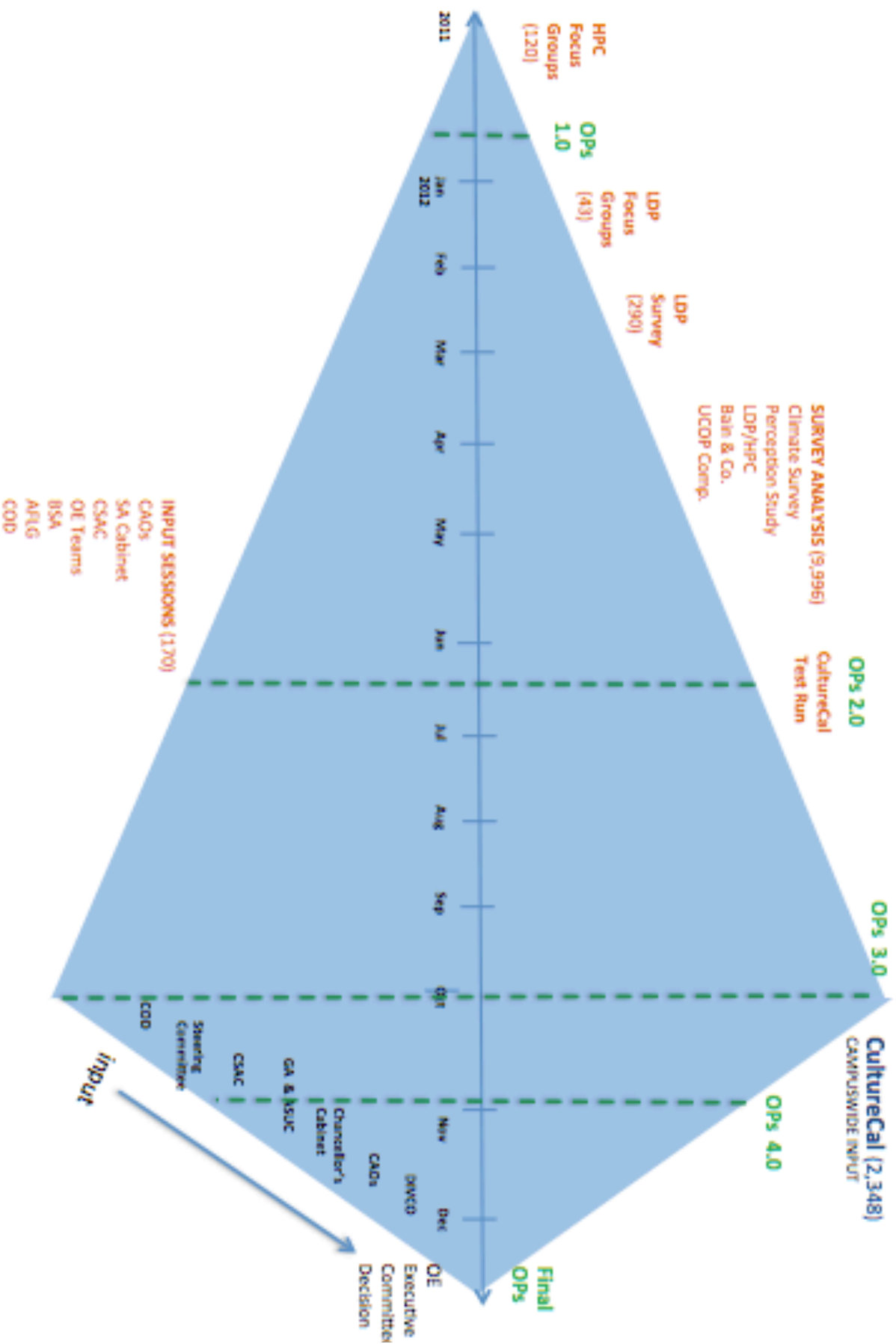# How Campus Input Led to Operating Principles

Methodology Report

A primary goal of the Berkeley Operating Principles project was to gather input from a broad representation of the UC Berkeley campus community in order to develop the principles. Over the course of the last two years, more than 10,000 voices contributed to defining a set of operating principles, or short phrases that describe shared values and inspire a common belief system within a community. The following report provides an overview on how the campus arrived at the final Berkeley Operating Principles.

OPERATING PRINCIPLES 1.0

The High Performance Culture Initiative (HPC) was one of seven programs under Operational Excellence (OE). In 2011, the HPC team received input from campus surveys, the January 2011 OE Open House, and hosted eight focus groups with a total of 120 participants; this yielded the first iteration of the principles, or Operating Principles 1.0.

THEMES AND CRITERIA

The Operating Principles were then entrusted to the 2011-2012 "Berkeley Operating Principles" Leadership Development Program (LDP) project team to assess how and why the campus could develop a set of operating principles, as well as to develop an initial set of principles. From January – April 2012, the LDP team hosted seven focus groups with a total of 43 participants, and conducted an online survey with 290 respondents. Concurrently, the Operating Principles project manager hosted a series of input sessions with 170 participants. Groups included:

- Chief Administrative Officers (CAOs)
- Student Affairs Cabinet (SA Cabinet)
- Chancellor's Staff Advisory Committee (CSAC)
- Operational Excellence (OE) Project Teams
- Berkeley Staff Assembly (BSA)
- Administration & Finance Leadership Group (AFLG)
- Council of Deans (COD)

Professor Jennifer Chatman's Current Culture/Ideal Culture exercise was used to assess the operating culture in UC Berkeley's administration. This exercise helped the campus community prioritize areas for improvement in its operating culture.

The project manager also reviewed existing data that included feedback on our current and desired organizational culture by conducting an analysis of the data generated by the following surveys and studies:

- Climate Survey
- Perception Study
- Bain & Co. findings
- UCOP Competencies

In all, these inputs had a total of 9,996 participants (which may include some participation in multiple data sets). LDP, OE HPC and Input Sessions data were also considered in the overall analysis.

"**Themes**" and "**Criteria**" for the principles were created from this stage of data review. *Themes* are the broad areas that the campus thought were the most important to address. *Criteria* are the measures by which the operating principles are evaluated. Culture positives and culture gaps were identified regarding UC Berkeley's current and desired operating culture and emerged as themes. These themes were prioritized with strong agreement from input groups and narrowed down to the top five as a means for guiding the content of the final set of operating principles.

Analysis on the ranking of themes also became an iterative process throughout the creation of the final operating principles to ensure that priorities remained aligned with outputs.

The criteria would be used throughout the process to measure the structure, language and purpose of the principles themselves.

OPERATING PRINCIPLES 2.0
Together with the LDP project team, the Operating Principles project manager created Operating Principles 2.0. This set of operating Principles was used to seed the August 2012 CultureCal Test Run, in which 40 participants provided feedback to Operating Principles 2.0 and conducted user experience testing of the software that would be used for CultureCal in October 2012. The data received was analyzed and used to create the next iteration of operating principles.

CULTURECAL & OPERATING PRINCIPLES 3.0
Operating Principles 3.0 seeded CultureCal, the online brainstorming event hosted by the Berkeley Operating Principles team from Oct. 1 – 12, 2012, in which all faculty, staff and student employees were invited to help define the campus' operating principles. CultureCal yielded over 36,000 hits to the site, with over 2,300 participants, over 22,000 votes cast and 358 principles suggested.

CultureCal used customized software provided through a special partnership with Imaginatik, a company that has designed a social, collaborative space for collecting and sharing ideas supporting innovation. Participants rated proposed principles, created new ones, and promoted their favorites. The campus community could also visit kiosks on campus.   The project team also conducted special outreach sessions to reach staff less likely to use computers, or who require translation services, including groundskeepers, custodians and tradespeople.

FINAL ANALYSIS OF ALL DATA
Much like the participatory data collection processes of CultureCal, LDP focus groups, OE HPC focus groups, and other input opportunities, the project team relied upon a participatory analytical process in the co-construction of the final set of Operating Principles.

CultureCal Metrics
The results of CultureCal were analyzed using the following tools provided by the CultureCal software:

- **Kudos** identified which principles generated the most interest or "buzz."
- **Star ratings** revealed how "likeable" a principle was; a rating of five stars was considered the most likeable. Each person could vote only one time for each principle, i.e. one person, one vote.
- **Bubble Up** allowed participants to prioritize principles by spending credits to move them up or down a ranked list. During the course of CultureCal, participants each received a total of 50 points to spend.

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Top 10s

The project team analyzed the top 10 principles from each of these categories, including all descriptions, comments and other data related to each principle.

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TOP 10 PRINCIPLES		
RANK **BUBBLE UP**	**STAR RATING/VOTES COMBO**	**KUDOS**
Bubble Up allows people to prioritize principles by spending credits to move them up or down a ranked list.	*Presented in no ranked order, these 10 principles are received the highest ratings when both number of votes and star ratings are considered. One person, one vote.*	*"Kudos" identifies ideas by interest and attention.*
1 Test All Processes from the Ground Up (407)	Simplify (4.08/329)	Berkeley Together
2 Academics first! (402)	Revisit rules and ask why (4.12/313)	Simplify
3 Stop pretending layoffs will not hurt service (343)	Dare to Innovate (3.90/302)	Service Over Bureaucracy
4 Offer Degree opportunity to staff (335)	Evaluate Supervisors (4.16/249)	Stop pretending layoffs will not hurt service
5 Simplicity and Automation in Technology (287)	Honesty, integrity and heart in the UCB Workforce (3.78/306)	Dare to Innovate
6 Incentivize high performance (285)	Eliminate redundant paper work (4.08/197)	Accountable Beyond Ourselves
7 Service Over Bureaucracy (271)	Recognize Quality (4.08/191)	Test All Processes from the Ground Up
8 Invest in Staff (261)	Service Over Bureaucracy (3.94/188)	One community, One Cal
9 Evaluate Supervisors (234)	Create career pathways (4.01/183)	Incentivize High Performance
10 Do not destroy the Cal culture! (179)	One size doesn't fit all (3.94/160)	Cultivate Trust

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Themes

Once again, an analysis of principles by theme was conducted to see what may have changed in campus-wide priorities for aligning the operating principles with the current and desired operating culture. The project team analyzed which themes received the most submissions, and also identified common ideas within each theme. Often ideas were submitted that were not in the form of an operating principle, but were closely related to one of the themes. These principles were grouped to their overall theme in order to capture their messaging. See Figure 1 for a visual representation of how the Top 10s were captured in the final Operating Principles.

Top 10 STAR RATING
- Simplify
- Revisit rules and ask why
- Dare to Innovate
- Evaluate Supervisors
- Honesty, Integrity and heart in the UCB Workforce
- Eliminate redundant paper work
- Recognize Quality
- Service Over Bureaucracy
- Create career pathways
- One size doesn't fit all

Top 10 BUBBLE UP
- Test All Processes from the Ground Up (407)
- Academics first! (402)
- Stop pretending layoffs will not hurt service (343)
- Offer Degree opportunity to staff (335)
- Simplicity and Automation in Technology (287)
- Incentivize high performance (285)
- Service Over Bureaucracy (271)
- Invest in Staff (261)
- Evaluate Supervisors (234)

Top 10 KUDOS
- Berkeley Together
- Simplify
- Service Over Bureaucracy
- Stop pretending layoffs will not hurt service
- Dare to Innovate
- Accountable Beyond Ourselves
- Test All Processes from the Ground Up
- One community, One Cal
- Incentivize High Performance
- Cultivate Trust

Major Themes

Shared, Inclusive & Collaborative Environment

Innovation & Openness to Change/Risk

Simplification & Reduced Bureaucracy

Accountability & Perf Management

Excellent Service

We include and excel, together
We cultivate trust, treat one another with respect and assume good intentions. We actively include different perspectives and work cooperatively within and across departments. We thrive when we celebrate the diversity in our community and our common commitment to equity, inclusion and equal access to all.

We imagine and innovate
We develop sustainable solutions that help us meet campus goals. We are willing to take intelligent risks, make mistakes, and learn from our experiences.

We simplify
We reduce unnecessary steps and make it easier to get things done. Our solutions are common where they can be, custom where it counts.

We are accountable to each other
We measure supervisor, individual and team performance, make transparent decisions, and follow through on our commitments. We recognize excellence, and give and receive constructive feedback at all levels to help us improve.

We focus on service
We provide timely, excellent service to students, staff, faculty, alumni and other stakeholders. We emphasize service over bureaucracy whenever possible.

Criteria

After the CultureCal analysis by kudos, star rating, bubble up, and themes, the principles were reviewed against the other existing data, and then compiled into lists of top principles by top themes. The Berkeley Operating Principles Steering Committee, project team, and groups representing staff, faculty and students ranked operating principles within each theme, (e.g. "shared and collaborative environment") to co-create the draft set that the project team would use at decision meetings. All principles were measured against the Operating Principles Criteria:

- Short, sweet and memorable
- Useful and concrete with action language
- Measurable
- Mix of who we are/who we want to be
- Broad resonance, but specific
- Describes ideal behavior
- Enables us to follow the direction we've set

OPERATING PRINCIPLES 4.0

After the analysis phase, top principles were narrowed to a group of five, one principle per theme. These five themes are:

- **Shared, Inclusive & Collaborative Environment**
- **Innovation and Openness to Risk/Change**
- **Simplification and Reduced Bureaucracy**
- **Accountability and Performance Management**
- **Excellent Service**

A draft set of operating principles 4.0 was brought to representative groups, including the Berkeley Operating Principles Steering Committee, COD, DIVCO, Chancellor's Cabinet, CSAC, ASUC and GA. A final draft was presented to the OE Executive Committee, whose members are Chancellor Robert Birgeneau, Executive Vice Chancellor and Provost George Breslauer, OE Program Faculty Head Andrew Szeri, and John Wilton, Vice Chancellor, Administration & Finance. These were approved on December 6, 2012.