Transformation! The 5 Success Strategies of Compliance Changemakers

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Compliance: The Hero’s Journey

What makes change hard?
Agenda

• 5 Change Management Success Factors
• Case Study: Designing & Delivering a Change Management Plan
• Questions & Discussion

5 Elements of Successful CHANGE MANAGEMENT*

1. Build COALITION
2. Create URGENCY
3. COMMUNICATE VISION
4. ENLIST & EMPOWER
5. Sustain CHANGE

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*Adapted from Dr. John Kotter
1. Establish a Sense of **URGENCY**

Why change?  
What will this do?  
How can this be accomplished?

- Diagnose the Need  
- Quantify the Benefits  
- Evaluate the Capability

*POWERFUL SPONSORSHIP IS CRITICAL FOR MAJOR CHANGE*
2. Build the Guiding COALITION

- Conduct stakeholder analysis
- Bring the team together
Lewin’s Change Theory

- Organizational culture is in a state of equilibrium.
- There will always be:
  - Driving forces = make change attractive to people
  - Restraining forces = work to keep things as they are
- To bring about successful change, you must either:
  - Strengthen the driving forces, or
  - Weaken the restraining forces.

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Identify Restraining and Driving FORCES*

*Lewin’s Force Field Analysis

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3. Communicate VISION

4. ENLIST and EMPOWER
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• Enlist Employees
  o Find champions for the change
  o Measure how the change is taking hold
  o What is the impact? Unintended consequences?

• Empower Employees
  o Listen for obstacles and difficulties
  o Examine why it’s happening, and help remove obstacles

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Manage the CHANGE CURVE*

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*Adapted from Kubler-Ross
5. SUSTAIN the Change

- Stay curious
  - Gather feedback
  - Facilitate an open dialogue

- Communicate and respond
  - Measure against pre-established performance goals
  - Celebrate and communicate progress – and major issues
  - Tweak and scale

- Produce more change

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- 20 year Legal/Compliance Career
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How It Can Go Wrong...

- Sense of Urgency
- Guiding Coalition
- Communicate a Vision
- Empower & Enlist
- Sustain Change
Key Learnings

- Enlist an executive level leader who will provide active support
- Take the time to plan - build the change management actions into the overall project plan
- Communicate early and often
- Establish success metrics **before** the implementation
- Ask for what you want from your guiding coalition so they know what to do and will commit to doing it

The Beauty of MANAGED CHANGE

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Let’s Share and Discuss!

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