

CGOC 2006 SUMMIT

From Retention to Preservation: **Soup to Nuts**

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P|S|S
SYSTEMS

Getting People To Play Along*

Addressing Change Issues Generated
From Implementing New Records
Management Programs

*connectedthinking

James Santangelo

Records Management Specialist

PRICEWATERHOUSECOOPERS 

Seth Schiffman

Change Specialist

Biography

James Santangelo

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James is director in IDRS with more than 15 years of diversified systems technology experience and specializes in the assessment, recommendation, evaluation and implementation of technology solutions for record management programs. These technology solutions include email and document archiving, content management, file systems and backup, among others. James focuses on the design and development of content management systems – identifying business, functional and technology requirements. He has project management proficiency derived from his years of managing successful development and delivery of solutions to meet client needs.

Clients James has provided record management services for include American Express, Blue Cross Blue Shield of Tennessee, CarrAmerica, CMS Energy and US Bancorp. He also has provided tax department content management solutions for companies such as Aetna, AT&T, Eli Lilly, General Electric, Kodak, Schlumberger and Shell Oil. He has developed workflow and knowledge sharing solutions for IBM, Lucent, McKinsey and Viacom. James is recognized as an expert in content management and has been published on KMMagazine.com and the Americas Insurance Digest.

Biography

Seth Schiffman

Manager, Change & Program Effectiveness Practice,
PricewaterhouseCoopers LLP

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Seth has deep experience in guiding large organizations through complex change, including organizational restructuring, employee adoption of new processes and technology, and design and implementation of new performance management approaches that align employee behavior with organizational goals.

Through his management consulting and corporate experience, Seth has led change management work streams for Health Care, Financial Services, Consumer & Retail Products, and Insurance organizations. Specific competencies include employee communication, job design and competency modeling, leadership development, executive communication and employee/organizational survey research.

Prior to joining PricewaterhouseCoopers, Seth served as Organizational Effectiveness & Communication Leader for GE Asset Management Inc., the institutional investment management arm of General Electric. Prior working at GE, Seth spent several years as a Senior Consultant in the Health Care/Life Sciences practice of Cap Gemini Ernst & Young, and as an analyst with in the Health Care practice of research firm Harris Interactive, best known for its Harris Poll.

Seth holds an MBA with a focus on organizational behavior from the Boston University School of Management and BA from Brandeis University. He is a member of the Society for Human Resource Management (SHRM) and the American Society of Training & Development (ASTD).

Introduction

- James Santangelo – Records Management Specialist
- Seth Schiffman – Change Specialist
- PricewaterhouseCoopers Information & Document Retention Service (IDRS) – Providing a full range of records management program services for compliance and litigation
- Focus on change techniques to facilitate records management program improvements

Agenda

1. Typical Issues Found In RM Programs
2. High Level Approach To Addressing Issues
3. Example Issue and Solution & Process Change
4. Change Management for Record Retention Policy Changes/Implementations
5. A Planned Approach to Managing Change
6. Seven Essential Change Management Activities

Typical Issues Found In RM Programs

- Companies retain more than required
- Companies cannot locate or produce records - lack of organization and indexing
- Outdated record retention policies and procedures
- Inconsistent policies and procedures from mergers and acquisitions
- Electronic records are not fully addressed (e.g., email, IM, voicemail, backups, desktop files, databases)
- Lack of compliance with policies and procedures

High Level Approach To Addressing Issues

- **Phase 1: Assessment and Strategy Development**
 - Project management planning
 - Diagnostic review of record retention policy and program
 - Assess business processes and data requirements
 - Define program enhancements
 - Develop strategy: project plan and business case
- **Phase 2: Program Development**
 - Develop program components including policy, retention schedule, procedures (legal hold, audit, etc.), and functional organization
 - Evaluate, select and configure technology solutions
 - Define change management program
- **Phase 3: Program Implementation and Maintenance**
 - Implement program rollout (POC), project management
 - Initiate training, communications, leadership
 - Measure and sustain results

Example Program Issue and Solution

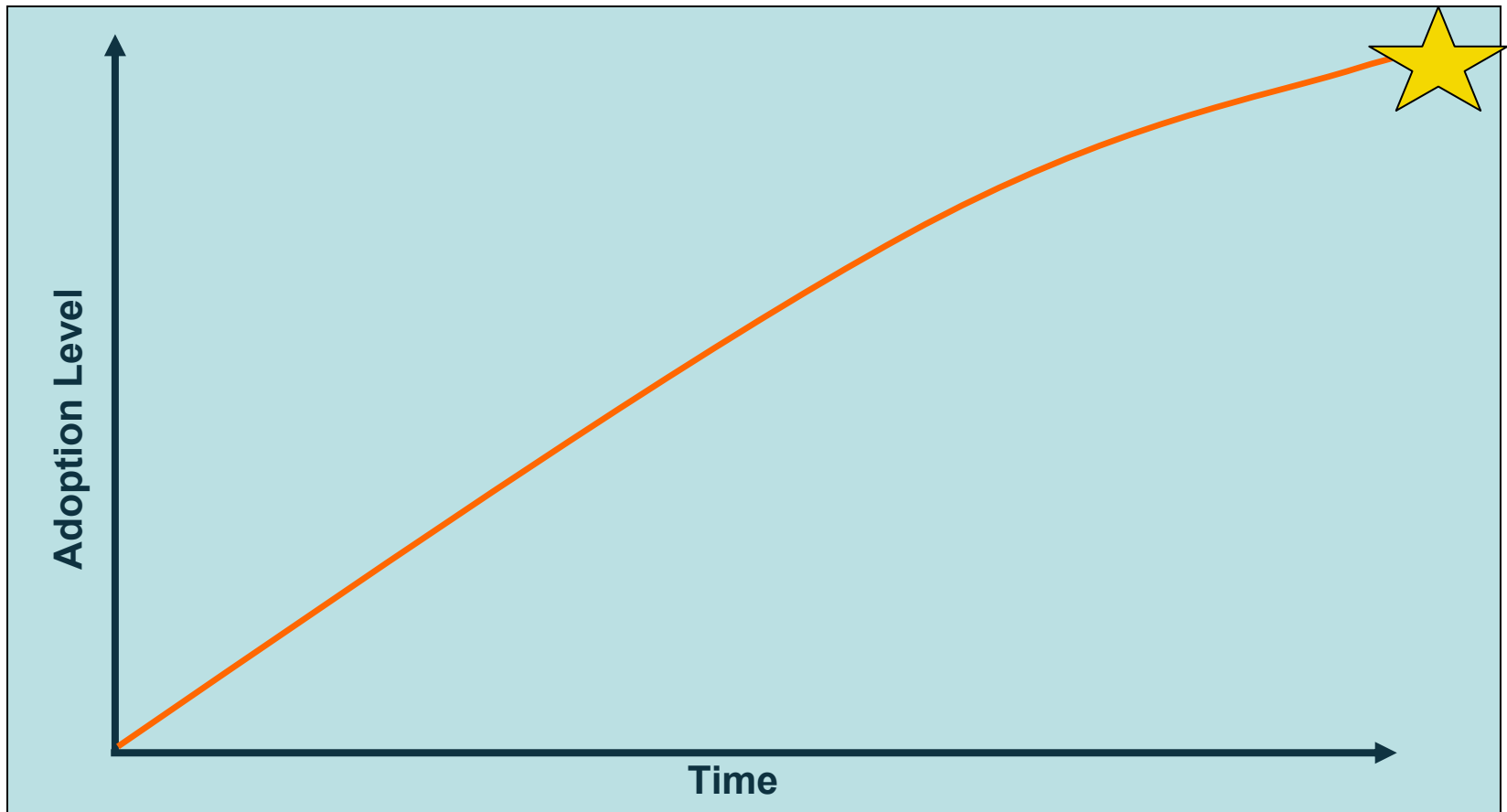
- Issue: paper based HR processes causing retrieveability and storage issues
- Cost Driver: reduce storage costs, automate retention management, hold and production costs
- Possible Solution: Content management - move from paper to electronic records

Example Process Change

- **Old User Processes:** receive paper, paper faxes, print from HRMS - paper file
- **New User Processes:** forms electronically transferred, email received, file electronically
- **New processes create change issues** - users take the path of least resistance

Change Management for Record Retention Policy Changes/Implementations

Every Behavioral Change in the Workplace Involves Some Form of “Adoption Curve”



A Planned Approach to Managing Change is Vital for Successful Policy Rollout and Compliance

■ Typical Barriers

- Executive sponsorship not sufficiently visible and not cascaded downward
- Specific expectations insufficiently communicated
- Inadequate training provided
- Policies perceived as being “dictated” to the business unit (no ownership)
- Document retention is perceived as being “non-core” to the business or peoples’ jobs (doesn’t pay the bills)
- Compliance not enforced
- Organization to support or monitor is inadequately positioned or aligned

■ Critical Success Factors

- Leadership must make it a priority and demonstrate its importance
- The business case for change is well-crafted and effectively communicated
 - Needs to link to: “why do I need to really care about this?” line of thinking
- “Middle Management” engaged and bought in
- Expectations are well communicated
- People know how to comply
- Compliance is measured
- Compliance is enforced
- The Compliance Organization is Ready

7 Essential Change Management Activities

1. Gain Executive Sponsorship

2. ID Stakeholders

3. ID Change Agents

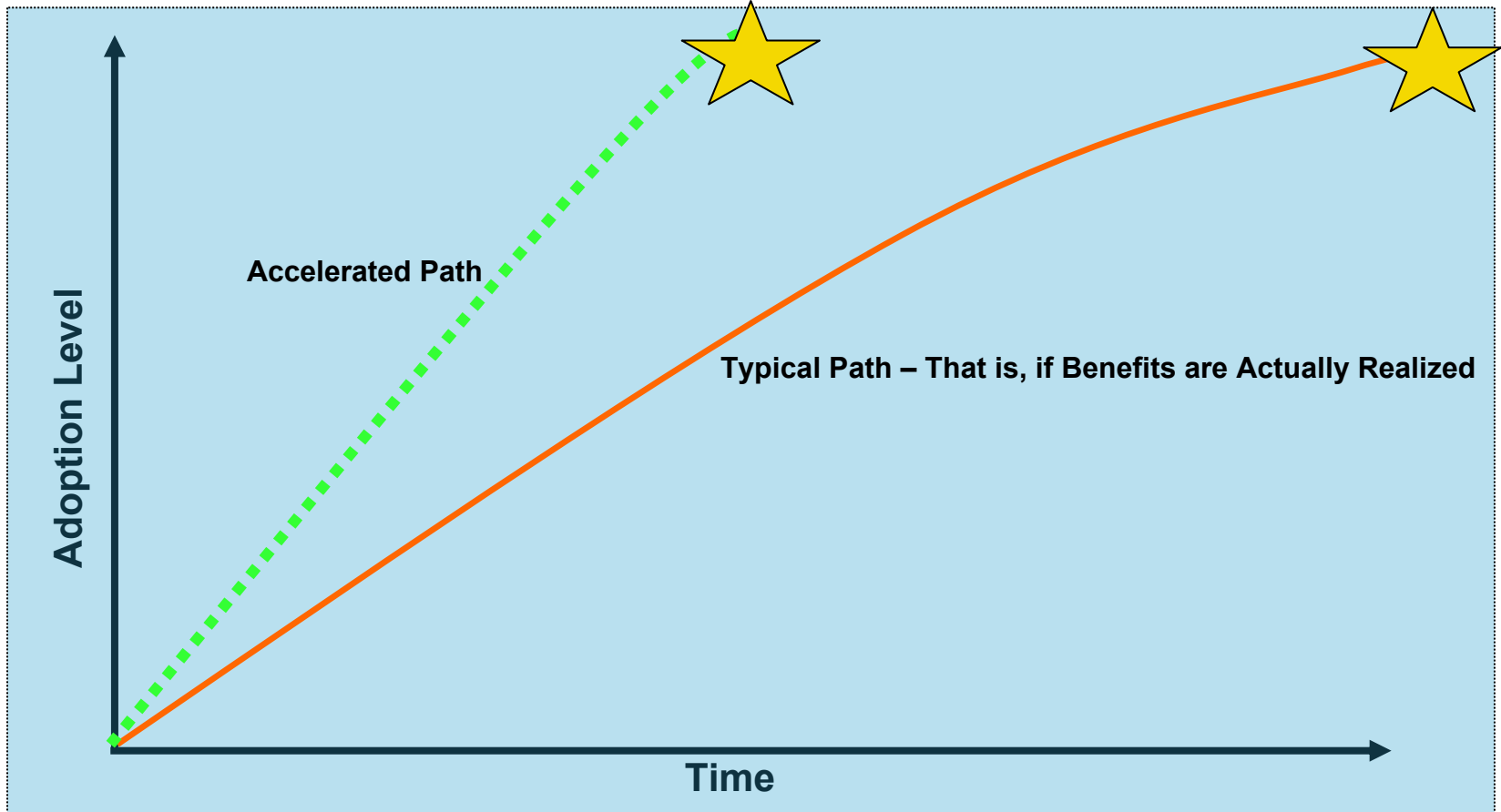
4. Develop Communication Plan

5. Develop & Deploy Training

6. Align Organization

7. Establish & Enforce Metrics

These Steps Accelerate the Path to Adoption; Help Ensure Adoption



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- ID the leaders and power brokers throughout the business
- Create a cross-functional leadership steering committee to work with Legal, Compliance, IT in drafting, finalizing policy
- Let them feel true ownership
- Recruit leaders to set the tone, communicate, instill a sense of urgency
- Enlist them to help you make the business case real for people
- Rely on their knowledge of their function or business unit to help you understand barriers and enablers

Sample PwC Tools for this Activity: Group Facilitation Protocols; Leader Responsibilities Guide

1. Gain Executive Sponsorship

2. ID Stakeholders

3. ID Change Agents

4. Develop Communication Plan

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7. Establish & Enforce Metrics

- A “stakeholder” is any individual or group within a population that can influence, implement, is impacted by, or is the target of change
- Determine what each stakeholder group cares about
- Assess the best way to communicate with and influence
- Evaluate the level of training required and best methods
- Weigh and document the degree to which they affect, or are affected by change
- Capture or log these factors in a stakeholder “map”

Sample PwC Tools for this Activity: Stakeholder Map, Training Needs Assessment, Change Readiness Assessment

1. Gain Executive Sponsorship

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- Change agents are stakeholders within the target employee groups who can influence their colleagues
- Not always the most senior in an organizational hierarchy, but recognized as high potential, high performers by their managers and respected by peers
- Recruit to deliver the “elevator” speech, reinforce business case for change, become early adopters at the local level
- Can help measure adoption levels within their respective work area

Sample PwC Tools for this Activity: Change Agent Training, Change Agent Toolkit

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- Communication around any initiative requiring employee behavior change should be carefully planned
- Identify a central theme for the program that helps integrate the policy changes into the larger business goals
- Determine who will deliver what messages (e.g., executive sponsor, business unit leaders, Chief Compliance Officer, direct supervisors)
- Select the right channels or media for communications based on each stakeholder group – don't assume "one size fits all"
- Plan timing for communications
- Develop feedback channel

Sample PwC Tools for this Activity: Communication Channel Matrix, Communication Strategy, Communication Calendar & Tactical Plan

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- Different stakeholder groups may require varying levels of training based on:
 - Previous experience with compliance around document retention
 - Technology being deployed
 - Level of manual intervention required for compliance
 - General level of sophistication of learner group
 - Level of compliance required by a particular group (may vary)
 - Appropriateness of certain forms of training delivery vs. others

Sample PwC Tools for this Activity: Training Needs Assessment, Training Plan

1. Gain Executive Sponsorship

2. ID Stakeholders

3. ID Change Agents

4. Develop Communication Plan

5. Develop & Deploy Training

6. Align Organization

7. Establish & Enforce Metrics

- The Compliance Organization must be aligned to implement the policy, ensure ongoing success
- Key Roles of the Compliance Organization Include:
 - Program implementation oversight
 - Communication
 - Training administration
 - Development of knowledge objects and support tools
 - Ongoing support and responsiveness to employee issues
 - Issues management
 - Compliance measurement and reporting

Sample PwC Tools for this Activity: Compliance Organizational Design Methodology, Competency and Job Modeling Tools

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7. Establish & Enforce Metrics

- Compliance metrics and thresholds should be established and well-communicated to all stakeholders
- Compliance targets should be realistic and measurable
- Infrastructure and process should be established to enable measurement and reporting
- A regular process, e.g., audit report or dashboard should be established
- Link compliance to overall performance management system for business units, individuals – make compliance core to peoples' jobs and how they are personally measured (*de facto*, how they are compensated)

Sample PwC Tools for this Activity: Leading Practices in Compliance Metrics, Measurement Process Techniques