

FINAL DRAFT

University of California Office of the President

UC LEGAL DIVISION
2019-2024 STRATEGIC PLAN

UNIVERSITY
OF
CALIFORNIA

Introduction

Welcome to the UC Legal Strategic Plan. At its core, UC Legal is a service organization that exists to serve the mission of the University and the interests of its leaders and constituents. It is our profound privilege to serve an institution that is unique in the world in providing access and excellence at an unmatched scale. UC Legal is committed to being a critical player in the drive to accelerate the creation of knowledge and the expansion of opportunity for all Californians and for the world beyond.

In an era of reduced public support and increasing demands, the University is increasingly challenged to find new ways and different approaches to advancing its remarkable mission. This UC Legal Strategic Plan is designed to advance key University priorities and to position UC Legal to deliver even more effective and efficient service over the next five years. Our plan consists of fourteen specific goals falling broadly into the categories of: client priorities, efficient resourcing and financial stability, team development and engagement, and technological excellence.

As we embark on the next five years, the university's legal function has adopted a new brand: **UC Legal**. The brand is intended to encompass the totality of the legal expertise relied upon to meet the University's legal needs: the central office legal staff, the campus-based legal staff, and outside counsel. Together, these components support the prosecution of over 10,000 active patents, oversight of a \$8.6B capital improvement plan (new construction, renovations, deferred maintenance etc.), management of over 800 active litigation matters, pursuit of hundreds of commercial and investment transactions, and active support of an extraordinary research and clinical enterprise, among a myriad of other legal activities. These highlights are part of the broader UC Legal responsibility to provide exceptional legal service while keeping pace with an ever-growing \$36 billion enterprise that pursues an immensely broad set of endeavors across its ten campuses, six medical centers, three affiliated national laboratories, the Office of the President and the diverse community of respective stakeholders.

Our aim is to leverage our resources, human and technological, such that the effectiveness and efficiency of our services, like the University, is unmatched. We will achieve these goals by relying upon our core values of: excellence, client-centered service, teamwork, integrity, and diversity and inclusion. We approach the next five years (and indeed the future beyond) with a great deal of optimism for the successes of the University and a renewed commitment to be a significant player in those successes. Thank you for your partnership as we continue that journey.

On behalf of UC Legal,

Charles F. Robinson
General Counsel and Vice President – Legal Affairs

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2019 UC Legal Strategic Planning Team

The UC Legal strategic planning team was comprised of the following individuals from **systemwide** leadership who met eight times between June 2018 and February 2019.

NAME	LOCATION	TITLE
Charles Robinson	Oakland	General Counsel & VP
Paul Atwood	Oakland	Legal Information Services Manager – Legal Operations
David Bergquist	Riverside	Chief Counsel
Jeffrey Blair	Berkeley Lab	Chief Counsel
Mick Cox	Oakland	Executive Director – Legal Operations
Kelly Drumm	Oakland	Chief of Staff & Special Counsel
Andrea Gunn Eaton	Irvine	Chief Counsel
Geoffrey Gibbs	Oakland	Special Counsel – Business, Finance & Innovation
Elisabeth Gunther	Merced	Chief Counsel
Nancy Hamill	Santa Barbara	Chief Counsel
Norman Hamill	Oakland	Managing Counsel – Litigation
Louise Nelson	Los Angeles	Chief Counsel
Rachel Nosowsky	Oakland	Deputy General Counsel – Health Affairs & Technology Law
Dan Park	San Diego	Chief Counsel
Lorena Peñaloza	Santa Cruz	Chief Counsel
David Robinson	Berkeley	Chief Counsel
Greta Schnetzler	San Francisco	Chief Counsel
Maria Shanle	Oakland	Managing Counsel – Education Affairs & Governance
Marty Simpson	Oakland	Managing Counsel – Intellectual Property
Holly St. John	Oakland	Managing Counsel – Capital Strategies
Michael Sweeney	Davis	Chief Counsel
Hoyt Sze	Oakland	Managing Counsel – Health Affairs
Allison Woodall	Oakland	Deputy General Counsel – Education Affairs, Employment & Governance
Margaret Wu	Oakland	Deputy General Counsel – Litigation & Capital Strategies

Facilitators: Julian Ryu, Senior Program Manager and Sam Gersten, Program Analyst - UCOP Strategy & Program Management Office

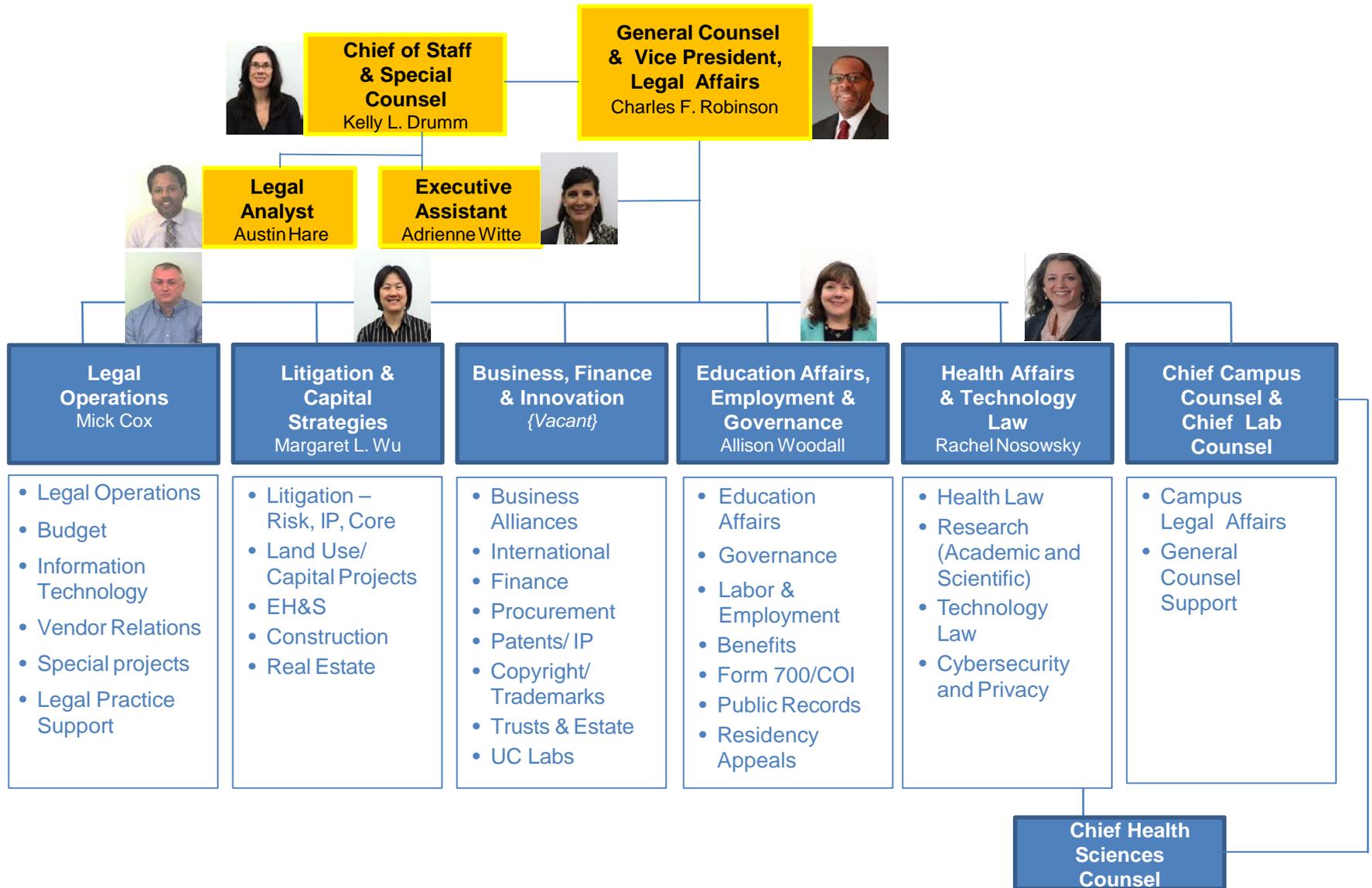
Strategic Plan Purpose

This strategic plan was developed to guide the UC Legal Division in focusing its energy and resources on actions that will best position the University of California's legal function to achieve its mission to serve the University.

The strategic plan establishes a multi-year framework that allows UC Legal to prioritize resources to most effectively serve its UC clients systemwide. The plan provides specific goals to advance UC priorities and to establish the optimal service delivery model – across the Oakland Central Office, Campus Legal Affairs Offices, and outside counsel – in a financially sustainable manner. The plan also looks inwardly to advance UC Legal's people and to enhance the division's technology needs.

UC Legal is the sixth division of the University of California, Office of the President (UCOP) to embark on a standardized strategic planning process. The UC Legal plan is compatible in format and approach with those of the Chief Financial Officer, Chief Operating Officer, Agriculture and Natural Resources, Academic Affairs, and UC Health divisions. UC Legal is different, however, in that their plan is a systemwide plan and does not apply only for the Office of the President.

UC Legal Organization Structure



Strategic Planning Decision Drivers

Strategic Planning Decision Drivers

The following decision factors were considered as the UC Legal mission, vision, values, strategic objectives, and goals were developed:

1. The mission of the University of California
2. The role of UC Legal as a systemwide office to serve the ten campuses, five medical centers, and three labs
3. The role of UC Legal to provide premier client service and strategic guidance
4. Market conditions and trends
5. The optimal use of UC Legal's three channels to serve the University – Campus Legal Affairs Offices, the Oakland Central Office, and Outside Attorney Law Firms
6. Internal Division feedback on strengths, weaknesses, opportunities, and threats (SWOT)
7. Input from UC Legal clients across functions and locations regarding specific legal service needs

General Counsel Role

The UC Legal strategic plan reflects the General Counsel's dual reporting role to the Board of Regents and the President as the Chief Legal Officer of the University

General Counsel reports to both the Board and President

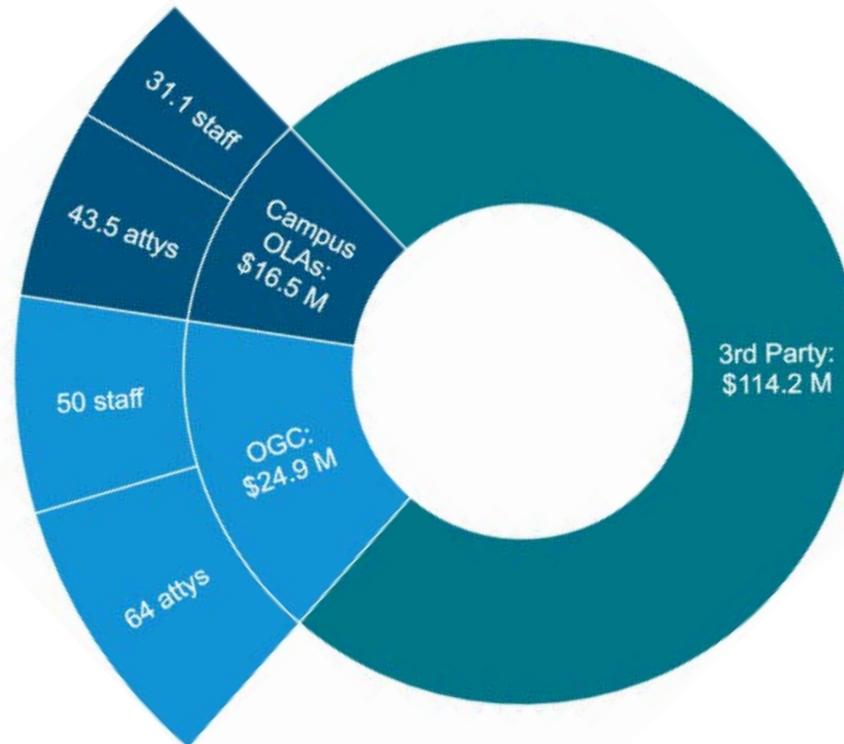
- Board has full access to General Counsel and vice versa
- General Counsel has independent authority to provide advice and counsel on applicable law, legal risks and opportunities

General Counsel Responsibilities

- Chief Legal Officer of University with charge over all legal matters
- Attends all Board meetings, represents Corporation in all legal proceedings, advises Board, President and senior administrators
- Oversees all in-house attorneys and staff in Oakland, campuses, medical centers and LBNL (114 attorneys)

UC Legal '3 Legged Stool' Imbalance

Goals within the UC Legal strategic plan reflect the current financial imbalance between OGC (Oakland Central Office), Campus Legal Affairs Offices, and Outside Attorney Law Firms

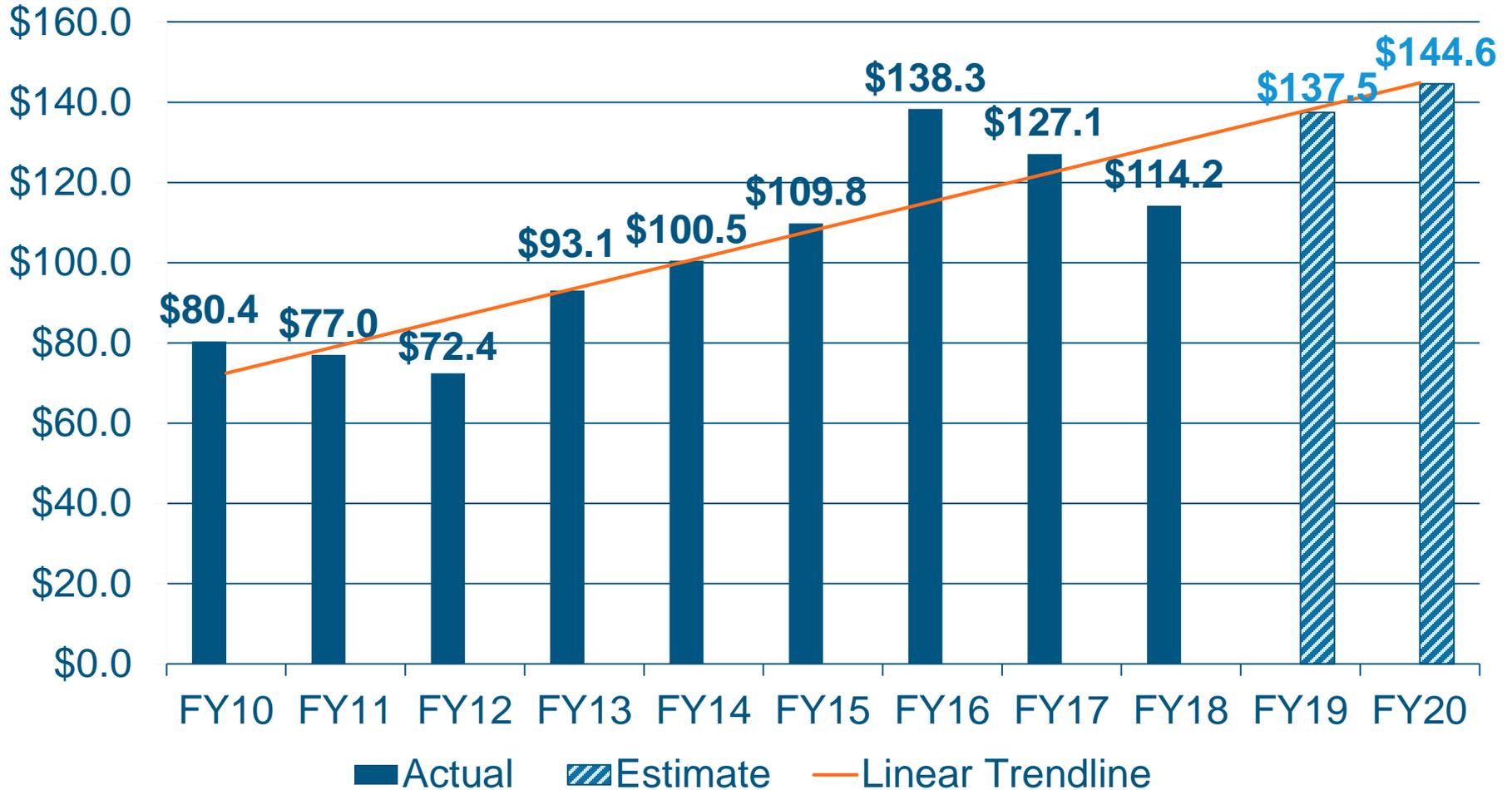


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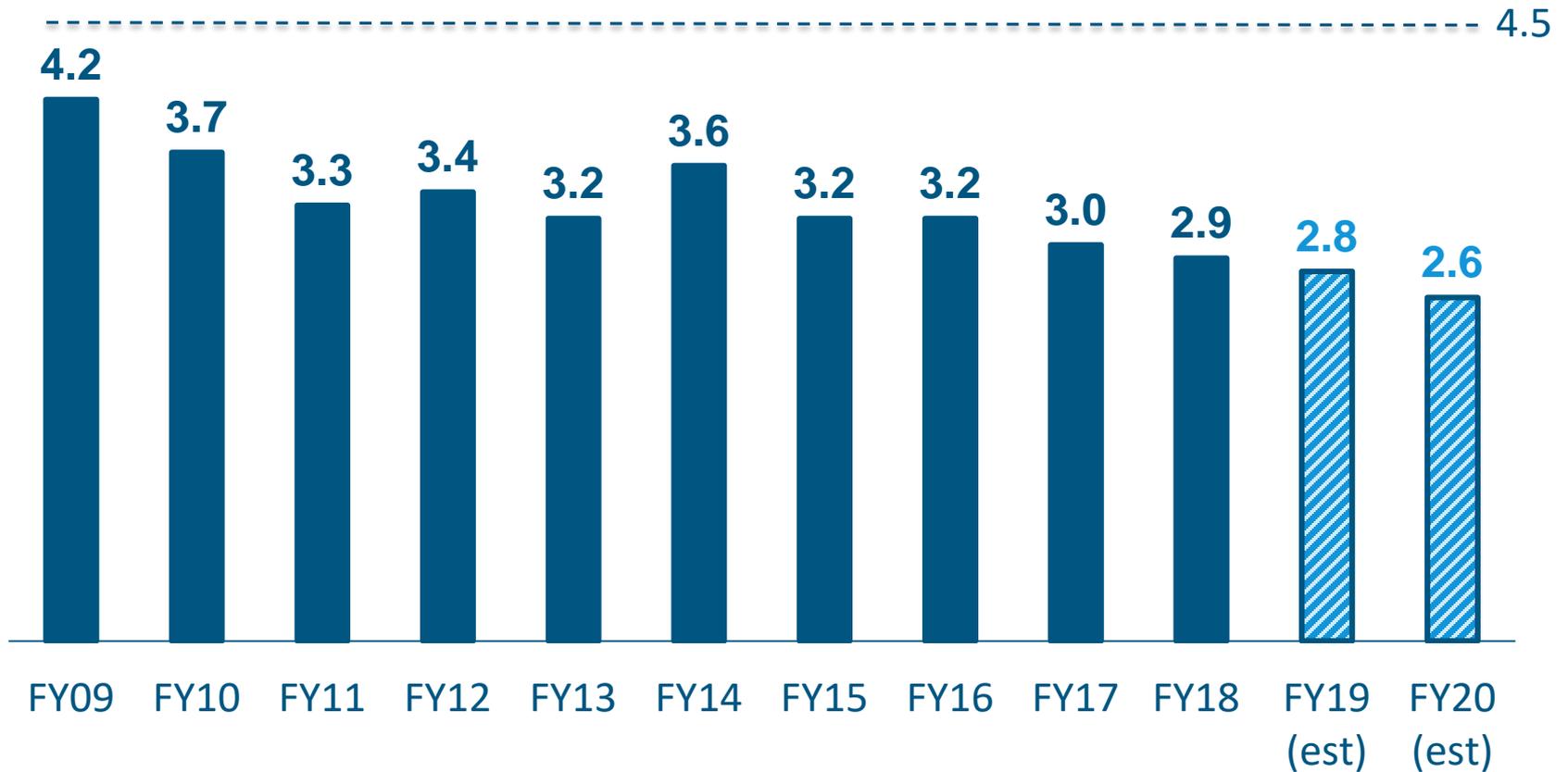
- Financials based on FY18 actuals: total spend \$155.5 M
- Headcount based on FY19 budgeted roles
- 3rd Party spend includes Core (\$28.6 M), Risk (\$41.4 M), and IP (\$44.2 M) programs

Outside Counsel Spend Trending Upward

(\$ Millions - Gross)



Attorneys per \$Billion at Historic Lows



Source: Value Strategies consulting benchmark guidance: 4.5 attorneys / \$billion revenue, 2017

Funding Overview: UC Legal Programs

Core

- Outside counsel bills passed through to client FAU (FY18: \$28.6 M; 25%)
- In-house legal funding: ~55% from state allocated funds and ~45% from campuses via a special OGC recharge as fee for service
 - Percentages slightly fluctuate year to year
 - 45% allocated to campuses based on past usage and size of campus (operating expenses)
 - Exception: some in-house roles funded 100% via restricted sources (e.g. OCIO)

Risk

- Campuses and departments pay Risk Services akin to insurance premiums, which covers in-house and 3rd party legal costs, among other activities
- FY18 Outside Counsel spend: \$41.4 M (36.3%)

IP

- Local campus-driven patent prosecution is large majority of spend handled via Patent Tracking System, much of which is reimbursed by licensees
- FY18 Outside Counsel spend: \$44.2 M (38.7%)

Responding To Client Input

- Prior to commencing the strategic planning process, a needs survey was sent to 165 UC Legal stakeholders & clients eliciting:
 1. The top priorities their units will be focusing on over the next 3-5 years
 2. 3-5 things the office of UC Legal could do to specifically help each unit advance those priorities (see most frequent campus requests on next page)
 - 58 people responded (35%) representing all locations, UCOP, and Regents including:
 - Regents (3)
 - Chancellors (4)
 - Provosts (4)
 - Directors of Planning (4)
 - Vice Chancellors of Planning & Budget (5)
- Client feedback helped identify specific goals, particularly pertaining to the strategic objective of “Advancing UC Priorities.”
- The draft plan will be presented to the Chancellors and to the UCOP Division Leaders for feedback and guidance on implementation.

Opportunities from Client Pre-Survey

The following types of service and subject matter areas for possible UC Legal support were those most frequently mentioned on the client survey. Each of these areas was addressed in one or more UC Legal goals.

Types of Service:

1. Sharing Best Practices
2. Clarifying autonomy of campuses
3. Risk & compliance support
4. Pro-active guidance and identification of legal issues
5. Guidance on transacting agreements
6. Guidance on polices & procedures

Subject Matter Areas:

1. Capital Projects
2. Intellectual Property
3. Fundraising
4. SVSH & Title IX
5. Diversity
6. Free Speech

Reflecting UC Legal SWOT Analysis

To ensure the plan's responsiveness to current organization and environmental conditions, the following considerations were outlined through an internal SWOT analysis

Strengths

- Expertise and experience of attorneys and staff
- Collegiality and positive work environment
- Dedicated staff with strong work ethic
- Collaboration and team work
- Dedication to Mission
- High quality of service
- Leadership
- Problem solving and creativity
- Ethics, integrity, respect
- Trust and reputation
- Strong client relationships
- Diversity

Opportunities

- Raise reputation and visibility
- Improve legal technology
- Improve collaboration with outside legal teams and thought partners
- Improve client relationships
- Enhance campus counsel staffing and campus capabilities
- More insourcing to control outside counsel spend
- Support career development across UC

Weaknesses

- Understaffed
- Overworked staff
- Poor work environment and low morale
- Lack of internal communication
- Micromanagement
- Misallocation of work and unclear responsibilities
- Siloed
- Limited authority with decision making
- Lack of cohesion as one OGC (UC Legal)
- Too reactive without enough planning
- Not enough career development opportunities
- Technology does not meet needs

Threats

- Budget pressure and budget cuts
- Political pressure from UC
- Poor public perception and reputation
- Better compensation outside UC
- Inability to add staff
- Limited delegation and decision making authority within UC
- HR process does not meet UC Legal's needs

UC Legal Mission, Vision, and Values

UC Legal Division Mission

Our Mission:

UC Legal, working collaboratively with our clients, advances the University's mission through cogent advice, zealous advocacy, and proactive and ethical counsel.

UC Legal Division Vision

Our Vision:

UC Legal will spark the next wave of legal practice and client service innovations industry-wide by re-imagining the ways we deliver value.

❖ Vivid Description:

UC Legal will:

- *Develop new business models and novel modes of allocating risk and sharing reward to facilitate greater research, commercial and clinical collaboration opportunities across disciplines, industries and geographies.*
- *Establish new norms and new rules of engagement for operating in a more virtual and/or autonomous future.*
- *Build upon the framework for preserving privacy and will incent best practices for securing our networks, in a world that is increasingly interconnected.*
- *Promote tolerance and champion new processes and programs for resolving the inevitable conflicts that will arise from greater engagement across cultures.*
- *Marshal our collective knowledge, experience and data sets to deliver more targeted services and to predict client needs even before they emerge above the horizon.*
- *Engage an inspired and diverse team, and fully integrate our processes and resources across all locations, to apply the full weight of our expertise on meeting our client's most pressing challenges.*
- *Maximize our use of cutting-edge and secure technology solutions to augment our resources and to extend the reach of our services.*
- *Leverage our influence as a client of choice to promote new categories of legal service providers, to reconfigure prevailing billing standards, and to foster a legal industry that is more accessible and inclusive for diverse groups of practitioners.*
- *Join forces with our world class faculty to train future generations of professionals and to explore means toward establishing a more just society.*

Through commitment to and achievement of these ambitions, UC Legal will be recognized and admired as the top legal department in the nation for the best university system on the planet (best for the best, or B4B).

UC Legal Division Core Values

EXCELLENCE

We apply rigor and diligence to our work and adhere to the highest standards of professionalism, quality, and expertise.

CLIENT-CENTERED SERVICE

We understand our clients' objectives and timely meet their needs. We identify opportunities and risks and develop solutions to accomplish desired results.

TEAMWORK

We collaborate and share knowledge with our colleagues and clients to achieve the best outcomes. We are accountable for doing our part and delivering results.

INTEGRITY

We model ethical, accountable, and principled actions. We treat all people with respect, professionalism and fairness.

DIVERSITY & INCLUSION

We value differences in thought, opinion, perspective and life experience. We recognize the potential of all individuals to make a positive contribution to the community, celebrate diversity in our teams and expect the same from our partners.



UC Legal Strategic Objectives and Goals

UC Legal Division Strategic Objectives

- The following five strategic objectives are broad-based, long-term aims that will move the division towards actualizing its vision. All UC Legal goals support one of these strategic objectives.

Advancing UC Priorities	Serve as strategic advisers to advance priorities and shape solutions for the University
Service Delivery Model	Develop and implement a dynamic, sustainable organizational model for delivery of legal services across UC
Financial Stability & Predictability	Establish client-focused models and procedures to maximize value and predictability
People	Attract, develop, and retain diverse, highly-qualified productive and talented people who exemplify our core values and thrive in a culture of service and innovation
Technology Transformation	Optimize technology to increase efficiency, support data-driven decision-making and improve user experience

UC Legal Division Goal Snapshot

Strategic Objective	Goal #	Author	Goal Short Title	Priority
Advancing UC Priorities	1	Drumm	Enhance Regents Support	●
	2	Na. Hamill	Increase Student/Faculty/Leadership Diversity	●
	3	Simpson	Reconcile University Policy in IP Commercialization	■
	4	Eaton	Establish Center of Excellence	◆
Service Delivery Model	5	C. Robinson	Develop Solutions to Funding/Accountability Misalignment	●
	6	Nosowsky	Develop Solutions to Bandwidth Gap	●
Financial Stability & Predictability	7	No. Hamill	Expand Alternative Fee Arrangements	■
	8	Bergquist	Maximize Affirmative Recoveries	◆
People	9	Shanle	Enhance UCL Team Member Engagement and Satisfaction	●
	10	Wu	Increase Outside Counsel Diversity and Inclusion	■
	11	Peñaloza	Improve Talent Management	■
Technology Transformation	12	Woodall	Optimize Systemwide Matter Management	●
	13	Schnetzler	Report and Track Key Performance Indicators	●
	14	Sze	Ensure Information Security/Confidentiality	■

Priority Key: ● : High Impact and/or High Urgency ■ : High/Moderate Impact and Moderate Urgency ◆ : High/Moderate Impact and Less Urgency

Advancing UC Priorities

Lead: OGC Immediate Office

Priority: ●

Goal: Implement tools and processes to deliver enhanced information to Board leadership related to Regents action items, material University developments, and legal risks beginning in 2019, resulting in a 90% satisfaction rate of Board leadership in the quality of information provided by July 2023.

Opportunity:

- Because the issues facing the Board are increasingly complex, and there is an increasing desire for detailed information around legal and business risks, the current ad hoc processes for the General Counsel to provide information to Board leadership are in need of enhancement.
- The Board of Regents has adopted policies requiring heightened reporting and communication by its dual reports, including the General Counsel.

Proposed Solution:

- Prior to scheduled Regents meetings, provide Board leadership with written briefing materials on agenda items that raise significant legal or business issues, and include refreshers on governance and public accountability topics (e.g., open meeting; COI; CPRA; confidentiality).
- Provide written materials to Board leadership (or make presentations at Regents meetings) on significant or emerging legal issues.

Benefits:

- Assist the Regents in meeting their fiduciary responsibilities to exercise reasonable care, including undertaking reasonable inquiry in performing their Board responsibilities, and making reasoned and informed decisions based on available information. (Bylaws 21.1; 21.5).
- Provide enhanced information in connection with General Counsel’s individual meetings with the Chair (Regents Policy 7307).
- Provide more robust reporting to the Board on any significant concerns regarding the Office of the President that would result in substantial financial, reputational or other harm to the University (Bylaw 23.5(b)).
- Provide a mechanism for refreshing the Board on important governance and public accountability topics that are currently addressed only during each Regent’s initial orientation.
- Enhance Regents understanding of the value added by the Office of the General Counsel.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
1	Implement tools and processes to deliver enhanced information to Board leadership related to Regents action items, material University developments, and legal risks beginning in 2019, resulting in a 90% satisfaction rate of Board leadership in the quality of information provided by July 2023.					
1a	Develop and implement process for creating pre-meeting briefing materials. Build from existing processes for briefing Charlie. Create process and criteria for flagging legal issues and risks for inclusion in materials for Board leadership. Governance group to provide additional “refresher” material. By December 2019					
1b	Develop process for identifying emerging legal issues and risks appropriate for between-meeting briefings to Board leadership (and/or Regent meeting presentations). Build from existing weekly reports to GC from DGCs. Create process and criteria for flagging issues appropriate for Board information. By March 2020					
1c	Develop consultation process for discussing legal issues and business risks with internal and campus stakeholders. By March 2020					
1d	Develop internal UC Legal mechanism for tracking material advice provided in connection with Regents items and whether the advice was accepted; develop process and criteria for elevating concerns to OGC leadership for determination about whether to inform Regents if advice not accepted. By July 2020					
1e	Identify and market “early advice” team to support UCOP and campus item sponsors; team to include OGC attorneys and campus counsel, to provide support for written item and presentations. By July 2020					
1f	Measure satisfaction rate of Board Leadership starting in July 2021.					
1g	Release Board Satisfaction survey and communicate results by July 2023.					

Goal: Implement tools and processes to deliver enhanced information to Board leadership related to Regents action items, material University developments, and legal risks beginning in 2019, resulting in a 90% satisfaction rate of Board leadership in the quality of information provided by July 2023.

Assumptions:

- Regents have a desire for more regular and robust legal briefing materials
- Secretary and Chief of Staff's office cooperates with uploading materials to Diligent Boardbooks (to the extent that is the chosen delivery method).

Metrics and Targets:

- Baseline satisfaction survey of Board leadership to be performed in December 2019
- GC to obtain informal evaluation of briefing process from Board Chair at least annually; target is meets or exceeds expectations.
- Satisfaction survey in 2023 of Board leadership; target is 90% satisfaction rate among Board leadership in the quality of information provided

Advancing UC Priorities

Lead: Educational Affairs

Priority: ●

Goal: Support key client groups (e.g. Provosts, Academic Senate, Deans, Admissions Directors, CHROs) in developing and implementing new or innovative, scalable programs to increase the number of women and underrepresented racial / ethnic minority students, faculty, and administrative leadership in underserved areas and programs across the university by the end of FY20-21.

Opportunity:

There are many areas and programs within the University that lack diversity and that would benefit from a more robust mix of viewpoints and perspectives. Campuses would benefit from clearly defined legal parameters and guidelines associated with recruitment and hiring to allow them to develop programs that address this concern. Legal restrictions often are perceived as hampering the development of new programs. Collaboration among UC Legal and key clients is intended to inform the process of developing new programs and to eliminate perceived barriers.

Proposed Solution:

Identify and partner with key OP and campus clients to brainstorm areas most in need of an infusion of diversity and propose novel approaches to increasing diversity that arguably fall within the legal guardrails. Issue spot the legal challenges that these proposed programs present. Assess risks, recommend strategies, and track results to eliminate real and perceived barriers. Assist with any legal issues identified in retrospective review of programs successes, failures, and areas for improvement. This goal will be carried out in collaboration with and support of the Provost, Campus Provosts and Deans, and the Academic Personnel Offices. The objective of this goal is to increase participation of women and underrepresented minorities in specific areas where they are not well-represented. In developing and selecting pilot programs, emphasis should be given to programs that are scalable and transferrable to ensure the widest possible impact.

Benefits:

1. Achieve more robust mix of viewpoints and perspectives across more areas of the university.
2. Diverse viewpoints and experiences may lead to new discoveries.
3. Inspire the next generation of students and workforce and increase opportunities.
4. Generate user-friendly, practical, legal guidance to facilitate implementation of new programs

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
2	Support key client groups (e.g. Provosts, Academic Senate, Admissions Directors, CHROS, Deans) in developing and facilitating the implementation of new innovative, scalable programs to increase the number of women and racial / ethnic minority students, faculty, and leadership participation in underserved areas / programs in the university end of FY20-21.					
2a	Assemble UC Legal project team and identify key OP and campus clients to socialize the concept and solicit creative ideas by October 2019					
2b	Meet and brainstorm with key clients by April 2020					
2c	Issue spotting and risk assessment; development of written guidance December 2020					
2d	Select initiatives to pursue and create tracking dashboard by March 2021					
2e	Implement and begin tracking initiatives in June 2021					
2f	Review programs retrospectively to avoid future failures and expand upon successes beginning 2-5 years from implementation, starting in June 2023					

Goal: Support key client groups (e.g. Provosts, Academic Senate, Deans, Admissions Directors, CHROs) in developing and implementing new or innovative, scalable programs to increase the number of women and underrepresented racial / ethnic minority students, faculty, and administrative leadership in underserved areas and programs across the university by the end of FY20-21.

Assumptions:

1. Areas most in need of an infusion of diversity are receptive to efforts to broaden diversity. Meetings should include discussion of any opposing viewpoints.
2. University leadership will remain committed to this goal. Political temperament and risk tolerance could change with any potential future changes in leadership.
3. Key clients view legal support and collaboration as needed and useful in this area.
4. Policies and political environment do not create barriers.
5. Academic Affairs will stand up or own the effort, with UC Legal advising.

Metrics and Targets:

1. Number of new proposals identified in wide variety of university units / areas
2. Number of new proposals developed to point of roll out
3. Percentage increase in diverse employees, faculty, students, leadership over a period of 5-10 years

Additional Information:

- In 2015, OGC Legal previously issued “Guidelines for Addressing Race and Gender Equity in Academic Programs in Compliance with Proposition 209”. This goal is a continuation and extension of that prior deliverable.

Advancing UC Priorities

Lead: Business, Finance, Innovation

Priority: ■

Goal: Articulate and reconcile the University’s policy objectives in its IP Commercialization mission in partnership with campuses and OP and implement those policy objectives by FY22-23 to position UC Legal as a strategic partner in achieving those objectives.

Opportunity:

IP commercialization and technology transfer represent an uneasy compromise between two greater goals of the UC system: academic freedom and income maximization. As a result, it is not uncommon for all parties participating in the process to complain of inequity in the system: external stakeholders complain that the university’s policy requirements in support of academic freedom reduce the economic value of the assets being licensed, while internal stakeholders argue that seeking economic profit from scholastic work represents an unacceptable monetization of the academic enterprise. It is the struggle to reconcile these two goals that causes the perceived friction in the commercialization process and not any individual failing on the part of the campuses or OP. Because of UC Legal’s unique role in the UC system as a liaison between campus technology transfer offices as a negotiation partner and internal senior management as an advisor, UC Legal can play a key role in reconciling these policy goals and in crafting business solutions in the IP commercialization space that promote both efficiency and thoughtfulness to our business partners, the specific local campus ecosystems, and our system leadership.

Proposed Solution:

The IP Legal team will facilitate conversations with key stakeholders in senior management to 1) identify the various policy goals at issue in IP commercialization and 2) determine how best to reconcile those goals systemwide. With this guidance, the IP Legal Team will then 1) conduct a legal review of the IP licensing process and identify areas for procedural streamlining and improvement and 2) work in conjunction with individual campus technology transfer offices and the OP Knowledge Transfer Office to implement policies and procedures, consistent with overall policy goals by FY23.

Benefits:

1. Internal and external participants should find a smoother path toward mutually agreeable commercialization deals.
2. Campus and OP teams will be engaged in a holistic conversation to seek clarity and alignment on the systemwide goals underlying the IP commercialization enterprise, which will provide guidance to the technology transfer offices in negotiations.
3. UC Legal can leverage its unique position as the central hub between campus technology transfer offices and OP policy leadership to identify systemic concerns and facilitate a thoughtful conversation among the appropriate parties about the overall goals of the university in supporting IP commercialization.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
3	Articulate and reconcile the University’s policy objectives in its IP Commercialization mission in partnership with campuses and OP and implement those policy objectives by FY22-23 to position UC Legal as a strategic partner in achieving those objectives.					
3a	Identify key stakeholders, which may include: campus technology transfer directors, campus VCRs, campus health VCs, campus provosts, campus commercialization incubators, campus student activist groups, campus counsel, OP VP Innovation, OP Knowledge Transfer Office, OP CFO, OP provost by December 2020					
3b	Draft materials for internal stakeholder review by June 2021					
3c	Solicit input from select stakeholders via efficient 1:1 or group conversations by December 2021					
3d	Review input from stakeholders and conduct legal review of licensing process by June 2022					
3e	Publish results of internal assessment to UCL leadership and all internal key stakeholders, including a recommended course of action and changes to commercialization process by June 2022					
3f	Begin conversation among internal key stakeholder leadership and further goal development by FY22-23					

Goal: Articulate and reconcile the University's policy objectives in its IP Commercialization mission in partnership with campuses and OP and implement those policy objectives by FY22-23 to position UC Legal as a strategic partner in achieving those objectives.

Assumptions:

1. Stakeholders at OP and the campus have availability for and interest in these discussions.
2. Senior management at OP and the campuses can reach consensus on determining the overall policy goals in this space.
3. Internal and external critics are willing to engage the university on these issues in good faith.

Metrics and Targets:

1. Cross-functional workgroup with established governance in place to shape and reconcile policy by September 2021
2. Publication of report and recommendations for a systemwide commercialization strategy by June 2022
3. Report reviewed with all stakeholders by FY23

Additional Information:

Time from non-UC Legal stakeholders will be needed (I&E, TTOs, VCRs, etc.)

Advancing UC Priorities

Lead: Campus Chief (TBD) /
OGC Immediate Office

Priority: ◆

Goal: By 2023, UC Legal will operationalize the Education and Training Center of Excellence (ETCE) to provide a comprehensive training program, scholarship, and other resources that will 1) maximize knowledge sharing across campuses on critical client issues and 2) reinforce UCL’s role as a thought leader in the external legal community.

Opportunity:

Our recent campus client survey identified significant unmet needs for training and guidance documents across the system. UCL leadership has also identified a desire to expand its external presence. UCL has a wealth of internal subject matter experts whose experience and expertise can be better harnessed. We also have access to external providers that would be more than willing to assist us in providing critical training and scholarship across our campuses. The creation of a formal entity within UCL will pull together human capital and other resources for the benefit of our practice, clients, industry, and the external legal community.

Proposed Solution:

In service of our mission, ETCE will meet our clients’ needs with a training program and resources (e.g., templates, white papers, checklists, and other guidance) designed to serve their identified desire for timely, clear, and consistent advice and counsel in a wide array of subject matter areas. ETCE will enhance UCL’s knowledge management capabilities; a significant benefit. ETCE work product will also benefit industry and the external legal community in addressing issues of import, which will, in turn, serve to reinforce our reputation as a thought leader. A Planning Committee will be established to lay the foundation for ETCE; dedicated ETCE staff will thereafter develop annual work plans and programming.

Benefits:

1. Will meet the demand for subject matter training programs, guidance, and resources
2. By providing preventive advice and counsel, will allow UCL to help clients be proactive, rather than reactive in addressing legal issues
3. Will help define and share best practices
4. Will allow UCL to provide more consistent advice
5. Will better demonstrate the value-add UCL provides across the system
6. Will provide opportunities to develop and forge partnerships with sister institutions; creating opportunities for collaboration and joint advocacy
7. Will better establish UCL’s thought leadership on an array of matters, and will influence the statewide training agenda with an emphasis on the unique issues and challenges facing California colleges and universities

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
4	By 2023, UC Legal will operationalize the Education and Training Center of Excellence (ETCE) to provide a comprehensive training program, scholarship, and other resources that will 1) maximize knowledge sharing across campuses on critical client issues and 2) reinforce UCL’s role as a thought leader in the external legal community.					
4a	Establish ETCE Planning Committee consisting of selected UCL attorneys, campus counsel, and a cross-section of campus clients (possibly include external partners) by September 2021					
4b	ETCE Planning Committee develops unit charter and financial plan, and determine staffing and administrative needs by March 2022					
4c	ETCE staff to research content for training program and identify needed resources by July 2022					
4d	ETCE staff to develop and execute first annual plan for training program – rollout January 2023 through October 2023					
4e	ETCE staff to develop publication schedule and begin execution by January 2023					
4f	Launch ETCE with accompanying communication plan to clients by January 2023					
4g	Develop survey and process to measure client satisfaction and engagement by January 2023					
4h	ETCE staff to begin planning for California Higher Education Law Conference by June 2024					

Goal: By 2023, UC Legal will operationalize the Education and Training Center of Excellence (ETCE) to provide a comprehensive training program, scholarship, and other resources that will 1) maximize knowledge sharing across campuses on critical client issues and 2) reinforce UCL's role as a thought leader in the external legal community.

Assumptions:

1. No large budget shortfalls or reductions will occur
2. Creation of the ETCE will be approved
3. Willingness on the part of campus counsel and clients to collaborate on ETCE objectives and deliverables and to participate in programming
4. Interest from industry and external legal community in ETCE work product
5. Buy-in from campuses on using a cost recovery model

Metrics and Targets:

1. ETCE meets their identified targets with number of trainings, systemwide resources, and external publications each year
2. ETCE will host or co-host an annual California Higher Education Law conference no later than FY 2025
3. ETCE success will be measured through client satisfaction and engagement evaluations and surveys related to training and resources provided
4. Through a systematized annual planning process, ETCE addresses all necessary training, publication, and other resources needs going forward

Additional Information:

Potential revenue generation of source in the future; however, this is not currently built into the 5-year plan.

UCL Goal 5 Develop Solutions to Funding/Accountability Misalignment

Service Delivery Model

Lead: OGC Immediate Office

Priority: ●

Goal: Develop new funding/governance options and implement an approved solution by FY20-21 to facilitate effective decision making for the legal needs of UC as a system and to resolve conflicting objectives among locations.

Opportunity:

UC Legal fundamentally is a multi-location unit with personnel distributed across the UC system and with a charge of managing the University’s legal affairs, consistent with its status as a single legal entity. Effective oversight dictates that substantive legal policies as well as personnel and other operations policies and practices be consistent and that resource decisions be made in a way that optimizes outcomes for the entire system. The current governance structure is tied to the policies and practices of the central office (OP) and results in conflicting priorities among UCL’s multiple locations, especially in the areas of compensation and performance management. It also results in decisions that, while accommodating the needs and constraints of one location, are sub-optimal for much of the rest of the system. The purpose of this goal is to design and implement a governance structure that, while assuring the same or better accountability for the legal function, will free it from some of the constraints that inhibit effective decision-making for the benefit of the system as a whole and that create actual and/or potential conflict among UCL’s multiple locations with regard to unit operations

Proposed Solution:

Upon launch, the goal will involve developing options to address the current funding and governance misalignment. A dedicated team/task force will conduct a feasibility assessment on potential options, gather input from stakeholders, and assess viable systemwide governance models. The assessment results and a recommendation will be presented to the President and the Regents. Following a decision, a team will implement the approved governance model, partnering with stakeholders as needed.

Benefits:

1. A focus on the University as a system, consistent with its legal status
2. More equitable treatment for all locations with regard to the allocation of internal and outside resources
3. Consistent personnel, performance management, and technology policies and practices that foster teamwork and collaboration and leverage talent of our multiple locations for the benefit of the whole

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
5	Develop funding/governance options and implement an approved solution by FY20-21 to facilitate effective decision making for the legal needs of UC as a system and resolve conflicting objectives among locations.					
5a	Identify task force and supporting assistance and conduct a feasibility assessment (options: discuss with experts, consider ProServe or an outside firm, investigate UC Health process, consider an SPMO or other program lead, divert existing UCL resource time, such as that of Mick Cox or Kelly Drumm) by July 2019					
5b	Interview select stakeholders regarding their objectives and potential “deal-breakers” September 2019					
5c	Conduct a survey of existing governance models for multi-location businesses and/or functions, both internal to UC and externally by September 2019					
5d	Draft charter for a proposed structure, draft policies and procedures for operating the structure, draft candidate list for participants in the structure by December 2019					
5e	Prepare and present structure to select Regents by January 2020					
5f	Conduct further interviews with select stakeholders February 2020					
5g	Conduct additional iterations and interviews re: the foregoing (as needed) by April 2020					
5h	Draft communications plan for rollout by July 2020					
5i	Begin rollout of new governance model in September 2020					

Goal: Develop new funding/governance options and implement an approved solution by FY20-21 to facilitate effective decision making for the legal needs of UC as a system and to resolve conflicting objectives among locations.

Assumptions:

1. Regents, President, and Chancellors buy in

Metrics and Targets:

1. Structure up and running on a timely basis
2. General satisfaction that the structure is yielding decisions that take into account the interest of all locations and that benefit the University as a whole (as determined by a survey) one year after implementation

Additional Information:

Consider compensation implications with “Improve Team Member Engagement and Satisfaction” goal

Service Delivery Model

Lead: OGC Immediate Office

Priority: ●

Goal: Facilitate reduction in growth of legal costs while improving service and outcomes by evaluating in-house staffing models and develop an array of internal and third-party approaches to strategically address staffing needs by March 2021.

Opportunity:

Despite high marks for the quality of its service to clients, UCL is understaffed given the size and complexity of the UC system. According to a 2017 independent assessment by a legal consultancy, the in-house UCL team is only 64% as large as the benchmark team size, and UCL is falling further below that benchmark annually due to static staffing and growing legal surface area. As a result, UCL increasingly struggles to continue serving our clients' needs and foster a work environment conducive to high employee engagement and spends nine figures annually on outside counsel, foregoing opportunity to build in-house domain expertise. These are undesirable outcomes, so an effort should be made to assess models for increasing internal deployment of capacity as well as paths to augment service with adjunct resources beyond traditional outside counsel engagements.

Proposed Solution:

The solution entails evaluating internal staffing needs and options for leveraging internal, adjunct, and third-party resources. The internal evaluation will determine whether the model by which UC staffs in-house legal services should remain as-is or be revised through input of UCL leadership, UCL stakeholders and existing materials. Beginning in parallel, the solution will also explore opportunities to utilize adjunct and third party resources and convey recommended potential matches based on practice area, location, and service provider strengths. The initiative will also explore a variety of channels including the use of legal staffing firms, former internal staff, existing UC law faculty, and expanded clerkship & fellowship programs. After evaluating adjunct options against internal staffing needs and against budgeting constraints (to be determined by Goal #5 on identifying solutions for UC Legal Funding/Accountability Misalignment), the team will devise a strategy to deploy resources either through a captive law firm model or through a more segmented approach utilizing multiple resource channels.

Benefits:

1. Improved legal services and higher client satisfaction with timely, high quality service
2. Improved efficiency and reduced legal/administrative spend with more targeted staffing to meet demand
3. Servicing the University mission by offering opportunity to law faculty and other faculty experts
4. Substantially expanded clerkship, fellowship, and other experiential learning opportunities to UC graduate students
5. Prospective planning of in-house legal resources that integrates campus and Oakland legal staffing needs

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
6	Facilitate reduction in growth of legal costs while improving service and outcomes by evaluating in-house staffing models and develop an array of internal and third-party approaches to strategically address staffing needs by March 2021.					
6a	Gather input from UC Legal leadership and assess existing input to adopt a final staffing plan inclusive of gap analysis, needs analysis, and diversity outreach plan by November 2019					
6b	Establish ongoing monitoring process to track progress and make improvements by January 2020					
6c	Assess external staffing firms and improving efficiency of RFP process by June 2020					
6d	Assess internal staffing options -- retirees, past colleagues, law faculty and students, etc. including necessary placement infrastructure by July 2020					
6e	Identify technology and staffing solution to eDiscovery by September 2020					
6f	Further formalize and fully fund clerkship and fellowship programs by November 2020					
6g	Evaluate all options and implement comprehensive plan against needs and constraints for additional adjunct resources following decision on UC Legal governance model by March 2021					

Goal: Facilitate reduction in growth of legal costs while improving service and outcomes by evaluating in-house staffing models and develop an array of internal and third-party approaches to strategically address staffing needs by March 2021.

Assumptions:

1. Future UC Legal governance and operating model does not constrain ability to deploy desired adjunct resources.
2. Systems can be deployed to support capture and report on key cost and performance indicators.
3. President and Regents approve and capitalize the proposal.
4. Campus and Oakland staffing levels are not reduced or the legal effort expected of UC Legal is not dramatically increased.

Metrics and Targets:

1. Slowed growth of increase in spend for UC Legal function
2. Compliance to workforce plan whenever attorneys FTE are added or eliminated in Oakland or on a campus
3. Development of scorecard and metrics and deployment of supportive systems
4. Compliance to adjunct resource processes – RFPs, clerkship program, engaging faculty, etc.
5. Holistic evaluation of improved efficiency and improved client service *Note: The effort to measure specific quantitative metrics – % of client demand met and % attorney time on client priorities – is not commensurate with the benefit.*

Additional Information:

Proposed adjunct solution will be dependent on outcome of Goal #5 which will define future UC Legal engagement and operating model. Some funding for clerkship program is in place but more will be needed.

Financial Stability & Predictability

Lead: Litigation & Capital Strategies

Priority: ■

Goal: Develop and execute a plan for doubling the percentage of outside legal spend to non-hourly, alternative fee arrangements (e.g. flat-fee, fixed fee by phase, not-to-exceed, contingency, sliding scale rates based upon result etc.) by July 2021 and iteratively set increasing goals each year thereafter (workers' compensation excluded).

Opportunity:

The legal industry is transitioning away from the billable hour due to ever-escalating rate increases, ineffective controls on billing, the potential for excessive billing, and the administrative burden on internal resources reviewing hourly bills. Value Strategies previously reviewed UC Legal's practices related to retention and use of outside counsel. Value Strategies recommended increased use alternative fee arrangements (AFA). AFAs were being used on an ad hoc basis before the Value Strategies report, but since then, there has been a concerted effort to increase the use of AFAs when retaining counsel. However, there is no coordinated effort within UC Legal to track and evaluate the use of these arrangements. This goal will provide a target for each of the groups and build the infrastructure and tools to evaluate the effectiveness of the program.

Proposed Solution:

1. Pull and evaluate existing data for Core and IP matters (risk matters excluded) to: Determine existing use of AFAs and hourly retentions; Identify areas of opportunity for increased use of AFAs by group (Health, Litigation, etc.), subject matter (class actions, deal transactions, etc.) or other bases; Based on this evaluation, reconsider and reset goal as appropriate
2. Key Performance Indicators (KPIs): Propose office-wide KPIs; Circulate for review and comment; Finalize KPIs
3. Matter Management Transition: Create fields in CounselLink to track and record KPIs; Create appropriate reporting templates for AFA KPIs
4. Ongoing Evaluation: Determine appropriate time period for review of KPIs – monthly, quarterly, etc.; Review progress towards goal; Consider whether adjustments are needed in order to achieve goal and maintain progress

Benefits:

1. Align outside counsel's interests with the University's interests
2. Realize cost savings
3. Increase cost predictability/reduce volatility
4. Reduce administrative burden
5. Create value
6. Manage quality control
7. Could remove invoice review vendor (Quovant) if risk program moved to AFAs (3% savings on \$42M in annual costs = \$1.26M)

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
7	Develop and execute a plan for doubling the percentage of outside legal spend to non-hourly, alternative fee arrangements (e.g. flat-fee, fixed fee by phase, not-to-exceed, contingency, sliding scale rates based upon result etc.) by July 2020 and iteratively set increasing goals each year thereafter (workers' compensation excluded).					
7a	Retrieve open matters for 19-20 fiscal year and sort by hourly or AFA starting in July 2020					
7b	Evaluate and validate outside legal spend target w/in 3 years (alternative – consider a yearly increase) by August 2020					
7c	Develop metrics for evaluating cost savings, reduced volatility, value by November 2020					
7d	Customize CounselLink to track AFA matters, types, KPIs by February 2021					
7e	Establish individual goals for Senior Counsels and Counsels that require 50% of retentions are subject to an AFA starting in July 2021					
7f	Track results and make adjustments to target if necessary by July 2023					

Goal: Develop and execute a plan for doubling the percentage of outside legal spend to non-hourly, alternative fee arrangements (e.g. flat-fee, fixed fee by phase, not-to-exceed, contingency, sliding scale rates based upon result etc.) by July 2021 and iteratively set increasing goals each year thereafter (workers' compensation excluded).

Assumptions:

1. If OP imposes limitations on outside counsel spend, that mandate could take priority over this goal.
2. If OGC is able to secure substantial additional resources, it could reduce the number of outside counsel retentions, which might negatively impact the ability to reach the overall percentage.
3. If the migration to CounselLink does not go as planned or we are unable to sufficiently customize CounselLink, we may not be able to track and evaluate this goal.
4. This goal only applies to new outside counsel engagements.

Metrics and Targets:

1. Cost Reduction
 - a. AFA Matters (average cost by practice area, total cost by practice area, average cost, total cost)
 - b. Hourly Matters (average and total cost by practice area and overall)
2. Reduced Volatility
 - a. AFA (% of matters with no request for additional comp, % where additional is approved, ratio of improved)
 - b. Hourly (% of matters closed within budget, % of matters with budget increases, total spend above initial budget, average spend above initial budget)
3. Value (litigation success metrics – TBD, # of value opportunities, length of value opportunities)
4. Operational (e.g., time to close, reduction in administrative effort)

Additional Information:

- Evaluation of the existing data and further insight into the matter management implementation timeline is needed to better create a timeline for this goal. Governance and data structuring decisions will also affect reporting and KPI outputs that originate from this goal. It may be beneficial to coordinate with other goals in order to manage outside counsel relationships holistically e.g. diversity, quality, success, relationships, and perks

Financial Stability & Predictability

Lead: Litigation & Capital Strategies

Priority: ◆

Goal: Implement a fully functioning one-stop affirmative recovery practice to determine which opportunities will deliver significant monetary results for the University and will begin significantly delivering on those opportunities, achieving net recoveries of \$10 million by 2024, \$50 million by 2025, and \$25 million per year, on average, by 2027.

Opportunity:

Like many other academic institutions and public entities, it is estimated that hundreds of millions of dollars in potential affirmative recoveries are not pursued by the University, given the finances, time, technology, expertise and other resource challenges currently faced by the system. UCL would pursue recoveries primarily in the following areas: (1) Collections for Accounts Receivable, including license and research funding; (2) Breach of Warranties/Defective Products/Service Contracts; (3) Construction/Design Defect; (4) Patent Infringement; (5) Payer Litigation; and (6) False Claims Prosecution.

Proposed Solution:

UC Legal will, in consultation with OP and the campuses, form an Affirmative Recovery Practice to pursue recoveries using at least four possible models: (1) Handle in House on Contingency Basis at 33% of recovery. (Campus may also elect to pay OGC hourly at \$250 per hour/\$100 paralegal cost.); (2) Manage Outside Counsel in House on Shared Contingency Basis at 8%/25% of recovery; (3) Assign to Outside Counsel on Sliding Fee Agreements based on ultimate recovery, with 10% net for the ARP (This applies where campuses decide to fund litigation fees and costs [with no extra non-OGC formula fees assessed]); and (4) Assign or sell to Outside Counsel/Prosecution-Collection Entities on Portfolio Basis/Contingency at 8/25% recovery. *Some of these actions might also be pursued as Class Actions to leverage the recovery from other plaintiffs and to seek statutory fee awards.*

Benefits:

1. Increased revenues to University of California
2. Increased reputation to the system and UC Legal by meeting legal needs of client in entrepreneurial fashion without increasing costs and encouraging good and ethical workmanship by vendors
3. Identification and pursuit of opportunities which further UC values (accountability, innovation, etc.)
4. Increasing the knowledge and skill set of University employees, who will use this practice to become national leaders in this area.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
8	Implement a fully functioning one-stop affirmative recovery practice to determine which opportunities will deliver significant monetary results for the University and will begin significantly delivering on those opportunities, achieving net recoveries of \$10 million by 2024, \$50 million by 2025, and \$25 million per year, on average, by 2027.					
8a	“Buy in” by and consultation with UCL attorneys and staff, OP, the campuses, and external constituencies by September 2021					
8b	Develop a realistic budget, start up costs, “needs statement”, incentive and recovery models and resource allocations for years 1-3 by December 2021					
8c	Develop realistic opportunity pursuits and net recovery goals, including pursuing low hanging fruit and “sample cases” for years 1-3 to determine efficacies of Practice by March 2022					
8d	Develop criteria to determine which opportunities to pursue, the appropriate models to employ, and appropriate resource allocations by March 2022					
8e	Develop appropriate litigation decision models, governance model and approval delegations for the Practice by June 2023					
8f	Compile Annual Reports and Assessments Yearly and make presentation to Regents by 2026					
8g	Present to NACUA, publish in prestigious Law Journal, and submit for awards/national recognition by 2027					

Goal: Implement a fully functioning one-stop affirmative recovery practice to determine which opportunities will deliver significant monetary results for the University and will begin significantly delivering on those opportunities, achieving net recoveries of \$10 million by 2024, \$50 million by 2025, and \$25 million per year, on average, by 2027.

Assumptions:

1. “Buy in” by and consultation with UC Legal attorneys and staff, OP and the campuses, including the various departments (procurement, research, design and construction, Medical Centers, the Faculty Senate and the Foundations), and external constituencies, including as appropriate, the Attorney General’s Office and the Justice Department. This will include educating these constituencies about opportunities and the need to pursue affirmative recoveries. The targets below will also be assessed and verified by those constituencies.

Metrics and Targets:

1. Achieve funding commitments from OP and campuses and retain resources by March 2022
2. OP and Campuses agree to fund \$70,000 Year One enterprise by Quarter 2 and \$370,000 Year Two + enterprise by June 2022
3. Pursue \$10M, recover \$5M net of expenses, and retain \$700k for OGC by FY23-24
4. Recover \$25M per year (\$3.5M to OGC) average by 2027 and beyond

UCL Goal 9 Enhance UCL Team Member Engagement and Satisfaction

People

Lead: OGC Immediate Office

Priority: ●

Goal: Establish a process by December 2019 to measure, identify, and address UC Legal employee needs to achieve 80% satisfaction rate on engagement and satisfaction survey by September 2021.

Opportunity:

While the level of dedication of UC Legal attorneys and staff members is a strength, and retention is generally high, the satisfaction and engagement of UC Legal employees needs attention and improvement. Attorneys and staff have expressed dissatisfaction around office management directly to UC Legal leadership and to Value Strategies consultants, and the results from the Legal Support Task Force in 2017 survey reflected some areas of dissatisfaction. Improved employee satisfaction and engagement is essential in order to develop, motivate and retain an engaged workforce, and to increase productivity of UC Legal team members.

Proposed Solution:

UC Legal will use the pre-existing OGC employee engagement tool to survey employee satisfaction and engagement to obtain a baseline measurement, will re-survey after two years, and will ensure that a repeatable process is in place to continue to monitor and address issues as necessary. A Working Group, consisting of UC Legal employees from different locations and different roles, will be appointed to make recommendations to UC Legal leadership about specific initiatives to improve satisfaction and engagement, to prioritize initiatives, and to direct implementation on selected initiatives. HR will help facilitate focus groups of UC Legal team members in order to solicit information about issues and concerns and potential initiatives. The Working Group will analyze the survey results and focus group information to determine the nature and scope of employee satisfaction and engagement concerns, and to support its recommendations for initiatives.

Potential initiatives could be major efforts or more modest, and could include: a rotation of Oakland team members to campuses and vice versa, improved communication from UC Legal Leadership, including creating a culture of celebrating successes, improving opportunities to participate in external thought leadership activities, offering attorneys opportunities to increase integration with clients, mentoring programs, increased opportunities for employee recognition, improved workforce planning and prioritization, opportunities for team members to interact informally with OGC leadership, social gatherings, etc.

Benefits:

Increased employee satisfaction and engagement will improve employee effectiveness and productivity in providing excellent client service, delivering strategic vision in support of the University's priorities, and responding to increasingly complex challenges on a sustainable basis.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
9	Establish a process by December 2019 to measure, identify, and address UC Legal employee needs to achieve 80% satisfaction rate on engagement and satisfaction survey by September 2021.					
9a	Using existing survey tool, measure baseline employee satisfaction and engagement by August 2019					
9b	In collaboration with HR, Working Group gathers input from UC Legal team members about areas of opportunity to improve satisfaction and engagement by December 2019. Working Group identifies and recommends specific initiatives.					
9c	Begin implementing and tracking at least two specific identified initiatives that are intended to improve specific aspects of employee satisfaction/engagement by May 2020					
9d	Re-measure employee satisfaction and engagement in two years in September 2021					
9e	Ensure a repeatable process is in place to continue to monitor and address issues as necessary in September 2021					

UCL Goal 9 Enhance UCL Team Member Engagement and Satisfaction

Goal: Establish a process by December 2019 to measure, identify, and address UC Legal employee needs to achieve 80% satisfaction rate on engagement and satisfaction survey by September 2021.

Assumptions:

1. Employee satisfaction and engagement is not negatively impacted by external threats such as significant budget cuts or reputational harm to the University
2. No opposition to proposals from stakeholders such as UCOP, Regents, etc.
3. Collaboration with and buy-in from HR

Metrics and Targets:

1. Employee satisfaction and engagement for all UC Legal employees as measured by a survey tool to be improved 10% over baseline in two years

People

Lead: OGC Immediate Office

Priority: ■

Goal: Promote diversity and inclusion in the legal profession by increasing the number of our outside counsel team retentions with significant roles held by non-traditional attorneys over a 5-year period (by December 2024).

Opportunity:

The lack of diversity in law firm leadership roles is well-documented and long-standing. This not only raises issues of equity and inclusion in the legal profession in general but also hinders the ability of the University to be represented by experienced counsel who reflect the diversity of the University and of our communities and jury pools.

Proposed Solution:

Leverage the University’s considerable outside counsel spend to encourage firms to promote and develop diverse attorneys on our matters. We will explore best practices that comply with legal requirements for public institutions (e.g., Prop. 209 and equal protection).

Benefits:

1. Increase opportunities for diverse attorneys to improve retention and promotion within our outside counsel firms.
2. Convey the importance of developing, promoting, and retaining diverse attorneys within our outside counsel firms.
3. Increase the attractiveness of University-related work for diverse attorneys.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
10	Promote diversity and inclusion in the legal profession by increasing the number of our outside counsel team retentions with significant roles held by non-traditional attorneys over a 5-year period (by December 2024).					
10a	Assess data collection capabilities (including privacy concerns and which firms to target in terms of top spend/most impact) regarding number of non-traditional attorneys (broadly defined as women, historically under-represented minorities, LGBT, people with disabilities, and veterans) on our current retentions in various roles (including lead partner, lead associate, attorney receiving origination credit, etc.); collect and review such data by June 2019					
10b	Develop proposed components of the program -- such as legal and risk assessment; specific definitions of non-traditional attorneys and significant; identify firms to be included; and requirements for firms and OGC monitors - by September 2019					
10c	Approach relationship partners about our program, gauge reaction, finalize program proposal, train OGC monitors, and rollout by December 2019					
10d	Collect first annual data, including OGC monitor and firm compliance with our program, by December 2020					
10e	Issue first annual report by March 2021; repeat through December 2024					

Goal: Promote diversity and inclusion in the legal profession by increasing the number of our outside counsel team retentions with significant roles held by non-traditional attorneys over a 5-year period (by December 2024).

Assumptions:

1. Law firms will have, hire and retain a sufficient pipeline of diverse attorneys who have the necessary skills to work our matters.
2. Program is consistent with Prop 209 and other legal requirements.
3. Firms are willing to share relevant demographic information.

Metrics and Targets:

1. Time – how long it takes to develop program elements (including legal analysis) and data collection capabilities and implement reporting
2. # and % of our retentions with diverse attorneys in significant roles
3. Statistics regarding retention and promotion of non-traditional attorneys, non-traditional attorneys in leadership positions, etc. in our firms (not just on our matters)

Additional Information:

- If UC Legal decided to use a Bodhala dataset, there may be additional costs associated with gaining access.
- UC Legal may consider running an external review. This is not currently priced into this goal.

People

Lead: OGC Immediate Office

Priority: ■

Goal: Develop UC talent management, succession planning and professional development tools and processes by January 2023 to increase retention, growth opportunities, continuity in leadership, and workforce stability.

Opportunity:

UC Legal does not have a formal talent management or succession planning process. UC Legal does not have a defined succession planning process, creating an immediate need to identify potential leaders in emergency situations. In addition, UC Legal does not have a systematic process for encouraging professional development of its dedicated and talented attorneys and staff to ensure professional growth in leadership development.

Proposed Solution:

We can improve UC Legal talent management by developing specific initiatives to improve talent management, professional development, and succession planning:

Emergency planning: Develop an immediate succession planning process that demonstrates leadership resilience in emergency or unplanned circumstances. UC Legal must plan for and implement the capacity to provide continuity of legal advice to senior campus and OP leadership at all times. The clients supported by UC Legal leaders must know who they will turn to should their UC Legal lead become unavailable, and these clients should have a pre-existing relationship with the backup to the UC Legal lead.

Talent management/development: Implement a plan that intentionally and thoughtfully prepares interested internal candidates to self-identify and/or be nominated and selected to succeed UC Legal leadership. Beginning in 2022, implement a pilot program for leadership and professional development focusing on increasing internal hiring into critical UC Legal leadership roles. Develop and implement plans by 2022 for one or more identified internal candidates to be ready to fill “team critical” positions within UC Legal, and individualized plans for each team member to progress to the next stage of career development (to the extent desired by the team member).

Benefits:

1. Acknowledgement of strengths and talent of UC Legal
2. Fostering engagement by UC Legal outside of typical practice areas
3. Improvement in employee morale / satisfaction
4. Opportunities for professional growth, developing leaders, etc.
5. Establishing continuity and institutional strength in leadership

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
11	Develop UC talent management, succession planning and professional development tools and processes by January 2023 to increase retention, growth opportunities, continuity in leadership, and workforce stability.					
11a	Set up taskforces for 1) identifying an interim backup for GC, DGCs and CCCs and 2) identifying “team critical” positions and internal candidates by April 2021					
11b	Identify potential leadership tools and/or professional development programs, develop pilot program (at 1 north campus, 1 southern campus, and 1 OGC-Oakland) for succession and emergency situations by July 2021					
11c	Implement plan for emergency situations by September 2021					
11d	Consult with HR to learn about tools, resources, programs and align talent management pilot by September 2021					
11e	Develop and distribute survey for evaluation and feedback of emergency succession plan by January 2022 and evaluate responses by April 2022					
11f	Implement pilot program for talent management by January 2022					
11g	Establish taskforce to identify other solutions for professional development, e.g. increased opportunities for outside professional activities, create tools and/or programs for achieving those solutions, and develop pilot succession plan for staff by April 2022					
11h	Implement revisions to emergency succession plan, if any, and establish annual monitoring by September 2022					
11i	Develop and distribute survey for evaluation and feedback of talent management pilot program and for prioritizing professional development programs/solutions by Spring 2021; review, evaluate responses; revise talent management pilot, if needed, by September 2022					
11j	Implement plan for other professional development solutions reflecting UCL priorities and implement pilot staff succession plan by January 2023					
11k	Roll out revised succession plans and professional development programs across UC Legal by January 2023					

Goal: Develop UC talent management, succession planning and professional development tools and processes by January 2023 to increase retention, growth opportunities, continuity in leadership, and workforce stability.

Assumptions:

1. Alignment with HR policies and procedures at OP and campuses
2. Availability and financial feasibility of relevant consultant
3. Compliance with restrictions on outside professional activities

Metrics and Targets:

1. 100% participation by UC Legal in talent management program
2. Compliance with emergency succession procedures for all UC Legal leadership positions by 2024
3. 50% increase over benchmark in advancement of internal candidates (who are ready for the role)
4. 100% decrease in attributing departures to lack of professional growth or leadership opportunities (via exit interviews)
5. 50% increase in speaking engagements outside of UC
6. 50% increase in outside professional activities

Project and Operational Financial Estimates: (\$)	OGC IMPACT						CAMPUS/LOCATION IMPACT					
	19-20	20-21	21-22	22-23	23-24	Total	19-20	20-21	21-22	22-23	23-24	Total
One-Time Project Costs (Temporary)	0	0	20,000	0	0	20,000	0	0	50,000	0	0	50,000
Ongoing Annual Costs (Permanent)	0	92,899	92,899	92,899	92,899		0	5,523	5,523	5,523	5,523	
Annual Savings/Revenue	0	TBD	TBD	TBD	TBD		0	TBD	TBD	TBD	TBD	

- OGC Project Costs:
 - In FY21-22, an estimated \$20,000 in talent management software training costs.
- OGC Annual Costs:
 - Starting in FY20-21, a consultant either external or from OP HR (approximately 500 hours per year) will plan and implement programs for succession planning and talent management
 - Starting in FY20-21, a Managing Counsel, Deputy General Counsel, and Legal Operations Executive Director (10 hours each) will provide input and oversight into succession planning to support consultant.
- OGC Annual Revenue/Savings:
 - Starting in FY20-21, there may be ongoing savings due to avoiding the front-end training costs of a learning curve, removing outside counsel costs for emergency coverage and generating savings resulting from retaining employees.
- Campus/Location Project Costs:
 - In FY21-22, an estimated \$50,000 in talent management software training costs for campus staff
- Campus/Location Annual Costs:
 - Starting in FY20-21, each Chief Campus Counsel will provide input in succession planning.
- Campus/Location Annual Revenue/Savings:
 - Starting in FY20-21, there may be ongoing savings due to avoiding the front-end training costs of a learning curve, removing outside counsel costs for emergency coverage and generating savings resulting from retaining employees.

Additional Information:

- Savings expected (TBD) by reducing gap created by emergency recruitment, coverage needs, and required training when leadership changes

Technology Transformation

Lead: Legal Operations

Priority: ●

Goal: By July 2021, achieve 100% adoption of a single matter and document management system across all UC Legal locations to enhance productivity, efficiency and reporting.

Opportunity:

UC Legal provides legal services to a large, decentralized, complex client. We have legal offices at every campus, medical center, and the Lawrence Berkeley National Laboratory, in addition to the General Counsel's office at UCOP. We use approximately 200 outside legal vendors and process thousands of outside counsel and legal service vendor invoices per year. We regularly report to leadership on legal matters, trends, and outside counsel spend. Lack of a unified document management system across UC Legal results in less information sharing and potentially causes redundant work to occur. Lack of a unified matter management system affects the accuracy and timeliness of reporting across UC Legal and at each location, limiting visibility into trends, workload management, and resource needs. Optimizing use of a unified matter management and document management system by all UC Legal locations will improve productivity, quality, consistency, and reporting of UC Legal's services.

Proposed Solution:

Use identified matter management and document management tools to effectively capture active matters and process legal vendor invoices across all UC Legal locations. Matters will be opened, identified, named, and utilized following identified conventions, and accessible to UC Legal team members. Standards, policies, procedures and training will be developed to inform all UC Legal members on how to access and share information, approve vendor invoices, and run reports. A governance committee will be established to ensure the utilization of the systems and resources will be dedicated to maintaining, measuring, and evaluating the systems to ensure they are functional, usable, and adaptable over time. Full adoption means that all locations are using the same matter management and document management systems, and all users are opening, using and closing matters and are saving key documents in all matters, as defined by the governance committee. Note that this goal is incorporated into the OGC Technology Roadmap that is governing all technology initiatives.

Benefits:

1. Common conventions/procedures will enhance ease of use and consistency
2. Quality and timeliness of reporting will be improved
3. Increases efficiency by making it easier to find information/prior work product on a variety of topics and issues
4. Cost and risk containment by minimizing number of systems used across UC Legal.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
12	By July 2021, achieve 100% adoption of a single matter and document management system across all UC Legal locations to enhance productivity, efficiency and reporting.					
12a	Conduct RFP for new matter management vendor and select vendor by February 2019					
12b	Establish governance committee by February 2019 and adopt common requirements by August 2019					
12c	Train UC Legal on system and implement system by September 2019					
12d	Migrate content and retire existing systems used at other locations (e.g. UCD, UCSD) by December 2020					
12e	Establish process for ongoing tracking and continuous improvement by September 2019					
12f	Begin measuring use and activity over time, and satisfaction of users by July 2020, working towards achieving 100% adoption by July 2021					

Goal: By July 2021, achieve 100% adoption of a single matter and document management system across all UC Legal locations to enhance productivity, efficiency and reporting.

Assumptions:

1. Adequate resources (budget and people) will be provided to implement the tools needed for success
2. Buy in from all UC Legal locations to participate

Metrics and Targets:

1. 75% adoption of all UC Legal team members by July 2020, 100% adoption by July 1, 2021
2. 75% user satisfaction with the systems by July 1, 2021
3. Reduction in time to find information due to use of common conventions and procedures
4. Reduction in time to produce reports, and increased accuracy of reports

Additional Information:

- This goal is also incorporated into the OGC Technology Roadmap that has identified and prioritized all division technology needs. Strategic planning goals involving Key Performance Indicators and Information Confidentiality are also in the roadmap.

Technology Transformation

Lead: Legal Operations

Priority: ●

Goal: Create a common “dashboard” of legal operations performance indicators to allow for goal setting, dissemination of best practices, and measurement of continuous improvement over time and across UC Legal by 2022.

Opportunity:

Historically, a lack of easily accessible data and meaningful standardized financial and business reports have prevented management access to predictive budgeting, strategic decision-making for workload management and to measure continuous improvement in KPIs across UC Legal.

Proposed Solution:

Standardize, adopt and deploy roll-up data-driven reporting templates for each campus counsel office and the Oakland office, with agreed upon KPIs for UC Legal; to include such items as enterprise legal spend, affirmative recoveries, internal staffing levels, productivity and staff workload, as well as other agreed upon KPIs coming out of this strategic planning exercise in order to have regular and complete dashboard reporting. Leverage current system data gathering to allow for creation of standardized reporting and analytics templates on key performance indicators, starting with enterprise legal spend and affirmative recoveries, adding additional KPIs as agreed upon by leadership to support goal setting, strategic decision-making and a culture of continuous improvement over time. Add additional reporting capabilities and templates as new systems come on line. Establish processes for ongoing management of dashboards with clear roles and responsibilities in Oakland and at the locations. Note that this goal is incorporated into the OGC Technology Roadmap that is governing all technology initiatives.

Benefits:

1. Evidence based decision-making to maximize value and performance.
2. Enhanced stewardship of University resources.
3. Drive culture of continuous improvement.

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
13	Create a common “dashboard” of legal operations performance indicators to allow for goal setting, dissemination of best practices, and measurement of continuous improvement over time and across UC Legal by 2022.					
13a	Secure team to develop dashboard and determine parameters by July 2020					
13b	Confirm initial key performance indicator metrics for dashboard and assess benchmarks by July 2020					
13c	Agree upon standardized categories and template for reporting on outside legal spend and deploy to all offices with reports for FY19-20 due for roll up to OGC by September 2020 and set unit goals for reduction in specific categories going forward					
13d	Develop tracking method and templates for tracking affirmative recoveries at all offices by September 2020 for roll up to OGC and roll out templates, with first year reports due for FY19-20					
13e	Establish ongoing management of dashboards and process for continual improvements by December 2020					
13f	Agree upon additional KPIs to be measured and tracked as part of comprehensive UC Legal performance dashboard, develop tracking and reporting tools to be implemented for first year reporting for FY21-22					

Goal: Create a common “dashboard” of legal operations performance indicators to allow for goal setting, dissemination of best practices, and measurement of continuous improvement over time and across UC Legal by 2022.

Assumptions:

1. Assumes some IT and Legal Ops support to all offices to implement and leverage existing or newly adopted technology for this purpose
2. Systems to provide necessary data for the dashboards

Metrics and Targets:

1. Set annual goals for affirmative recoveries for each office and for reduction of outside counsel expense in specific categories
2. Develop metrics and targets around other newly adopted KPIs as they “come on line”
3. Ongoing availability and release of dashboards as needed

Additional Information:

This envisions several steps toward data-driven goal-setting and use of data to measure items that we decide are our Key Performance Indicators as an organization. This will ensure sustained alignment and move UC Legal toward a continuous improvement culture.

This goal is also incorporated into the OGC Technology Roadmap that has identified and prioritized all division technology needs. Strategic planning goals involving Matter Management and Information Confidentiality are also in the roadmap.

Technology Transformation

Lead: Legal Operations

Priority: ■

Goal: Develop, train, and implement best practices for security/confidentiality of client information, attorney-to-attorney communications, and attorney-to-client communications held by UCL or its vendors by March 2021.

Opportunity:

Legal and ethical rules require UCL to comply with certain security safeguards for information handled by UCL such as PII, PHI and privileged information. There has been increased government enforcement including fines and corrective action plans under laws such as HIPAA against lawyers who fail to safeguard PII and PHI leading to a privacy or security breach. The California State Bar in 2010 and the American Bar Association in 2017 have also recently strongly cautioned attorneys to consider encrypting privileged information or else risk violating ethical duties of competence and confidentiality. UCL should take a leadership role in ensuring client confidentiality and modeling compliant conduct. In light of these mounting risks, UCL must adopt information security best practices in both policies and procedures and training. UCL must also ensure that such best practices can be applied to both OLAs and vendors such as outside law firms both as a matter of technology and process. For example, although OGC, OLAs and most outside law firms currently possess the technology to encrypt data at rest and in transmission, UCL’s best practices must provide clear expectations to all of these actors as to how such encryption should be implemented.

Proposed Solution:

UCL will conduct an initial assessment including gathering facts as to the current security technology and practices utilized by OGC, OLAs and vendors as well as applications used by UCL and others to store and transmit information, and engaging a vendor to conduct a security-based risk assessment. UCL will next work on information security best practices by consulting with others such as UCSF, laboratories and medical centers, determining scope such as the type of information (e.g., outgoing or incoming communications, paper or electronic) and actors to be covered, and resolving how such practices can be consistently applied as to OGC, OLAs and vendors. Finally, UCL will draft and disseminate policies related to such best practices, train on them and ensure a continuing process for assessments and training. Note that this goal is incorporated into the OGC Technology Roadmap that is governing all technology initiatives.

Benefits:

1. Protecting confidentiality of clients, patients, students and others
2. Reducing risk of regulatory enforcement, attorney discipline, civil litigation and reputational damage caused by an information breach
3. Taking a leadership role in ensuring client confidentiality and modeling compliant and ethical conduct
4. Demonstrating to enforcement authority that UCL exercised proactive compliance as to security
5. Clarifying a single set of expectations that apply to information handled by UCL

#	Goal/Key Strategies & Timeline	19-20	20-21	21-22	22-23	23-24
14	Develop, train, and implement best practices for security/confidentiality of client information, attorney-to-attorney communications, and attorney-to-client communications held by UCL or its vendors by March 2021.					
14a	Form working group to assess current practices of OGC, OLAs, and outside counsel and available technologies as to information transmitted or stored, determine categories of information, applications utilized and applicable regulatory frameworks, and conduct security-based risk assessment by outside vendor by September 2020					
14b	Develop best practices as to information confidentiality/security through consultation with others, resolve scope and consistency issues and determine costs of any technology changes by September 2020					
14c	Draft and issue policies and procedures as to such best practices (including their applications to OGC, OLAs and vendors and future training and risk assessments) and implement initial technology changes by December 2020					
14d	Develop and conduct training as to best practices for both internal and select external actors, and perform annual security-based risk assessment with security goals to be tracked by March 2021					
14e	From FY21-22, continue to conduct training and perform annual security-based risk assessment with revision and tracking of security goals					

Goal: Develop, train, and implement best practices for security/confidentiality of client information, attorney-to-attorney communications, and attorney-to-client communications held by UCL or its vendors by March 2021.

Assumptions:

1. Must rely on campus IT serving OLAs and vendors to obtain information regarding current technology and practice as to information security.
2. Technology and practice must be implemented by other internal departments such as IT and other locations including at outside law firms.
3. Must ensure best practices can be applied to OLAs and vendors and are consistent with those of other internal units including IT, Risk, UC Health, ECAS, Procurement, etc.
4. Must determine how to track policies, training and implementation by vendors like outside law firms.

Metrics and Targets:

1. As part of initial external security-based risk assessment, establish 5-10 security goals that are reasonable to achieve as to a set percentage of users, information or applications (e.g., encryption of 60% of all UCL information applications and plan to encrypt as to remainder, encryption e-mail application used for number of GB data, 100% of UCL users indicate through a survey they have utilized encryption e-mail application in last three months). In each subsequent annual assessment, determine whether goals have been met and set new goals.
2. Finalize and publish (i.e., via Sharepoint available to all of UCL) 100% of policies and procedures for information security/confidentiality by December 2020
3. Ensure that 100% of all applicable internal personnel complete new training by March 2021
4. Ensure that select vendors including outside counsel are provided policies and procedures, complete training and certify 100% compliance with 8-12 baseline security safeguards by March 2021

Additional Information:

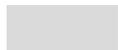
This goal is also incorporated into the OGC Technology Roadmap that has identified and prioritized all division technology needs. Strategic planning goals involving Key Performance Indicators and Matter Management are also in the roadmap.

UC Legal Division Goal Timeline

#	GOAL	19-20	20-21	21-22	22-23	23-24+
1	Enhance Regents Support					
2	Increase Student/Faculty/Leadership Diversity					
3	Reconcile University Policy in IP Commercialization					
4	Establish Center of Excellence					
5	Develop Solutions to Funding/Accountability Misalignment					
6	Develop Solutions to Bandwidth Gap					
7	Expand Alternative Fee Arrangements					
8	Maximize Affirmative Recoveries					
9	Enhance UCL Team Member Engagement and Satisfaction					
10	Increase Outside Counsel Diversity and Inclusion					
11	Improve Talent Management					
12	Optimize Systemwide Matter Management					
13	Report and Track Key Performance Indicators					
14	Ensure Information Security/Confidentiality					



Additional one-time temporary hours or resources needed



Ongoing hours or resources needed; no one-time temporary hours or resources needed

Communication & Monitoring Plan

Communication Plan

Communication of the UC Legal Strategic Plan will include:

Client/Stakeholder Communication

- UC Legal will provide an overview at the May 2019 Council of Chancellors meeting
- UC Legal will provide an overview to the UCOP Division Leaders in July 2019
- UC Legal will present to the Regents Chair (date TBD)
- Goals will be posted on the UC Legal website

UC Legal Staff Communication

- UC Legal leadership will provide a strategic planning update at the May 2019 division all-staff meeting
- The strategic plan will be sent to each staff member to be reviewed at the May 2019 division all-staff meeting

Monitoring Plan

Progress on the goals within the UC Legal Division strategic plan will be monitored as follows:

Quarterly

- Progress will be reviewed by the Leadership Team on a quarterly basis starting in July 2019
 - A Smartsheet action plan will be created for each goal prior to their start date
 - Goal owners will insert specific actions under each key strategy and assign respective owners by July 2019
 - Goal owners will set individual staff performance goals for FY19-20 or later linked, as appropriate, to the goals and key strategies within the plan.
 - The first Smartsheet progress updates will be due July 2019
 - Progress will also be reviewed each quarter with staff

Annually

- The Strategic Planning Group will convene annually to review progress and update the plan
- Progress updates will also be provided annually to the President and the Regents Chair

Appendix A: Goal Summary Components

Goal Summary Components

Each goal within the plan has a corresponding 2-page summary that outlines the following:

COMPONENT	DEFINITION
Goal Statement	Specific, quantifiable, realistic targets that will move the division towards accomplishing a strategic objective over a specified period of time
Opportunity	Describes the purpose/motivation behind achieving the goal
Proposed Solution	Defines scope and objectives
Benefits	Outlines the benefits that will be derived from achieving this goal
Key Strategies	Key activities/steps required to achieve the goal
Assumptions	Defines processes/events that must happen/ “go right” (usually outside the department’s direct control) in order for this goal to be successfully achieved
Metrics & Targets	Outlines how success will be measured with associated desired targets
Financials	Details on next page
Lead	Lists lead practice that will be accountable for progress on this goal
Priority	<p>Color-coded ratings have been assigned to each goal to illustrate relative impact and urgency. These ratings may also carry implications regarding precedence for short-term resource allocation.</p> <ul style="list-style-type: none"> ● : High Impact and/or High Urgency ■ : High/Moderate Impact and Moderate Urgency ◆ : High/Moderate Impact and Less Urgency