



LEARNING

2022 Global Insights: Evolving Ethics and Compliance Training Program Practices



Welcome

Change is inevitable, but it's been especially dramatic over the past three years. The 2022 Global Insights: Evolving Ethics and Compliance Training Program Practices survey report examines what's changed since our 2019 survey that was completed just before the onset of the coronavirus pandemic.

Ethics and Compliance (E&C) training programs have grown and matured over the past three years and showed areas of impressive growth, some familiar challenges, and a few new risks. One overwhelmingly positive message stood out: 70% of 2022 participants agreed that their E&C training program is successfully changing employee behaviors.

Overall, the 2022 survey responses highlighted three major trends:

- Increased attention to Environmental, Social, and Governance (ESG) as a driver for E&C training programs
- A demand for data and tools to demonstrate program effectiveness
- Rapid growth in third-party compliance training for due diligence

KEY FINDINGS

Before you take a deep dive into the data and our SAI360 insights that follow, here are a few highlights from the report:

- All participants shared one successful outcome: **managing risks more effectively**. Significant strides were made in achieving business goals over the last three years, along





with large gains in preventing and reducing misconduct, creating a more positive work culture, and minimizing exposure to third-party risks.

- The **ability to generate meaningful program effectiveness data** was a big win in 2022—showing a large gain over 2020.
- **Training increased:** The average number of hours of training per year increased, as did role-specific training for managers and third-party training.
- **Video leapt into the lead of tools** supporting compliance training programs.
- 2020's high aspirations for using **new tools**, like games and simulations, didn't pan out; overall tool usage has declined since 2019.

FAMILIAR CHALLENGES

Organizations continued to struggle with some of the same challenges they faced in 2019:

- Incorporating reliable and meaningful data to measure and improve program effectiveness
- Minimizing third-party risks to ensure compliance
- Engaging learners to apply their learning

NEW PRIORITIES

Along with a clear shift in training goals away from minimizing and controlling misconduct to preventing it, several new priorities surfaced:

- Meeting ESG objectives for E&C training is now a high priority.
- Training frequency has shifted from once or twice a year to quarterly, monthly, or on-demand.
- There is growing interest in risk management tools to support compliance training programs, with plans to use risk management software in the future.

We hope that the data, analyses, and SAI360 insights that follow in this report serve to fuel and focus your E&C compliance training discussions.

Table of Contents

WELCOME	2
FOREWORD	5
OUR FINDINGS	7
WHY: BUSINESS AND PROGRAM GOALS	8
WHO: THE LEARNERS	11
WHEN: FREQUENCY AND DURATION	13
WHERE: LEARNING SPACES	15
WHAT: THE METHODS	20
HOW: ENGAGING LEARNERS	24
OUR METHODOLOGY	27
CONCLUSION	30



Foreword



Jennifer Farthing

Senior Vice President, Learning
SAI360

Greetings from SAI360—a remote global workplace that I’ve been part of for nearly two years. Joining in the middle of the coronavirus pandemic, I met my colleagues via Microsoft Teams and quickly learned to navigate the norms of the company from home. In my region, the data shows that I’m far from an anomaly, as the number of Americans that shifted to working from home between 2019–2021 grew by nearly 18%—to 27.6 million people.¹ Wow. While essential workers steadily served their constituents on location, others adapted to distributed teams that are fully or partially remote, with hybrid teams here for the long haul. Some love it, some detest it, few are ambivalent, and many miss the social aspects of work—if not the open floorplans and lengthy commutes.

Since our last benchmark report, we’ve experienced cultural reckonings from #blacklivesmatter to #marshallplanformoms to calls for #paytransparency. We’ve seen the NDA and the non-compete come under fire. These shifts have come to shape the way we show up and perform at work. As leaders, we strive to convey belonging and combat the “Great Resignation” phenomenon by attending to diversity, equity, inclusivity, and wellness. Many of us experienced burnout firsthand, as we absorbed the necessary work left undone due to job vacancies. Still, we focus on the needs of a busy

compliance department, despite wondering if the training we’re doing on sexual harassment prevention is working, or hearing that some types of DEI training may have the opposite of intended effects.

RECENT TRENDS

After two years of frenzied hiring, as of this writing in January 2023, large scale layoffs are correcting a period of “grow at all costs” as economic realities sink in. These workplace challenges compete for headlines that detail the cases of fraud at now-bankrupt cryptocurrency firm, FTX, and financial start-up, Frank. They grabbed our attention from the grips of COVID-19, the war in Ukraine, and Qatar’s World Cup. As workers and consumers, we’ve experienced critical supply chain delays and breakdowns in our auto parts and our infant formulas. And, whether we worked co-located or from afar, we learned of added threats to our information security and data privacy. Using the latest and safest protocols, we’re sharing information and gaining insights through cloud-based tools at ever-increasing rates. As we strive to get more adroit at data collection and analysis, we’re, mostly, doing our training online. Some of us even used our learning management systems (LMS) in novel ways to keep up with health and safety requirements and risk-monitoring activities. Firsthand, we examine our workplace and the world we live in through the lens of risk and learning. Now, we’re challenged with an even greater need to demonstrate our E&C program efficacy as we face head-on the critical demands of our stakeholders, our customers, and our planet.



WHAT'S CHANGED

During lockdown, going live online is how we kept our children in school, went to the movies, attended fitness classes, and engaged with family and friends. These methods stuck with us even though we can now gather in person. As Teams and Zoom become the conference rooms of choice even when we're at the same facility, let's imagine how we can exploit these tools to accommodate new ways to learn together. Here at SAI360, we're using our LMS to serve instructor-led training (ILT). Perhaps there is a sweet spot between the commonplace all-employee, event-based training and the small groups led by a live facilitator. Maybe we want to better operationalize our virtual, on-hand tools for learning—spend less time getting there, more time building skills, learning concepts, and cultivating our workplace cultures.

THE SAI360 COMMITMENT

We recognize that you're committed to improving workplace experiences and upholding shared values. What we do matters, and we want to know how we're doing. We hope you find this report both practical and aspirational. We've contextualized where we've changed and how we've remained essentially the same through these unprecedented couple of years. Though the pandemic is hardly over, and as we recognize that future years will involve other disruptions to our ways at work, we've proven adaptable and resilient. We're responsible stewards of ethical practices and we crave the data to help us be even better. Read in good health.

¹ Bureau, US Census. n.d. "The Number of People Primarily Working from Home Tripled between 2019 and 2021." Census.gov. <https://www.census.gov/newsroom/press-releases/2022/people-working-from-home.html#:~:text=SEPT>.





Our Findings

The 2022 SAI360 Ethics and Compliance Training Benchmark Survey focused on the practical delivery and evaluation of effective training. For this year's report, we thought it would be beneficial to look not only where we are today, but also at how the industry has adapted to the challenges encountered since the 2019 survey. Our objective is to give the market and our valued customers a picture of how your peers pursue ethics and compliance objectives and the tools they use. We organized the survey results to examine the vehicles that E&C programs used to complete the journey from the initial business goals of E&C training to employee application in their day-to-day work.

Why What are the outcomes or business goals that determine what training is delivered and how success is measured?

Who Is training generalized for one group or specific to certain roles and responsibilities?

When What is the frequency of training experiences and what is the average time dedicated to E&C training each year?

Where Where is the learner engaging with the training materials?

What What methods are used to deliver training?

How How are learners engaged with learning and encouraged to apply their learning?

EACH SECTION OF THE REPORT IS ORGANIZED INTO THREE PARTS.

- **The Facts** – An overview of top findings from the 2022 survey
- **The Change** – How the results differ from the 2019 survey
- **SAI360 Expert Analysis** – Our interpretation of what the results and the changes mean and how the data can be used to inform practice to improve program effectiveness

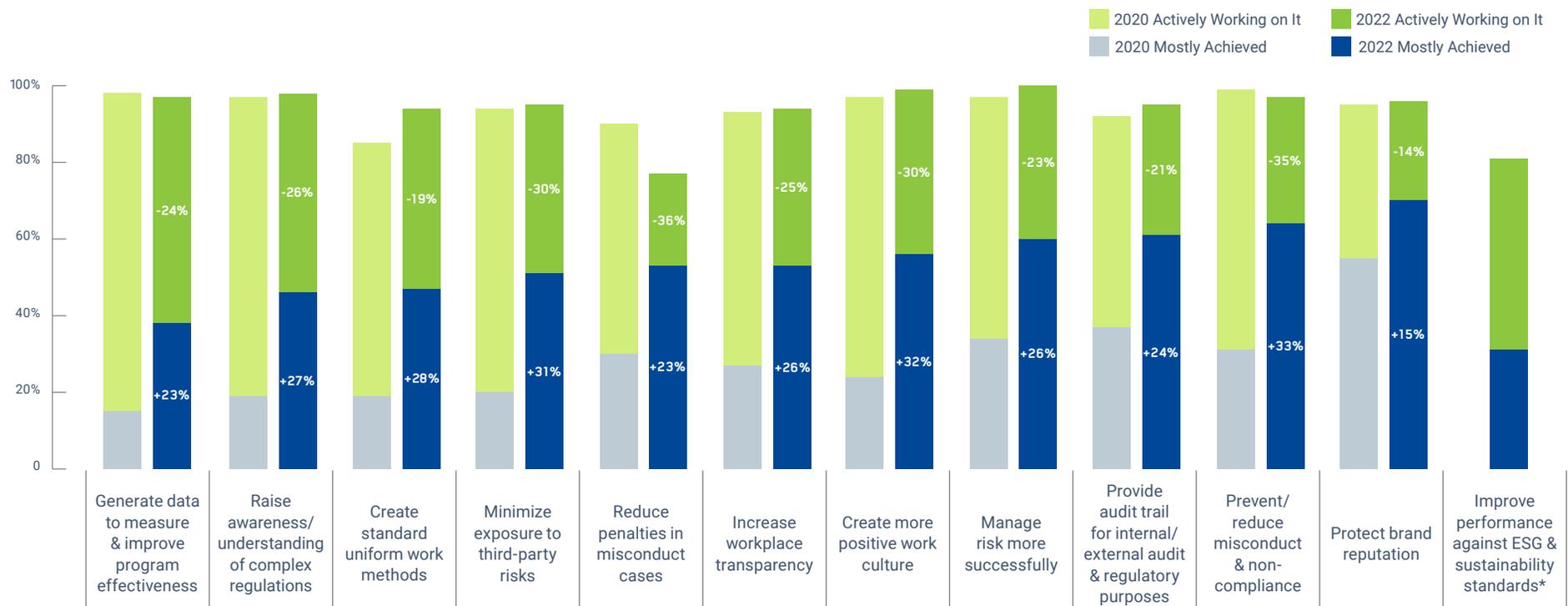
Let's see how far we've come and where we might go next.



Why: Business and Program Goals

What business goals drive the organization's investment in risk, ethics, and compliance-related training programs?
Indicate if the goal is Mostly Achieved or are Actively Working toward.

Achievement of Business Goals Driving Investment in Risk & Compliance Training: 2020 to 2022 Comparison



* New option for 2022 survey



THE FACTS

Before embarking on an E&C training program, it's critical to understand what your goals are and how you will recognize success. The reason behind why you are investing in the program will determine the form that investment takes. In our 2022 survey, we asked participants why they invest in E&C training and if they achieved the desired outcomes or were still working on it. The 2022 responses show some great successes, as well as opportunities for improvement.

TOP 3 GOALS MOSTLY ACHIEVED

70% of 2022 survey respondents felt they achieved the goals of protecting brand reputation, while 26% were actively working on it, and 4% felt it's not a relevant business goal for the E&C training program. 64% of respondents felt they mostly achieved the goal of creating a more positive work culture. Providing an audit trail was mostly achieved by 61% of participants.

TOP 3 GOALS WORKING ON

In 2022, the top business goals respondents reported they were actively working on included:

- 59%** Generating data to measure and improve program effectiveness
- 52%** Raising awareness and understanding of complex regulations
- 50%** Improving business performance against ESG and Sustainability standards

MOST SHARED GOALS

The only goal shared by 100% of participants was managing risks more effectively. 60% of respondents reported they mostly achieved this goal, while 40% were still actively working on it.

99% identified creating a more positive work culture (56% achieved), while 98% had their sights set on raising awareness and understanding of complex regulations (46% achieved).

LEAST SHARED GOALS

Not all goals were universally shared. Goals that were the least universally shared included:

Reducing penalties in misconduct cases was relevant to 77% of participants and 53% of respondents felt their programs mostly achieved the goal. Improving business performance against ESG and Sustainability standards is a new goal we added for 2022. 81% of participants indicated it was a relevant goal for their program. 31% felt they successfully achieved that goal, while 50% of all participants were actively working on achieving it.

THE CHANGE

MOST IMPROVED

Great News: Programs made significant strides in achieving their business goals over the last three years. On average, there was a 27% improvement in E&C programs that mostly achieved their business goals. The largest gains of over 30% were achieved on preventing and reducing misconduct and noncompliance, creating a more positive work culture, and minimizing exposure to third-party risks.

SHIFTING RELEVANCE

Two goals stand out as having shifted significantly from 2020 to 2022. Reducing penalties in misconduct cases dropped by 14%, with over 23% of respondents indicating this goal was not relevant to their E&C training program. In contrast, creating uniformity and standardization in work methods moved from 85% in 2020 to 94% in 2022. The other goals saw very little change (1% to 3%) in relevance from 2020 to 2022.



ROOM TO GROW

In 2020, the one outcome that organizations were least confident they had achieved was generating meaningful program effectiveness data—increasing from just 15% in 2020 to 38% in 2022. A huge gain. It is the largest area of active work in 2022, with 59% of respondents reporting they were focused on working to achieve the goal. The second goal where the most work occurred is on raising awareness and understanding of complex regulations. 52% of respondents were actively working to achieve that goal.

The rapid rise of ESG as both an investment strategy and a growing regulatory framework, spurred us to add “Improving Business Performance Against ESG and Sustainability Standards” as a new business goal in the 2022 survey. We found 50% of respondents were actively working to meet the goal.

83% agree better tools and data are needed to demonstrate effectiveness.

SAI360 EXPERT PERSPECTIVE

The evidence indicates that E&C training programs have rapidly matured in recent years with great gains in achieving organizations’ business goals. The shifting relevance of goals shows that preventing misconduct is seen as a better option than attempting to minimize or control the consequences if misconduct occurs. Part of a robust prevention program is uniformity and consistency in operations, which requires the clear communication of what ethical behavior is expected, as well as the policies and procedures that the organization is trained on.

Underlying all the goals is the need for reliable and meaningful data to measure and improve program effectiveness. Regulators and boards expect to see that programs are working as intended and are improving over time. You demand a clear return on investment. To capture meaningful data, programs must have:

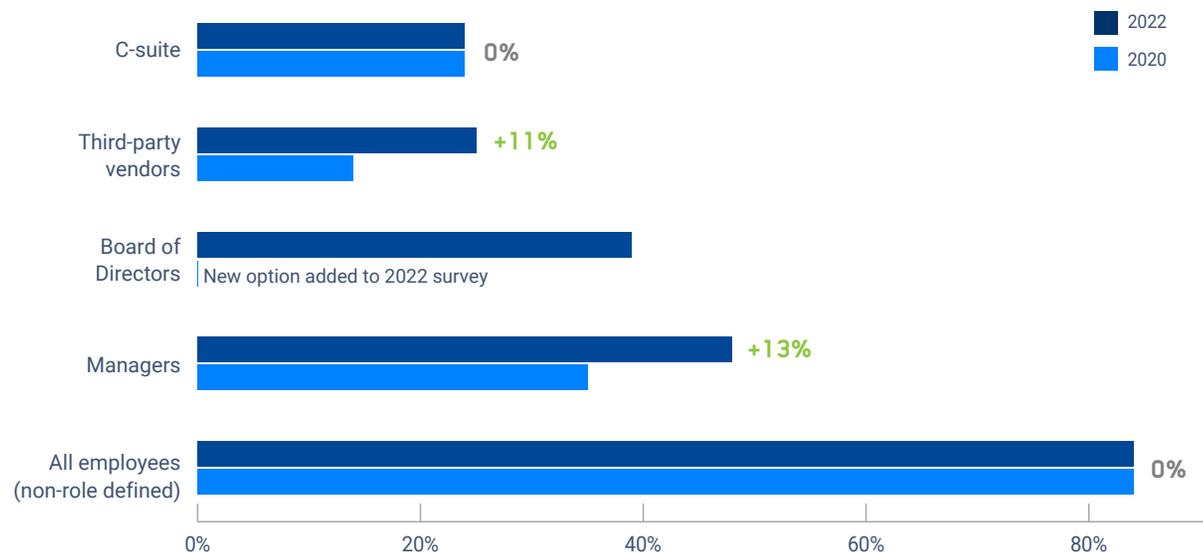
1. Clear and measurable performance indicators that align with the training program’s goals and learning objectives
2. Tools and processes to successfully collect and analyze relevant performance data
3. A baseline measure before program interventions that can be compared afterward to demonstrate change



Who: The Learners

For which roles does your organization provide targeted compliance training?

Roles Targeted with Training: 2022 to 2020 Comparison



+13% role-specific training for managers

+11% third parties

THE FACTS

In 2022, 84% of the organizations surveyed trained all employees with learning experiences that were not specific to roles, 48% offered manager-specific training, 24% delivered C-suite-specific training, 39% delivered Board-specific training, and 25% provided training to third parties, vendors, and consultants.

THE CHANGE

From 2020 to 2022, we saw significant growth in role-specific training for managers (+13%) and third parties (+11%). There was no change in the percentage of organizations offering general employee training (84%) and C-Suite training (24%). The 2020 survey did not include an option for Board of Directors for comparison.



SAI360 EXPERT PERSPECTIVE

Managers and C-suite leaders have an even greater role to play since the onset of the coronavirus pandemic and the subsequent challenges of managing global, hybrid, and remote workforces. Setting the tone for the entire organization and enabling employees with purpose-built training can go a long way in the overall health of an organization's culture and compliance mindset. To set leaders up for success as they convey values, policies, and expectations to their teams, it is important to equip them with the learning resources they need to support their teams and their continued growth.

Leaders also frequently hear the learner's complaint that compliance training isn't relevant to them. To make training feel more relevant to more employees, we suggest using adaptive learning capabilities like "profiling" to personalize training based on region, seniority, function, or responsibility. This helps ensure people get what they need and feel like they are spending their time on something useful to them, which can be applied on the job.

Another role that is increasingly important for organizational success and compliance training is third parties. Training for third parties nearly doubled from 2020 to 2022. Third-party misconduct is a risk for any organization and recent and anticipated legislation, as well as the supply chain challenges felt over the past three years, makes the impact of third-party risk even greater. Due diligence is critical to ensure operations move smoothly. Third-party training can be challenging to manage and track—purpose-made SaaS tools like Extended Enterprise can help automate and streamline training setup, delivery, tracking, and reporting.

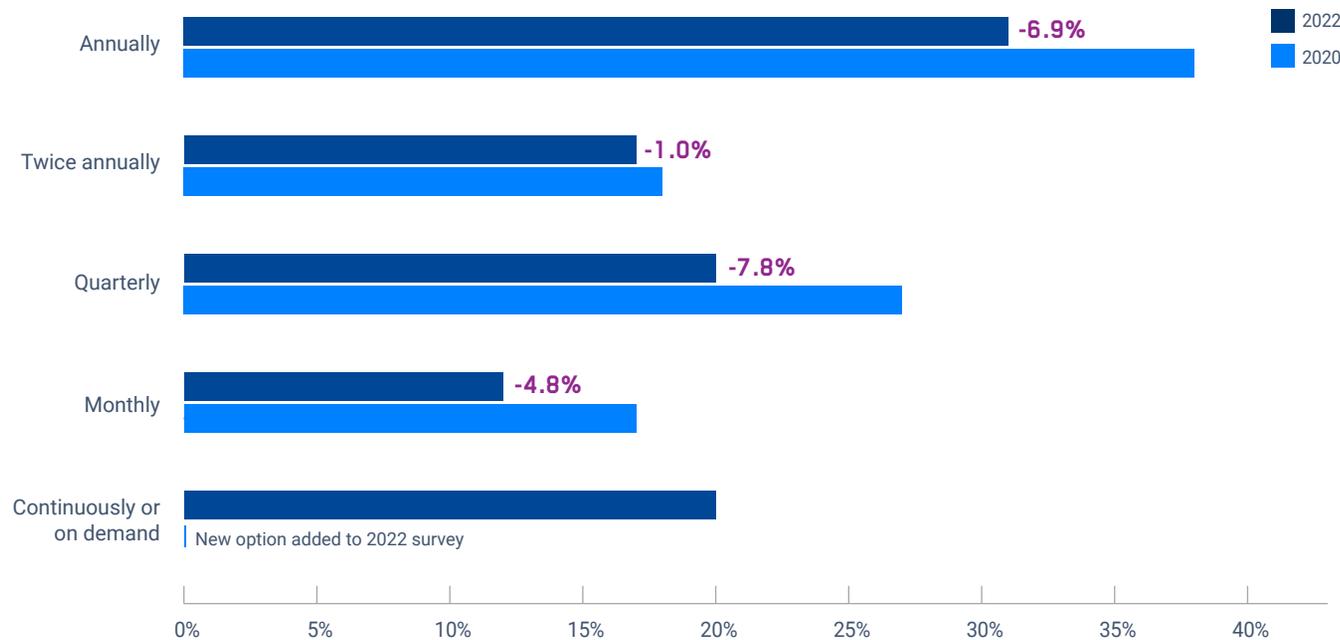




When: Frequency and Duration

In a year, how frequently do you release compliance trainings to your organization?

Training Frequency: 2022 to 2020 Comparison



THE FACTS

TRAINING FREQUENCY

The majority (52%) of respondents train on a quarterly, monthly, or on-demand basis.

TRAINING DURATION

In 2022, 68% of survey respondents indicated their learners spent up to six hours per year, per employee on E&C training, and 11% received 18 hours or more.

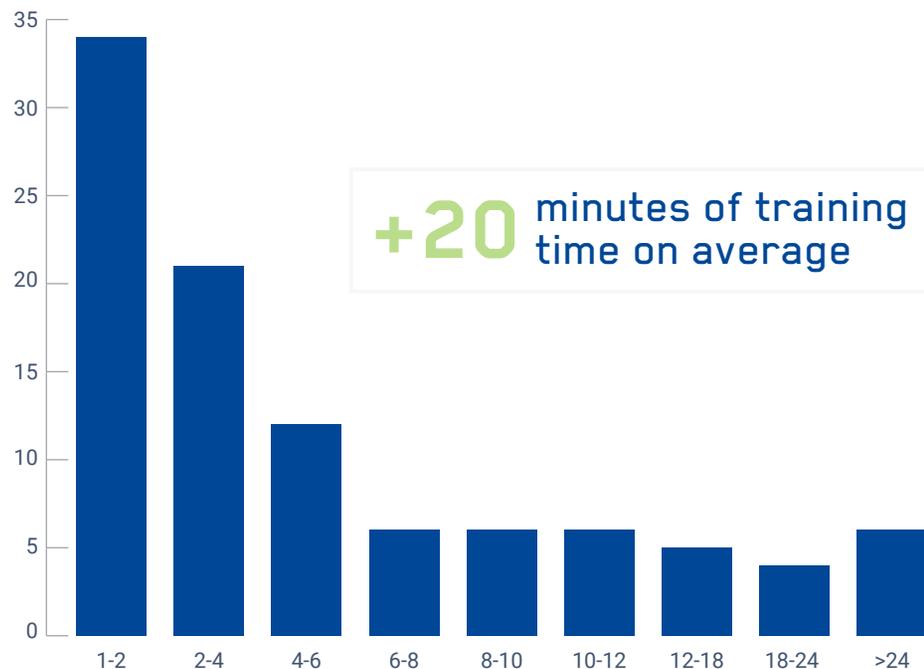
TRAINING HOURS

The 2020 average number of hours of training per year, per employee, was 5.8. In 2022 the average increased to 6.7 hours, an increase of almost a full hour.



On average, how many hours does your organization allocate per employee for risk, compliance, and ethics training each year?

Annual Hours of Compliance Training 2022



SAI360 EXPERT PERSPECTIVE

Spreading training throughout the year, rather than during one or two time periods, is less intrusive on employees' time. Giving learners more control over what training they complete, and when, is more engaging. A time-based strategy will improve the resonance of each experience and give learners more time to process and operationalize the information they receive. It also reduces the perceived burden of time they're spending and gives your program more flexibility to align with the goals of the business.

To accommodate learners' limited time, it can be helpful to break the training into smaller chunks delivered more frequently. Microlearning is any learning experiences that is, ideally, under five minutes in duration and focused on a single learning outcome. Purpose-built microlearning experiences are configurable and designed to build on one another. To make training more palatable and a more self-directed experience, consider making learning episodes available to learners on-demand using a Netflix-type selection interface, with AI recommendations based on learner needs and interests.

THE CHANGE

The frequency of training is shifting across the board. In 2020, 56% of participants delivered training just once or twice a year. In 2022, the majority (52%) shifted to training quarterly, monthly, or on demand. Since the start of the pandemic, offering training continuously or on demand rose from extremely rare to nearly 21% of respondents. All other training frequencies saw a decline from 2020 to 2022.

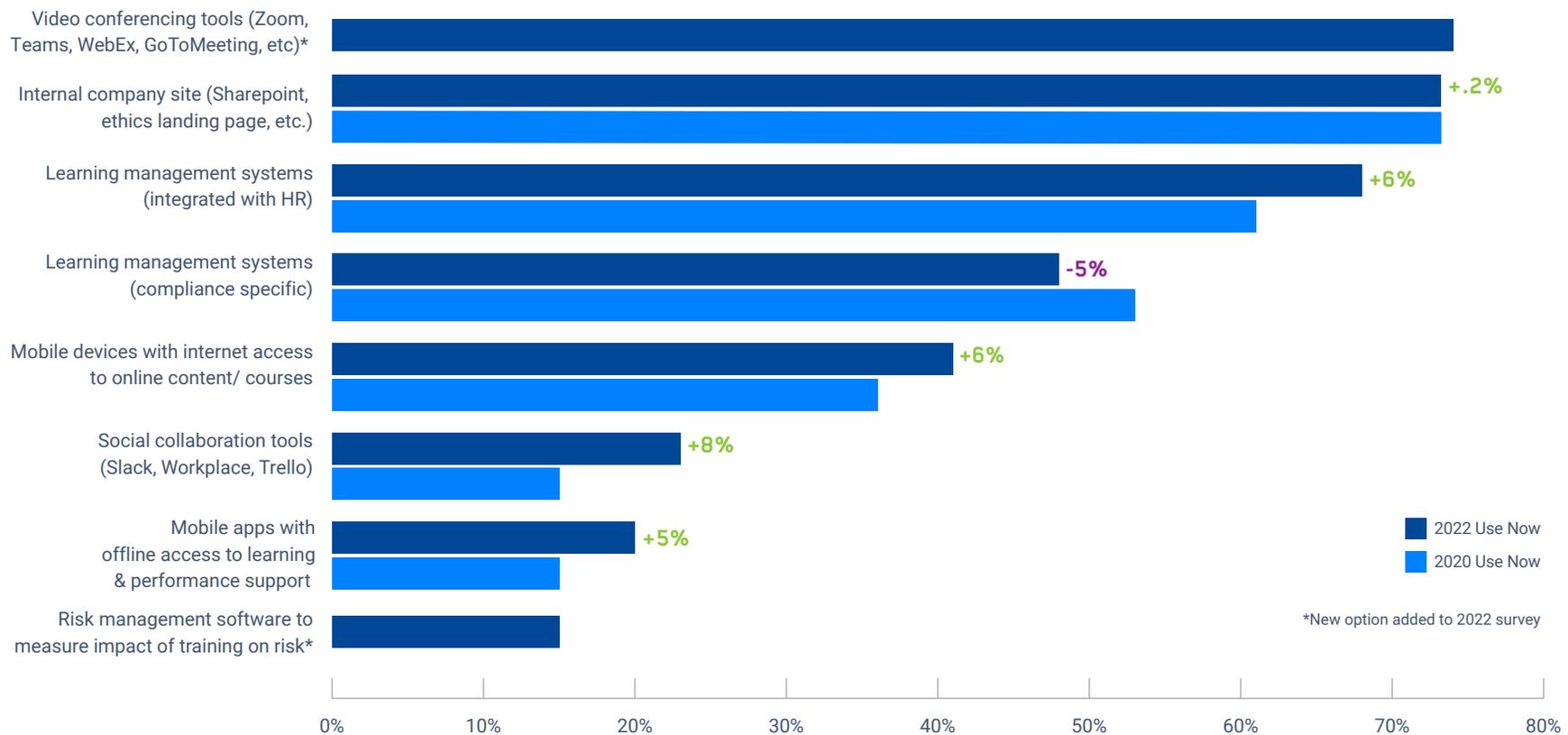
Over the same time period, the average number of hours allocated for risk, compliance, and ethics training per year increased from 6 to 6.4 hours; an increase of about 20 minutes annually. The shift appears to mainly have come from an approximately 5% increase in respondents dedicating 18 or more hours per year to training. Looking at the data in more detail, we found that companies with the increased hours were primarily represented by industries such as healthcare, aerospace and defense, and construction. We infer this training has a safety and environment component that is longer for those industries than others.



Where: Learning Spaces

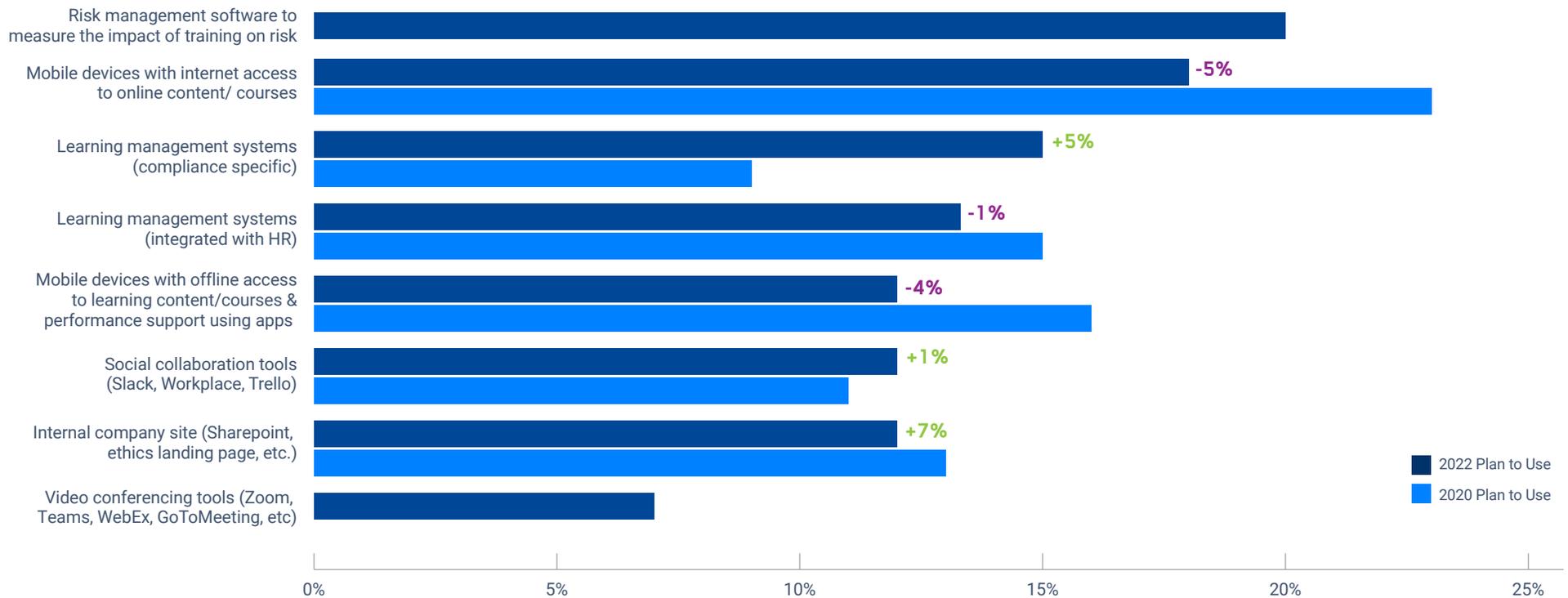
Which of the following platforms, devices, and tools, does the organization use to support the compliance training program?

Platforms, Devices, and Tools Used Now: 2022 to 2020 Comparison





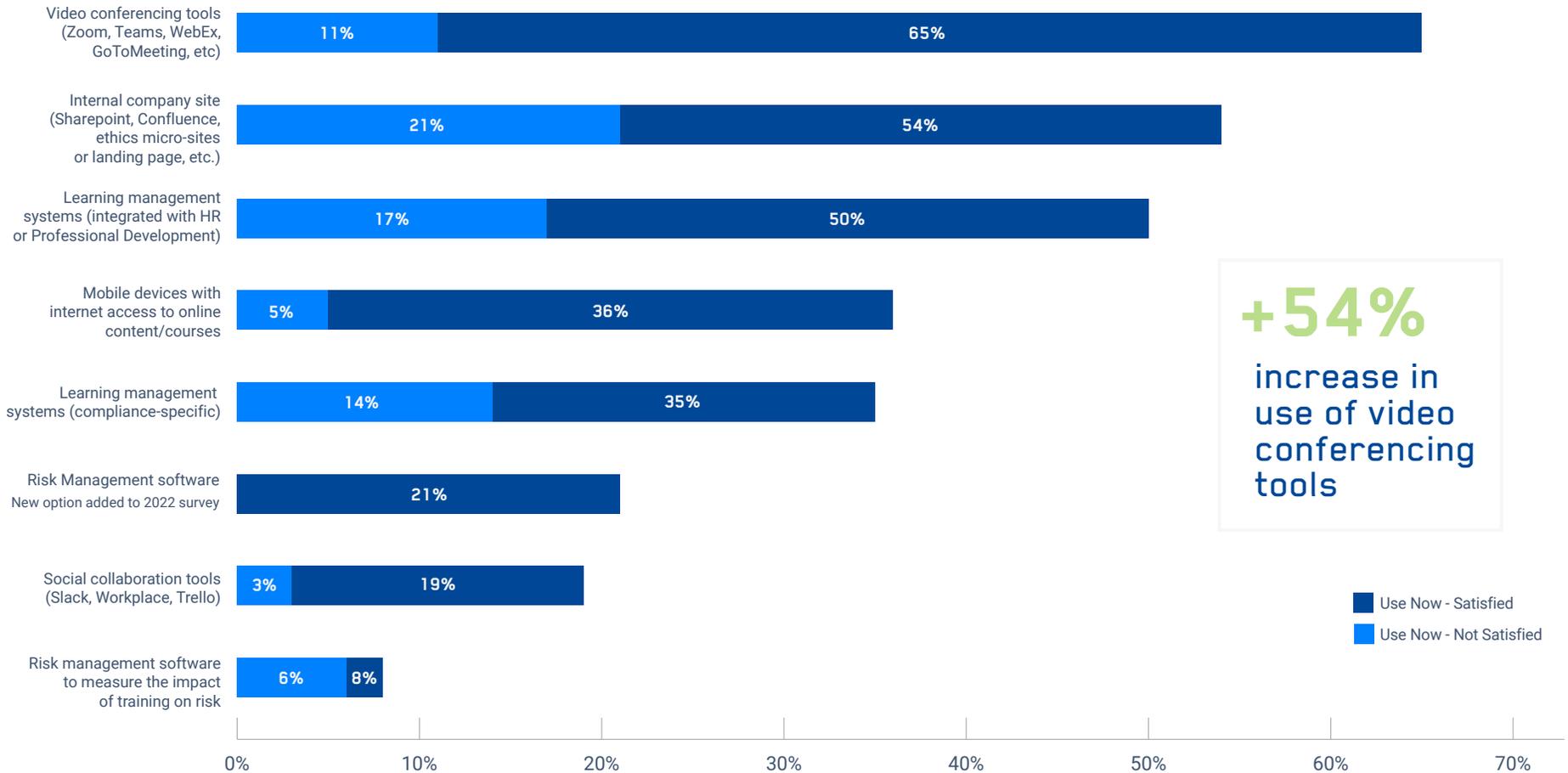
Platforms, Devices, and Tools planned for future use: 2022 to 2020 Comparison





Of the following platforms, devices, and tools, the organization uses, how satisfied are you with each?

2022 Satisfaction with Platforms, Devices, and Tools Used





THE FACTS

According to the 2022 survey, the most frequently used tools/platforms supporting compliance training were video conferencing, utilized by 76% of survey participants, and internal company site, also utilized by 76% of survey participants. Following closely behind at 67% was Learning Management System (LMS) integrated with Human Resources (HR) or Professional Development (PD).

While video conferencing and internal company sites tied for most frequently used tools, their satisfaction rates were not so similar. Of those using video conferencing, 65% gave a favorable satisfaction rate compared to only 54% percent for internal company site. Only 11% of all respondents were dissatisfied with video conferencing, compared with 20% of internal company site users reporting dissatisfaction.

The tools used less frequently included risk management software (15%), which was a new survey option for 2022, mobile devices with offline access (21%), and social collaboration tools (23%).

Survey participants use on average four different tools to support their E&C training program, but 46% indicated they plan to add an additional tool in the near future. The top three tools most frequently indicated for future use were risk management software (21%), mobile devices with internet access (18%) and compliance-specific LMS (14%).

THE CHANGE

In 2020 and 2022, 74% of organizations used an internal company site, such as SharePoint™ or another dedicated webpage. Compliance specific LMSs usage declined from 53% to 48%, while HR and PD integrated LMS usage increased from 61% to 68%.

E&C programs increased the use of social collaboration tools like Slack or Workplace by over 8% to nearly 23% of participants.

The 2020 survey did not ask participants if they were satisfied with the tool they were using.

It is notable that plans change in accordance with the times. To measure the extent of changes we were hearing about anecdotally, we added two new options to the 2022 survey: Videoconferencing tools and risk management software. What we learned from the survey is that video leapt into the lead of tools supporting compliance training programs.

We also confirmed a growing interest in Risk Management tools to support the compliance training program (36% using or planning to use). In 2022, mobile slipped from the top area for future investment and was replaced by risk management software to measure the impact of training.

It's interesting that while the percentage of respondents using a compliance-specific LMS decreased, the portion who planned to use one in the future increased. The implication is that the shift to more HR and PD-integrated LMSs is not preferred. Given the level of dissatisfaction with HR and PD-integrated LMSs (17%) it's not surprising that participant interest in using compliance-specific LMSs is growing.



SAI360 EXPERT PERSPECTIVE

The 74% usage of videoconferencing tools highlights the changes driven by the coronavirus pandemic and remote/hybrid work trends. This trend is unlikely to change. Whatever platforms and devices you use to support your compliance training program, as employees continue to work off-site, their personal mobile or tablet devices are likely serving as their second screens. We proactively built SAI360's learning content with responsive design, so it's 100% functional on any tablet or mobile device as well as on traditional desktop and laptop devices. This not only ensures consistency, it provides a seamless, device-agnostic user experience.

The growing interest in risk management software is directly related to the challenges survey participants face collecting data needed to demonstrate E&C training program outcomes' impact on the organization's risk and business performance.

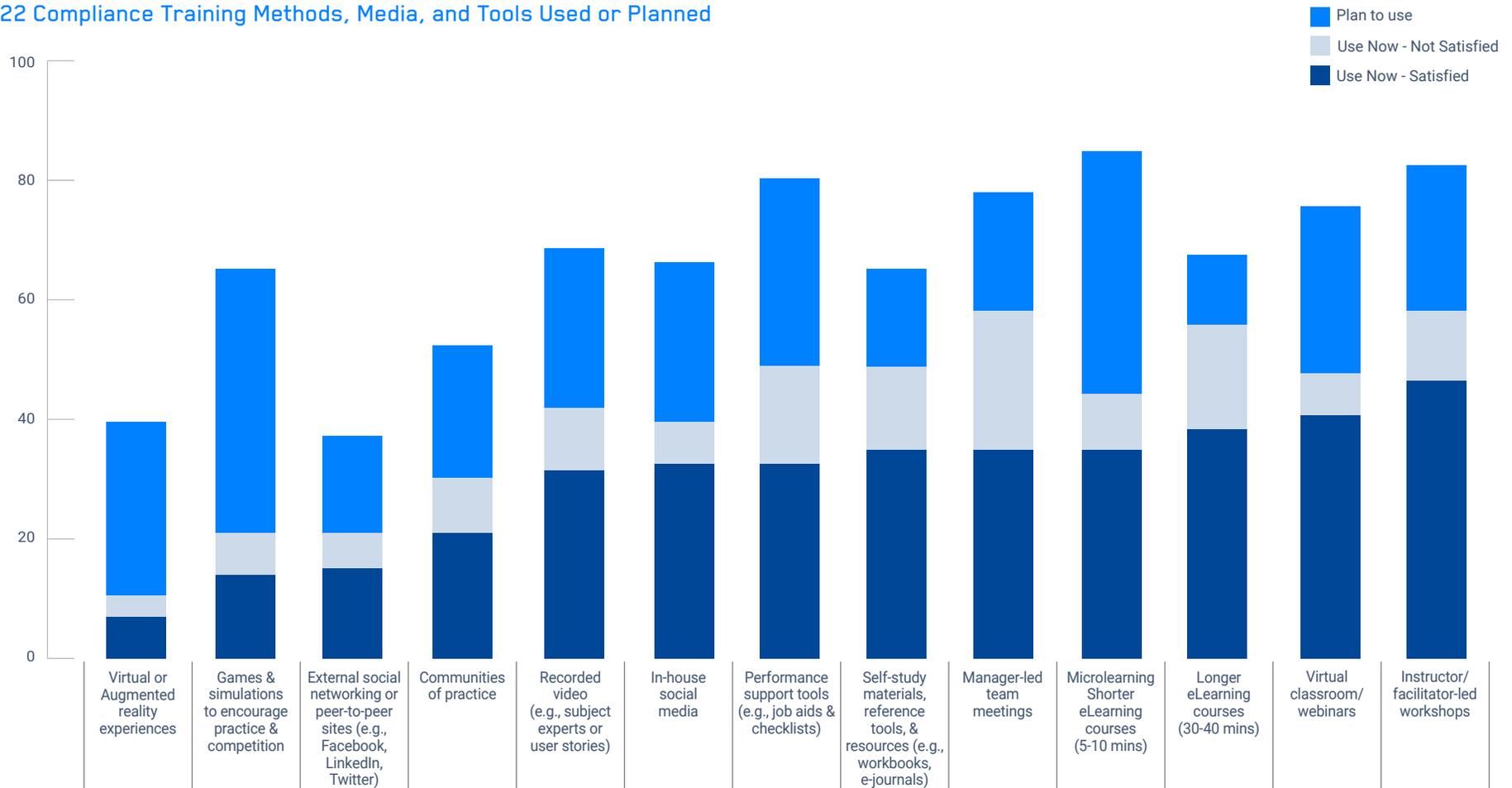
22% plan to use risk management software to evaluate training impact on risk



What: The Methods

What approaches, methods, and media, does the organization use for the compliance training program?
How satisfied are you with each?

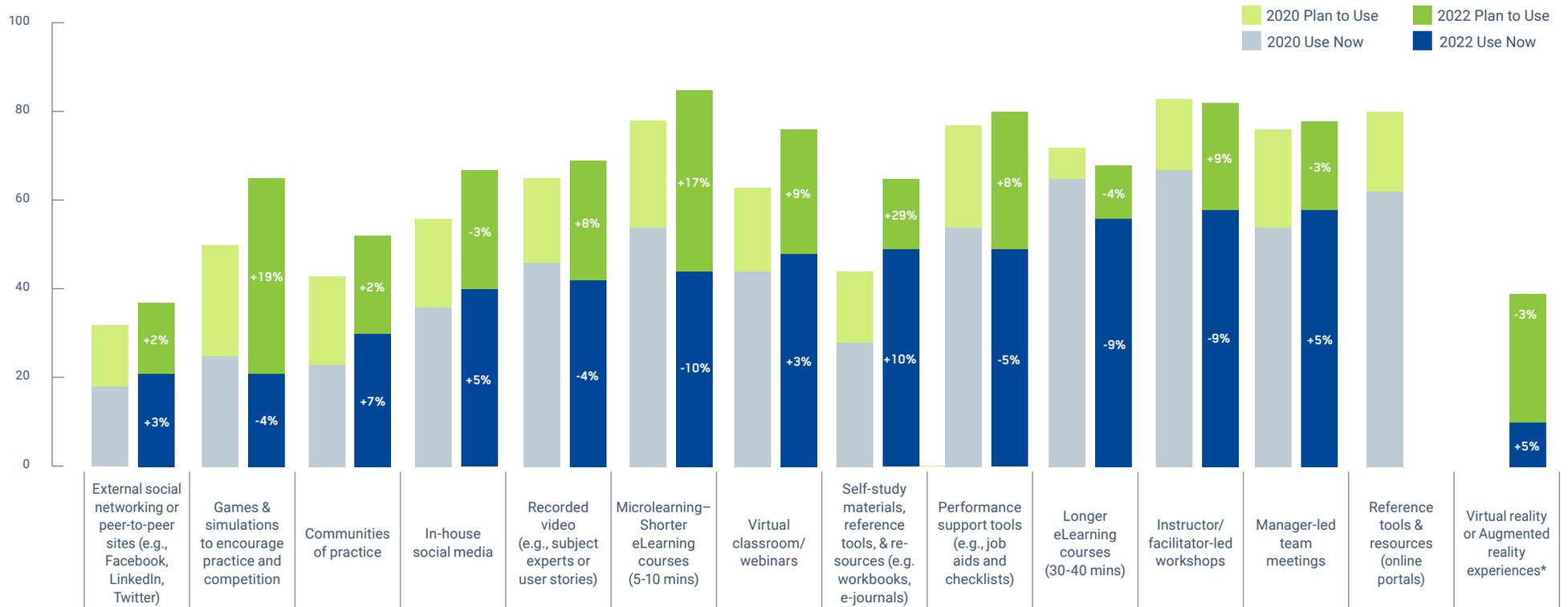
2022 Compliance Training Methods, Media, and Tools Used or Planned



Results sorted from least to greatest by Use Now - Satisfied.



Approaches, Methods, and Media in Use or Planned 2022 to 2020 Comparison



Results sorted from least to greatest by 2022 Use Now (inclusive of 2022 Satisfied and 2022 Not Satisfied).

* New option for 2022 survey



THE FACTS

Approaches, methods, and media used for the training compliance program

2022 survey respondents used an average of 5.4 tools and were not satisfied with an average of 1.5 of those tools they were using. On average, they identified three tools they planned to use in the future and 4.4 tools that were not relevant to them.

2022 MOST FREQUENTLY USED

- 59% Instructor/facilitator-led workshops
- 58% Manager-led team meetings
- 55% Longer eLearning courses (30–40 mins)

2022 MOST SATISFACTION WITH APPROACHES, METHODS, AND MEDIA USED

- 47% Instructor/facilitator-led workshops
- 41% Virtual classrooms/webinars
- 38% Longer eLearning
- 35% Microlearning

2022 NOT SATISFIED

- 23% Manager-led team meetings
- 17% Longer eLearning
- 16% Performance support tools

2022 APPROACHES, METHODS, AND MEDIA MOST PLANNED FOR THE FUTURE

- 44% Games and simulations
- 41% Microlearning – Shorter courses (5-10 mins)
- 31% Performance support tools

LEAST INTEREST FOR THE FUTURE

- 12% Longer eLearning (30-40 mins)
- 16% Self-study materials
- 16% External social networking sites

THE CHANGE

2020 respondents indicated that games and simulations, more microlearning online courses, manager-led team meetings, performance support tools, and videos were high priorities for future investment. The 2022 survey responses indicated that participants had mixed success in implementing their plans. In 2022, the percentage of respondents who used games and simulations, microlearning, performance support tools, and video all decreased by -4%, -10%, -5%, and -4%, respectively. Manager-led team meetings was the one tool that saw a slight increase of 5%. However, it's important to note that in 2022, manager-led team meetings had the highest level of dissatisfaction (23%) of any tool.

23% Not satisfied with Manager-led team meetings



CHANGES IN USAGE

The largest change in usage was for self-study materials, which increased 21% from 2020 to 2022. Small increases in usage were also seen for communities of practice (+7%), and manager-led team meetings (+5%).

For eLearning usage declined for both microlearning (-10%) and longer eLearning (-9%), as did instructor- and facilitator-led workshops (-9%).

CHANGES IN PLAN TO USE

The percentage of respondents who planned to use one of the tools listed increased for every item, except for manager-led team meetings, which dropped -3%. Survey respondents who planned to use games and simulations increased 19%, from 25% in 2020 to 44% in 2022. In contrast, reported usage of games and simulations decreased by 4%. The second largest increase was microlearnings—with an additional 17% of respondents indicating they planned to use them in the future.

SAI360 EXPERT PERSPECTIVE

At the end of 2020, participants had high aspirations for using new tools. Games and simulations are highly desirable learning tools. We believe aspiration outpaced execution because games and simulations are challenging to build, expensive to license, and difficult to generalize across a broad range of E&C topics. It's important to apply the investment to those topics that warrant attention and are conducive to a simulated or gamified experience. Importantly, before setting out to create a game or simulation, attend to what you will measure. You cannot change what you cannot measure.

We believe the rapid rise in the use of self-study materials reflects the changing office environment. Self-study tools are flexible to adapt to learner needs, and they're less costly to develop and deliver. However,

they don't provide the critical data needed to measure learning or demonstrate program effectiveness, which may be why there is such a high level of dissatisfaction with them. That said, we encourage use of these formats for reminders of key points to be accessed by employees between learning events.

Given that respondents are shifting to more frequent trainings spread over time, the dissatisfaction with longer eLearning courses, and the high interest in shorter, microlearning courses makes sense. Online courses are great for satisfying regulatory requirements, raising employee awareness, and laying a foundation of knowledge for what are risk-appropriate behaviors. Even the briefer, targeted training can be expensive and challenging to build in-house. It is crucial to partner with a vendor you can rely on to deliver new and fresh options regularly. For the best ROI, ensure they're accurately aligned to important regulatory concerns and speak to your organization's values.

Selecting the best combination of resources is a balancing act. A mix of different experiences is a promising practice that gives learners a variety of training styles to keep them engaged and interested in upholding the values and behaviors expected of them. Getting and maintaining this buy-in is necessary to accomplish the organization's goals.

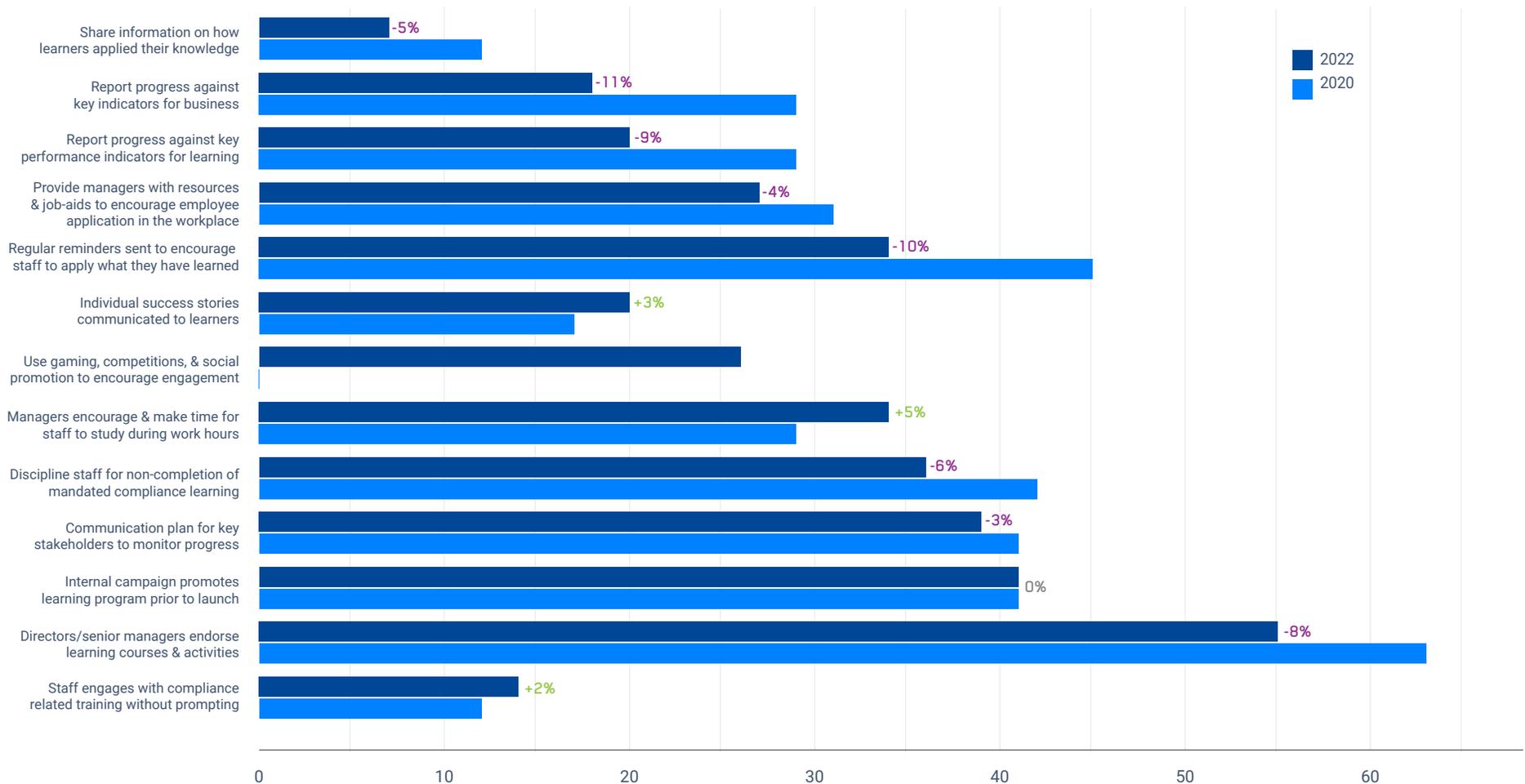
Manager-led training tacked onto regularly scheduled meetings may be less expensive to deliver but recognize that managers may lack the training on delivery that will help make this approach fruitful. Also, they have other responsibilities competing for their time, so be sure they can invest their time, and that you, as program stakeholders, are investing in their know-how so they can be successful ambassadors of your program.



How: Engaging Learners

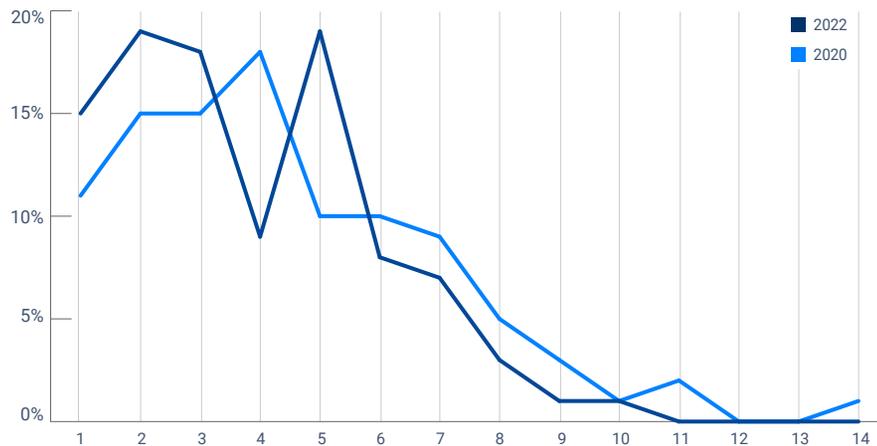
What techniques do you use to encourage learners and managers to engage with and apply online learning?

2020 to 2022 Change in Engagement Techniques Used





Number of Engagement Techniques Used in the Program: 2022 to 2020 Comparison



THE FACTS

We asked 2022 survey respondents to tell us what techniques they used to encourage learners and managers to engage with and apply online learning. In brief, here is what we learned.

The top three most common techniques used in 2022 were:

- 55%** Working with directors/senior managers to endorse learning courses and activities
- 41%** Internal marketing campaigns
- 39%** Communications plan to monitor the training program

The next three most used techniques in 2022 included:

- 36%** Disciplining staff for non-completion of mandated compliance learning
- 34%** Managers encouraging and making time for staff to train during work hours
- 20%** Providing regular reminders to encourage staff to apply what they've learned

In the 2022 survey, we introduced the new technique of gaming, competitions, and social promotion to encourage engagement, which had a respectable 26% adoption rate.

THE LEAST COMMONLY IMPLEMENTED TECHNIQUES ALL ADDRESS MEASUREMENT OF THE APPLICATION OF LEARNING

- 7%** Collecting and sharing information on how the learners have applied their knowledge to their work
- 18%** Reporting progress against key performance indicators for business
- 20%** Reporting progress against key performance indicators for learning
- 20%** Collecting individual success stories and communicating them to learners

In the survey, we also gave respondents the opportunity to tell us about any other techniques they used in their program. Nearly 10% of respondents chose to leave comments. More than two-thirds of those comments simply indicated that they did not use any techniques to encourage engagement in learning or to apply learning.



THE CHANGE

From 2020 to 2022, the average number of techniques implemented decreased from 4.4 to 3.8. Of the 12 engagement techniques presented to participants, eight were utilized less frequently in 2022 than in 2020, one was unchanged, and two increased. The percentage of respondents who felt that their staff engaged in compliance training without any prompting grew from 12% to 14%.

The two areas that saw growth from 2020 to 2022 were having managers encourage and make time for staff to train during work hours (+6%) and collecting individual success stories to communicate with other learners (+3%). Implementing internal marketing campaigns continued to be used by 41% of the respondents, but because of the decreases in the use of other techniques it moved to the second most used technique in 2022.

Working directly with senior members of the organization, directors, and managers to endorse learning activities remained the most implemented engagement technique but dropped from 63% to 55%. The greatest drops seen from 2020 to 2022 were reporting progress on business performance indicators (dropped 11% to just 18% of respondents using the technique) and sending regular reminders to staff to apply their learning (fell from 45% to 34%).

SAI360 EXPERT PERSPECTIVE

The results indicate that communication to promote awareness and transparency are considered critical for fostering engagement in learning. Getting buy-in from directors and managers to support the training program, promoting it in advance to prepare everyone, and then monitoring progress are critical best practices for effective campaigns. Investing in the right tools to communicate and manage campaign communications can significantly reduce the level of effort and time needed to implement these techniques.

The broad decline in the use of engagement techniques overall, combined with declines seen elsewhere in the survey, indicates that programs have had fewer resources in recent years to deploy robust engagement campaigns. The 2022 responses show a narrower focus on a smaller set of techniques. That said, when we looked at how the number of techniques used compared to the reported program success rates, we found a positive correlation between the number of techniques used and program effectiveness.

There appears to be a trend to reduce the use of techniques that are more passive and punitive and to increase the use of more active and rewarding approaches. Techniques to just endorse learning and to discipline staff for noncompliance both declined, while making time for learning during work hours, and giving public recognition for successes and achievements both gained. The 2% growth in engagement without prompting is also a promising sign, particularly given the increase in remote work during this timeframe.

Overall, techniques designed to encourage engagement with training are used 2.5 times more frequently than techniques used to encourage and to track learners' application of what they have learned. We believe this is due to the challenge of collecting the necessary data to measure training and program effectiveness. It's difficult to hold staff accountable for applying what they've learned if there are neither clearly defined outcomes, nor tools to reliably measure the application.

New technologies and techniques provide unique opportunities to capture the effectiveness of training and the business impact of its application. One way is to measure learners' compliance knowledge and confidence to build an organization's risk profile, and then track how that profile changes over time.



Our Methodology

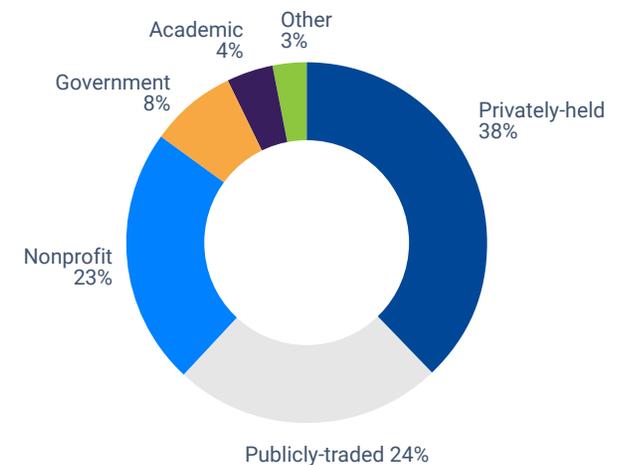
This report represents our comparison of initial research findings from our 2020 and 2022 Ethics and Compliance Benchmark Report Surveys. The 2022 survey is based on the views of 180 E&C leaders collected between September and November 2022. Over 25 industries are represented. The top 10 industry participants include healthcare, insurance, financial services, manufacturing, professional services, government, utilities, education, technology, and aerospace & defense. More than 70% of the participants are specialized in E&C, with HR, legal, and audit teams sharing insights as well. 27% of organizations represented have over 10,000 employees, 27% have 2,500 – 10,000 employees, and 45% have fewer than 2,500 employees. 33% of participants generate over \$1 billion in annual revenue, with 25% falling between \$50 million and \$999 million, and remaining participants split between those earning less than 50 million (21%) and non-profit and government organizations or who chose not to answer (22%). Most participants are headquartered in North America and Europe, with survey representation across six continents, which on average, do business on three or more continents. The report also includes editorial perspectives based on SAI360’s experience working with these industries, to interpret the given data to help understand changes that have occurred since the start of the COVID-19 pandemic and devise actionable insights that can inform the decisions you and your peers make going forward.

2022 Survey Participant Demographics

INDUSTRIES

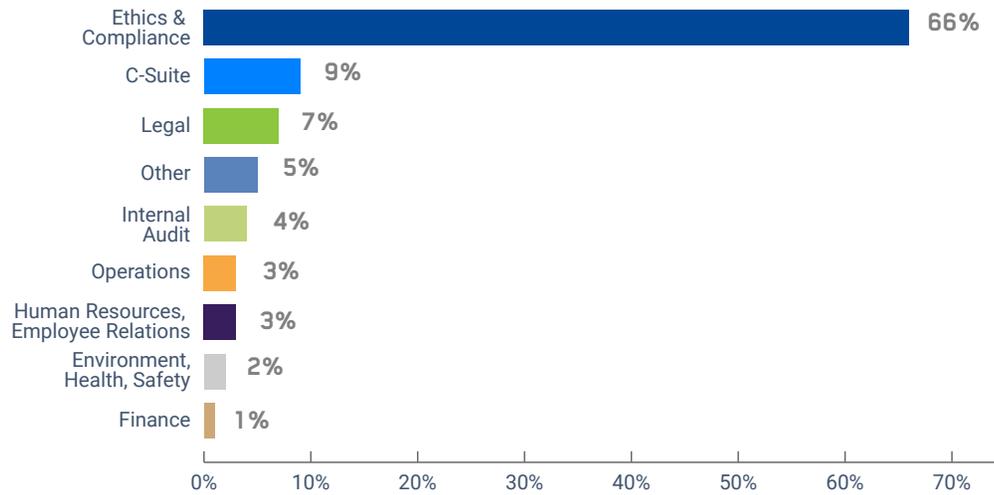
Healthcare	Education	Automotive
Insurance	Aerospace & Defense	Business Services
Financial Services	Construction	Energy
Other	Medical Devices/Products	Mining
Manufacturing	Transport & Storage	Pharmaceutical
Professional Services	Finance	Aged Care
Government	Oil & Gas	Hospitality
Technology	Retail	Manufacturing: Food & Beverages
Utilities	Services	Telecommunications

Organization Type

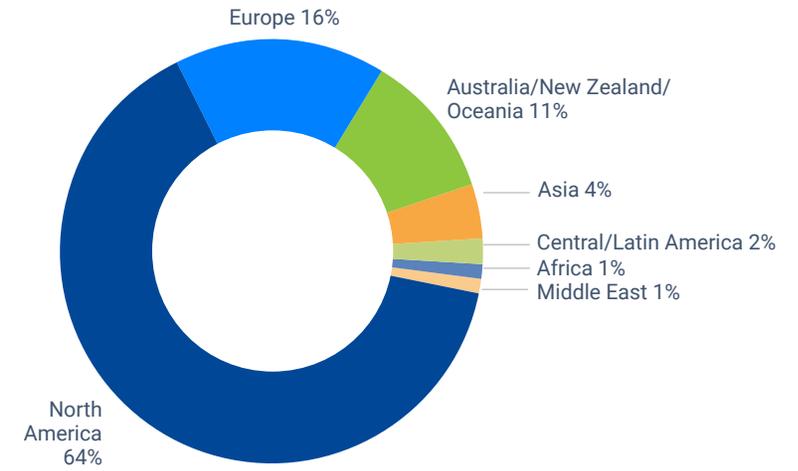




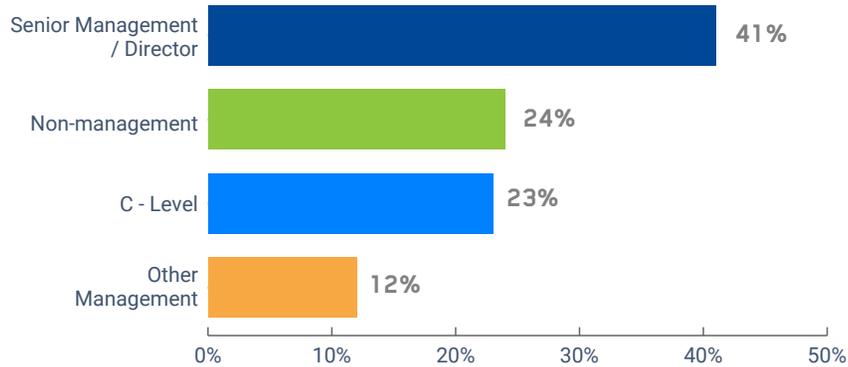
Roles



Headquarters

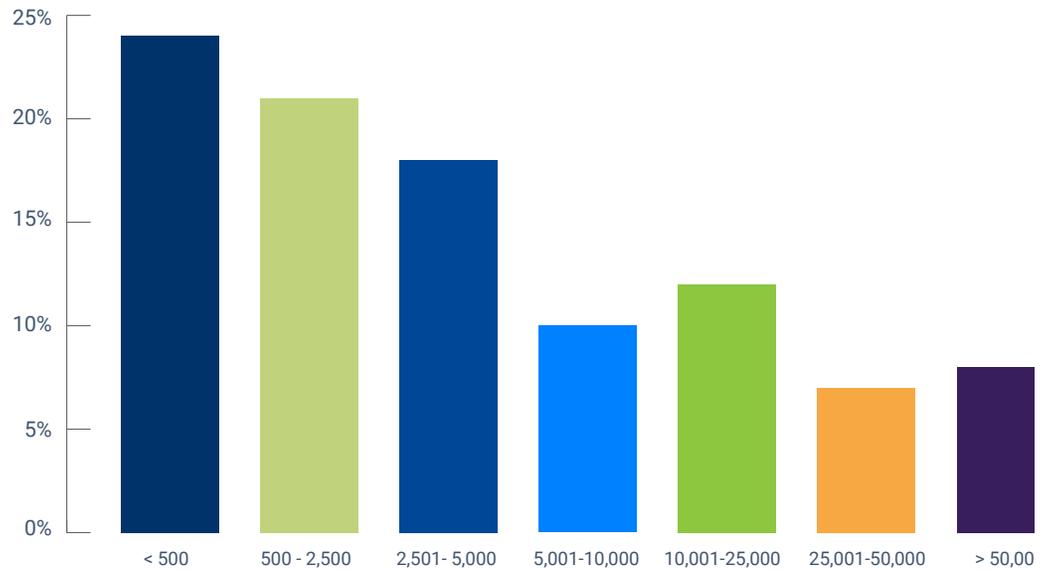


Job Level

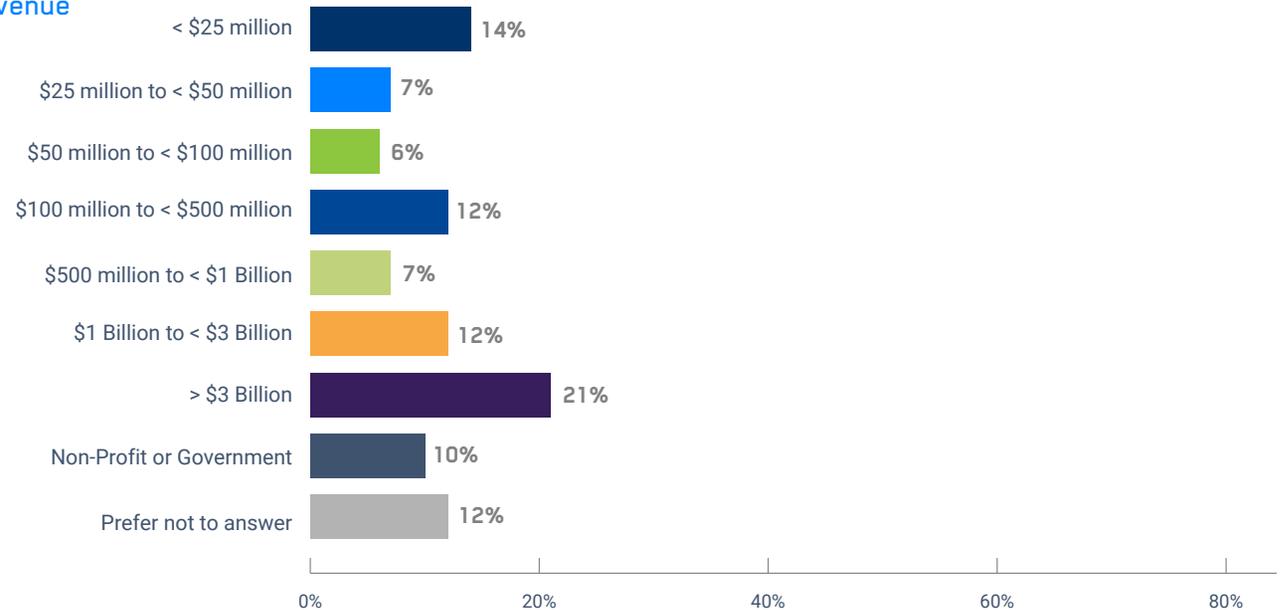




Employees



Annual Revenue





Conclusion

This year's survey and the comparison against research prior to the COVID-19 pandemic helps identify the direction programs have taken over the previous three years. We've learned that compliance professionals continue to adapt and innovate to address the growing challenges and demands placed on them. The data, combined with our SAI360 analyses, provide actionable insights that may impact your E&C training plans and ultimately shape your organization's culture in the future.

Listening closely to customers and understanding industry challenges is central to our business values. It is critical to our own efforts to identify trends and best practices to continually improve our offerings and service to the market. We hope the insights provided in the 2022 report help you plan for and improve your E&C training program and ultimately improve organizational performance. To successfully meet new challenges as they arise, we look forward to continuing the conversation and hearing from you in next year's survey.

To schedule a conversation to discuss your E&C program with a member of SAI360's team, [visit our website](#).





About SAI360

SAI360 is the leading ESG cloud provider connecting GRC, EHS, Sustainability and Learning. Our SAI360 platform streamlines workflow and drives outcomes through flexible, scalable, and configurable modules. Our integrated approach sets us apart, helping organizations thrive, create trust, understand their impact, and achieve resilience for over 25 years. SAI360 is headquartered in Chicago, with operations and customers across the globe. Discover more at sai360.com.