



OE RESOURCE REQUEST APPLICATION

University of California, Berkeley

I. SPONSORSHIP

A. Initiative

Initiative	Transformation Support Services		
Initiative Manager	Liz Elliott		
Phone	510-642-3836	E-Mail	eelliott@berkeley.edu

B. Sponsorship

Sponsor Name	John Wilton		
Sponsor Signature		Date	
Sponsor Name			
Sponsor Signature		Date	
OE Program Office Signature		Date	

C. Give the title of the resource

Transformation Support Services (delivered by the OE HR team, COWe and the OE Program Office; collectively, the Transformation Support Services[TSS] Team)
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II. PROBLEM STATEMENT/CASE FOR CHANGE

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

<p>UC Berkeley is concurrently implementing multiple Operational Excellence (OE) projects, including a transition to shared services, in 35¹ organizational units in more than 200 locations across campus. Implementing OE projects successfully requires significant time and energy from unit managers and staff. Beginning Summer 2012, each of the 35 units will also need to adjust to the departure of some staff and administrative work to Campus Shared Services and will need to redefine roles and redistribute work retained in the unit. To adapt to these changes and achieve OE goals, unit leaders and managers face many challenges including the need to:</p> <ul style="list-style-type: none"> • Plan and implement job and work assignment changes , e.g., adjust staffing strategies, prepare job re-classifications, and develop recruitment strategies for both temporary contract and career appointments • Identify temporary staffing solutions to cover gaps due to staff moving to positions in Campus Shared Services and other opportunities • Provide learning and development opportunities to prepare staff to successfully transition to new roles • Manage organizational re-design and change: <ul style="list-style-type: none"> ○ Communications, coaching, transition planning, and coordination to ensure that the people side of
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¹ See Appendix A for a listing of how campus is divided into the 35 units.

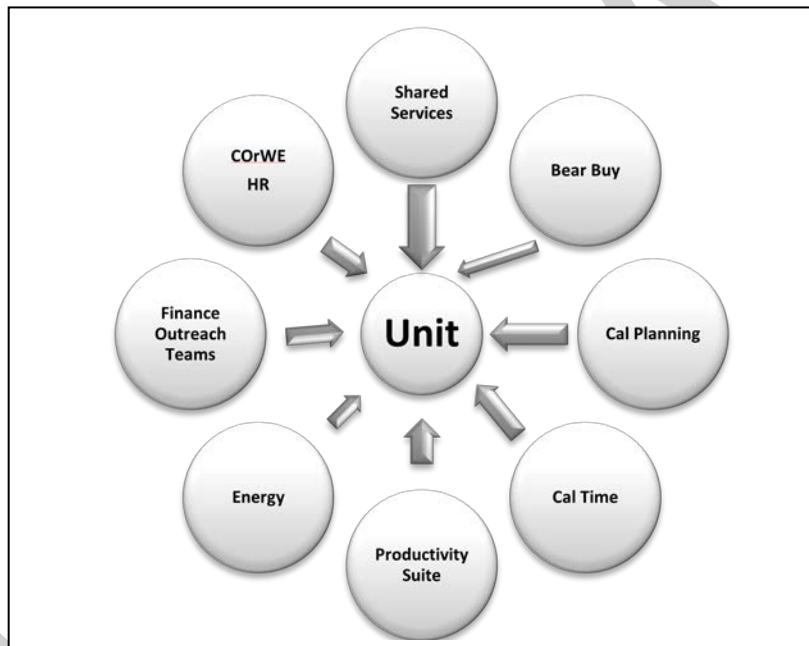
change is successful

- Assess the unit's efficiency and effectiveness in achieving its mission / purpose
- Re-design unit administrative operations to achieve the mission /purpose and goals with remaining staff by improving alignment, strategies, structures, staffing, and/or skills
- Re-design work processes

Unit managers and staff are reporting that the implementation work ahead is daunting. While they truly appreciate the potential for OE projects to create a bright and sustainable future, they expect their work implementing OE projects in their units to be:

- Tightly coordinated/synchronized
- Without duplication and redundant requests for information
- Well organized

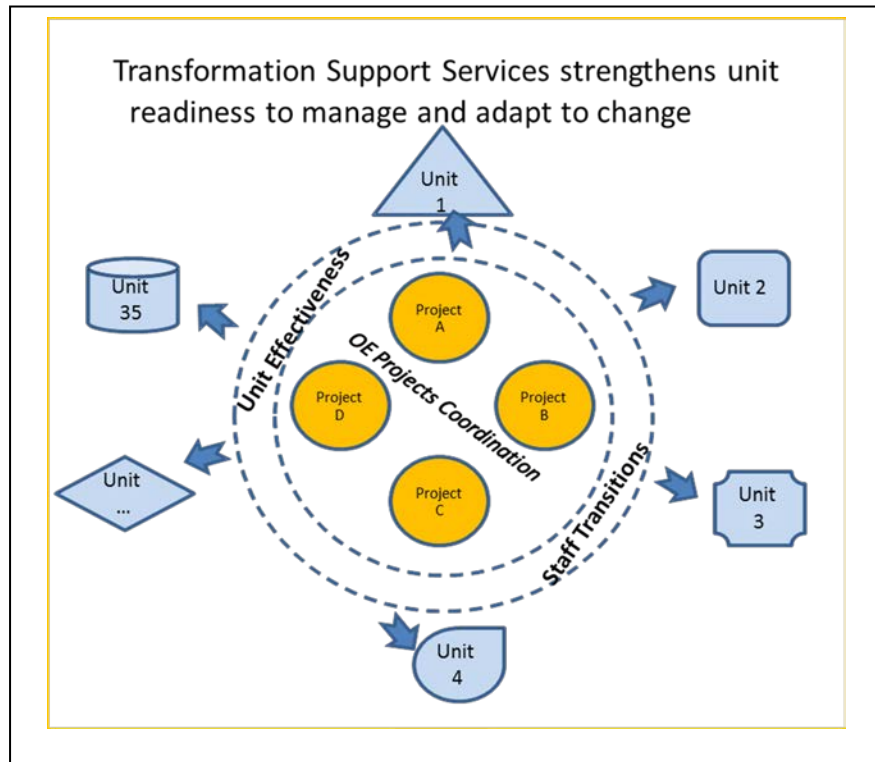
They are, however, currently experiencing:



As a result, campus managers are requesting assistance to:

- Navigate through the multiple expectations and changes that are necessary to successfully implement OE projects and achieve OE goals
- Coordinate and prioritize the multiple requests from OE projects, outreach teams, etc.
- Enable their staff adapt to the work that units will be responsible for as a result of these OE projects
- Help transform programmatic and other unit functions and staffing to achieve operational goals of financial sustainability and high performance

TRANSFORMATION SUPPORT SERVICES will provide focused HR and OD services driven by unit-specific requests for help addressing specific changes in their operations so they may successfully sustain the changes implemented by OE projects and lead the resulting change management activities needed to move into new ways of operating.



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

Purpose

The purpose of the TRANSFORMATION SUPPORT SERVICES project described in this proposal is to define the requirements for, to plan, and to deliver consultation to help managers achieve the goals of Operational Excellence in their units.

TRANSFORMATION SUPPORT SERVICES is an integrated approach to help campus units assess and adjust their administrative operations in UC Berkeley’s new operating environment. The overall goal is to ensure units continue to operate effectively during the transitions required by OE projects, while achieving their unit-specific goals and Operational Excellence savings and goals.

Transformation Support Services (TSS) will provide tools and experienced HR and organization consultants to assist unit managers during this transformation to a new campus-wide operating model . The team will collaborate with unit leaders and managers to:

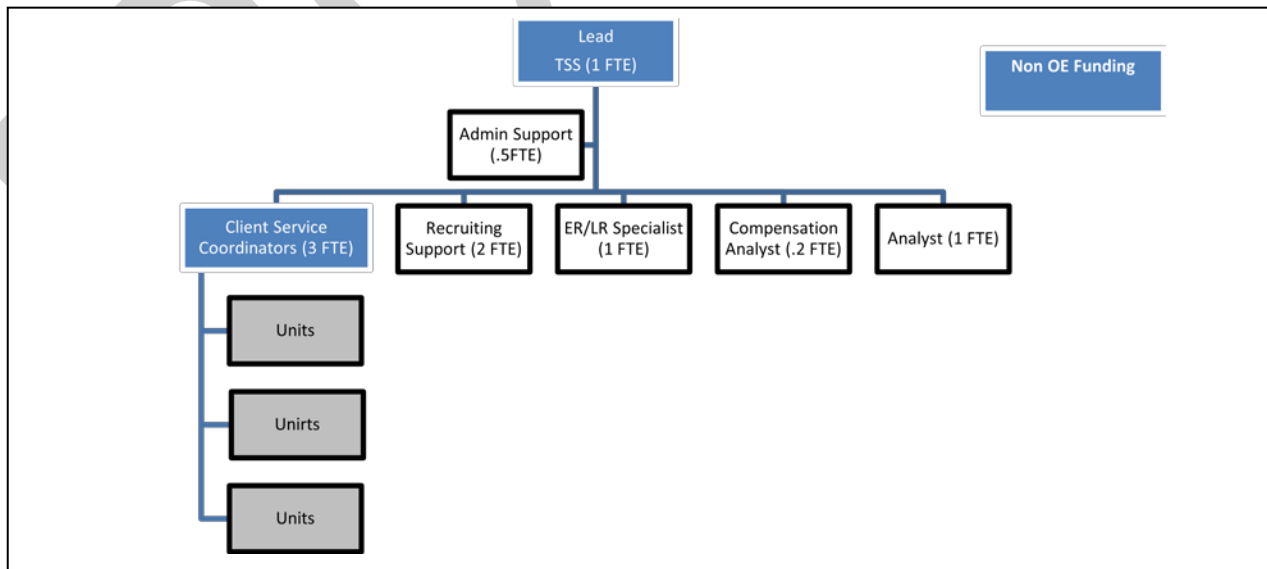
- Plan for and lead OE-related changes to realize the full benefits of multiple OE projects
- Prepare unit staff to adopt, adapt to, and fully integrate the new technologies and ways of working required by the OE Projects
- Transform programmatic and other unit functions to achieve savings and financial sustainability

Solution and Scope

The project proposes to deploy a team of organizational development and HR experts to help managers realize the full benefits of OE projects in their units. The team will provide consulting and organization effectiveness services, workshops and focus groups, and HR technical expertise to help units achieve OE goals through appropriate staffing solutions, process and structural improvements, and integration of new ways of working brought to the unit by OE projects. We propose a collaborative approach where unit managers and staff create solutions that work for them. Managers of units are accountable for achieving OE and unit-specific goals. The team will establish working agreements with unit leaders that specify the work of the unit managers and staff and the work of the TSS team to achieve specific outcomes.

The project proposes to create a menu of service offerings based on our current understanding of units’ priority needs in order to manage the impact of OE changes.

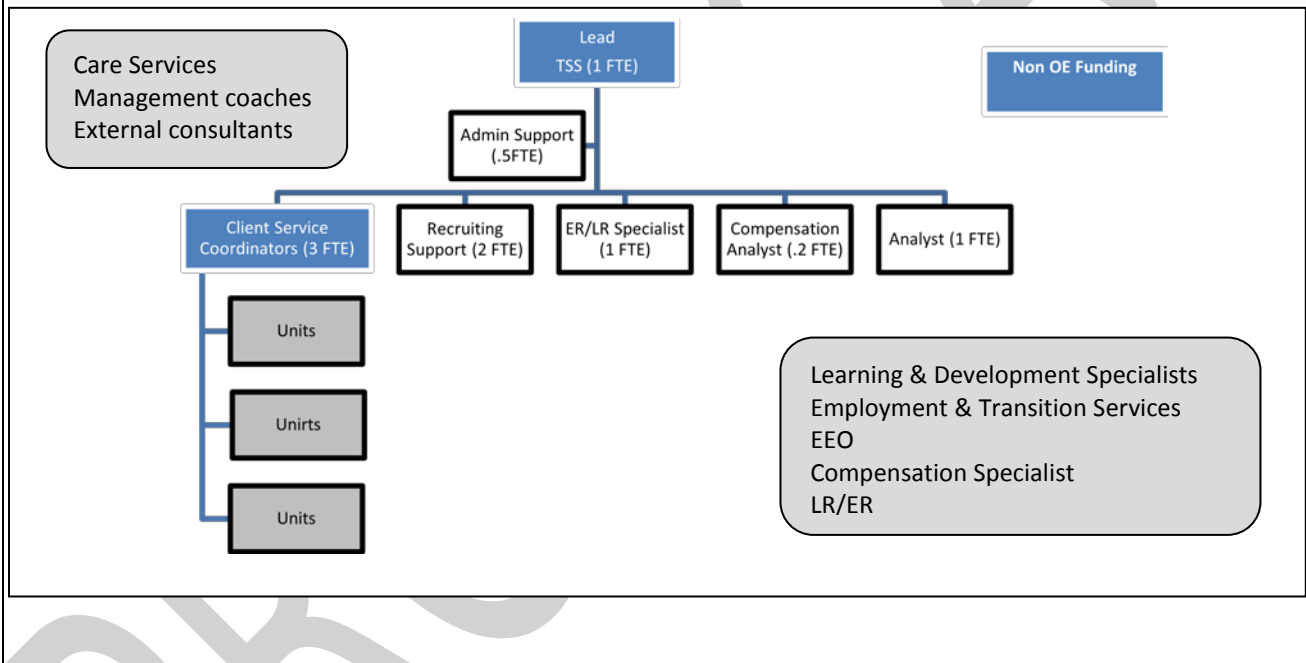
This proposal is for funding for staffing Transformation Support Services. The core team will consist of the following members:



- **Lead Transformation Support Services (TSS) (Organizational Consultant 5):** Leads team of change management and HR professionals to create process and approach to enable managers to manage change and organizational effectiveness issues. Primary reporting relationship to Liz Elliott, Director, CORWE, with dotted line reporting to Peggy Huston, Director, Operational Excellence Program Office.
- **Three (3) Transformation Support Client Service Coordinators (Organizational Consultant 4):** Manage a load of approximately 10 (“client”) units providing consultation to unit leaders and serving as a point-of-contact and service coordination for units requesting support. These individuals are also responsible for helping managers develop skills in process improvement and change management, establishing approaches and templates for leaders to use with unit staff to engage in continuous improvement.
- **Three+ (3.2) HR Specialists (Recruitment Specialist (1); Recruitment Assistant (1); and Employee Relations and Labor Relations Specialist (1); part-time Compensation Specialist (0.2):** Provides OE HR support for activities such as staff transitions, job re-classification, and the identification of temporary staffing solutions.
- **Data Analyst:** Provides analytic support for evaluating business cases, defining process and workflow, determining appropriate staffing levels, and developing performance metrics.

Jeannine Raymond, AVC, Berkeley HR and Phyllis Hoffman, Assistant Chancellor are working sponsors for the project and will provide guidance to the team.

Other campus resources will be introduced when needed, e.g.,:



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

The following alternatives and variations in approach were considered:

- Alternative/Variation: Exclusive focus on staffing solutions –with a tight focus on providing HR support for reassigning “retained” work to staff remaining with unit.
 - Reason not selected:
 - To focus exclusively on staff transitions without attending to the opportunity for unit transformation and enhanced effectiveness through organizational development may not position the units for success and high performance.
 - Without attending to unit effectiveness and orchestration of OE Projects Coordination some units may not have the capacity to address the demands of the many OE projects and consequently not achieve OE goals.
- Alternative/Variation: Mandated, singular approach for every unit.
 - Reason not selected:
 - The units have varying degrees of capacity and ability to orchestrate the work required. Units

will need to determine how much support is needed to achieve OE goals. A customized approach enables capacity-ready units to use self-determined approaches and other units in need of support to leverage campus resources. Given the varying nature of the size and complexity of the 35 units, a one-size fits all would not enable each unit to realize OE goals.

- Alternative/Variation: Provide support to the units through a loose cadre of campus volunteer experts pressed into service when called and if available.
 - Reason not selected:
 - In considering the needs of the units and to be capable to rapidly provide consultative support, the project is structured with a small team of consultants. This core team can bring in subject matters experts and others with specialized expertise as needed. A dedicated, core team approach was deemed appropriate to make the most of this time of unit restructuring as an opportunity to strengthen collaboration among service providers in support of campus units
 - Relying on loosely coordinated actions may not adequately enable units to achieve OE goals

III. IMPACT AND STRATEGIC ALIGNMENT

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

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

The first objective of this project is to provide services to help academic and administrative leaders achieve a successful transition to a new environment and ongoing operations with sustained service delivery capabilities, effective and efficient processes, high performing staff, and financial savings in order to achieve OE goals.

The second objective is to enable managers across the campus to develop the capabilities needed to lead continuous improvement.

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

Aside from the direct benefits of this project, the project creates several opportunities to advance the campus's ability for project delivery and unit adoption by providing:

- A model for how central campus functions collaboratively support units through periods of transition
- An opportunity for the campus to build and institutionalize a set of capabilities. Examples include:
 - An integrated team expands the concrete organizational effectiveness methods and services offered to units (e.g., templates and approaches for process mapping and workflow design, techniques for analyzing and restructuring unit, tools for managing change)
 - Increased capacity of managers, work teams and individuals to employ the tools and techniques of continuous improvement and ongoing learning as they become adept at navigating change
 - Expansion of effective and efficient processes for moving staff, creating temporary staff solutions during transitions
- Unit effectiveness to incorporate goals embedded within the OE Metrics and Berkeley Operating Principles projects

C. Identify the risks of not implementing the solution.

The goal is to help campus leaders transform unit operations in the new environment to ensure that savings are achieved and units operate effectively and productively during periods of change and afterwards, thereby achieving the overarching goals of the OE Program.

There are four primary risks of not implementing the solution proposed:

- **Units may struggle to organize and provide retained services effectively and efficiently.** While some units may have the capabilities and capacities to perform on their own, other units, without support, may find the work overwhelming, and as a result provide less than acceptable standard of service to support ongoing retained work for program and business operations.
- **OE Projects may overwhelm units and ultimately not achieve the projects' goals.** Without appropriate and effective OE project implementations at the unit level, OE program investments will not lead to attainment of expected business results.
- **Duplicate departments will create redundant work and projects as they individually attempt to offer support to campus units.** With a coordinated approach, unit managers will face the challenge of figuring out where to go for help and inconsistent approaches may proliferate.
- **We get past immediate challenges, but miss the opportunity to prepare our managers for future challenges.**

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

The proposal is intended to support academic and administrative managers through the processes of transitioning staff and transforming the unit in a parallel and integrated fashion with the efforts of Operational Excellence projects. This project views the primary beneficiaries as the managers and academic supervisors, staff and faculty of the unit. To the extent that students are stakeholders of an efficiently run and well managed unit, they, too, are beneficiaries.

Unit managers effectively positioned to incorporate new business practices and processes of OE projects such as CalTime, BearBuy, Productivity Suite and CalPlanning promote the achievement of results for these projects as well, benefitting campus, unit and project.

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

This project is structuring from top to bottom with collaboration in mind, and is manifest in several ways:

- **The Project is a collaboration of HR, CoRWE and the OE Program Office (and the OE projects).** Collaboration on projects coordination, change readiness, staff transitions, organization restructuring.
- **The Project is collaboration with Campus Shared Services and Finance Outreach Team.** While the works of this project, Finance Outreach, Campus Shared Services are distinct, they share an interest in setting up the units for success. The project and other outreach and implementation teams will jointly develop approaches and plans for working with units, sharing information, speaking with one voice, demonstrating tight coordination, and complimentary roles.
- **The project fosters collaboration among a number of service departments on campus including CARE Services, Ombuds Office, Office of Planning and Analysis, Audit and Advisory Services.** Each of these service providers offers specific support for a unit that contributes to the depth of the overall offer to departments.
- **Collaboration with the leaders of campus units.** This project had its genesis in constructive conversations with the units about how best to incorporate the unit perspective into planning and implementation of OE-driven changes. Administrative leaders suggested the design elements within this proposal in conversations about the upcoming Shared Services Center implementation and more broadly about the significant work required to implement many of the OE projects.
- **Information gathered by the TSS team about unit processes and practices will inform future projects about how best to implement within specific units.**

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

The project intends to strengthen the capacity of OE PO, COReWE, HR, and other collaborating service units to help the campus manage change effectively, now and in the future. These times demand continuous improvement of our workplace. This project begins the process of embedding an enterprise wide approach to helping campus leaders, faculty, staff and students realize successful projects small and large, unit specific and campus-wide.

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

This proposal provides a unified set of processes with which to support the leaders of academic and administrative units, re-inventing their administrative services, and implementing other technology-enabled business processes. In and of itself, it does not deliver or modify existing systems or processes. It does, however, facilitate and support OE project implementations, lowering risk and increasing the probability of success.

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

Profile/Impact in	Current Workload	1-time workload	Ongoing workload
hours	The goal of this project is to help units find ways to reconsider work, maximize resources, minimize workload to achieve mission and achieve OE goals. The amount of time such analysis will require from members of units will vary.		
Student			
Staff			
Faculty			

IV. WORK PLAN AND PROPOSED SOLUTION DESIGN

A. Provide a statement of:

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

Deliverables

Through 3 workstreams, this project will deliver:

1. Support and consulting services to unit leaders to assist each in creating a high performing organization in the new environment ensuring that the unit continues to operate effectively and productively during changes and afterwards, and that savings are achieved.
2. Support and consulting services to transition staff in a healthy, positive manner promoting and enabling a productive workforce.
3. Support and consulting services to units on ways to coordinate across the OE projects to promote a successful technical implementation leading to desired business results.

Constraints

- Working within the tight timelines of several simultaneous projects.
- The small size of the TSS team.
- Limited resources within the units.

B. Provide a work plan for the proposed solution with high-level steps to complete the solution, including timeline.

	MILESTONE	TIMELINE
1.	<ul style="list-style-type: none"> Recruit and on-board Lead, Transformation Support Services Finish recruiting other project team members Define project and change management toolkit components 	April 1 – June 30, 2012
2.	<ul style="list-style-type: none"> Define scope of project Align scope and roles and responsibilities with OE project teams 	May 1 – August 1, 2012
3.	<ul style="list-style-type: none"> Assess and size the support needed by units. Stage the work of the project team 	June 1 – August 31, 2012
4.	<ul style="list-style-type: none"> Begin to deploy services to units Identify lessons learned and adapt approaches Measure outcomes of team engagements 	September 1, 2012 – March 30, 2014

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

<ul style="list-style-type: none"> From the OE project teams and HR: unit job functions which are changing as a result of the project; From the Units: identification of what support they need from TSS to achieve OE goals From OE projects or the OE PO: information regarding the roll out of projects in order to create customized unit implementation plans for the collection of OE projects Specific funding models and financial targets for units

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

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

	RISK	MITIGATION PLAN
1.	Lack of desire by units to seek assistance	<ul style="list-style-type: none"> Outreach to unit leads to demonstrate credible plan (process and toolkit) for providing support and assistance. Ultimately, the decision to utilize the Transformation Support Services team belongs to unit to opt-in. Early users tell success stories
2.	Over subscription	<ul style="list-style-type: none"> Clearly define the general scope of the project and the scope of each engagement with a unit Set clear expectations of what TSS will provide and the responsibilities of the unit manager and team to achieve prioritized needs.
3.	OE Projects see TSS as burdensome and hinder direct conversations with units.	<ul style="list-style-type: none"> Develop clear working agreements with each of the other OE Project teams to ensure smooth handoffs and close collaboration.
4.	Managers, inexperienced in leading large scale change, have difficulty helping staff focus on the successful implementation of new ways of working.	Facilitate and coordinate access to a wide range of support for managers to enable them to more confidently navigate OE-related changes and to build their own and their units' capacities to achieve operational excellence.

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

- At the end of each engagement with a unit:
 - Identify lessons learned
 - Refine the service menu
 - Update toolkits and templates
 - Ask clients for feedback
 - Measure results against expectations set at the beginning of the engagement

V. CHANGE MANAGEMENT

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

At its core, this is a change management project. The purpose of the TSS team’s work is to enable successful change in the units now and in the future. This project begins with offering assistance for a very complex set of staff transitions and unit transformations through operational improvements and coordinated technology implementations – all while keeping current operations in support of programmatic needs on track. A daunting task for everybody – unit staff at all levels, projects, program management, and campus leaders.

Each unit will be assigned a Client Services Coordinator (Lead or experienced OD4/change manager) focused and dedicated to the success of the unit. The Client Services Coordinator serves as a point of contact for the unit for all actions related to staff transitions, unit reorganizations and renewal, and implementation coordination.

The team will include members with expertise in organizational development and HR. Each member will receive a detailed onboarding and share a set of best practices for helping units achieve operational excellence.

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

- The potential savings that can be achieved through redesigning unit organizations, process redesign, cross-unit collaborations and the development of high performing teams.
- Unit managers experience development in their leadership capability and staff acquire valuable skills while improving their organizations.

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

- Deans, Chairs, CAO and department managers, Vice Chancellors, AVCs and Directors will play important roles in setting and achieving savings and improvement targets for their units

VI. FUNDING MODEL AND BUDGET

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

The budget is determined by the size of the team and the duration of the team's availability. We based the size of the team on past experience with OE HR services to units during organization simplification and the experience of deployment teams for early projects. The only way to reduce the budget is to either reduce the number of staff available to assist the units with staff transitions and work redesign or to shorten the length of time the team's support is available.

Funding for Transformation Support Services is a joint effort between OEPO and staff recognition and development funding. Staff development funds will support the Organization Development consultants (lead and 4 OD4s) as part of its support for manager, team, and individual development.

This proposal requests funding to augment technical HR expertise temporarily needed to support redeployment of staff and structural changes that result in reassignments, outplacement, re-classifications, etc. Given the number of schools, colleges, and departments that are experiencing significant change and only minimal analysis of unit needs across the campus, we have recommended a minimum of support. Our model assumes that each consulting services coordinator may be addressing the needs of as many as 6 small to very large units at one time. As the teams work with client unit managers and collaborate with other project teams, we will develop a clearer understanding of the potential savings that may be realized through work re-design and new staffing models.

We strongly believe that the right solution is to pursue all three workstreams for the benefit of each unit and the overall OE program. From the unit perspective, each workstream adds value, reduces implementation risk for the transition to Shared Services and the balance of the OE Projects, and creates an environment for each unit and the units collectively to be ready and prepared for change.

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

At this time we do not anticipate the need for sustained funding. However,

- The approach and techniques used by the project should be considered in the future. To the extent that future projects introduce substantial change, funding for a similar project should be considered.
- The tools, templates and management development approaches created for this project can be preserved and available for future use.
- This is an important part of a campus wide effort to improve the effectiveness of campus managers. This effort helps managers achieve OE objectives. After this two year period, we may still want to use this or a similar method to continually strengthen campus leadership.

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

The attached budget address incremental costs for “named” staff who will be devoted to this project. However, we also acknowledge the planned contributions of campus units who will collaborate in this endeavor to support the units through this process by contributing their services.

- Berkeley HR organization will be instrumental with supporting the anticipated staffing transitions which will take place
- OE Program Office
- COrWe
- CARE Services for Faculty and Staff
- Risk Management
- Ombuds
- Audit and Advisory Services
- General Counsel

PROPOSAL

VI. ASSESSMENT PLAN

Please use the table below to detail your metrics. PRELIMINARY DRAFT - TO BE COMPLETED WHEN TEAM IS HIRED

METRIC CATEGORY	GOAL	SPECIFIC METRIC (incl. measure basis)	BASELINE VALUE	TARGET VALUE	BASELINE DATE	PROJECTED TARGET ACHIEVEMENT DATE	DATA COLLECTION METHOD	DATA COLLECTION FREQUENCY	FUNCTIONAL OWNER OF DATA COLLECTION	PERSON RESPONSIBLE FOR DELIVERY OUTCOME
OPERATIONAL PERFORMANCE										
	Ready the units to adopt and adapt and to fully integrate the new technologies and ways of working required by the OE Projects; enable the units manager to integrate multiple change into their operations	Units organized and ready to perform retained functions in timeframes agreed to with Shared Services team.	TBD	TBD		-At unit contracting (create checklist of actions, agreed upon timeline, and savings) -12 months post implementation	Checklist created at beginning of engagement based on requested services, timeline and savings compared at end of 12 months	3 Times: -At end of implementation period or engagement -6 months post -12 months post	TSS Leader	Unit Leader
		Units achieve targeted budget savings and FTE targets while continuing to provide high service and retention of key talent		% units reporting that their staffing and operations are stable within 12 months of engagement						
CUSTOMER SATISFACTION										
	Help managers and supervisors to implement change successfully and effectively in their units and areas of responsibility and sponsorship	# managers reporting satisfaction with the assistance received from the Transformation Support Services team to restructure their departments in response to Shared Services and other OE project implementation	TBD	TBD		-At unit contracting (create checklist) At end of implementation period or engagement	Structured Interview with unit leader	2 Times: -At end of pre-implementation period -At end of implementation period	TSS Leader	TSS Leader
	Maintain or exceed current levels of customer service	Use existing unit metrics or develop metrics as part of the engagement								

PROPOSAL

APPENDIX A

UC Berkeley Campus – 35 Units

1 Chancellor's Office

Executive Vice Chancellor & Provost

- 2 Exec Vice Chanc & Prov Unit
 - * EVCP Immediate Office
 - * Committee on Student Fees
 - * Center Studies in Higher Ed
 - * Center for Race & Gender
 - * Intl Visitors & Exchange Ofc
- 3 VP Acad Affairs & Fac Welfare
- 4 VP Tch Lrn Acad Plan & Fac
- 5 Academic Senate
- 6 L&S Core / College of Letters & Science
- 7 L&S - Biological Sciences Division
- 8 L&S - Arts & Humanities Division
- 9 L&S - Math & Physical Sciences Division
- 10 L&S - Social Sciences Division
- 11 L&S - Undergraduate Division
- 12 College of Environmental Design
- 13 College of Natural Resources
- 14 College of Chemistry
- 15 College of Engineering
- 16 Goldman School of Public Policy
- 17 Haas School of Business
- 18 School of Optometry
- 19 School of Public Health
- 20 School of Social Welfare
- 21 Graduate School of Education
- 22 School of Journalism
- 23 School of Information
- 24 Boalt School of Law
- 25 Graduate Division
- 26 UC Library
- 27 Cal Performances
- 28 Berkeley Art Museum & PFA
- 29 Assoc Vice Chanc & CIO / Information Systems & Technology
(AVC-CIO dually reports to EVCP and VC-A&F)

30 Vice Chancellor - Administration & Finance

31 Vice Chancellor - Research

32 Vice Chancellor - Student Affairs

33 Vice Chancellor - Facilities Services

34 Vice Chancellor - Equity & Inclusion

35 Vice Chancellor - University Relations