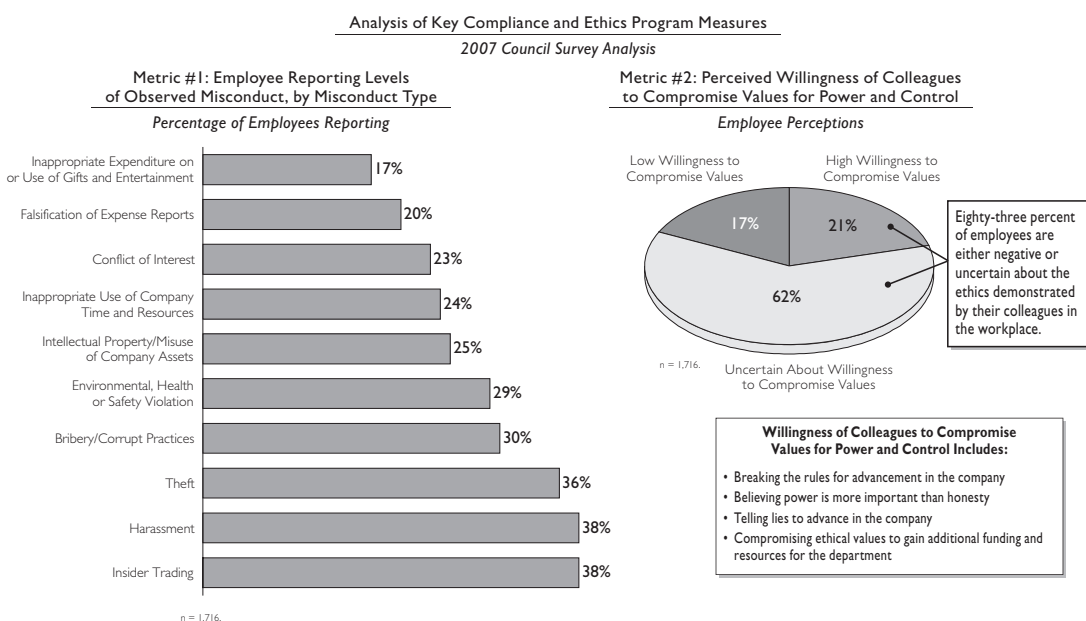


Effective Education and Communication Strategies Encourage Employees to Raise Concerns

The Challenge

Despite significant investments in compliance and ethics training in recent years, companies struggle to use education initiatives to make employees more sensitive to compliance and ethics and more willing to report misconduct. Current approaches largely fail to foster these desired proactive behaviors, as evidenced by recent Council survey analysis indicating that approximately 60% of employees who observe misconduct do not report it, masking significant costs from compliance and ethics failures.

Figure 1:
Key Compliance and Ethics Program Measures



The Root Cause

Existing learning strategies focus primarily on what employees can't do versus what they should do. Courses are primarily designed to increase knowledge of company rules and principles, not to enable employees—especially those at the managerial levels—to become compliance and ethics advocates who consistently make ethical judgments in their business decisions, raise objections, and, when necessary, report observed misconduct.

The Conventional Wisdom

Most compliance and ethics officers focus on the activities of training and education: ensuring timely rollout and high completion rates of specific courses. They are missing a significant opportunity to use training initiatives more strategically to affect the behavior that matters most: speaking up about observed misconduct.



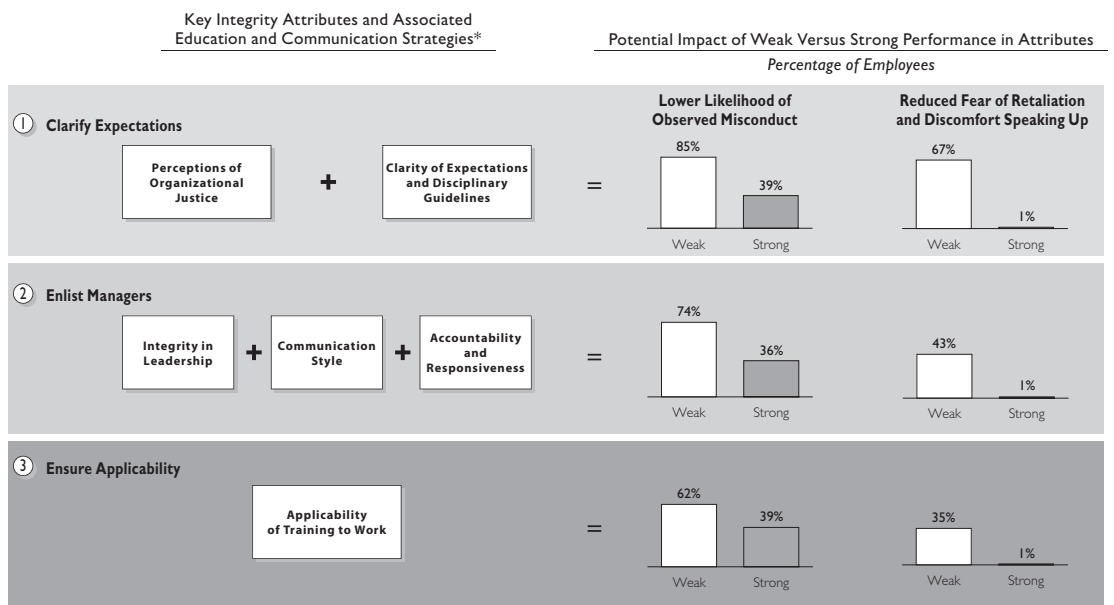
Effective Education and Communication Strategies Encourage Employees to Raise Concerns

Key Insight

Detailed statistical analysis conducted by the Council reveals that compliance executives can significantly increase the impact of their education and communication initiatives by focusing on three critical strategies: 1) clarify expectations by demonstrating organizational commitment to compliance and ethics; 2) enlist managers by helping them to model desired behaviors; and 3) ensure applicability by teaching what employees should do, not simply what they cannot do.

Case in Point: 2007 Council Analysis

2007 Council Analysis: Identifying High-Impact Education and Communication Strategies



How the Compliance and Ethics Leadership Council Is Helping Members to Better Target Education

Upcoming Events— Peer-to-Peer Networking	Tailored Support	From Our Archives
EPN Peer Group™ on Education and Communications March 2008	<i>Communication Message Generator:</i> Online collection of sample employee messages which can be customized for your own communication initiatives	<i>Communications Decision Support Center:</i> Online resource to help compliance executives create and disseminate compelling compliance and ethics messages
Education and Communication Decision Support Center March 2008	<i>Manager Self-Service Portal:</i> Online resources to assist business managers in the effective delivery of compliance and ethics initiatives	<i>Developing a Training Program:</i> A step-by-step guide to designing and implementing a compliance training curriculum
Promoting Ethical Leadership Teleconference—Walk-through of manager self-service portal 16 April 2008		

