their 2013 National Business Ethics Survey, found that organizations that maintained a strong ethical culture experienced 68% fewer incidents of employee misconduct<sup>4</sup> than did organizations with weak ethical cultures.

As of 2013, most companies now have positive ethics cultures<sup>4</sup>



## 10. How does code of conduct training affect my bottom line?

The average employment lawsuit costs the employer **\$150,000** in lost time and workplace disruption<sup>5</sup>. And this figure assumes the employer prevails in the case – fines, settlements, and adverse jury awards are not included! By comparison, the implementation of an effective compliance training program – which can minimize the risk of violations and reduce penalties even in the case of wrongdoing – is a sound investment.

<sup>4</sup> National Business Ethics Survey of the U.S. Workforce by the Ethics Resource Center. February 4, 2014.

<sup>5</sup> Overview of Significant Legal Issues Impacting the Workplace by Michelle J LeBeau. 2013 National Practice Management Conference. 2013.



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