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PROMOTING WORKFORCE AND ORGANIZATIONAL LEARNING: The SEC University

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Corporate University Design and Launch Plan



Pairing of best practice tools, methods and experience allows Accenture Learning to address a full range of corporate university implementations

Objectives	Sample Deliverables
<p>Task 1: Corporate University Design. Design all analysis necessary to develop an effective and efficient design for a Corporate University.</p>	<ul style="list-style-type: none"> • Corporate University Conceptual Design/Requirements • Organization Design and Workforce Development Plan • Learning Infrastructure Requirements • Knowledge Management Strategy • Best Practices from similar Corporate Universities
<p>Task 2: Curriculum Analysis and Design. Design an overall instructional curriculum sourcing strategy and technology roadmap for a Corporate University.</p>	<ul style="list-style-type: none"> • Learning Environment Analysis / Training Needs Assessment • “To Be” Training Curriculum • Competency Model • Stakeholder Analysis • Sourcing Strategy
<p>Task 3: Implementation of Corporate University and Change Management Support. Provide a range of activities as required to support successful Corporate University development, implementation, and institutionalization.</p>	<ul style="list-style-type: none"> • Implementation Strategy / Road Map • Impact Analysis • Operational Processes • Work plans and Status Reports • Communication Plan • Facilitation Support



The implementation of a corporate university is coming to the forefront of the CEO's agenda because it is a tool to drive a common vision through the organization.

The corporate university is a strategic lever for change which builds both individual and organizational competencies leading to increases in the performance of the organization. Five common drivers dominate the trend towards corporate education:

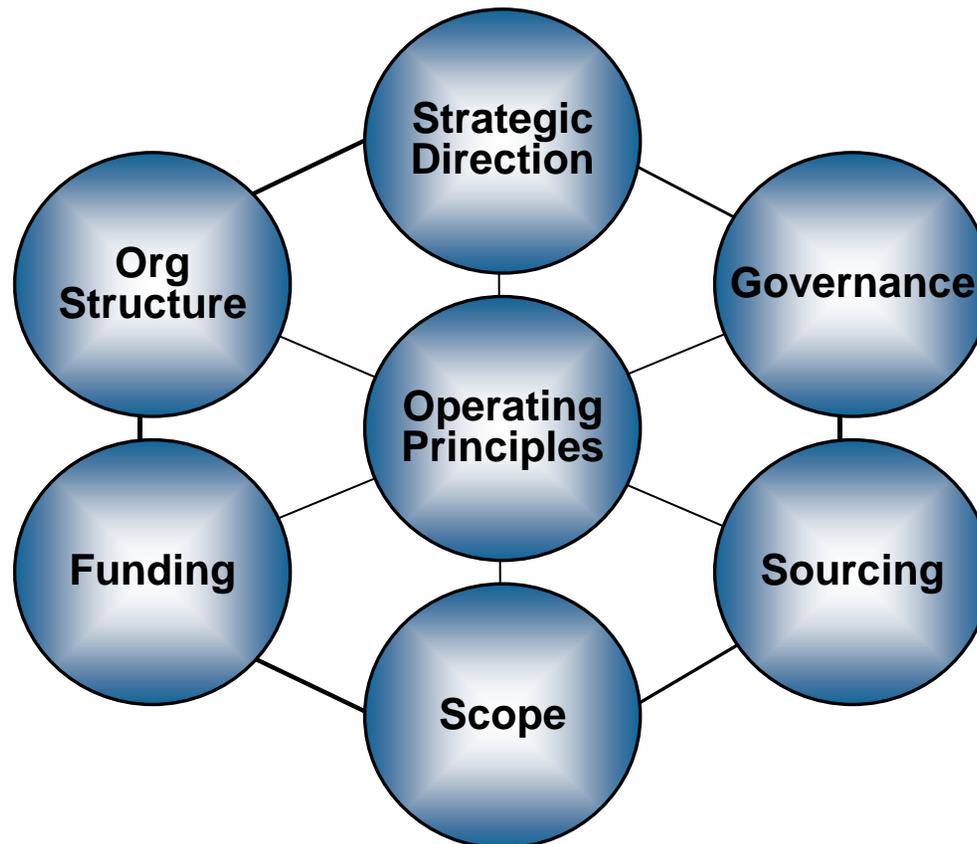
- Address the obsolescence of knowledge
- Align learning to the strategic goals of the organization
- Become the employer of choice in their industry
- Increase bench strength of the organization's leaders
- Create one brand for all organizational education

Organizations with corporate universities see a return on their investment in:

- Reduced time to competency
- Reduced retention in high turn-over jobs
- Improvements in alignment of training to the organization's strategic goals
- New insights in their businesses and organizations
- Become a High Performance Learning Organization



Best in class organizations run their learning organization like a business, ensuring all components are complementary and support achievement of the organization's strategic objectives.

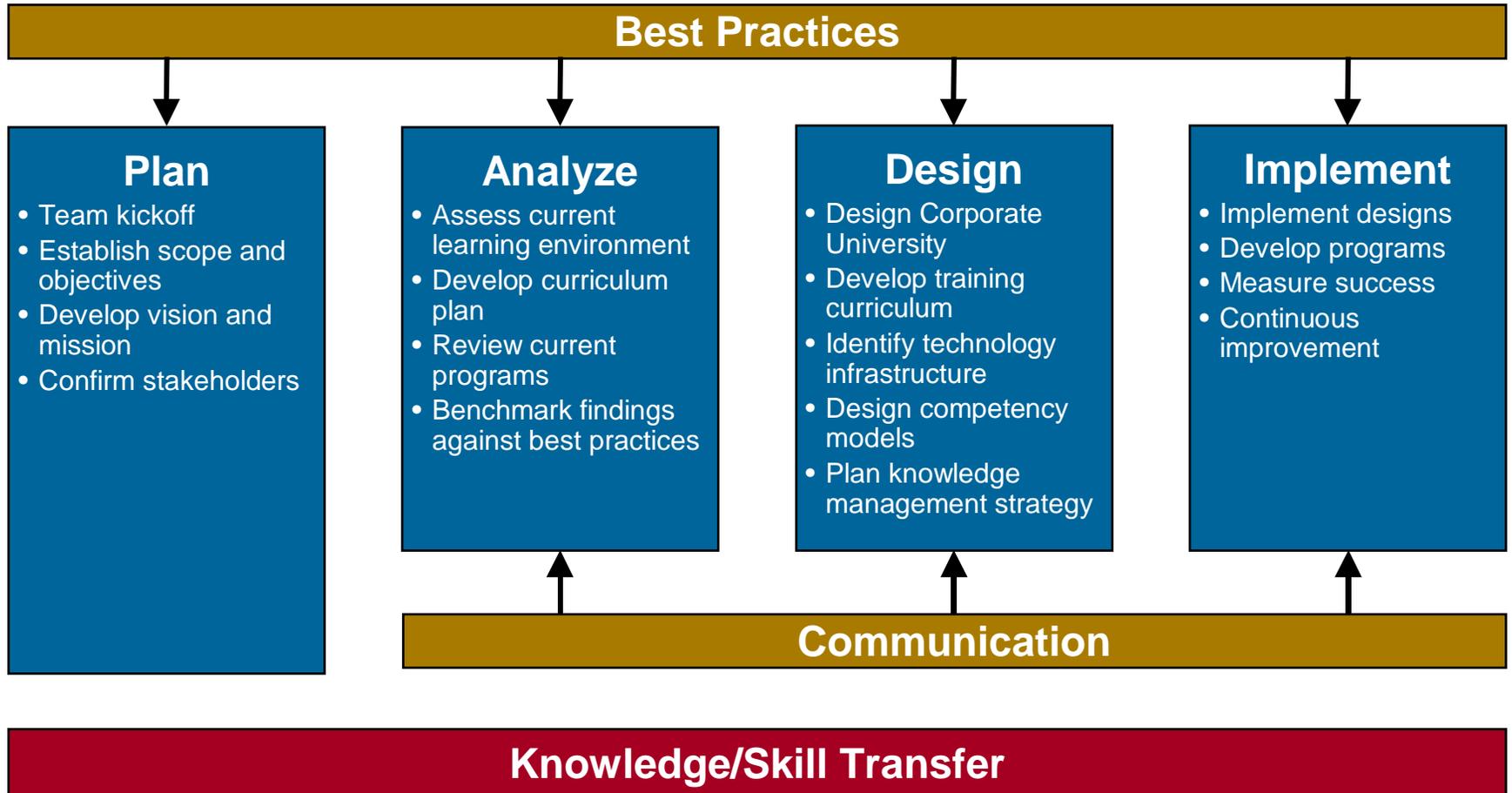




The following sample questions influence the design of the corporate university:

- What is the strategic vision/mission of the corporate university? What are its operating principles? How are these principles aligned with the organization's overall business objectives?
- What is the scope of the university's programs/operations?
- Who are the customers (target audience)? What are the customer's business needs?
- Who are the sponsors? Do the business leaders depend on the corporate university for achievement of their business objectives?
- Who are the decision makers for employee engagement in the corporate university's programs (employees, supervisors, corporate university director)?
- To what success metrics will the corporate university be held accountable?
- How centralized is the workforce development function within the corporate university model? Who else in the organization addresses workforce development?
- How will the corporate university be funded?
- What role, if any, do outsourced partners have in the operations of the corporate university?
- What are the capabilities needed to support the strategic vision (skills, competencies)?

Our Approach – Start Smart, Scale Fast



A Rapid, Strategic Start



To provide a quick start and rapid results, we are ready to proceed with a series of project setup and orientation activities.

- Begin with “quick wins”, which may include:
 - Track and report existing success
 - Form a governing board to “lead the charge”
 - Commit to addressing “areas of pain”
 - Communicate the vision and mission to establish a brand and create demand for programs
 - Promote corporate culture and loyalty through corporate orientation programs
- Clarify expectations and success factors with executive sponsors as necessary
- Identify core team members and commitments; establish project roles and expectations
- Refine scope and objectives to develop detailed workplan, project schedule and resource requirements
- Schedule kick-off and visioning sessions in advance (get ahead of logistics, scheduling challenges, etc.)
- Review existing training, performance support and curriculum materials



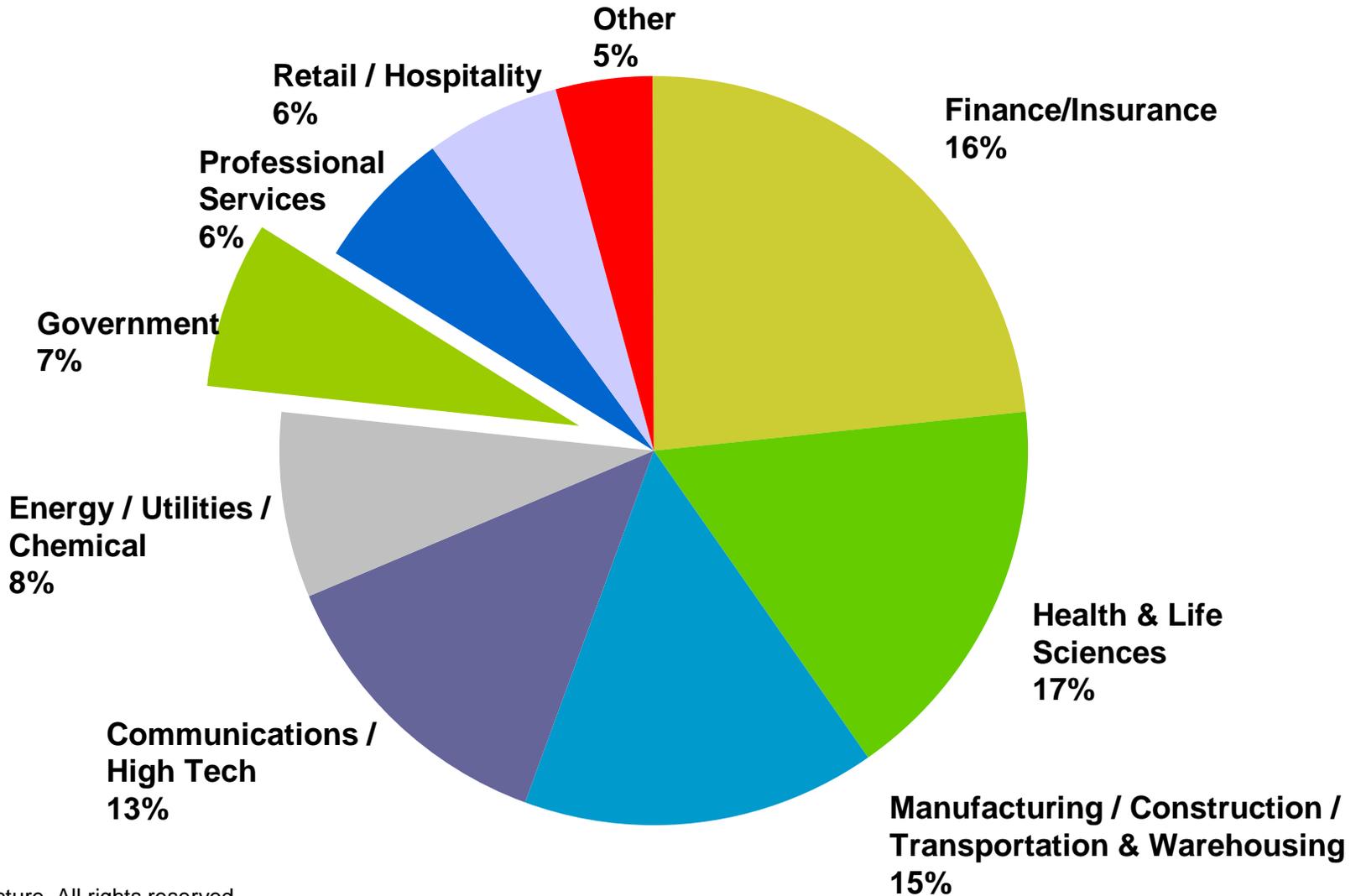
Methodology

- **Surveyed 285 organizations**
- **Online study active over 9 week period**

Demographics

- **All respondents**
 - **24% of respondents are Fortune 500 companies**
 - **Avg. organization size (full-time employees) is 23,000**
 - **Avg. annual revenue is \$7.6 billion**
- **Government respondents**
 - **20 agencies: 15 national level, 4 municipal level, 1 contractor**
 - **18 located in U.S.**
 - **Median organization size (full-time employees) is 29,400**
 - **Median number of learning program participants (2003) is 6,800**
 - **Learning organization's median annual operating budget is \$7.1 million**

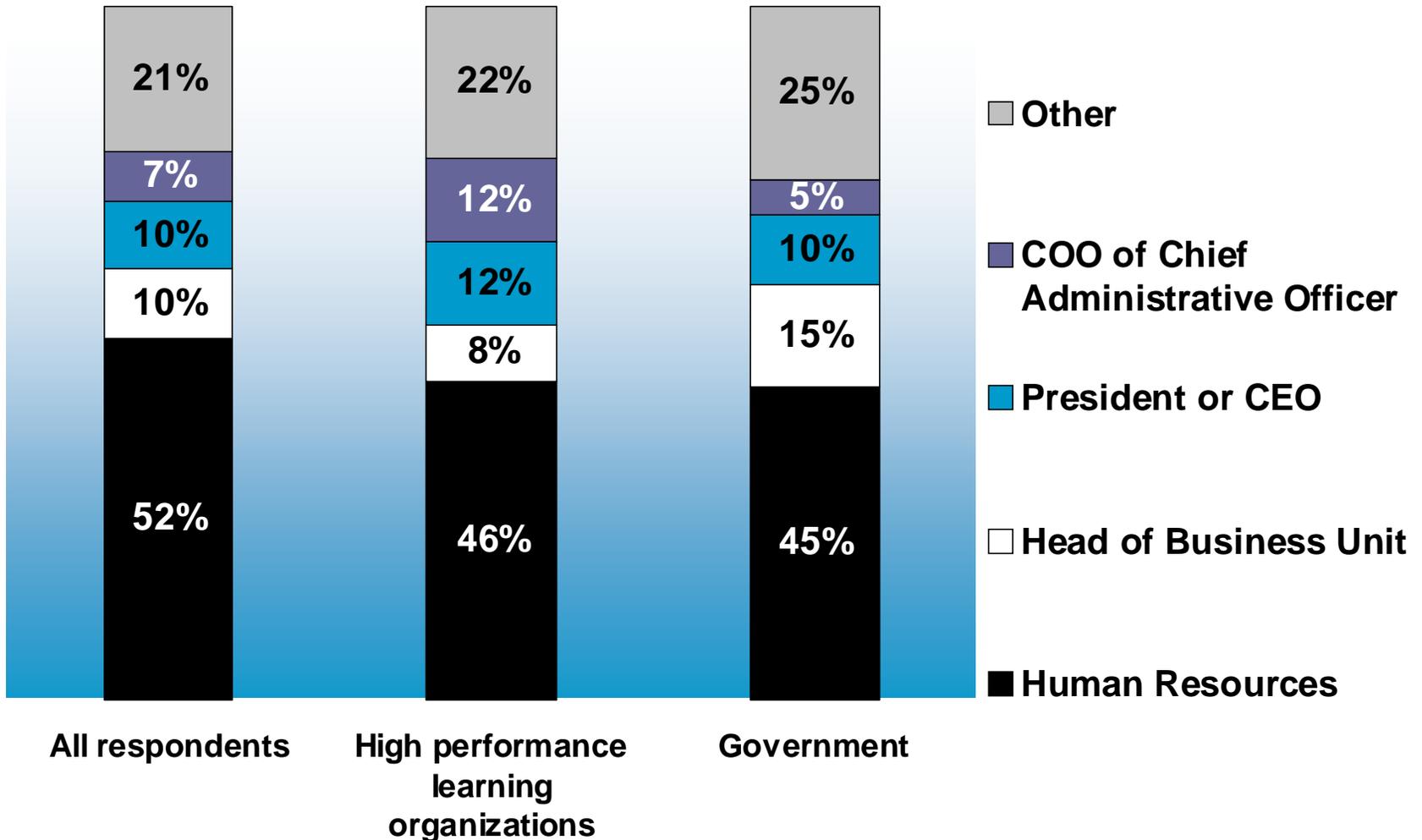
Survey Respondents by Industry



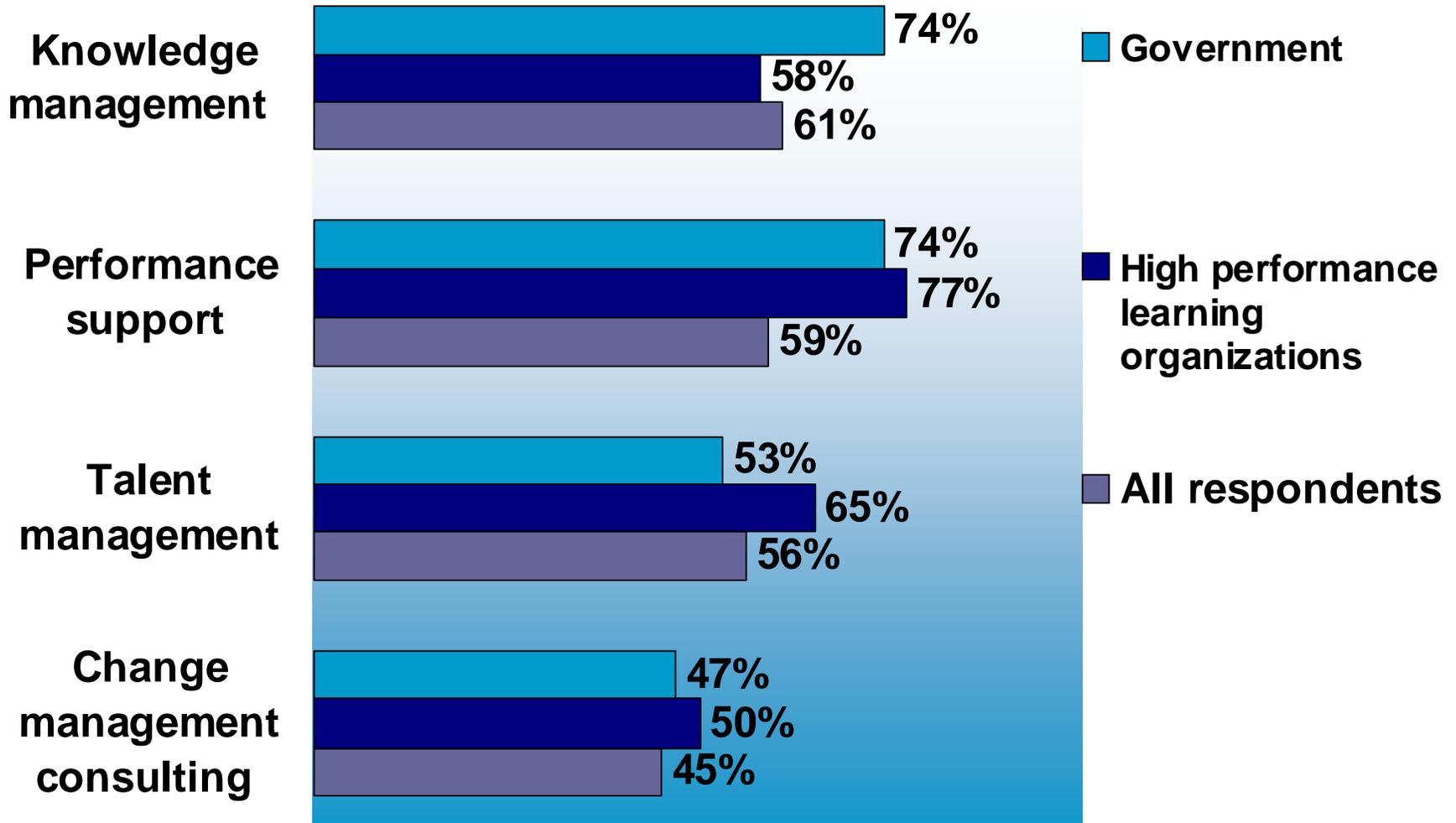
Learning department's place on the organization chart



Where/to whom does the head of the learning department report?



Functions incorporated into learning organization or planned for incorporation in next 3 years

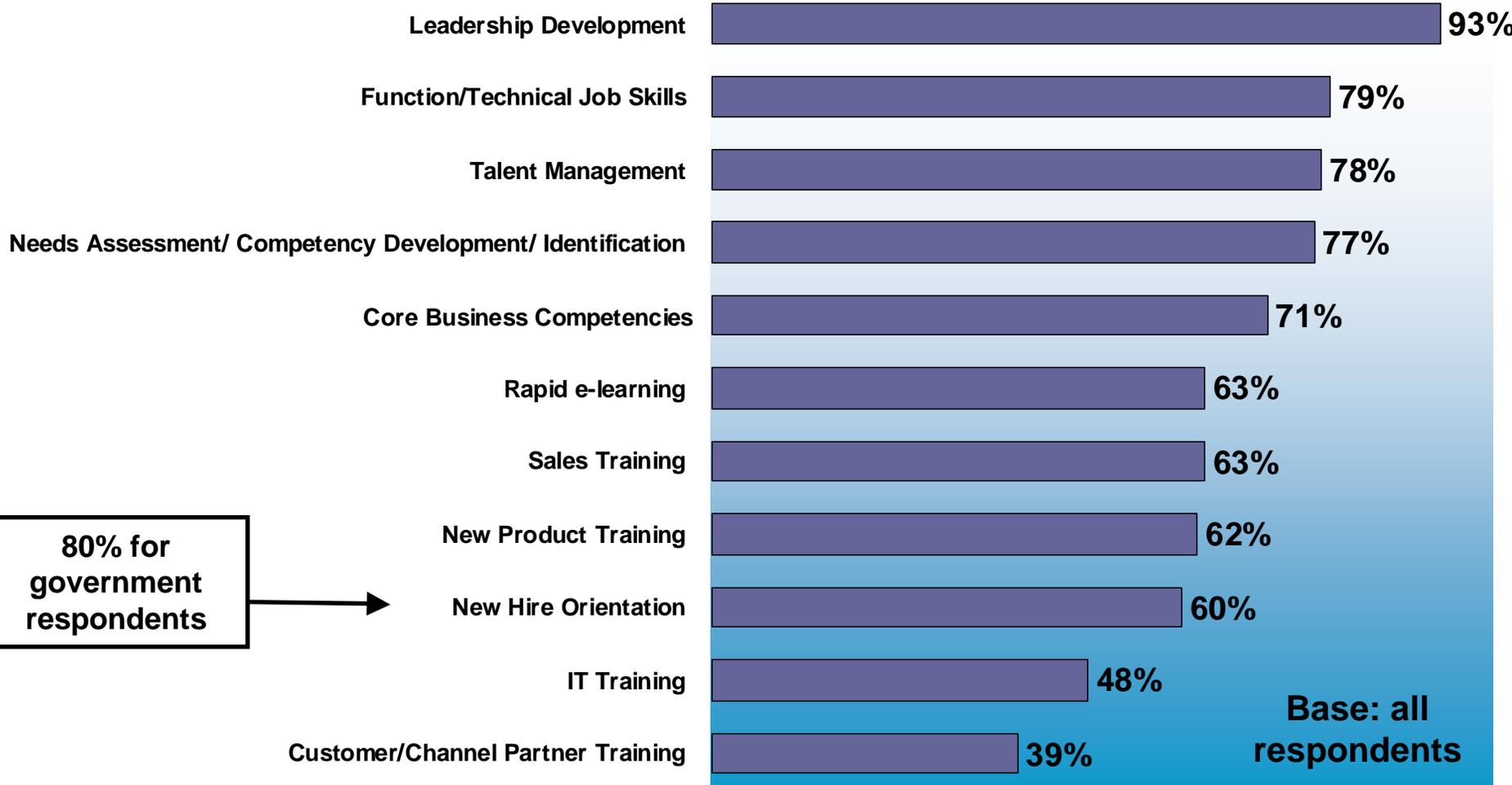


Government Segment: Survey Findings Highlights



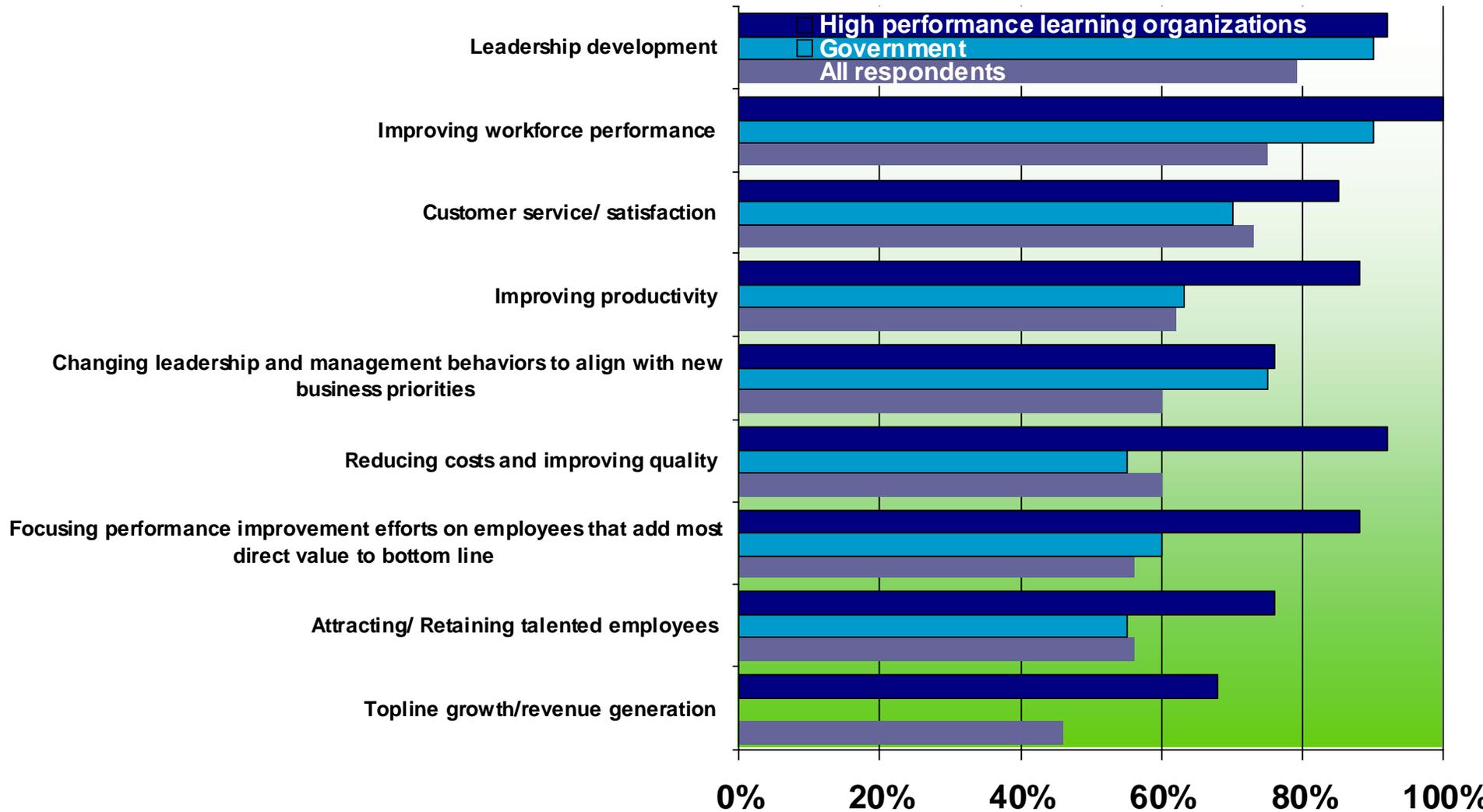
- Agency priorities most commonly addressed by learning programs: leadership development and improving workforce performance
- Most have incorporated or plan to incorporate knowledge management and performance support into the learning organization portfolio
- This group in 2003 delivered 20 percent of their learning programs through technology and expects to double that percentage by 2007
- Four in five have outsourced their learning technology infrastructure or are considering doing so in the next three years
- A Corporate University in government sector has a significant impact on improved performance, reduced employee turnover and improvements in learning efficiency and effectiveness

Top Learning & Development Priorities, 2004-2007

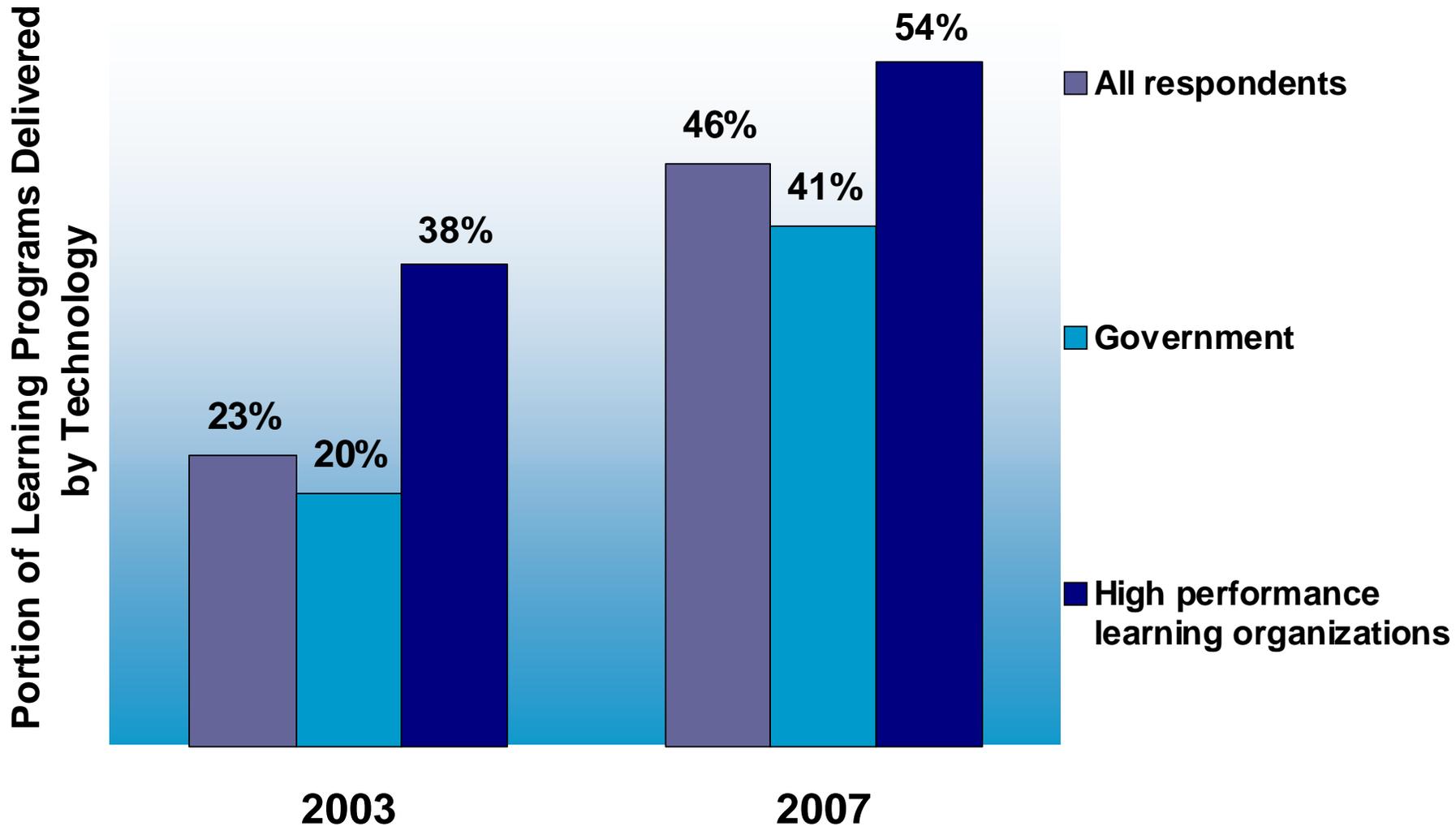


Portion rating area "high" or "very high" priority

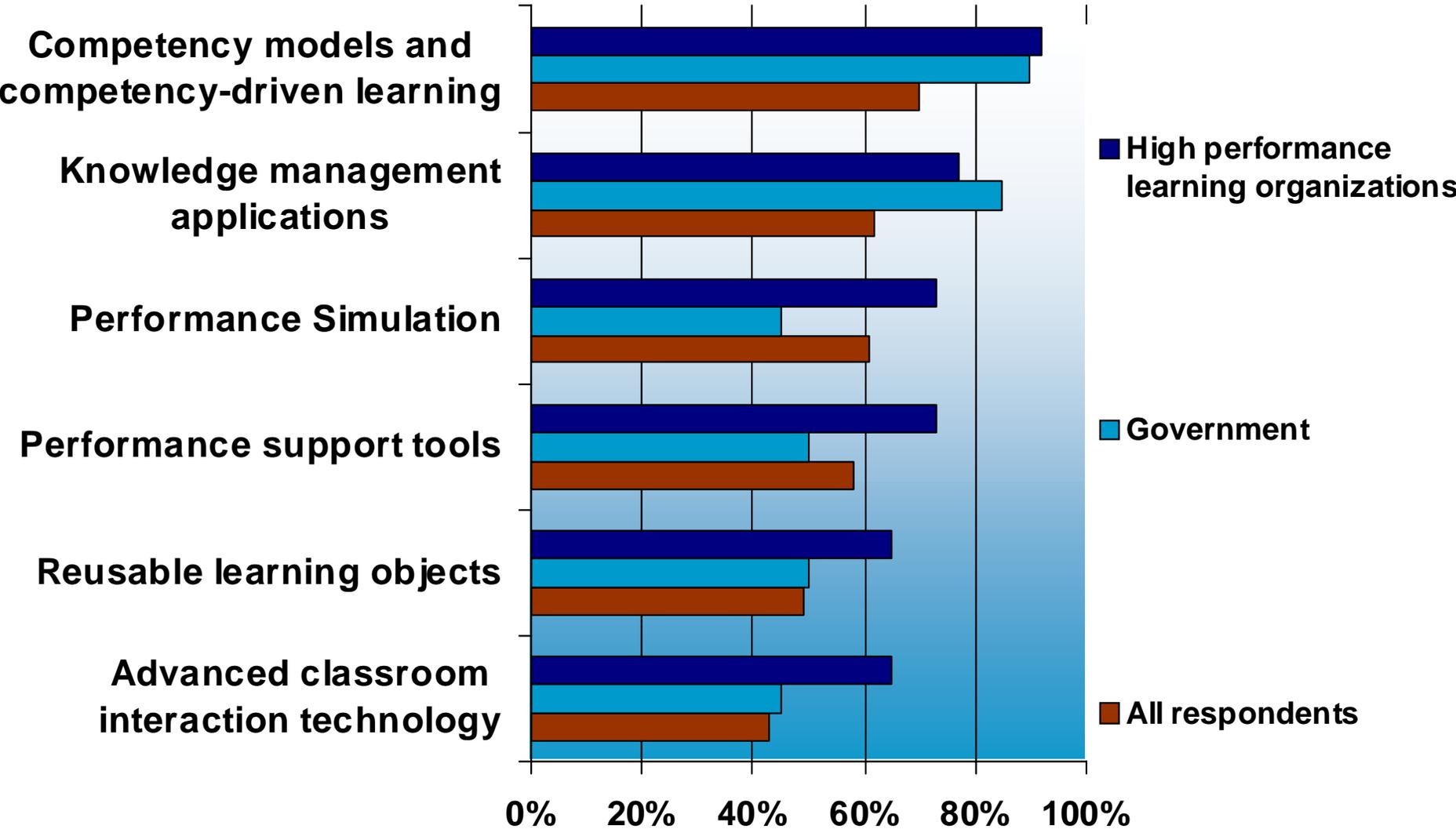
Companies' strategic priorities addressed by learning programs



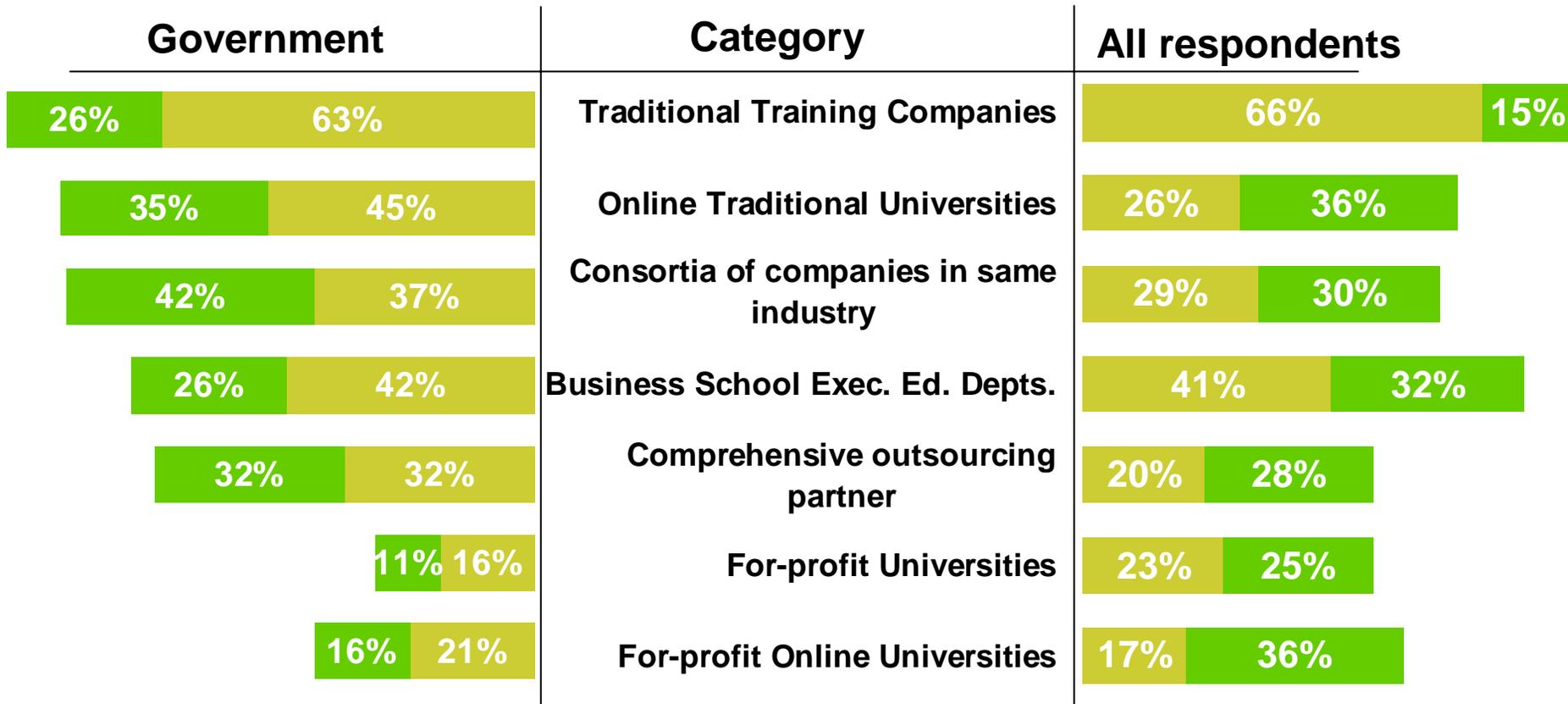
More learning will be delivered by technology over the next three years



Cutting-edge Technologies to Investigate/ Experiment with in Next 12 Months

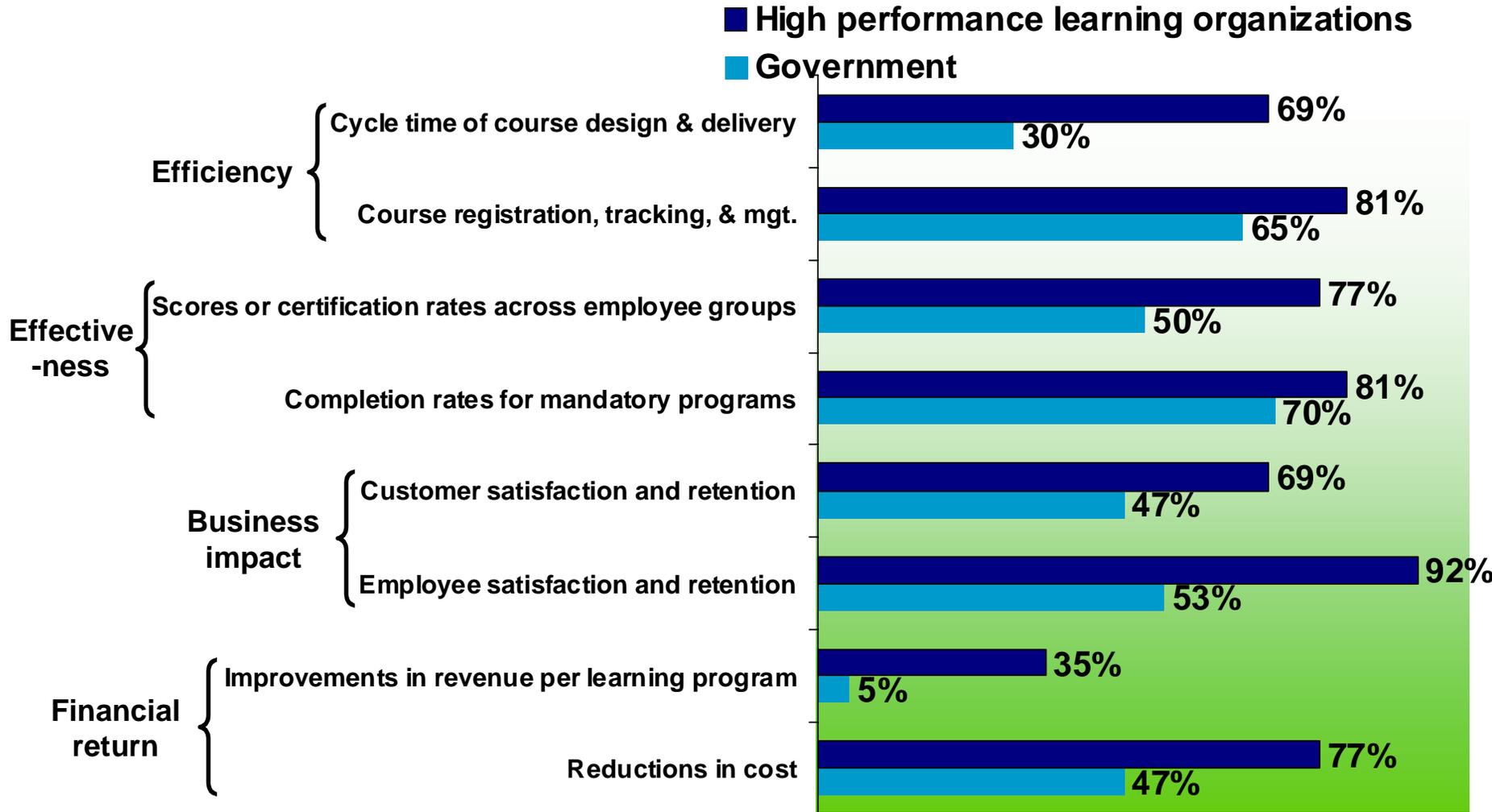


Government agencies partner with variety of learning provider categories

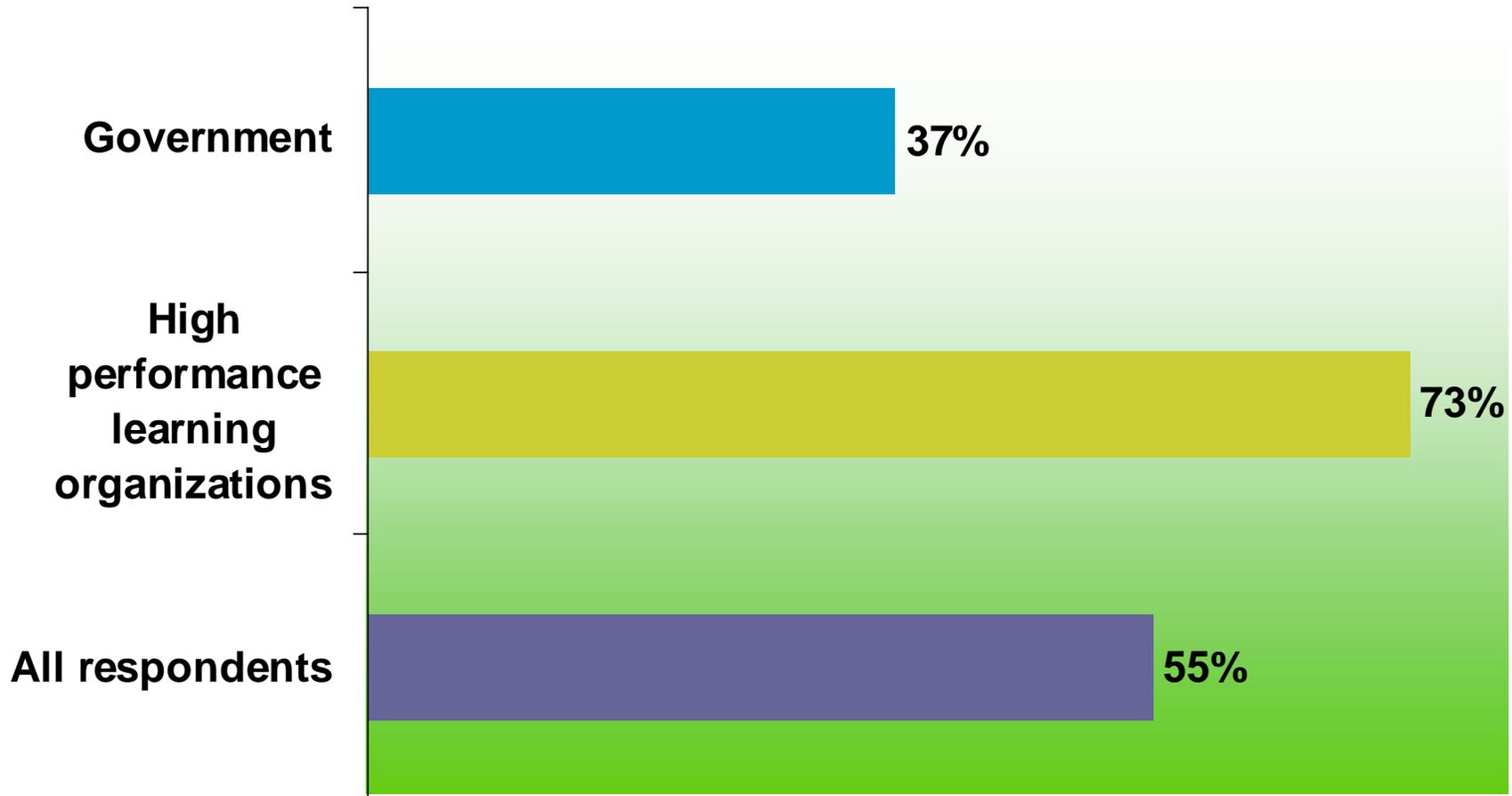


Already partner
 Likely to partner by 2007

Tracking measures of learning efficiency, learning effectiveness, business impact, and financial return



Having a positive effect on employee turnover

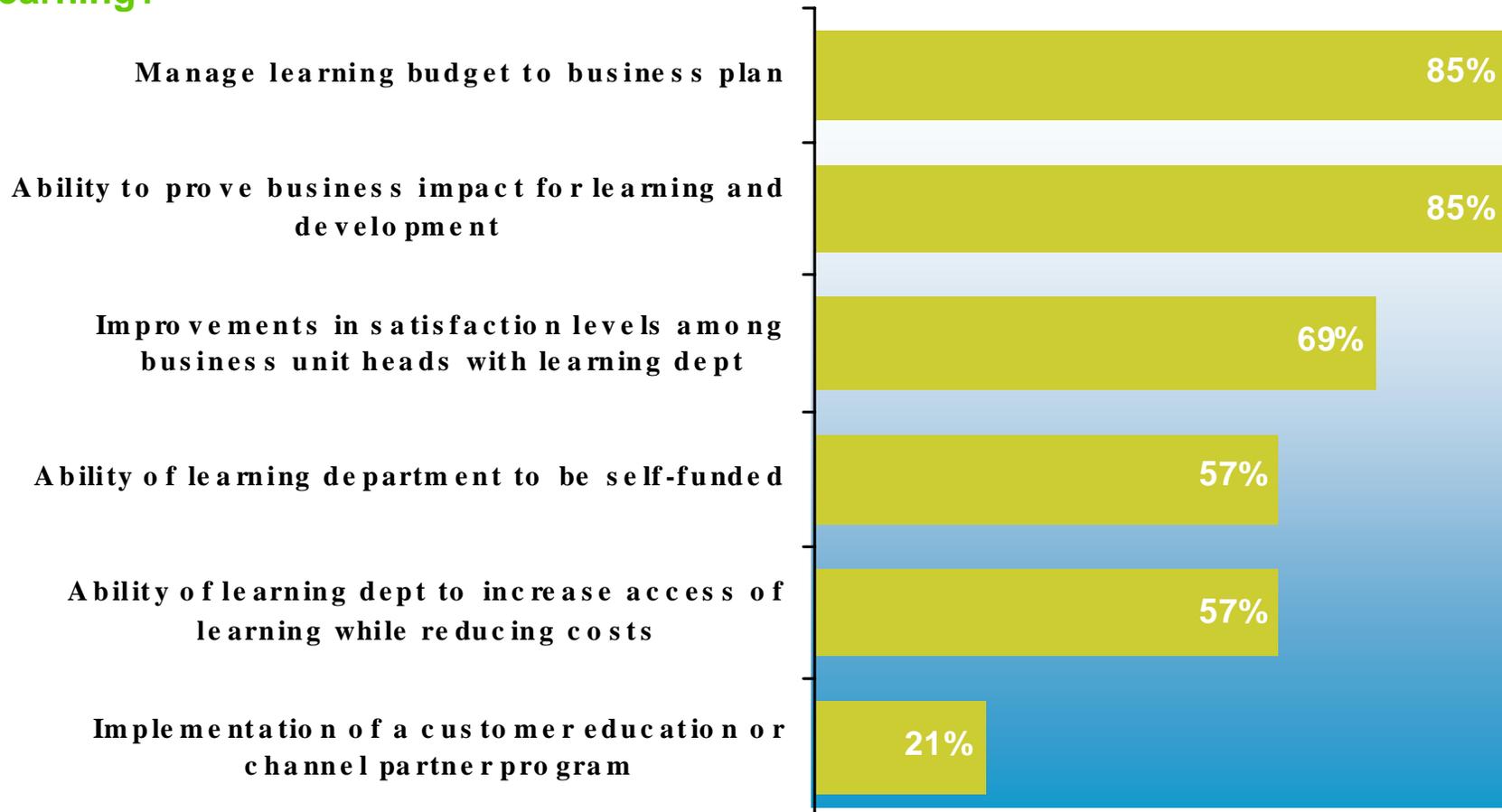


Portion indicating investments in learning & development reduced employee turnover

As the role of the CLO changes, the way their performance is measured must also change.



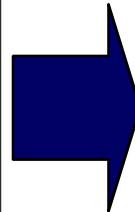
How do high performance learning organizations measure the role of CLO or Head of Learning?



Source: Accenture High Performance Learning Organization Study 2004

SEC's Environment

- ❑ **Public Awareness:** Corporate scandals raised awareness of the SEC's role and contribution to financial security
- ❑ **Increased Oversight:** Corporate scandals led to mandate for increased oversight and new legislation
- ❑ **Turnover:** SEC had the highest rate of employee turnover of any government agency
- ❑ **Workforce Growth:** Approximately 800 new employees need to be integrated into the SEC



SEC's Workforce Imperatives

- ❑ **Reduce Time to Competency**
- ❑ **Increase Employee Retention**
- ❑ **Retain Institutional Knowledge**
- ❑ **Strengthen Management and Leadership Competencies**
- ❑ **Integrate New Hires**
- ❑ **Increase Employee Satisfaction**



SEC University Strategic Objectives

SEC Workforce Objectives

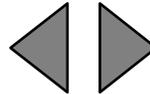
Leadership Bench Strength

Collaborative Culture

High Performing Workforce

Commission Citizenship

Employee Satisfaction



SEC University Objectives

Skilled Workforce

Retained Institutional Knowledge

Shared University Ownership

Integrated New Hires

Efficient Training Operations

Partnership Networks



SEC Learning Environment

Current Learning Environment

No long-term strategy exists; reactive to customer requests

Operate in a silo-type environment

Chief of Employee Development Branch determines learning priorities

Perception of Employee Development as the gatekeeper of funding and approval of training

Self-selected learning is based on employee interests

Orientation is a one-time event

Success is measured by learner's level of satisfaction for the program

Future Learning Environment

Learning strategy includes leadership input to ensure alignment with SEC's strategic and business objectives

Divisions and Offices collaborate to prioritize learning efforts for efficient delivery and maximum investments

Commission leaders and subject matter experts provide governance and determine SEC University priorities

Funding priorities for learning are aligned to support achievement of the business objectives

Self-selected learning from a systematically developed curriculum aligned with the business needs

Orientation is an ongoing process that communicates the Commission's values, culture and mission

Success is measured by the organization's ability to achieve the strategic goals



SEC University Guiding Principles

SEC University's Guiding Principles state the University's needs and priorities and guide the design of organizational components.

- ❑ **Eliminate Redundancy:** Integrate costly, redundant and fragmented efforts across SEC
- ❑ **Balanced Control:** Retain freedom for Divisions to do what makes sense to meet their needs while standardizing strategic content and centralizing key processes
- ❑ **Consistent Quality:** Support and offer consistent, high-quality educational programming
- ❑ **Best Practice-Based:** Integrate corporate university best practices, where possible
- ❑ **Self-Service:** Promote self-service access, where possible
- ❑ **Customer Focused:** Exceed customer expectations
- ❑ **Fiscally Responsible:** Use the financial resources of the SEC
- ❑ **Career Self-Management:** Individual employees are responsible for managing their own professional/career development



SEC University Customers

SEC Employee Profile

Well-educated

Accustomed to learning by lecture

Focused on individual careers

Average three-year tenure

Technically proficient

Geographically dispersed

Management skill deficient

SEC University Customer Needs

Easily accessible learning opportunities and SEC knowledge

Leadership development & supervisory skills

High quality content and timely topics

Learning at the point of need

Required continuing education and licensing education requirements

Learning the SEC strategy, processes and tools

Internal Consulting

Performance Management

- Individual Development Plans
- Mentoring Program
- Professional Coaching

Learning Delivery

- Training Needs Assessment
- Curriculum Planning
- Instructional Design
- Course Development
- Course Delivery
- New Hire Orientation Program
- Leadership Development Program
- Speaker Series

Knowledge Management

- Communities of Practice
- Buddy Program
- Knowledge Management System
- Lending Library
- Experts Database

Partnership Management

- Vendor Quality Management
- Alliance Development
- Credentialing

Marketing Communication

- Communication Planning
- Learning Program Marketing

Learning Administration

- Course Registration/Tracking
- Fiscal Appropriation Management
- Tuition Reimbursement
- eLearning Administration



SEC University Curriculum Model

Audience	Content			Owner
New Hires	SEC New Hire Orientation	Division Orientation	Job-Based Orientation	SEC University/ Divisions/ Offices
All Employees	Speaker Series Professional/ Administrative Skills	Securities HR Topics Customer Service	Legislation (FOIA, Privacy Act) Technology/ Computer Skills	SEC University
Management	Leadership Development	HR Policies Supervisory Skills	Project/ Program Management Budgeting Contracting Admin/Payroll Travel	SEC University
Employees by Division or Office	Hot Topics Continuing Ed Credits	Technical Computer Skills/ Database Management	Legislation Corporate Accounting/ Finance	SEC University/ Divisions/ Offices



SEC University Competencies

Functional Skills

- Goal Setting
- Customer Services
- Assessment & Measurement
- Process Design & Improvement
- Oral & Written Communication
- Technology Literacy
- Communication Planning
- Cataloging and Indexing
- Facilitation
- Instructional Design & Development
- Marketing
- Presentation Skills
- Research & Analysis

Leadership Skills

- Building Coalitions
- Change Navigation
- Strategic Thinking/Planning
- Visioning

Managerial Skills

- Employee Development/Empowerment
- Financial Management
- Knowledge Sharing
- Problem Solving & Decision Making
- Program/Project Management
- Team Building

Knowledge

- SEC Functions, Policies & Strategies
- Adult Learning Theory
- Communication Theory
- Government Contracting Regulations
- eLearning Systems & Tools
- Collective Bargaining Agreement
- Business & Industry Acumen
- Learning Organization Best Practices
- Change Management Theory
- Instructional Design Methodology



2003-04 Accomplishments

Workforce Challenges	Our First Steps
<p>Limited employee development capabilities with SEC</p>	<p>Hired Director and 3 specialists with deep skills in employee development Contracted with vendors</p>
<p>Limited availability of training to SEC employees; classroom training undervalued, not considered critical, and poorly attended</p>	<p>Launched SEC eLearning Center containing an online library of 2000 existing courses Enabled electronic delivery of structured interview training</p>
<p>Recruiting 800 + new employees</p> <p>Integrating 800+ new hires</p>	<p>Developed and delivered structured interview CBI with reference database of 200 legally defensible interview questions</p> <p>Created a New Hire Orientation Program</p> <p>Online Resources</p> <p>Supervisor Resources</p> <p>Teambuilding Exercises</p>



More Accomplishments

Workforce Challenges	Our First Steps
<p>Developing supervisory and management skills to accommodate expanded workforce</p> <p>Creating leadership succession pipeline</p>	<p>Online Management Self-Assessment</p> <p>9 Leadership Development courses</p> <p>Performance Management training for Managers/Supervisors and Compensation Committees</p> <p>Speakers Series</p> <p>Leadership Development Curriculum</p>
<p>Deeper technical Securities Training</p>	<p>Securities Course Offerings</p>



SEC University Partnerships

We recognize the need to create both internal and external partnerships:

Internal:

- SEC Divisions / Offices
- SEC Washington & Field Offices
- SEC Subject Matter Experts

External:

- Other Federal Agencies
- Colleges & Universities
- Professional Associations
- Vendors



SEC University Internal Partnerships

We have formed partnerships with Divisions and Offices to:

- Create High Quality Learning Opportunities
- Insure Customer Satisfaction
- Insure Fiscal Responsibility

SEC University offers our internal partners:

- Instructional design experience
- Personnel to support training programs
- Dedicated funds
- Access to experts and best practice knowledge
- Consolidation between Divisions and Offices
- Timely delivery
- Evaluation
- Experience

We have targeted specific Divisions and Offices to establish partnerships. These include:

- Office of Information Technology
- Office of Compliance Inspections and Examinations
- Division of Market Regulation
- Division of Enforcement
- Office of Human Resources and Administrative Services



Office of Information Technology Partnership

We took the following steps to create a partnership team with OIT:

- Established contact early (and often)
- Briefed the new CIO within 1 month of EOD
- Shared vision of using technology for training delivery
- Briefed senior IT staff on University vision and initiatives
- Briefed the IT Council to get approval for training products
- Invited IT staff to client meetings to discuss products
- Established one point of contact to speak for CIO

Our partnership with OIT realized the following outcomes:

- Ease in implementing online training products
- Enhanced technical support from OIT
- Increased knowledge of new technology for University staff
- Improved training on new software products
- Improved access to job aids
- Improved project management



Division & Office Partnerships

We needed to establish credibility and a presence within the Commission and to be of value to the driver Divisions. To do this the University staff:

- Established a council of training coordinators
- Provided clients with familiar training programs
- Provided services quickly
- Evaluated current programs
- Handled administrative processes
- Opened training programs to a larger audience
- Increased learning opportunities

The outcomes from establishing these partnerships include:

- Expanded security training programs
- Improved evaluation data used to determine future training needs
- Improved quality of training programs
- Expanded delivery methods



Internal Partnerships

In an effort to create high quality products we work closely with the Human Resource and Administrative Services Office. Some outcomes:

- Expanded options for contracting services
- Improved communication on new HR initiatives
- Consistent look/feel for the University
- Access to Administrative Contacts in field locations

Some of the outcomes of the partnership with the Human Resources Office include:

- Recruitment video
- Structured Interview CD
- New Employee Orientation
- Performance Management Training
- Telework Initiative



SEC University External Partnerships

SEC University's potential partnerships are evaluated based on the following selection criteria:

- Interest in developing a mutually-beneficial long-term relationship
- Respected reputation and prestige of the institution
- Openness to using technology to accelerate learning
- Commitment to innovation and fostering open dialogue
- Likeminded perspective on issues affecting the Securities Industry



External Partnerships

SEC University will form partnerships and affiliations with vendors, professional associations, universities and other Federal agencies to:

- Contain costs of CLEs, CPEs, and CEUs
- Customize a degree program or course content for SEC employees
- Obtain access to experts or intellectual property
- Leverage existing technology solutions

We are experiencing the following outcomes from the external partnerships we have created:

- Standardized look/feel of materials
- Improved efficiencies by sharing information, products and client observations
- Cost savings

ACTIVITY

Business Issue	Initiative	Partnership	Steps