

A Strategic Plan for Georgia Tech's Office of the General Counsel

FY2024 – FY2027

PURPOSE

This strategic plan will:

- guide the OGC in focusing its energy and resources on actions to achieve its mission to serve the Georgia Tech community;
- establish a clearly defined, well-informed, data-driven, and stakeholder-supported 3-year strategic plan and implementation roadmap for OGC that aligns with the Institute's 10-year strategic plan.

INTRODUCTION

Georgia Tech's Office of the General Counsel ("OGC") is a service unit that exists to bolster the mission of the Institute and to protect the interests of its leaders and constituents. It is our honor and privilege to serve a university committed to developing leaders who advance technology and improve the human condition.

In 2019, the OGC was created to unify Georgia Tech's Office of Legal Affairs, Enterprise Risk Management, and the newly established Office of Ethics & Compliance. Our identity reflects the integrated necessity of the legal, ethics, compliance, and risk management expertise available to meet the Institute's needs.

In 2020, Georgia Tech launched a new 10-year strategic plan which clearly proclaimed the

Institute's values. The OGC must align its priorities with the Institute's strategic plan so that we will act in furtherance of the strategic goals and values of the Institute. Accordingly, the OGC's human and technological assets must be allocated optimally to improve the effectiveness of our services. We must also synchronize our own internal values with the Institute's mission and values. We will achieve success by relying upon our core principles of excellence, solution-oriented service, collaboration, integrity, diversity of perspective, and inclusion.

PROCESS

We conducted a strategic analysis of both the external landscape and the internal environment through stakeholder interviews and surveys of the campus community and the OGC team to capture our Strengths, Weaknesses, Opportunities, and Threats ("SWOT"), as summarized in Appendix A.

We shared the SWOT analysis results with the OGC team and conducted a workshop to formulate our mission and core values, utilizing the Institute's mission and values as guideposts. The OGC team also reviewed and commented on the draft OGC mission and core values through surveys and group discussions. The final version is captured below.

At the workshop, the OGC team identified the top five priorities that may serve as focal points over the next three years, ensuring that each priority aligns with the Georgia Tech strategic plan. From there the OGC Strategic Planning Committee drafted strategic goals and objectives. The draft was shared with the OGC team in a second workshop, and group reaction and suggestions were gathered. Individual feedback was captured through a survey to all OGC members. The OGC Strategic Planning Committee reviewed, discussed, and modified these goals and objectives. The below goals, objectives and metrics are the result of the collective efforts of the entire OGC team.

MISSION

As a trusted advisor and partner to the campus community, the Office of the General Counsel advances Georgia Tech's strategic initiatives by providing solution-oriented support and comprehensive guidance on legal, ethical and compliance issues, and risk management.

CORE VALUES

To align with and further Institute's core values, we articulated how the OGC expresses those values:

Students are our top priority. We actively support our educators to develop leaders. We strengthen the infrastructure to nurture students to their full potential. We advise our partners with student success in mind.

We strive for excellence. We provide top-tier advice and excellent service. We continually grow and adapt to the needs of our community – serving as a paragon for the realization of ideas and initiatives.

We thrive on diversity. We value all members, recognizing that different voices and perspectives strengthen us all. We leverage the abilities and experience of individuals to create a whole that is greater than the sum of its parts.

We celebrate collaboration. We develop and cultivate partnerships within the Georgia Tech community and beyond. We bring stakeholders together to achieve success and advance Georgia Tech's initiatives by sharing knowledge and reconciling competing interests.

We champion innovation. We embrace progress and change. We redefine boundaries to foster an environment of innovation. We forge new paths to support creativity and discovery.

We safeguard freedom of inquiry and expression. We actively promote and protect freedom of inquiry and expression. Through our advice and education of the community, we ensure that a diversity of ideas may be shared and valued.

We nurture the well-being of our community. We act with compassion toward our colleagues and campus partners, considering the human impact when advising or making decisions. We contribute to campus initiatives that cultivate the community's well-being.

We act ethically. We define, communicate, and champion the Institute's ethical standards. We hold ourselves to the highest standards of professional and ethical conduct. We operate with transparency to earn and maintain public trust.

We are responsible stewards. We ensure that the state's resources are properly managed and utilized. We use our time and resources efficiently and strategically. We respect our partners' time by eliminating unnecessary steps and obstacles.

GOALS, OBJECTIVES, AND METRICS

Key areas of the SWOT analysis guided us in preparing this plan. In terms of strengths, we are particularly proud of our reputation in general; we have a strong relationship and timely communication with executive leadership; high level client support; and a good working relationship with USG. Our key weaknesses are outdated systems, lack of streamlined processes, inability to track metrics, top-heavy structure, and unclear roles and responsibilities within OGC. These prevent us from reaching our full potential as a unit. There are opportunities to utilize technology to help improve processes and work automation, enhance our online presence and user self-help services, and develop and cultivate a mature ethics and compliance program. We should seize these opportunities as quickly as possible. Yet we are aware of the key threats which could really limit our ability to achieve these ambitious targets, including diminished employee engagement (stemming in part from alternative work models since there has been insufficient dedicated work space for the team); greater data management and compliance challenges; and lack of support in critical areas like innovation and commercialization. It is with all of these in mind that we have developed the following goals, objectives, and metrics.

Moving forward, OGC will focus on three core strategic goals to shape our future:

- Goal #1: Organization, People, and Culture
- Goal #2: Process and Technology
- Goal #3: Program and Outreach

Goal #1: We aim to build and maintain an agile, efficient, inclusive, collaborative, and performance-driven team that adapts to the evolving operating environment and works together to achieve the best results for the Institute.

Related ISP Themes:

- ✓ Amplify Impact
- ✓ Cultivate Well-being
- ✓ Lead by Example

To achieve this goal, we have the following objectives:

1. Refine the organizational structure to support the OGC's mission and to carry out the OGC's strategic plan.
2. Ensure each OGC member understands their roles and responsibilities and has a professional development plan as well as annual SMART goals that advance their plan and align with the OGC's goals.
3. Foster an engaged team which promotes collaboration and employee well-being.
4. Define a performance-driven culture and implement initiatives to promote excellence and accountability.

We will be successful in reaching our goal when we have:

1. An updated and approved organizational structure that best supports this strategic plan and fills in gaps in our operation, including research, legal operations, changing our transaction model to be more client-serving, and other concerns raised in the strategic analysis.
2. 100% completion of reorganization to its optimized structure, including a clear career ladder for each role.
3. Defined roles and responsibilities within the OGC.
4. An achievable development plan for each OGC member.
5. A new work norm where new office spaces are utilized and new work schedules are established to facilitate greater cross collaborations within OGC.
6. A growing number of training sessions, workshops, and activities that encourage collaboration and team engagement with FY23 serving as the baseline for metrics.
7. A plan for continuing improvement in employee engagement.
8. An up-to-date inventory of OGC member expertise and experiences that inform the collaborations among OGC members.
9. An established incentive awards and/or recognition process which factors OGC goals and values into the award or incentive structure.
10. ___% of "Satisfied" from OGC staff using employee satisfaction data (e.g., survey, retention rates, and promotion rates, etc.).

Goal #2: We champion innovation through enhancing OGC processes and updating technology to promote compliance, efficiency, and accessibility.

Related ISP Themes:

- ✓ Champion Innovation
- ✓ Lead by Example

To achieve this goal, we have the following objectives:

1. Acquire and/or utilize the right technological tools to enable a data-informed, modern, efficient, and effective OGC operation.
2. Streamline OGC workflows and adopt processes to best utilize OGC resources.
3. Employ user-friendly processes to ensure compliance, efficiency, and accessibility.

We will accomplish this goal when we:

1. Obtain external recommendations to apply corporate best-in-class legal operations concepts to the higher education context.
2. Understand current technology capacities, including OGC staff proficiency.
3. Publish a technology plan to roll out new technologies and sunset old ones.
4. Increase the percentage of OGC staff using technologies to track and manage workload.
5. Identify the needs and create standard operating procedures and/or playbooks for different functional areas.
6. Establish turnaround time for different matters in order to improve by __% leveraging analytics data.
7. Increase client satisfaction rate of __ by __%.
8. Have more users relying on self-help processes to fulfill their needs.

Goal #3: We strive to be a better partner by cultivating and maintaining a close relationship with campus stakeholders and serving as a trusted advisor by helping clients navigate legal, ethical, and compliance risks and developing mitigation strategies.

Related ISP Themes:

- ✓ Expand Access
- ✓ Amplify Impact

To achieve this goal, we have the following objectives:

1. Implement an outreach plan that communicates the OGC's changed functions and informs campus on how we will better serve the community.
2. Engage campus partners continuously and proactively to understand their needs.
3. Develop a plan to track the needs of the Institute and its constituents so that OGC leadership can prioritize and address these needs holistically and allocate resources appropriately.

We will measure our success by:

1. Sending out communications quarterly to cover compliance, ethics, legal, or risk topics.
2. Evaluating the number of stakeholders reached by OGC's communication campaign.
3. Gathering campus stakeholders' feedback on their clarity of how best to engage OGC.
4. The number and level of engaged stakeholders during key events like Ethics Week.
5. Integrating ourselves into Georgia Tech's business activities and increasing the number of OGC staff members dedicated to clients and/or participating in leadership of business units.
6. The number of events, classes, community activities attended and/or participated in by OGC staff.
7. The ability of OGC members to learn from each other on how to develop and maintain strong relationships with different stakeholder groups.
8. The breadth and depth of data collected for the OGC leadership to respond timely and holistically to stakeholders' needs.

NEXT STEP

Guided by this plan, we will start implementation with a 12-month roadmap, followed by an annual evaluation of the plan to ensure continued progress. We approach the next three years (and the future beyond) with a great deal of optimism for the successes of Georgia Tech and a renewed commitment to be a significant partner and a trusted advisor in those successes.

OGC Strategic Planning Committee

Wayne Davenport, Executive Director, Enterprise Risk Management

Aric Edwards, COI Compliance Manager

Kathleen Gosden, Chief Counsel

Hyen Sung, Chief Counsel

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With great support from:

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Georgia Tech

**Office of the
General Counsel**

Appendix A. OGC's SWOTs

STRENGTHS	
S1	Quality of work/output of current staff
S2	Open relationship/communication with executive leadership
S3	Good reputation in general
S4	Knowledge and expertise of current staff
S5	Collaboration and respect among OGC staff
S6	Transparency with campus on OGC
S7	Good working relationship with USG, state agencies, and other USG institutions
S8	Robust partnership on campus
S9	Strategic and holistic client engagement
S10	Integration of OGC staff with business units

WEAKNESSES	
W1	Risk averse decision making
W2	Reactive client interactions
W3	Un-streamlined routine processes, outdated systems, and inability to track metrics
W4	Inefficient staffing model (e.g., top heavy structure, insufficient administrative support)
W5	Unclear roles and responsibilities within OGC
W6	Insufficient marketing/branding of the office
W7	Lack of transparency with leaders in ethics and compliance reviews
W8	Absence of strategy in staff hiring, development, and retention
W9	Lack of strong leadership and management in the development of policies
W10	Overuse of outside counsel

OPPORTUNITIES

01	Off the shelf technologies to help improve processes and work automation
02	ELT's commitment to shared compliance responsibility
03	Refining workflow and infrastructure
04	Expanding access to GT through different tools
05	Increasing support for faculty & student start-ups, commercialization activities, and work associated with affiliates
06	Developing pass ways to share resources and expertise with external entities
07	Developing and cultivating a mature ethics and compliance program
08	Enhancing OGC's on-line presence and user self-help services
09	Focusing on DEI (Diversity, Equity, and Inclusion) strategies
010	Providing on-demand, tailored, and/or real-time communications to clients

THREATS

T1	Changing, heightened, and unclear compliance requirements from all levels
T2	Increased demands for universities with insufficient infrastructure
T3	Fear of change
T4	Ineffective employee engagement resulting retention concerns
T5	Issues related to alternative work models
T6	Geopolitical concerns
T7	Data management and compliance
T8	AI tools and its impact
T9	Cybersecurity and research security
T10	Demands and constraints in innovation and commercialization