



OE RESOURCE REQUEST APPLICATION

University of California, Berkeley

I. SPONSORSHIP

A. Initiative

Initiative	High Performance Culture		
Initiative manager	Mary Keegan		
Phone	643-6428	E-Mail	mkeegan@berkeley.edu

B. Sponsorship

Sponsor Name	Rich Lyons		
Sponsor Signature		Date	
Sponsor Name	Jeannine Raymond		
Sponsor Signature		Date	
OE Program Office Signature		Date	

C. Give the title of the resource

Berkeley OPs Forum

II. PROBLEM STATEMENT/CASE FOR CHANGE

A. Identify and describe what needs the proposed solution is seeking to address.

Simply stated, the campus lacks a consensus definition of high performance with respect to its operating culture.

Our vision for UC Berkeley is: *World class research, teaching, and service supported by world class systems, processes, and people.* But, while Cal has consistently delivered on the first half of that vision for over 140 years, our administrative operations have fallen short—despite the often heroic efforts of a hard-working and dedicated staff.

Few people on our campus today believe that we have a high performance operating culture. Ask someone what comes to mind when you say, “UC Berkeley ... research.” Now ask them what comes to mind when you say, “UC Berkeley ... operations.” The gap in reactions is real and significant. It is supported in the data as well: results from the Bain Culture Survey highlight our lack of automation, duplication of effort, unnecessary complexity, and misalignment of incentives.¹ Tellingly, only 40% of Bain survey respondents agree that Berkeley is a highly effective organization,² and only 35% of Campus Climate survey respondents can claim that they’ve had an opportunity *in the past three years (!)* to provide excellent user service.³

“The bureaucracy at Berkeley slows down so much potential progress and interferes with the ability to be creative and innovative.” (Campus Climate Survey respondent)

Even great people working very hard will perform far below their potential if operating in a dysfunctional environment. If the Bain Survey, Staff Climate Survey, OE Open House comments, and focus group conversations are any indicator, then faculty and staff are truly hungry for positive change in Berkeley’s operating environment.

“I’m proud to help change the world through Berkeley’s work...” (Campus Climate Survey respondent)

“We are part of something BIG.” (Focus group participant)

On the other hand, Berkeley has a clear and unique identity that inspires its faculty and staff—86% of Bain survey respondents agree with that statement. Commonly cited characteristics of this identity are: excellence in every endeavor, inclusiveness, a passion for inquiry, stewardship of resources, and a commitment to civility and respect. 92% of our staff report they are proud to be working for UC Berkeley, and 84% say they are willing to put in effort beyond what is expected in order to help UC Berkeley be successful. Clearly, there are aspects of our culture that we should preserve and strengthen.

Haas School Professor Jennifer Chatman observes:

“Strong cultures enhance organizational performance in two ways. First, they improve performance by energizing employees—appealing to their higher ideals and values and rallying them around a set of meaningful, unified goals. Such ideals excite employee commitment and effort because they are inherently engaging... Second, strong cultures boost performance by shaping and coordinating employees’ behavior. Stated values and norms focus employees’ attention on organizational priorities that then guide their behavior and decision making. They do so without impinging, as formal control systems do, on the autonomy necessary for excellent performance under changing conditions.”⁴

We propose to refine a set of Berkeley Operating Principles (Berkeley OPs) that will guide decision-making and behavior. To be effective, these principles need to be concrete and practical, with wide support in our community. As an example, an OP

¹ One of the most influential articles on the practical significance of getting incentives right is by Steve Kerr, “On the Folly of Rewarding A, While Hoping for B,” *Academy of Management Journal*, 1975.

² January 2010, OE Capacity for Change and Organizational Effectiveness Survey. N = 311.

³ November 2008-March 2009, UC Career Non-academic Staff Climate and Career Development Survey. N ~ 3500.

⁴ Chatman, Jennifer A. and Cha, Sandra Eunyoung, “Leading by Leveraging Culture”, *California Management Review*, Vol. 45 No. 4, Summer 2003.

candidate might be, “Keep it simple”—it is easy to see how, stated at the right time, these three words could steer a decision or process design.⁵

B. Describe the solution that is being proposed to meet the identified need(s).

We view it as critical that staff, faculty, and campus leadership are aligned around a common set of core practices and behavioral norms that address the misalignments outlined above, retain and strengthen the valued characteristics that make Berkeley unique, support the campus mission and OE goals, and promote mutual trust and high performance across organizational boundaries. Specifically, we recommend that the Chancellor:

- **Develop**—through extensive input from the campus community—a small set of Berkeley Operating Principles (Berkeley OPs) to define a high performing culture.
- **Leverage** the Berkeley OPs for high performance, by intentionally infusing them throughout campus operations and the HR cycle.

1. **Develop a small set of Berkeley Operating Principles (Berkeley OPs) to define a high performing culture.** We propose that the Berkeley OPs be developed using the following steps:

- a) *Analyze campus surveys (completed).* We reviewed and analyzed several open comments sections from the 2008-09 campus climate survey.
- b) *Conduct focus groups (completed).* We conducted eight focus groups in February and March 2011, attended by over 100 Berkeley staff members.
- c) *Draft preliminary set of Berkeley OPs (completed).* Based on steps (a) and (b) we have developed a preliminary set of five possible Berkeley OPs; they are provided in the Appendix.
- d) *Conduct a proof-of-concept Berkeley OPs Forum (online conversation).* Work with Computer Sciences Corporation (CSC, a global firm offering technology-enabled solutions to a wide array of business problems), to conduct a proof-of-concept Forum. The Forum will be “seeded” using the draft Berkeley OPs as a starting point. Two groups will be invited to participate: the 100 focus group participants (see item b above) and the 30 participants in the initial cohort of the *Senior Leadership Program for Managers (SLPM)*.
- e) *Assess the proof-of-concept OPs Forum.* Identify any technological issues that emerged, and assess the Forum experience and outcomes to determine whether a full campus-wide Berkeley OPs Forum is feasible and desirable.
- f) *Revise the draft Berkeley OPs,* based on the proof-of-concept Forum.
- g) *Conduct focus groups with campus leaders.* Using the information from the proof-of-concept Forum and the resulting draft Berkeley OPs, conduct focus groups with participants in each of the first two cohorts of the SLPM (approximately 60 senior campus leaders).
- h) *Further revise the draft OPs,* based on the focus groups with these leaders.
- i) *Conduct campus-wide Berkeley OPs Forum.* Assuming a positive assessment in step (e), we propose that faculty, staff, and students campus-wide be invited by the Chancellor to participate in a full-scale Berkeley OPs Forum (online conversation). The Forum is moderated by a small group of Berkeley employees, both to respond to particular queries and to guide the conversation as it unfolds.
- j) *Finalize the proposed Berkeley OPs.* At the end of the Forum, a short list of candidate Berkeley Operating Principles will be provided to the Chancellor for his consideration and ultimate selection.

⁵ Conversely, a principle that lacks concreteness and practicality is unlikely to be useful for operations, even if fundamental as a value. For example, one of our campus Principles of Community is, “We are committed to ensuring freedom of expression and dialogue that elicits the full spectrum of views held by our varied communities.” This is of utmost importance and describes the campus well; coordinating attention around it is unlikely to make our operations higher-performing, however. Those principles were not designed for that.

CSC has offered to provide the consulting assistance and the software required to conduct both the proof-of-concept and the full campus-wide Forums, free of charge. (The software utilized is proprietary to CSC's affiliate, Imaginatik.) CSC reports that actual participation rates typically range from 1-9% of all invitees.

2. ***Leverage the Berkeley OPs for high performance, by intentionally infusing them throughout campus operations and the HR cycle.*** The “how” of firmly establishing the Berkeley OPs in our operating culture is at least as important as the “what” of determining the OPs. Indeed, for people less familiar with the importance of strong operating cultures, without a sense for the “how,” the “what” can seem rather fruitless. The resulting OPs will need to be embedded in as many of our operating processes as possible.

There is a whole category of processes, for example, that surround how we select people to join UC Berkeley as employees. The OPs will need to become part of these processes—how we advertise jobs, how we interview for them, how we make a formal offer, how we evaluate during the probationary period, and so forth. Another category of processes surround how we introduce people to how we work, so-called “onboarding”—pre-arrival communications, first-day orientations, initial-period communications for senior campus leaders, etc. A third category of processes addresses ongoing incentives and socialization—performance evaluation systems, awards and recognitions, ongoing communications from the top, training, among others.

*“[We should] hire, assess, develop, and select leaders at all levels of the organization—from supervisors and managers to senior leaders—who champion and model our core principles.”
(Focus Group participant)*

All of these processes can link explicitly to a set of OPs in an appropriate way.⁶ Examples of activities and tools that will help accomplish this include:

- a) Develop OPs-focused *interview questions*, and train hiring managers in how to use them and how to evaluate candidate responses to them.
- b) Include in every *orientation* packet and program a list of the OPs and stories illustrating how OPs-informed behaviors have supported operational excellence in a wide variety of campus endeavors.
- c) Develop a set of *behavioral examples* for each Berkeley OP, and include the OPs in annual *performance appraisal* forms. The examples should illustrate each OP at three levels: behaviors that meet campus expectations, that are exceptional, and that are unacceptable.
- d) Include in each *training & development* program one or more modules that focus on how behaviors informed by the OPs will improve performance in the topic at hand.
- e) Reinforce exemplary behaviors by providing *recognition & rewards* for individuals and teams whose commitment to the OPs has resulted in demonstrable operational excellence.
- f) Develop a portfolio of stories illustrating the tie between the OPs and individual/team operational excellence, and circulate those stories widely (e.g., in the News Center, orientation materials, awards ceremonies, high level speeches, etc.).

Professor Chatman again:

...One thing is guaranteed: A culture will form in an organization, a department, a work group. The question is whether the culture that forms is one that helps or hinders the organization's ability to execute its strategic objectives. Organizational culture is too important to leave to chance; organizations must use their culture to fully execute their strategy and inspire innovation. It is a leader's primary role to develop and maintain an effective culture.”⁷

Weaving the Berkeley OPs through the culture is a non-trivial change management challenge. For the OPs to take root and inform staff practice and outcomes, the Chancellor must be their primary champion—citing them frequently and

⁶ For additional examples of such links, see the implementation pages for Ohio State University's *Excellence to Eminence* project, at <http://www.osu.edu/eminence>, particularly under the following tabs: our values, news & communication, and resources.

⁷ Chatman, *op cit*

clearly, and referencing the ways in which they are informing and improving organizational performance.⁸ They must be infused, first and foremost, in the culture of California Hall and in the organizations of each cabinet member. To support this, we also recommend identifying a senior professional with primary responsibility for “mainstreaming” the OPs, by designing and delivering on a detailed implementation plan and coordinating the critical participation of individuals across the campus.

C. Describe the alternate approaches you evaluated in the process of developing this proposal and why those alternatives were not selected.

The essential product of the Berkeley OPs Forum is a consensus definition of high performance that will guide behaviors, focus decisions, and address the operational shortcomings described in Section II. Alternatives to the Berkeley OPs approach include:

- 1) Using our existing Principles of Community as our focal points: A decisive downside of this approach is that most people believe that we already do a good job of living by our Principles of Community; this set of principles is not designed for, nor is it particularly useful for, establishing a high-performance operating culture. The Berkeley OPs will need to be sufficiently distinguished and linked to our high-performance imperatives so that UC Berkeley people do not get confused by having multiple “principles lists.”
- 2) Using existing “Job Success Factors” on our Performance Evaluation and Planning Form: A decisive downside of this approach is that these factors were designed to address the effectiveness of individuals, not the systems, processes, work norms, decision-making, and other elements of our work environment. There is little risk in not using them. That said, we will likely need to better align our Job Success Factors with the Berkeley OPs once established.
- 3) Using a set of focal points determined “from the top,” perhaps by the HPC initiative itself: A decisive downside of this approach is buy-in: if people do not feel they have had any hand in shaping our operating principles, we are much less likely to achieve changes in actual behavior.
- 4) Doing without focal points (*status quo*): The downside of this approach is that the coordination problem is not addressed, or not addressed in a disciplined manner. Arguments for going this route are generally based on a view that culture-setting as a means of behavior change is either ineffective or not sufficiently important. This view is more common among people who have never experienced a strong operating culture do its work. We disagree with this view.

III. IMPACT AND STRATEGIC ALIGNMENT

A. Describe how the proposed solution aligns with the OE goals:

- Reduce administrative costs and enable the campus to direct more resources to teaching and research
- Advance an effective and efficient operating environment
- Instill a culture of continuous improvement that leads to high quality performance and outcomes

We see both direct and indirect alignment with OE goals.

1. Directly, it seems fair to assume that a subset of the end-product Berkeley Operating Principles will expressly touch upon OE goals. The draft OPs, for example, include a principle of *continuous improvement* (“Always learning &

⁸ See examples of President E. Gordon Gee’s visibility on Ohio State University’s “Excellence to Eminence” campaign (<http://www.osu.edu/eminence/>) and of Dean Richard Lyons’ visibility on intentionally shaping the Haas School’s culture (http://www.businessweek.com/bschools/content/dec2010/bs2010129_872785.htm).

improving”). Through the conscious integration of the Berkeley OPs into all aspects of our operating culture, managers and individual contributors alike will internalize the OE goals reflected in the OPs and align decision-making and operational activities with those goals.

2. There are several indirect yet still significant ways in which Berkeley OPs are aligned with OE goals.
 - a) **Reduce administrative costs.** A significant portion of our administrative time is spent on ensuring compliance with various Federal, State, and University regulations—accomplished by the enforcement of formal rules, policies, and procedures. While important, compliance itself is not the end-game, *excellence* is—and excellence is fostered not by rules and standards but rather by culturally shared and relevant Berkeley Operating Principles that inspire individuals to set the bar high for themselves and their colleagues, and related behavioral norms that reinforce those visions. Culturally ingrained OPs create *shared expectations about appropriate behavior*, reducing a reliance on supervisory oversight and fostering in its place self- and peer-regulated performance. In this sort of environment, errors or violations are seen not so much as “breaking the rules” but more as “letting my team down”. When employees are monitoring themselves and one another in this fashion, administrative costs associated with compliance are reduced.
 - b) **Effectiveness and continuous improvement.** Importantly, culturally ingrained OPs enable individuals to respond to situations that are unpredictable, non-routine, and difficult to anticipate or solve.⁹ In short, they empower staff to make decisions, *even in situations where there are no standards or rules to turn to*, and ensure that those decisions are sound. A strong culture with clearly defined and widely shared Berkeley Operating Principles therefore supports effectiveness, continuous improvement, and high performance.
 - c) **High quality performance and outcomes.** When managers are able to spend *less* time on monitoring staff compliance through rule-enforcement, they are freed up to prioritize and focus on the value-added portions of managerial work: (1) determining what to do—planning, deciding, setting goals, allocating resources, defining success—and, (2) developing people—hiring effectively, coaching, evaluating, developing talent, managing underperformers, recognizing successes and analyzing failures. This shift in managerial focus from lower value to highest value work ultimately fosters high quality performance and outcomes.

B. Identify any other anticipated benefits in implementing the proposed solution.

The immediate benefit is a concise definition of high-performance operating culture for the Berkeley campus. Significant benefits will unfold over time as the Berkeley OPs are infused throughout our work environment and employee life cycles—the Berkeley OPs implementation team will launch a wide range of initiatives that have already been identified to embed the OPs into our campus systems, processes, and norms.

Success in embedding the OPs would be characterized by virtually all staff and faculty knowing they exist and knowing where to find their exact articulations, and most staff and faculty knowing from memory at least some of them (e.g., “Keep it simple”).

Berkeley’s OPs will help focus campus resources, and will unify faculty, staff, and student employees around a common set of behavioral expectations to which we hold one another accountable. Managers and individual contributors alike will benefit from knowing exactly what Berkeley OPs and associated behaviors the campus prizes, and how they support the overall campus mission and OE goals.

⁹ See, for example, O’Reilly, Charles, “Corporations, Culture, and Commitment: Motivation and Social Control in Organizations”, California Management Review Vol. 31 No. 4, summer 1989, and Chatman, *op cit*.

Expectations will be clear, and rewards aligned, at every stage: recruitment, hiring, orientation, training, development, goal-setting, recognition, career advancement.

C. Identify the risks of not implementing the solution.

The Bain diagnostic report identified a high performance culture as a *critical enabler*, foundational to the success of Operational Excellence.

Without a clear, concise, consensus definition of high performance, the campus operating culture will continue to be characterized as described in Section II, with ongoing deleterious effects. These deleterious effects will be magnified by the demands of ambitious yet critical OE initiatives—the success of which might well be jeopardized by maintaining the *status quo* operating culture. Especially in this context and at this juncture we concur that, “organizational culture is too important to leave to chance.” (Chatman)

D. Describe the constituency that is intended to benefit from the proposed solution (e.g. students, faculty, staff, 1-many units)

The entire campus community will benefit.

- Managers and individual contributors alike will benefit from knowing exactly what Berkeley Operating Principles and associated behaviors the campus prizes, and how they support the overall campus mission and OE goals. Expectations will be clear, and rewards aligned, at every stage: recruitment, hiring, orientation, training, development, goal-setting, recognition, career advancement.
- Faculty and students will benefit by improved staff support (customer service) across all campus activities—whether they be in the areas of financial management, student services, IT support, personnel management, or physical plant. Improved staff support is the result of intentional mainstreaming of the Berkeley Operating Principles.
- Although the Chancellor may elect to begin with two pilots—one academic program and one administrative unit—the goal is to quickly mainstream the Berkeley Operating Principles throughout all campus departments.

E. Describe the extent to which this proposed solution is a collaborative effort either within campus or with external partners.

The Berkeley OPs Forum is *collaborative by design*. The proof-of-concept phase involves approximately 100 campus staff and the 30 members of the initial cohort of the *Senior Leadership Program for Managers* (SLPM) course. The POC online phase is followed by an in-person conversation with the 60 members of the first 2 cohorts of the SLPM course. In the fall, we propose that campus faculty and staff be invited by the Chancellor to participate in a campus-wide Forum. Following the online conversation, a short list of Berkeley OPs candidates will be provided to the Chancellor for his consideration and ultimate selection.

- Broad participation in the Forum will provide important perspectives from those who do the work (e.g., staff, student employees) and their clients (e.g., faculty, students) and will help generate campus-wide support for the OPs right from the earliest stages.
- Focused participation of the senior leaders in the design and development of the OPs, together with their final selection and approval by the Chancellor, places the ultimate responsibility for defining and shaping culture where it appropriately belongs—at the leadership level.

Implementation of the resulting OPs is **collaborative by nature**, involving leadership, managers & supervisors, and independent contributors throughout the campus. The activities of selected central offices, particularly in Human Resources and in Public Affairs, will necessarily shift to support the mainstreaming of the Berkeley OPs.

F. If applicable, describe how the proposed solution may enable additional projects to be considered.

See E above.

Properly developed and leveraged, the Berkeley Operating Principles will facilitate the implementation of a wide array of OE projects. Brief discussions with other OE teams and managers have yielded the following potential Berkeley OPS they believe would support their initiatives: innovation, agility, accountability, partnerships, continuous improvement, simplicity, transparency. It seems likely that at least some of these (or variants thereon) will emerge from the Berkeley OPs Forum and be included in the final list of candidate OPs for the Chancellor’s selection.

G. What is the impact of the proposed solution on the existing systems and processes? Does it eliminate the need for existing systems and processes?

The Berkeley Operating Principles will not eliminate the need for any existing systems and processes. However, their intentional integration throughout Berkeley’s culture will definitely affect a variety of systems and processes. For example, the OPs should inform all recruitment, hiring, and orientation activities. They should be used as criteria for SPOT awards, Achievement awards, and other employee recognition activities. They should influence goal-setting at both the individual and departmental level. Staff performance appraisals should encompass behaviors reflective of the Berkeley OPS. Public recognition of activities consonant with the Berkeley OPS should be prominent on the Berkeley home page and in the News Center. And so forth.

Additionally, by their nature and through their intentional integration throughout the culture, they will influence existing and future business systems and processes. For example, if one of the Berkeley Operating Principles turns out to be “continuous improvement” (or a variant), the integration of that value into Berkeley’s cultural fabric means that managers and individual contributors alike will begin routinely to ask questions such as, “*is there a better way to do this?*”, “*what are the best practices for this activity on campus or elsewhere?*”, and even “*do we need to do this at all?*”.

H. What is the impact on the proposed solution on the workload?

Profile/Impact in hours	Current Workload	1-time workload requirement	Ongoing workload requirement
Student	Not applicable, except for student employees	Not applicable	Not applicable, except for student employees.
Staff	Not measurable.	High for key staff members—see III-E and III-G.	Moderate-high for key staff members—see III-E and III-G.
Faculty	Not applicable, except for faculty administrators.	Not applicable.	Not applicable, except for faculty administrators.

IV. WORK PLAN AND PROPOSED SOLUTION DESIGN

A. Provide a statement of:

- Deliverables—results the solution must deliver to achieve the stated objectives.
- Constraints—factors that may limit the options for providing the solution (*e.g., an inflexible deadline*).

1. Deliverables

- a) A small set (approximately 4-6) of Berkeley Operating Principles that are developed through an iterative community-wide process (the Berkeley OPs Forum) and selected and championed by the Chancellor.
- b) A description of each Berkeley Operating Principle at two levels of detail:
 - i. A brief description of the “OPs in Action” (see example in the Appendix).
 - ii. A set of illustrative behaviors for each OP, at three levels: examples of behaviors that *meet campus expectations*, that are *exceptional*, and that are *unacceptable*.
- c) Case studies of UCB departments who have successfully mainstreamed core values (e.g., the Haas School, BAS) and other universities that are also so engaged (e.g., Ohio State).
- d) A roadmap for implementation, to include:
 - i. Recommendations for two pilot implementation groups—one academic department, one administrative unit. (Optional step; pilot program could be skipped.)
 - ii. Roles & responsibilities of key leaders and departments—e.g., Chancellor & Cabinet, HR, CoRWE, Media Relations—in rolling out the OPs
 - iii. Suggestions for leveraging the Berkeley OPs in all phases of the HR process: recruitment, hiring, orientation, socialization, training, development, and recognition. (See sample activities provided in II-B.)
 - iv. Modules for current and future training & development courses to enable managers to implement the Berkeley OPs.
 - v. A repository of stories illustrating the success of the Berkeley OPs in action.
 - vi. Suggested SWAG of various sorts to reinforce the OPs (e.g., notepads, posters, etc.)
- e) If elected, the inauguration and assessment of two pilot programs.
- f) Campus roll-out, following pilot assessment (or following completion of detailed implementation plan, if pilots are not elected).

2. Constraints. The successful implementation requires the commitment of the Chancellor and senior leadership, both by way of articulating the importance of the Berkeley Operating Principles and by way of redirecting staff resources toward activities that mainstream the Berkeley OPs (see E and G above).

B. Provide a work plan for the proposed solution with high-level steps to complete the solution, including timeline. (Try to limit your plan to no more than seven steps.)

	MILESTONE	TIMELINE
1.	Draft set of Berkeley Operating Principles to “seed” the proof-of-concept (POC) Berkeley OPs Forum (online conversation), based on: campus survey results, OE Open House participant feedback, focus-group participation by ~100 staff members.	April 2011 (completed)
2.	Proof-of-concept OPs Forum and assessment thereof. Revised draft of Berkeley OPs, to “seed” the campus-wide Forum, based on POC online event and follow-on focus groups with two cohorts of the SLPM.	July-October 2011
3.	Campus-wide Berkeley OPs Forum online conversation (presuming POC assessment is favorable), final draft of the Berkeley OPs options, and final selection of Berkeley OPs by the Chancellor.	October 2011- January 2012
4.	Implementation plan initial draft (see IV-A above). Appointment of OPs professional. Case studies conducted and summarized.	Spring 2012
5.	Implementation plan final draft. Inauguration of two pilot units.	Summer 2012.
6.	Roll-out of the Berkeley Operating Principles throughout the campus.	ASAP, dependent on outcomes of 4 & 5.

C. What are the data requirements for the proposed solution?

1. Feedback from the community to inform the final set of Berkeley Operating Principles:
 - a) Survey results (past surveys)
 - b) Focus groups (February, March and September 2011)
 - c) Berkeley OPs Forums—online conversations (summer and fall 2011)
2. Details of implementation plan (see IV-A above).

D. What are the technical requirements for the proposed solution?

1. Berkeley OPs Forum online conversation software (offered *pro bono* by CSC), technical assistance from IST, and moderating assistance from approximately a half-dozen faculty and staff.
2. Redirected focus of key staff (as noted throughout Part III).
3. Any additional technical requirements are unknown until Berkeley Operating Principles are finalized (and may be nil, except as they relate to other OE initiatives).

E. What are the greatest risks for the proposed solution and the plan to reduce or eliminate the risks.

	RISK	MITIGATION PLAN
1.	Low participation in the Berkeley OPs Forum.	Work closely with CSC consultant, taking advantage of his expertise. <ul style="list-style-type: none"> • Ensure wording of the invitation is compelling. • Assess proof-of-concept OPs Forum and incorporate learning into campus-wide OPs Forum.
2.	Insufficient support of Chancellor and other campus leaders.	Obtain commitment of Chancellor and cabinet before proceeding with the campus-wide Forum and remaining work steps. <ul style="list-style-type: none"> • Presentation to Cabinet, led by Dean Rich Lyons and Professor Jenny Chatman. • Inclusion of SLPM participants in POC Forum and follow-on focus groups. • Focus appropriate modules of the SLPM on the importance of organizational culture to operational excellence, and the relationship between core operating principles and high performance culture.
3.	Insufficient staff resources to mainstream the Berkeley Operating Principles throughout the culture.	Obtain senior leadership commitment to resource requests. <ul style="list-style-type: none"> • Dedicated professional staff member responsible for Berkeley OPs implementation plan, and associated funding. • Redirection of critical staff resources as illustrated in Section III.

F. How does the proposed work plan allow for evaluation and course correction to ensure the outcomes meet the campus needs?

1. Berkeley OPs Forum
 - a) Proof-of-concept OPs Forum provides an opportunity to assess the effectiveness of the online conversational platform.
 - b) Follow-on “live” conversations with SLPM participants provide appropriate opportunity for senior leadership to refine the draft OPs and frame the campus-wide Forum conversation.
 - c) Campus-wide OPs Forum engages the community, building broad authorship and fostering the widespread support necessary to implement the OPs successfully.

- d) Final selection of OPs by the Chancellor establishes the “tone from the top” and ensures that the Berkeley OPs support the following:
 - i. *Campus mission*—teaching, research, and public service
 - ii. *Chancellor’s strategic imperatives*—access, excellence, and inclusion
 - iii. *OE goals*—reduce administrative costs, advance an effective and efficient operating environment, and instill a culture of continuous improvement that leads to high quality performance and outcomes
2. Implementation
 - a) Pilot program (if elected) provides opportunity to evaluate and address difficulties involved in rolling out the Berkeley OPs in two “self-contained” units—ideally one academic and one administrative.
 - b) Case studies provide rich benchmark information about successes and failures that will inform successive drafts of the implementation plan and strengthen the eventual campus-wide roll-out.

V. CHANGE MANAGEMENT

A. What is the change management plan to successfully implement the outcomes of the proposed solution?

1. Leadership commitment
 - a) Engage and inform Chancellor and cabinet—see II-B-1-(d, g, j) and IV-E-2.
 - b) Include vice chancellors and other senior leaders in framing the conversation—see II-B-1-(d, g).
 - c) Highlight the critical enabling role of the OPs in the success of other OE initiatives—see III-A, III-C and III-F.
 - d) Obtain OE executive committee approval of staff resource requests—see II-B-4 and IV-E-3.
2. Campus commitment
 - a) Capitalize on readiness for change—see II-A paragraph four.
 - b) Take a collaborative approach—see III-E.
 - c) Tout the benefits—see III-D and III-G.
 - d) Provide effective implementation tools & activities—see examples in II-B and IV-A-1.
 - e) Communicate results of case studies and pilot programs—see IV-A-1-(c, e) and IV-B-(4,5)

B. What incentives and/or disincentives are proposed to influence behavioral changes necessary for the successful outcome of the proposed solution?

Behavioral change is not *necessary* for the successful outcome—it *IS* the successful outcome. As such, see all of the sections listed under IV-A.

C. Who has been identified as the change leaders and implementers to carry out the changes necessary for the successful outcome of the proposed solution?

1. Leaders
 - a) Chancellor
 - b) Vice chancellors and direct reports
 - c) Deans and direct reports
2. Implementers
 - a) Dedicated OPs staff leader—for developing & executing the implementation plan, being an OPs champion, and coordinating the resources of other campus units that will be critical to successfully implementing the OPs across campus.

- b) Human Resources—for developing tools & activities related to recruitment, hiring, professional development, and appraisal.
- c) Media Relations—for developing tools & activities related to communicating and profiling OPs successes.
- d) Departmental managers—for implementing the OPs in their units.

VI. FUNDING MODEL AND BUDGET

A. Could the proposed solution move forward with partial funding? If yes, describe the revised scope, including the associated savings impact.

No funding is requested for the Berkeley OPs Forum. Implementation of the OPs cannot move forward without the redirection of staff focus described in Section III-E, III-G, and V-C. Implementation would be jeopardized without the dedicated professional staff resources requested.

B. What is the plan for sustainable funding to support ongoing operations of the proposed solution?

The High Performance Culture initiative is a critical enabler and does not have a savings target, and we have no “cost-benefit” analysis for sustaining the Berkeley OPs implementation over time. Savings are derivative, stemming from improved systems, processes, and staff engagement—and while therefore difficult to quantify they are, nonetheless, real and significant.

The cultural changes anticipated are non-trivial. To succeed, they require both a high level champion with the authority to mandate widespread adoption of the OPs and the redirection of critical support functions such as HR—i.e., the Chancellor—as well as a dedicated professional who can develop and implement a strategy to transform our culture by weaving the OPs throughout our operations. We are requesting OE funding for this position and related implementation expenses.

C. Please download and fill out the OE Resource Request Budget Template located at [location] and follow the instructions on the first worksheet in the workbook to complete the budget and line descriptions. Include both completed sheets with the Resource Request.

VII. ASSESSMENT PLAN

A. Financial benefits

1. Culturally ingrained OPs create *shared expectations about appropriate behavior*, reducing a reliance on supervisory oversight and fostering in its place self- and peer-regulated performance. In this sort of environment, errors or violations are seen not so much as “breaking the rules” but more as “letting my team down”. When employees are monitoring themselves and one another in this fashion, administrative costs associated with compliance are reduced.
2. Because the OPs will be incorporated into recruitment and hiring practices, we will improve the “person-culture fit” right at the hiring stage—improving our ability to attract & retain the “right” people for the jobs, and lowering the costs of employee turnover and low performance.
3. Examples of metrics:
 - a) Number of interview processes that include some formal evaluation of fit based on the OPs. Percent of new staff hires who are introduced to the OPs via an orientation or other onboarding process sometime within their first week of work.
 - i. Commensurate reduction in voluntary turnover of high performing staff.

- ii. Commensurate reduction in employees released during probationary period.
- b) Number of stories each year (e.g. in the News Center, leadership speeches, etc.) describing instances in which cost-effective work was inspired by or attributed to the OPs.

B. Operational performance benefits

1. The Berkeley OPs will define a high-performance culture in support of Berkeley’s mission, strategic imperative, and OE goals—i.e., they will enable us to shape our culture intentionally and redefine “the Berkeley way.”
2. Most likely, some Berkeley OPs will touch expressly upon OE goals. The draft OPs, for example, include a principle of continuous improvement (“always learning & improving”). Through the conscious integration of the Berkeley OPs into all aspects of our operating culture, managers and individual contributors alike will internalize the OE goals reflected in the OPs and align decision-making and operational activities with those goals.
3. Culturally ingrained OPs enable individuals to respond to situations that are unpredictable, non-routine, and difficult to anticipate or solve. In short, they empower staff to make decisions, even in situations where there are no standards or rules to turn to, and ensure that those decisions are sound. A strong culture with clearly defined and widely shared Berkeley OPs therefore supports effectiveness, continuous improvement, and high performance.
4. Sample metrics:
 - a) Percent of leaders—cabinet members, deans, CAOs, etc.—who can name all the OPs and provide at least one example of how they support operational excellence.
 - b) Number of stories each year (e.g., in the News Center, leadership speeches, etc.) that illustrate the tie between the OPs and high performance outcomes.
 - c) Percent of training and professional development modules that integrate the OPs, as identified in annual inventories.
 - d) Improvement in those questions on the Climate Survey that explicitly address the OPs. (For example, if “continuous improvement” or a variant is one of the final OPs, then we would hope to see steady improvement on the questions, “my supervisor is open to ideas about how to improve the work process” and “in the last 3 years I have had an opportunity to learn important new job skills”.)

C. Product / service quality benefits

1. Faculty and students will benefit by improved staff support (customer service) across all campus activities—whether they be in the areas of financial management, student services, IT support, personnel management, or physical plant. Improved staff support is the result of intentional mainstreaming of the Berkeley OPs.
2. By their nature and through their intentional integration throughout the culture, the OPs will influence existing and future business systems and processes. For example, if one of the Berkeley Operating Principles turns out to be “continuous improvement” (or a variant), the integration of that value into Berkeley’s cultural fabric means that managers and individual contributors alike will begin routinely to ask questions such as, “is there a better way to do this?”, “what are the best practices for this activity on campus or elsewhere?”, and even “do we need to do this at all?”.
3. Sample metrics:
 - a) Number of stories each year (e.g., in the News Center, in leadership speeches) that draw a connection between the OPs and Operational Excellence (improved systems, processes, and/or customer service).
 - b) Number of such stories that are integrated into orientation programs and other onboarding activities for new employees.
 - c) Number of such stories that are integrated into staff training & professional development modules.

- d) Improvement in those questions on the Climate Survey that explicitly address customer service. (For example, *“In the last 3 years I have had an opportunity to provide excellent service to clientele.”*)

D. Employee satisfaction

1. Managers and individual contributors alike will benefit from knowing exactly what Berkeley OPs and associated behaviors the campus prizes, and how they support the overall campus mission and OE goals. Expectations will be clear, and rewards aligned, at every stage.
2. Berkeley’s OPs will help focus campus resources, and will unify faculty, staff, and student employees around a common set of behavioral expectations to which we hold one another accountable.
3. Sample metrics:
 - a) Number of interview processes that include some formal evaluation of fit based on the OPs.
 - b) Percent of new staff hires who are introduced to the OPs via an orientation or other onboarding process sometime within their first week of work.
 - c) Percent of training and professional development modules that integrate the OPs, as identified in annual inventories.
 - d) Number of Achievement Awards, SPOT Awards, and other instances of employee recognition that are expressly tied to the OPs.
 - e) Number of stories that highlight those awards.
 - f) Number of questions in the Climate Survey that explicitly address the OPs, and survey results that demonstrate increasing employee engagement & satisfaction.

E. Customer satisfaction

1. Tightly coupled with VI-C above.

VIII. APPENDIX: BERKELEY OPERATING PRINCIPLES (Initial Draft)

BERKELEY OPERATING PRINCIPLES	BERKELEY OPERATING PRINCIPLES IN ACTION
One campus, one Cal — excellence through collaboration	<ul style="list-style-type: none"> • We seek meaningful partnerships where they will help us accomplish our work. • We are not limited by organizational silos, nor by unwarranted distinctions between functions, titles, or roles. • We are open to a variety of perspectives and opinions, knowing the “right” solution might come from anyone, anywhere.
A purpose-driven organization	<ul style="list-style-type: none"> • Every project and decision has a clear alignment with our mission, strategic imperatives, or OE goals. • Every project has a single sponsor and a single project manager; every decision has a single decision-maker. Roles for all other participants are clearly defined at the start of the project. • Projects and decisions are well structured—including a well-defined problem/charge, articulated assumptions, delineated resources and constraints, a timeline, an implementation plan and a communications plan. • The process exists to serve the outcome—when the deliberations have concluded, we act.
Keep it simple	<ul style="list-style-type: none"> • Standardization is the norm, customization is the exception. • Information is easy to find and easy to use—policies, processes and data are all easily accessed. • Processes are efficient and effective—we focus on higher-value work and eliminate redundant work.
Always learning and improving	<ul style="list-style-type: none"> • We embrace continual improvement and nimbly adapt to change. • We value purpose-driven creativity (wider problem framing) and innovation (building a better mousetrap) with purpose. • We have well-defined goals for all projects and processes, and we use the results of immediate/frequent feedback to improve continually our processes, service delivery, and individual performance.
Open, honest, and frequent communication	<ul style="list-style-type: none"> • We share information widely and willingly. • We listen actively and speak with candor. • We provide immediate feedback on group and individual performance, reinforcing high performance and addressing underperformance. • We celebrate successes, publicly and often.