Code of Conduct: A Best Practices Approach
Introduction

A Code of Conduct is the cornerstone of an effective ethics and compliance program and the first step towards creating an ethical corporate culture. To fully engage and inspire employees to live company values on a daily basis, integrating them into everyday business decisions, a successful Code Program should incorporate five key steps:

**Step 1:** Re-assess and/or determine company culture and values

**Step 2:** Regularly review the organization’s Code

**Step 3:** Design a creative and engaging Code program communications campaign

**Step 4:** Conduct Code training and certification on an annual basis

**Step 5:** Ensure that the Code program is continual and evolving

To help clients crystallize these five steps, SAI Global offers a comprehensive solution consisting of expertise, guidance, and tools to enable companies to integrate their Codes of Conduct throughout their organizations. SAI Global’s Advisory Services, including Code benchmarking and design; engaging communication tools; Code branding and marketing services; as well as tailored education and certification solutions, all play critical roles in bringing a Code Program to life and helping companies ensure they make good decisions and actions part of everyday business practices.
Advisory Services

With a proven track record and more than a decade of experience working with hundreds of the world’s largest organizations, our in-house staff of attorneys and consultants construct strategies and solutions to help companies assess, optimize, and improve their Codes.

**CODE BENCHMARKING**

Evaluating a Code of Conduct based on industry best practices is a valuable initial step in assessing a company’s Code. We benchmark the Code against the standards of peer companies to help ensure the Code messaging will resonate with a global audience and validate that the Code adequately covers industry-related expectations for ethical business conduct. We benchmark your Code on 72 dimensions including public availability, usability (length and readability), tone and structure, appearance and style and learning aids.

**CODE RE-WRITE AND DESIGN**

Experts recommend that organizations should review, revise and potentially redesign their Codes at least every three years, based on evolutions in their company values, best practices, culture, and global applicability, as well as on any issues or deficiencies illuminated in a Code Benchmarking exercise. SAI Global tailors each Code’s overall tone, voice, structure, and key messaging to reflect the unique needs of the organization.

**ATTITUDINAL SURVEY**

Once the Code is rewritten, redesigned, and integrated throughout the organization, conducting an attitudinal survey among employees can help measure the effectiveness of the Code Program. The survey detects and collects employees’ attitudes, perceptions, and beliefs relevant to a company’s ethics and compliance program, policies, and procedures, enabling organizations to evaluate how well the Code has been integrated within the employee and business partner base, as well as surface key issues within the overall ethics and compliance program.

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Code Communication

**Tone at the Top**
Demonstrating the CEO’s support for a company’s Code sets the stage for the training that follows and reinforces the organization’s and the CEO’s commitment to the values the Code represents. SAI Global offers custom executive messages in a variety of formats - video, simple audio or text - to improve participation rates and bring a personal message direct to employee desktops.

**Build Awareness**
Welcome employees to the company’s ethics and compliance program and introduce the Code with targeted email communications from your CEO, Compliance Officer or Ethics Officer. Include company-specific messaging and branding to improve retention, personalize the message, and reinforce a programmatic approach to building awareness and culture. And welcome staff with a custom program landing page where policies, training, links to hotline and other key compliance and ethics messages can create one central place for Code-related communications.

**Living Code**
SAI Global will transform a paper Code into an interactive electronic document that uses intuitive navigation to bring your Code to life. Readers can link to relevant Code sections, launch video segments, open policies, link to your hotline system, enter a compliance chat room, or send questions to your compliance offices via email. Take advantage of the power of the Web to completely engage employees with the values, procedures and policies that embed your values into corporate culture.

**Crack the Code**
Keep the principles of your Code of Conduct top of mind throughout a program year with our Crack the Code game-like communication tool. Crack the Code is designed with a series of scenarios and questions that are designed to reinforce and supplement your Code training. You’ll customize the questions based on your areas of interest, and, depending on their answers, learners will receive clues needed to crack the code. Whether it’s the right code or the wrong code isn’t revealed until learners sort all their answers and can demonstrate an understanding of the key principles of your Code of Conduct. Crack the Code is entertaining and interactive – a perfect way to engage learners and supplement training.
Code Certification

SAI Global’s Code Certification allows you to align your Code of Conduct training with other aspects of your overall Code solution. Our automated Certification allows you to manage Certification just like other assignments, customize your Certification for simple attestation or more complex branched questions, add images, links or multiple languages, and prepare management reports in a secure environment.

Code Education

Choose to display your Code course in either video or text and graphics format and configure it to target specific job roles, risk areas or jurisdictional requirements. Configure a specific Supplier Code of Conduct or a general Code, depending on your business requirements. Multiple translations are already available.

Best Practices Code of Conduct

Select from a library of more than ninety segments. If bandwidth is a concern, deploy Best Practices segments in text & graphics format, with or without audio. Request a catalog of all library segments from your SAI Global Sales or Services representative.

Custom Code of Conduct

Some organizations prefer a custom solution to address a unique culture or set of business situations. Working together with our editorial and instructional design experts, we will either revise existing segments from our library or create new ones to best communicate the goals and values of the organization.
Code Branding and Internal Marketing

Bringing the Code to life throughout the organization requires effective branding so that employees recognize it as truly theirs. SAI Global offers agency-caliber branding assistance from tagline development to art execution in visual and online formats. We ensure that all supplemental materials are consistent and can recommend and source a suite of materials to help the organization internally market your Code.

A Partner That Understands the Breadth of Your Requirements

SAI Global’s integrated suite of products and services is built to deliver a solution that’s right for your own unique organization, taking into account your industry, people, culture and geographic profile.

Our solutions are supported by advisory and consulting services that enable you to think through the implications of your strategy and implementation plans and align them with your chosen solutions.

We are the only business partner that provides one auditable view of compliance risk management that includes training, policy management, incident management, controls, procedures, third party due diligence, and reporting.

SAI Global’s Products & Services Help Build Compliance Effectiveness

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<td>- &gt;5000 library translations</td>
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### Monitoring And Measuring: Dashboard Reporting

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SAI Global’s Compliance Management Suite of Products and Services

In addition to every aspect of Code of Conduct from review and development to training, awareness, certification, evaluation and benchmarking, SAI Global’s GRC solutions help to establish effective compliance, including:

- The industry’s most complete and dynamic library of online compliance and ethics training, education and awareness supplemented with materials designed to empower manager-led conversations and remote or offline learners
- The SAI Global Learning and Communication Platform specifically designed for compliance and ethics program administration
- GRC Dashboard for on-demand visualization of your data (pie charts, bar charts, trend lines, and more)
- Compliance 360® Policy Management: Automate full life-cycle management of policies and procedures
- Compliance 360 Compliance Workspace: Proactive obligations monitoring and alerts, coupled with compliance assessments to identify and remediate gaps
- Compliance 360 Incident (Case) Management
- Compliance 360 Risk Management: Identify, prioritize and manage risk areas across the enterprise. Automate the assessment of risks and testing of controls using a highly customizable scoring methodology.
- Compliance 360 Third Party Risk Management
- Compliance 360 Virtual Evidence Room®: Dynamically link all policies, surveys, assessments, attestations, incidents, audits, contracts, projects and tasks directly to laws, regulations, standards and guidelines
- Workflow Management: Automate processes, reminders, alerts and escalations
- Phone and web-based ListenUp™ Ethics Reporting
- Tools like the Gifts & Entertainment Register and Conflicts of Interest Disclosure to enable effective management and measurement of your policies and procedures
- Automated surveys, questionnaires and risk assessments
- Collaborative consulting by our internal team of attorneys and consultants and Insight into common industry-specific practices with a leadership point of view
About SAI Global Compliance

SAI Global Compliance is the world leader in providing organizations with a wide range of governance, risk and compliance (GRC) products, services and technology that help build organizational integrity and effectively manage compliance risk. Our global staff includes professionals and subject matter specialists in advisory services; program design, management and implementation; instructional design; and software development. Our focus is to help establish and enhance compliance effectiveness.

With well over a thousand organizations as clients and tens of millions of satisfied users around the world, we work with clients to integrate a flexible suite of solutions and services specifically tailored for a business and industry. Our products include the world’s largest library of compliance and ethics learning, Code of Conduct advisory services and training, and the Compliance 360® GRC Software Suite to manage compliance, policy, incident and audit management. Our Cintellate™ EH&S Software addresses key issues in operational environmental health and safety management. For more information, please call us at the full service location nearest you or visit www.saiglobal.com/compliance