CONVERCENT MIGRATION GUIDE

We understand that migrating to a new service provider can seem daunting—but at Convercent we're focused on minimizing the disruption and burden on our customers as much as possible throughout this process. Because we don't think a change management process should ever be challenging enough to deter someone from getting a better product or service for their organization.

WE'RE HERE TO HELP

This Migration Guide will assist your organization in preparing for and making your migration to Convercent a smooth and successful process. This guide covers the key items to consider when planning for your transition, including:

- Transfer of your hotline phone numbers
- Setting up custom hotline greetings
- Redirecting your custom URL to access Convercent
- Migrating historical issue report data

PLAN AHEAD

We recommend that our customers plan for a four- to six-week period where service from your current provider overlaps with Convercent. This provides a buffer for any additional time that may be needed for application configuration, provisioning hotline phone numbers, data migration or rollout to your employees prior to your service termination date with your current provider.

TRANSFER OF YOUR HOTLINE PHONE NUMBERS

You may prefer to use existing phone numbers if they have already been widely communicated to your employees. These phone numbers can be easily pointed to the new Convercent hotline during the implementation process and mapped to custom greetings specific to your organization.

To use existing phone numbers, you will need to confirm the following with your current service provider:

1. Are the numbers you currently use dedicated to your organization?
2. Does your organization own your hotline numbers or does your vendor own the numbers?
3. What is your vendor's process for transferring ownership of the phone numbers to your organization? This is often referred to as a RespOrg process.
4. Does your vendor charge a fee for transferring ownership of your phone numbers?

Your Convercent Customer Experience Manager will help you understand and navigate your service provider's RespOrg process to ensure a seamless transfer of ownership to your organization. Most organizations choose to have ownership of their phone numbers transferred to their organization to avoid another RespOrg process should you decided to change service providers again in the future.

If ownership of the phone numbers cannot be transferred to your organization, you have three ways to move forward:

1. We help you provision new dedicated numbers that your organization provisions and owns
2. We help you provision new dedicated numbers that Convercent provisions and owns
3. You can use our existing domestic and international phone numbers that are shared across many organizations and have a standard hotline greeting

We also offer services to assist in phone line testing and ongoing management.

SETTING UP CUSTOM HOTLINE GREETINGS

Owning dedicated hotline phone numbers allows your organization to customize the message that welcomes your employees to the hotline. Custom greetings can also be recorded in multiple languages to allow your employees to select and hear your greeting in their native language. Your Customer Experience Manager will work with you to define your custom greeting text and required languages.

REDIRECTING YOUR CUSTOM URL

Many customers publish a custom URL that directs employees to their web intake landing page. Your Customer Experience Manager will provide you with the URL for your new Convercent landing page. This URL should be shared with your IT team or whoever in your organization is responsible for setting up the URL redirect. Your Customer Experience Manager is happy to help coordinate this with your IT team and align the redirect with your official cutover from your current service provider.

MIGRATING HISTORICAL DATA

Before transitioning to Convercent, we recommend you request a copy of your issue report data from your current provider. Many customers keep this data stored in a separate, secure database so it can be referenced at a later date. As a Convercent customer, you also have the option to import your legacy data for historical reporting purposes within the Convercent application.

When is the best time to migrate your data?

Data migration can be done as part of your initial Convercent implementation process or after you have begun using Convercent. Post-rollout migration usually works best for our customers that need a quick cutover to Convercent or that don't have large volumes of data.

PLAN AHEAD

Migrating historical data can take approximately six to eight weeks once Convercent receives your data in the required format. When considering your options, it's important to understand what your current service provider can commit to.

QUESTIONS TO ASK YOUR CURRENT SERVICE PROVIDER:

1. How long will it take to receive your historical data, including all issue reports and associated attachments?
2. How far in advance are you required to make the request for a data extract?
3. Can you potentially receive two data extracts—one full data set for Convercent data mapping and testing activities and a second full data set just before the final migration to account for any report or case data that was updated since the first extract?
4. Can you receive your report data in .CSV file format and the associated attachments in .PDF file format? (.CSV file format is required for import into the Convercent application)

QUESTIONS WE'LL HAVE FOR YOU:

1. What is your desired date to have the data import completed?
2. What is the volume of historical reports that would need to be imported?
3. Would the import include attachments? If so, approximately how many?
4. What is the historical volume of departments, locations, user records and user groups that need to be imported?
5. Does your legacy data include message board activity or communications with reporting parties or other administrative users?
6. Does your legacy data include information from custom fields or custom issue types?
7. Was your intake channel in any languages other than English? If so, what were they?

If data migration is required, your Customer Experience Manager will work with you to document a migration plan based on your desired timeline and migration approach. The data migration process typically includes the following steps:

1. You acquire the legacy data from your current service provider (.CSV for report data and any Microsoft Office or PDF file format for attachments). We require .CSV files that map attachments to case records in addition to separate folders of attachments with the case number referenced in the file name.
2. You upload the legacy data files to the secure FTP site that your Customer Experience Manager has setup for you.
3. We perform an initial data review.
4. We coordinate a call with you to revisit your data migration requirements, clarify any questions regarding the data provided, and review how the data may map to existing Convercent fields.
5. We proceed with data mapping and a test migration. This may require additional question and review sessions with your technical team.
6. You review and validate the data in a Convercent test environment.
7. You provide a new and current copy of the legacy data files (if any changes have been made to your data since the last extract).
8. We upload your full data set to your organization's production environment.

DATA MIGRATION FAQS

Does data migration require a blackout period?

We recommend a two- to five-day blackout period during which no case management activities are performed on open reports in the existing system. Once the blackout period begins, you'd provide us with the final data files to upload into the application. Following data migration, your case administrators can resume normal case management activities in Convercent. Any new reports submitted during the blackout period should be manually entered as proxy reports in Convercent. As a best practice, proxy reports should include a reference to the original report ID and/or include an attached copy of the original report.

A blackout period may not be needed for organizations with lower report volume or if most reports have been closed out prior to migration. In this scenario, customers can define a desired cutover date where all closed issues are migrated to Convercent. All open issues can then be manually entered as proxy reports in Convercent and worked to closure in Convercent.

What should I do after our historical data has been migrated?

As part of your communication and rollout strategy, plan to redirect employees to the new Convercent hotline and/or web intake form immediately following the data migration. This will limit the number of new reports that get filed in your legacy system that then need to be manually entered as proxy reports in Convercent.

How can my employees check the status of reports they've filed once I've fully migrated to Convercent and no longer have access to our old system?

Checking the status of reports is a more common request for open issue reports than those that have been closed. It's important to remember that your employees will try to check the status of a previously filed report with an access number and password from your legacy system. They will need to have a Convercent access number and password to access the report that's been migrated to Convercent. There are a couple of ways to assist your employees in checking the status of a report once you've migrated:

Communicate the change of service to your employees as part of your communication, rollout and change management strategy. Ensure your employees know where to go for assistance—their options may include contacting their manager, compliance or HR (depending on your organization) or reaching out to the Convercent call center.

Request that your previous service provider direct your employees to the new call center number. Convercent call center agents can then search the legacy access number and assist the reporting party with their request.

How can my employees check the status of previously filed reports if I'm now using Convercent but haven't yet migrated our historical data?

If you have an overlap in service with your current provider and Convercent, you can easily add a "Check Status" link and message on your new Convercent landing page that takes your employees directly to your previous system. Convercent can also share this "Check Status" URL with your employees that contact the call center for assistance prior to your migration date.

It's important to note that these links should be removed from the Convercent landing page and at the call center following data migration and termination of service with your current provider.

QUESTIONS?

We're here to help and ensure a smooth and successful transition for you, your team and your organization. Please contact your Convercent Customer Experience Manager for any assistance or guidance.

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Convercent's risk-based global compliance solution enables the design, implementation and measurement of an effective compliance program. Delivering an intuitive user experience with actionable executive reporting, Convercent integrates the management of corporate compliance risks, cases, disclosures, training and policies. With hundreds of customers in more than 130 countries—including Philip Morris International, CH2M Hill and Under Armour—Convercent's award-winning GRC solution safeguards the financial and reputational health of your company. Backed by Azure Capital, Sapphire Ventures (formerly SAP Ventures), Mantucket Capital and Rho Capital Partners, and based in Denver, Colorado, Convercent will revolutionize your company's compliance program.

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