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# University of California Office of the President

STRATEGIC FRAMEWORK

December 2019

# Introduction & Purpose

The following is a strategic framework for the University of California's Office of the President (UCOP). It was drafted by UCOP's senior leadership team to guide all divisions in focusing their energy and resources on actions that will best position the University of California to achieve its academic, research and public service missions.

In August of 2015, UCOP developed and launched a standardized strategic planning process. Since then, six divisions have completed their strategic plans using the established format. This document aggregates key elements of these plans into a single UCOP Framework.

Division	Plan Timeframe
Chief Operating Officer	2016-2020
Chief Financial Officer	2016-2020
Agriculture & Natural Resources	2016-2021
UC Health	2017-2022
UC Legal	2019-2024
External Relations & Communications	2019-2024

This framework outlines UCOP's mission, vision, values and the primary objectives we will collectively need to achieve in order to reach that vision. This framework is intended to guide all UCOP divisions as they craft or update their own strategic plans through 2025. It does not outline division goals nor is it meant to be a comprehensive summary of all the work performed by the Office of the President.

We hope you will find this document helpful in understanding the direction and priorities of UCOP.

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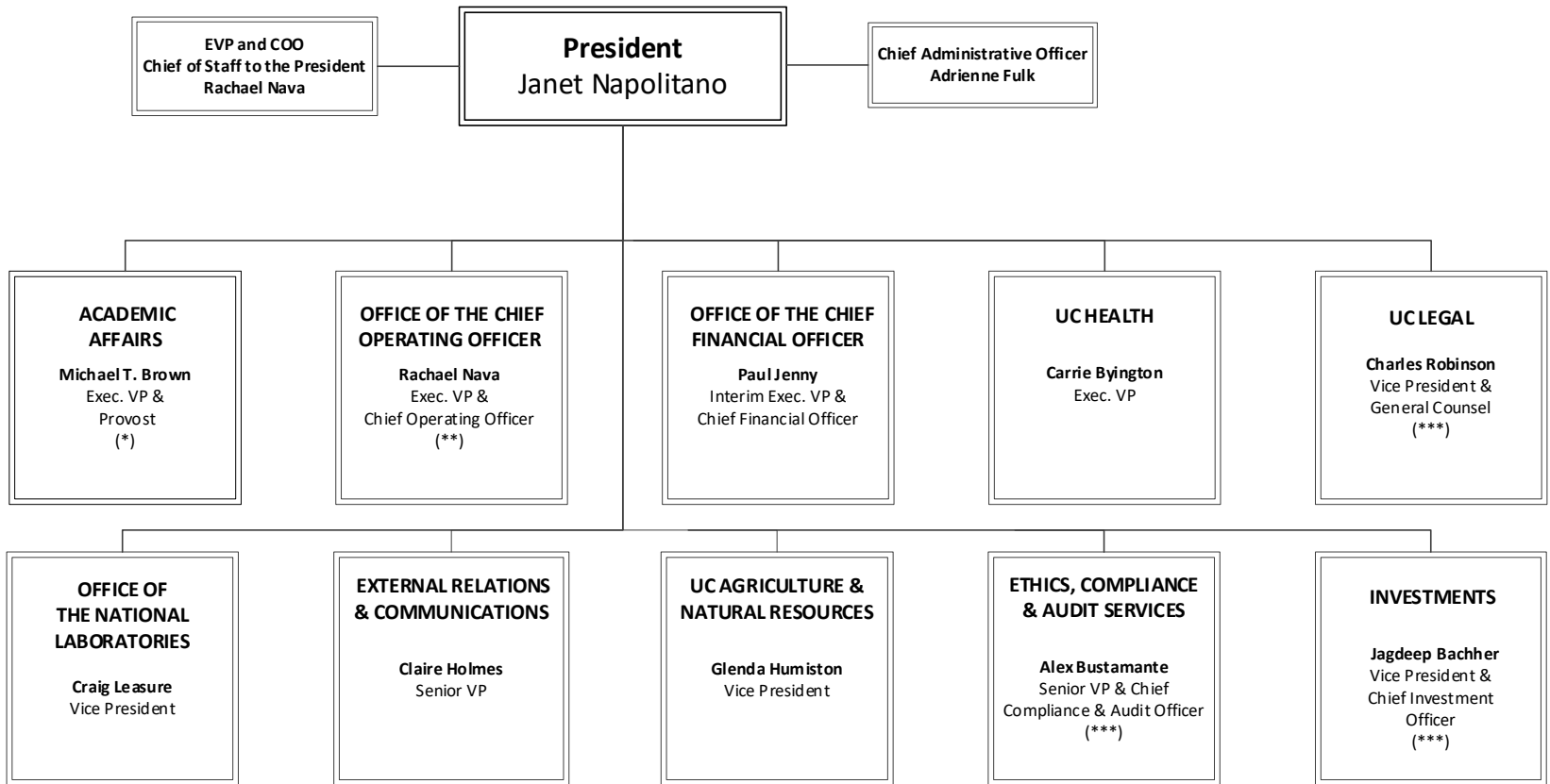
# 2019 UCOP Strategic Framework Team

The UCOP strategic framework team was comprised of the following UCOP leaders who met five times between June and December 2019 to develop this framework.

NAME	TITLE
Janet Napolitano	President
Jagdeep Bachher	Chief Investment Officer and Vice President of Investments
Michael Brown	Provost and Executive Vice President
Alexander Bustamante	Chief Compliance and Audit Officer
Carrie Byington	Executive Vice President, UC Health
Claire Holmes	Senior Vice President , External Relations and Communications
Glenda Humiston	Vice President, Agriculture and Natural Resources
Paul Jenny	Interim Chief Financial Officer
Jenny Kao	Chief Policy Officer
Craig Leisure	Vice President for National Laboratories
Rachael Nava	Executive Vice President and Chief Operating Officer, Chief of Staff to the President
Zoanne Nelson	Chief Strategy Officer
Charles Robinson	General Counsel and Vice President
Jack Stobo	Former Executive Vice President, UC Health (retired 10/31/19)

*Facilitators: Kathy Eftekhari and Julian Ryu - UCOP Strategy & Program Management Office*

# UCOP Organization



\* Acts for the President in her absence

\*\* Acts for the President in her absence and in absence of Provost

\*\*\* Serves as Officer of the Regents with direct reporting responsibility to the Board of Regents

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# UCOP Strategic Framework Decision Drivers

# Strategic Framework Decision Drivers

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

1. The teaching, research, and public service missions of the University of California
2. Market conditions
  - Financial realities
  - Changing demographics of California
  - Changing landscape of higher education and healthcare
3. The role of UCOP relative to the campuses, academic medical centers, national labs, and UC ANR's research and extension network
4. UCOP strengths, weaknesses, opportunities, and threats (SWOT)
5. UC 2030 – Advancing the California Dream (Multi-Year Framework)
6. Elements of existing division strategic plans – values, strategic objectives, and goals

# UCOP – Nexus of the University System

UC's Office of the President (UCOP) is the systemwide headquarters of the University of California. UCOP operates as the nexus between the 10 campuses, 5 medical centers, ANR's research and extension network, 3 national laboratories, the Board of Regents, the Academic Senate, the state and federal governments, and the public. Together with the University's leadership, UCOP leads and manages activities that support the UC mission and strengthens the essential premise that UC is one University.

## Academic & Public Service Programs

UCOP manages many programs that support the teaching, research, and public service missions of the University. These programs provide thousands of students and California citizens with learning and research opportunities, they fund researchers across the State through competitive grant programs, strengthen the university's world-class health enterprise, and promote access and diversity through extension and outreach programs.

## Centralized Services

Several divisions manage systemwide services on behalf of the University. Examples of these services are listed below:

- |                                 |                             |                        |
|---------------------------------|-----------------------------|------------------------|
| ✓ Retirement Center             | ✓ Employee benefit programs | ✓ Student Aid          |
| ✓ UCPath Center                 | ✓ HR/Career Tracks          | ✓ General Counsel      |
| ✓ Risk services/insurance       | ✓ Labor negotiations        | ✓ Government relations |
| ✓ Capital financing and bonding | ✓ Information technology    | ✓ Compliance and audit |
| ✓ Corporate accounting          | ✓ Real estate & financing   | ✓ Energy purchases     |
| ✓ Investments                   | ✓ Health                    | ✓ Labs                 |

*Source: Fiscal Year 2019-20 Budget for UC Office of the President*



# Key Driver to the Framework is UC 2030

UC has laid out a multi-year academic framework to help advance the California Dream.

1. 200,000 more degrees by 2030
  - 80 percent undergraduate and 20 percent graduate degrees in addition to the 1 million undergraduate and graduate degrees projected
  
2. Ensure the California Dream is for everyone
  - Achieve 90 percent overall six-year freshman and four-year transfer graduation rates
  - Close graduation gaps for low-income, first-generation and underrepresented students
  - Close overall graduate degree and doctoral degree attainment gaps for Pell grant recipients, underrepresented and first-generation students, and women
  
3. Invest in the next generation of the professoriate and research
  - Add 1,100 ladder-rank non-recall faculty over 4 years

**Note:** The systemwide goals within the multi-year framework were developed specifically for UC's ten campuses and do not encompass the growth strategies for UC Health, UC ANR, or the National Labs.

*Source: UC Accountability Report 2019 Executive Summary*

# SWOT Analysis

In order to ensure the framework's responsiveness to current organization and environmental conditions, the following considerations were outlined through a 'SWOT' analysis:

## Strengths

- Competent staff, expertise, commitment
- Scale of system
- Consolidated financials – scale of the system
- Mission-driven university
- President's reputation
- Strong commitment to diversity
- Efficiency – doing more with less
- Leveraging our networks
- Set-up to convene and facilitate
- National prestige
- Excellent problem solvers
- Adding value to work of campuses

## Opportunities

- Fully leveraging our large collection of assets
- Improved escalation and response to issues
- Working with the new Governor and new Regents
- Plan to the long game; this is a stable organization
- Relatively healthy economy
- Engaged community; educate public on how UC is serving
- Expanded leadership on national security and climate issues
- Leveraging transferable tech
- Leveraging CA's demographic change to educate and re-educate for life-long learning

## Weaknesses

- Bureaucratic culture – too hierarchal
- Morale and climate issues
- Communicating value
- Lack of support for OP externally
- Realization that one size does not always fit all
- Silos within OP leads to issues involving decision rights, duplication, collaboration
- Risk avoidance
- Resistance to change

## Threats

- Negative public perception of higher education
- Skepticism from some external stakeholders
- Booming job market causing recruiting challenges
- Escalating costs
- Labor issues
- Competition with other University systems
- Limited appreciation for science and research
- Funding model for the Office of the President

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# UCOP Mission, Vision, Values, & Strategic Objectives

# UCOP Mission

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## *Our Mission:*

Through leadership, service, and programs, we optimize the power of the University system to deliver world-class education, research, public service, and health care to Californians, the nation, and the world.

# UCOP Vision

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## *Our Vision:*

UCOP will sustain and strengthen the University of California's position as the pre-eminent university system in the world

## ❖ *Vivid Description:*

By 2030, 200,000 additional students will receive UC degrees with 90% graduating within 4 years. We will eliminate equity gaps in degree attainment and achieve a student body that reflects the diversity of California. We will continue to advance innovative student financial support to maximize affordability. We will create a strategy for providing lifelong learning opportunities for UC students and other Californians. Expanded community engagement and research activities will ensure that UC delivers knowledge and solutions to the entire state. By 2030, UC will make significant investments to have safe, state-of-the-art buildings and infrastructure that support education, health care, research, and student activities. More than 60% of our students, both graduate and undergraduate, will be housed on UC campuses. In order to support this growth, we will further diversify our revenue streams through innovative investment models, unrestricted philanthropy, clinical revenue, technology commercialization, and programs that leverage our size and scale. We will have a strong and wide base of support and be esteemed and considered indispensable by the state legislature, alumni, faculty, students, industry leaders, and the public. UCOP will continue to recruit and retain top talent as a mission-driven organization of agile, risk-taking, and strategic professionals who care deeply about people, our planet, and our shared future. We will be a diverse, collaborative community of individuals dedicated to sustaining UC as the best university system in the world.

# UCOP Core Values

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## ACCOUNTABILITY

We are responsive to the public and our stakeholders' needs, follow through on our commitments, and take ownership for our decisions and actions.

## EXCELLENCE

We adhere to the highest standards of professionalism, quality, and expertise. We strive to be leaders in our respective disciplines and to foster a system that delivers superior outcomes.

## INTEGRITY

We set high ethical standards and lead by example. We act in a credible and trustworthy manner. We treat all people with respect, professionalism, and fairness.

## COLLABORATION

We believe collective insight and action produces greater results than that of any individual or organization. We facilitate the exchange of information, expertise, and skills to optimize resources and generate the highest quality outcomes. We foster teamwork and, where appropriate, systemness.

## INNOVATION

By establishing an environment which supports creative and diverse thinking, we consistently evaluate perspectives, re-define problems, and seek opportunities to identify, test, and implement new solutions that produce desired outcomes. We accept risk taking as an opportunity to learn.

## MISSION DRIVEN

We are dedicated to and align our work with the University's commitment to education, research, and public service.

## DIVERSITY & INCLUSION

We embrace diversity, equity, and inclusion in all forms. We strive for a community that fosters an open, inclusive, and productive environment where we respect the potential of all individuals to make a positive contribution.



# UCOP Strategic Objectives

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The following five strategic objectives are broad-based, long-term aims that will move UCOP towards actualizing its vision.

<b>People</b>	Attract, develop and retain diverse, highly productive, talented, and motivated people who exemplify our core values and thrive in a culture of equity and inclusion, service, innovation, and change
<b>Financial Stability</b>	Ensure financial strength of the University through sustainable and innovative financial models with efficient and effective financial management practices
<b>Operational Excellence</b>	Optimize delivery of programs and services through systemwide implementation of best practices that promote efficiency, effectiveness, health, safety, confidence, and quality
<b>Policy &amp; Advocacy</b>	Advance UC's mission by marshalling the institution's expertise and external partners to effectively advance public policy issues and communicate the value of UC to our stakeholders, California, and the world
<b>Executing the Mission</b>	Enhance UC's ability to create and disseminate innovative research, scholarship, and opportunity through teaching, public service, and engagement for the benefit of California, the nation, and the world

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# UCOP Division Goal Snapshots



# UCOP Division Goal Snapshots

The seven UCOP divisions listed below have completed strategic plans as of December 2019. Note that the Office of the National Laboratories will launch their strategic planning process in early 2020. The existing plans helped inform the contents of this framework. Each division has identified specific goals that align under the UCOP strategic objectives. These goals will drive progress towards achieving these objectives; this progress will be measured and reported. Goal summaries for each division are included in this section as a source of information.

- UC Agriculture & Natural Resources
- Chief Financial Officer
- Chief Operating Officer
- External Relations & Communications
- UC Health
- UC Investments\*
- UC Legal

*\*UC Investments applied a different strategic planning process than the other divisions who followed a standardized process*

# UC ANR Division 2016-2021 Goal Snapshot

Last Updated: May 2019

Strategic Objective	Goal #	Owner	Goal Topic	Priority
Research and Extension	1	Powers	Strengthen Research and Extension Partnerships	●
	2	Powers	Increase UC ANR's Reach	■
	3	Humiston	Build Sustainable Economies for Working Landscapes	■
	4	Youtsey	Catalyze Support System for Innovation and Entrepreneurship	■
	5	Powers	Prioritize Programs and Services	●
People	6	Fox	Recruit and Retain People	●
	7	Fox	Improve Equity, Inclusion, and Diversity	●
	8	Fox	Expand Career and Leadership Development	◆
	9	Gable	Improve Volunteer Management	■
Financial Stability	10	Tran	Generate Revenue and Optimize Resource Deployment	●
	11	Krkich	Expand and Diversify Fundraising	■
Administrative Excellence	12	Tran	Modernize Technology and Facilities Infrastructure	●
	13	Tran	Streamline Administrative Functions	●
	14	McGuire	Leverage UC's Business Systems Improvements	●
Value of UC ANR	15	Forbes	Tell UC ANR's Story	●

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

# CFO Division 2016-2020 Goal Snapshot

Last Updated: May 2017

Strategic Objective	Goal #	Lead Dept.	Goal Topic	Priority
Revenue Generation	1	BAP	Generate Stable and Predictable New Core Funding	●
	2	BAP	Generate Alternative Revenues	●
	3	CFO IO*	Create Path to Stable Funding for UCRP and OPEB	●
Cost Containment	4	RISK	Leverage Fiat Lux	●
	5	PROC	Evolve P200 to SC500	■
	6	HR*	Contain Benefit Costs and Maintain Quality	●
Operational Excellence	7	OPS*	Deploy UCPath	●
	8	CAS&F	Address Deferred Maintenance Liability	■
	9	CAS&F	Support Addition of New Student Housing	■
	10	FA	Implement Common Chart of Accounts and Build DataMart	■
	11	OPS*	Deploy Shared Services	◆
People	12	CFO IO	Implement Standardized Selection Process	■
	13	CFO IO	Incorporate Professional Development Goals	■

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

\* Denotes shared CFO/COO goal

# COO Division 2016-2020 Goal Snapshot

Last Updated: October 2017

Strategic Objective	Goal #	Lead Dept.	Goal Topic	Priority
Revenue Generation	1	CFO IO*	Create Path to Stable Funding for UCRP and OPEB	●
Cost Containment	2	HR*	Contain Benefit Costs and Maintain Quality	●
Operational Excellence	3	OPS	Deploy UCPath	●
	4	OPS*	Deploy Shared Services	◆
	5	IT	Strengthen Cyber-Risk Management	●
	6	COO IO	Implement 2017 State Audit Recommendations	●
	7	HR	Improve Administrative Mgmt. of Pension System (Redwood)	■
	8	SPMO	Deploy Best-Practice Management Methodologies	■
	9	UCOP Ops	Optimize UCOP Operations	●
People	10	HR	Fully Implement Career Tracks	■
Public Service	11	ES	Achieve Net Carbon Neutrality by 2025	●

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

\* Denotes shared COO/CFO goal

# UC ER&C 2019-2024 Goal Snapshot

*Last Updated: December 2019*

Strategic Objective	Goal #	Goal Owner	Goal Short Title	Priority
Operational Excellence	1	Holmes	Launch UC ER&C Strategic Agenda	●
Executing the Mission	2	Correa	Elevate UC's Boldly Californian Brand	■
	3	Doan	Uphold UC's Reputation	■
Policy & Advocacy	4	Turner	Grow and Activate UC Advocates	●
	5	Flaherty / Harrington	Cultivate and Engage Key Legislators and Influencers	●
	6	Flaherty / Harrington	Advance UC Priorities at the State and Federal Level	●
People	7	Kopeck	Attract, Retain and Develop Diverse Talent	■

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

# UC Health Division 2017-2022 Goal Snapshot

Last Updated: February 2019

Goal #	Owner	Goal Topic	Strategic Objective					
			Systemness	Innovation	Operational Excellence	Financial Stability	People	Policy & Advocacy
1	Williard	Drive Savings and Efficiencies Through LSfV	■		■	■		
2	Engel	Develop and Launch Systemwide Strategic Initiatives	■	■	■	■	■	■
3	Engel	Create Quality / Population Health Management Function	■	■	■	■		
4	Stobo	Improve Systemwide Financial Analysis	■		■	■		
5	Engel	Establish Center to Leverage Systemwide Data	■	■	■	■		
6	Tauber	Offer Competitive & Compelling UC-Branded Health Plans	■	■	■	■		■
7	Engel	Strengthen UC Health Internal Effectiveness			■		■	
8	Nation	Develop Systemwide Enrollment Plan & Strategy	■		■			
9	Nation	Advance Progress in Promoting Diversity & Inclusion	■		■		■	
10	Nation	Advance Interprofessional Health Sciences Education	■	■	■			
11	Engel	More Effectively Influence Public Policy as a System	■		■			■
12	Buchman	Expand Critical Student Health Partnerships	■		■	■	■	

# UC Investments 2019-2021 Goal Snapshot\*

Last Updated: December 2019

Strategic Objective	Goal #	Goal Short Title	Priority
People	1	Invest in Our People and Reinforce 'UC Investments Way' Culture	●
Financial Stability	2	Deliver Best Risk-Adjusted Returns For All Products	●
	3	Grow portfolios and Investments in China and India	■
	4	Gather Knowledge from Partners to Inform Strategies	●
	5	Grow UC Innovation Pipeline & "Entrepreneur Capital" Portfolio	■
	6	Strengthen Relationships to Grow Co-Investments	●
Operational Excellence	7	Continuously Improve Portfolio Management Processes	●
	8	Build Excellence in UC Treasury Operations*	●
	9	Create, Expand and Maintain Relationships with UC Campuses	●
Executing the Mission	10	Build Upon Our Leadership in ESG, Diversity, Equity & Inclusion	●

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

\* Goal executed in conjunction with CFO Division

\*UC Investments applied a different strategic planning process than the other divisions who followed a standardized process

# UC Legal Division 2019-2024 Goal Snapshot

Last Updated: June 2019

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



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# Appendix: Framework Integration, Communication, & Measurement Plans

# Framework Integration Plan

## Integration of Components

Components of this UCOP Framework will be incorporated into division strategic plans as follows:

### *Vision & Mission*

- The UCOP mission and vision statements will be integrated into the “Decision Drivers” section of each division’s strategic plan. Each division will each generate their own functional mission and vision aligned to UCOP’s.

### *Values*

- All divisions will adopt the UCOP values and their descriptors. Divisions may choose to add values that are specific to their mission.

### *Strategic Objectives*

- All divisions will adopt the UCOP strategic objectives and their descriptors. However, if a UCOP strategic objective does not apply to the division (i.e. they have no corresponding goals to the objective), they may remove it. Divisions may also choose to add strategic objectives that are specific to their vision.

## Integration Timeline

All divisions will integrate the above framework components when plans are initially developed or refreshed. Existing strategic plans will incorporate the UCOP components by the end of 2020.

# Communication Plan

Communication of the UCOP Strategic Framework will include:

## *UCOP Staff Communication*

- Division leadership to review Framework with their teams in January 2020
- President to review Framework at January 30<sup>th</sup>, 2020 Town Hall
- Framework to be posted on UCOP website in January 2020

## *University Stakeholder Communication*

- Framework to be shared with Chancellors in January 2020
- UCOP leaders to share with other campus leadership as appropriate

# Framework Measurement and Tracking Plan

Progress towards achieving strategic objectives within the framework and goals within division strategic plans will be measured as follows:

- Division Leaders will convene regularly to review and update the framework as well as review progress of division-level strategic plans
- In 2020, Division Leaders will develop UCOP measurement and reporting capabilities to track against the framework and division level strategic plans