

Unitec Planning and Performance Framework

EXECUTIVE SUMMARY
November 2016

Helping Unitec make great decisions



SUMMARY

The Unitec Planning and Performance Framework (PPF) helps Unitec make better decisions by creating a formal structure for decision-making.

KEY PLANNING PRINCIPLES

The Unitec PPF is based on several key planning principles:

- Focus on results
- Clear accountability
- Empowerment of staff
- Connection, collaboration, and consultation
- Rigour in analysis
- Planning is more important than plans

Overall, these principles create a flexible, adaptable, and innovative approach to planning that allows Unitec to respond to changing environments in effective fashion. This approach can also adapt to any changes in Unitec's operating model or organisational structure.

ADEP

The Planning and Performance Framework utilises the ADEP model (Achieve, Develop, Enjoy, Partner) to group concepts where appropriate.

UNITEC'S VALUES

Unitec's values guide how we behave in all of our actions, including the planning process.

WHO IS THIS DOCUMENT FOR?

This document is for staff who are involved in the development of plans and reports. Some staff will want to read this document cover-to-cover – others will merely skim the relevant section.

THIS FRAMEWORK AND TRANSFORMATION

Our PPF is designed not only to facilitate our current Transformation, but also to enable us to change direction or make new decisions in the future. It is a decision-making aid.

THE FRAMEWORK



PLANNING MATRIX

Element	Duration	Reviewed	Approval	Developed By
Aspiration and Purpose	Indefinite	As required	Unitec Council	Organisational Performance
Strategic Plan	5 years	3 years	Unitec Council	Organisational Performance
Investment Plan	2-3 years	On expiry	Unitec Council	Organisational Performance
Network and Pathway Long Term Plans	5 years	3 years	Executive Leadership Team	Relevant networks and pathways
Enabling Strategies	5 years	3 years	Executive Leadership Team	Relevant service groups
Annual Plan	1 year	On expiry	Unitec Council	Organisational Performance
Network, Pathway, and Service Group Annual Plans	1 year	On expiry	Relevant Tier 2 and Tier 3 managers	Relevant networks, pathways, and service groups
Individual Performance Plans	1 year	90 days	Line managers	Line managers

ASPIRATION AND PURPOSE STATEMENT

Period	Indefinite
Reviewed	As required
Approval	Unitec Council
Developed By:	Organisational Performance

The **Aspiration and Purpose Statement** is at the very top of the framework, and includes two components: aspiration and purpose. These are about our fundamental reason for being, and exist above and outside any specific approaches we might take.

Aspiration: This is the ultimate goal for the organisation and states what we wish to *achieve* or *become*. Aspirations can be either *introspective* (what we want to *be*) or *outwards-focused* (what we want to *achieve*).

Purpose: A purpose statement states what the organisation *does*. Unlike the aspiration, the purpose is focused on the current time and the existing business model.

STRATEGIC PLAN

Period	5 years
Reviewed	3 yearly
Approval	Unitec Council
Developed By:	Organisational Performance

The **Strategic Plan** covers a five-year period and sets out a high-level map from what the organisation is currently achieving to what it will achieve at the end of that period.

The **Strategic Plan** is built on a base of collaboration, consultation, and co-creation across the institute and our key stakeholders. This includes Maori and Pasifika voices. By integrating the perspectives of staff and external stakeholders, we can come up with a well-evidenced and effective plan.

The **Strategic Plan** is informed by *situation analysis* and *environmental scanning*. This ensures we fully understand the problems, challenges, and opportunities confronting us. It is vital this analysis is rigorous, as otherwise our proposed actions will be based on flawed evidence – like building a house on poor foundations.

The **Strategic Plan** sets out both *strategic goals* (what) and *strategies* (how). The particular mixture we use in a specific plan will depend on the situation we face.

INVESTMENT PLAN

Period	2-3 years
Reviewed	On expiry
Approval	Unitec Council
Developed By:	Organisational Performance

The **Investment Plan** is a document covering a two-to-three-year period that serves two primary purposes: (1) securing funding from the Tertiary Education Commission, and (2) setting out mid-term objectives towards achieving the objectives in the **Strategic Plan**. Unlike the **Strategic Plan**, which is a uniquely Unitec document, the **Investment Plan** is shaped by governmental requirements. Official instructions for the **Investment Plan** can be found at the following website: <https://www.tec.govt.nz/Funding/plan-guidance/>

The **Investment Plan**, like the **Strategic Plan**, is heavily informed by *situation analysis* and *environmental scanning*. The government requires this scanning to include substantial *stakeholder analysis*, which must include employers, learners, and communities. Key communities for Unitec include Maori and Pasifika. The situation analysis is also required to define the institution's *distinctive role* within the overall national network of provision.

The government requires that the **Investment Plan** be built around an **Outcomes Framework**. This shows the outcomes we aspire to, and the outputs (good and services) we will produce to achieve those outcomes.

NETWORK AND PATHWAY LONG TERM PLANS

Period	5 years
Reviewed	3 years (Strat Plan expiry)
Approval	CEO / Network Exec Deans
Developed By:	Networks / Pathways

Network and Pathway Long Term Plans set out how networks and pathways will achieve the goals set out in the institutional **Strategic Plan**. Because networks and pathways produce our primary services, teaching and research, their plans precede those of the enabling groups – this is a “front-line focused” or “customer led” approach to planning.

Network and Pathway Long Term Plans are produced by key leaders working together in a collaborative and networked fashion. This avoids the creation of silos. Consultation with staff, external stakeholders, and Maori and Pacific perspectives ensures the final plan incorporates all necessary information.

Network Long Term Plans are produced first. **Pathway Long Term Plans** are then derived from them. This simplifies the planning process and makes it more focused, as planners need only “look back” one level to find guidance. They do not need to make sense of a confusing mass of documents covering different

Network and Pathway Long Term Plans are heavily informed by the *situation analysis* and *environmental scanning* contained in the **Strategic Plan**, with an additional focus on issues specific to the relevant networks and pathways. **Network and Pathway Long Terms Plans** are also heavily informed by the **Outcomes Framework**.

The first year of a **Network and Pathway Long Term Plan** also serves as the **Annual Plan** for year one of the planning period.

ENABLING STRATEGIES

Period	5 years
Reviewed	3 years (Strat Plan expiry)
Approval	Relevant Tier 2 manager
Developed By:	Service Groups (varied)

Enabling Strategies set out how our “back-office functions” will help networks and pathways achieve the goals set out in their **Network and Pathway Long Term Plans**. This ensures the framework is “front-line focused” or “customer led”; the horse draws the cart and not vice versa.

Enabling Strategies are developed by the relevant service groups working closely with networks and pathways to understand their needs. Frontline requirements are analysed in a way that enables enabling requirements to be identified – to teach this many students to this quality, how many teachers will we need to hire? How many buildings will we need? What software will we require?

Unitec has six **Enabling Strategies**. The relationship between who develops them and is accountable for them, and the parts of the organisation they influence, is shown in the table below.

	Organisational Unit						
	Netwks & Pathways	IMS	People and Culture	Finance	Wairaka Land Company	Business Development	Academic Support Groups
Teaching and Learning	A						D
Research and Enterprise	A						D
Asset Management	A	A	A	A	D	A	A
People	A	A	D	A	A	A	A
Information Tech	A	D	A	A	A	A	A
Maori and Pacific	A		A				D

Key: D= develops, A=affected by

UNITEC ANNUAL PLAN

Period	1 year
Reviewed	On expiry
Approval	Leadership Team
Developed By:	Organisational Performance

The **Unitec Annual Plan** is a document covering a single-year period for Unitec as a corporate whole. It is derived from the **Investment Plan** and **Strategic Plan**. The **Annual Plan** is designed to add additional required detail to the **Investment Plan**, and provides contextual guidance to **Enabling Strategies**. The primary audience for the **Annual Plan** is internal. The **Annual Plan** is developed in a collaborative and consultative manner, incorporating Maori and Pasifika perspectives, as well as external stakeholders, where relevant.

The **Annual Plan** is heavily informed by situation analysis and environmental scanning. This involves such tools as PESTEL(OM) and SWOT analysis. The time horizon for this analysis is one to two years, so the focus is on immediate issues. As with the **Strategic Plan** and **Investment Plan**, it is vital that the situation analysis be rigorous, logical, and well-evidenced, as poor analysis could lead to poor decisions with major second-order effects.

NETWORK, PATHWAY, AND SERVICE GROUP ANNUAL PLANS

Period	1 year
Reviewed	On expiry
Approval	Relevant T2/T3 manager
Developed By:	Relevant groups

Network, Pathway, and Service Group Annual Plans (NPSGAP) are documents covering a single-year period that provide direction to the relevant organisational unit. They are derived directly from the **Annual Plan** through a process of discussion and bargaining. They also incorporate elements of the relevant **Network and Pathway Long Term Plans** and **Enabling Strategies**. Networks, pathways, and service groups collaborate and consult during the development of these plans to ensure a holistic and co-ordinated response to institutional goals.

NPSG Annual Plans utilise elements of the ADEP (Achieve, Develop, Enjoy, and Partner) framework to group relevant issues and facilitate cascading down to the individual level. Networks, pathways, and service groups consider high-level targets, required enablers, and consult with staff across relevant organisational units, as well as relevant external stakeholders. Networks and pathways consider how they can best contribute to joint goals. Performance goals must be linked to resourcing requirements, and during the bargaining phase of production, superior managers are made aware of the implications of raising or lowering targets.

INDIVIDUAL PERFORMANCE PLANS

Period	1 year
Reviewed	90 days
Approval	Line Manager
Developed By:	Line Manager

Individual Performance Plans provide direction to staff members across Unitec. They are developed in partnership with the relevant line manager. They utilise a Values Based Leadership (VBL) approach and the ADEP (Achieve, Develop, Enjoy, and Partner) framework. **Individual Performance Plans** should be derived from the relevant **Network, Pathway, and Service Group Annual Plan**. They do not need to “reach up” multiple levels as the relevant annual plan has already derived the relevant issues from superior plans.

Further guidance should be sought from the People and Culture Service Group.

PERFORMANCE REPORTS

Performance Reports show what has been achieved in relation to performance targets. All performance reports are linked to specific plans. This ensures that planning and performance measurement are considered holistically and there is no wasteful diffusion of effort and focus. The **Annual Report** examines institutional performance against the **Investment Plan** and **Annual Plan**. **Annual** and **Quarterly** reports examine progress against institutional level plans as well as **NPSGAP**.

As at the current time, the frequency of overall reporting is still to be determined. It will be based on the specific targets and measures incorporated in plans. Few educational performance measures are suitable for reporting more than annually. There are unlikely to be regular reports against longer-term plans, such as the **Strategic Plan**. Further detail will be made available once the planning infrastructure has been established.

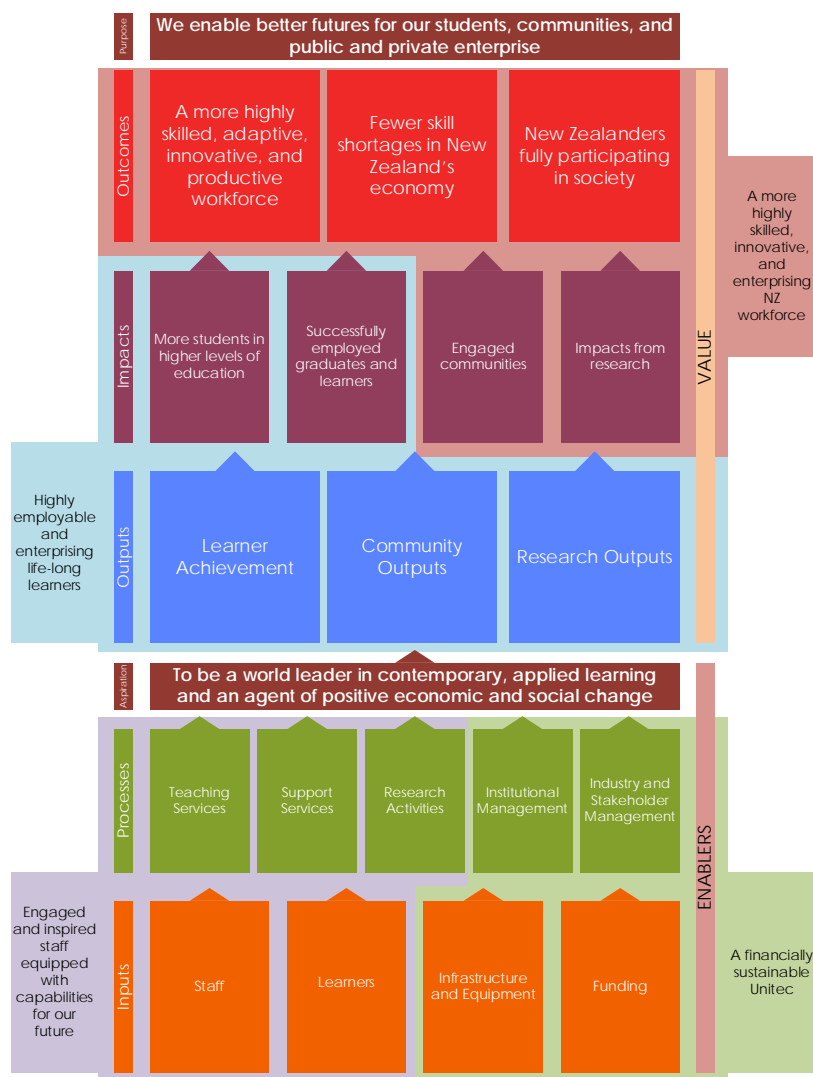
OUR OUTCOMES FRAMEWORK

Outcomes frameworks are commonly used in the public sector to identify the links between value, in terms of positive outcomes for the community, society, economy, or environment, and the causes of that value in terms of impacts, outputs (goods and services), processes, and inputs (resources consumed).

Outcomes	Changes in the community, society, economy, or environment
Impacts	Immediate effects on the external environment of outputs
Outputs	Goods or services provided by an entity
Processes	Internal activities within an entity that directly/indirectly produce outputs
Inputs	Resources consumed by the reporting entity

Unitec is required under Section 159P of the Education Act 1989 to use an outcomes framework in its Investment Plans, but the value of outcomes frameworks is such that they provide benefits across our entire planning and performance frameworks. Outcomes frameworks:

1. Ensure a focus on value rather than just process;
2. Clearly identify the relationship between goals, actions, and resources;
3. Enable costing of specific services (output-based costing) to allow for better decisions;
4. Enable true value-for-money (cost:benefit) rather than simple efficiency assessments; and
5. Provide a common core for the development of plans and reports.



ROLES AND RESPONSIBILITIES

Organisational Performance is responsible for the institutional planning and performance framework, outcomes framework, and the production of specific plans and reports. Organisational Performance is also the primary liaison between Unitec and governmental bodies in relation to institutional plans and reports.

Organisational Performance reports through the Chief Operating Office to the Chief Executive Officer.

Organisational Performance also supports the work of the Audit and Risk Committee, a sub-committee of the Unitec Council.

PLANNING

Organisational Performance is responsible for the production of the following plans:

- Strategic Plan
- Investment Plan
- Annual Plan

Organisational Performance provides advice and assistance for the production of the following plans:

- Network Long Term Plans
- Pathway Long Term Plans
- Enabling Strategies
- Network Annual Plans
- Pathway Annual Plans
- Service Group Annual Plans

Organisational Performance is not the approving body for any plans, but maintains the approval matrix.

PERFORMANCE REPORTING

Organisational Performance is responsible for the production of the following performance reports:

- Annual Reports/
- Institutional Quarterly Reports
- Network Quarterly Reports
- Pathway Quarterly Reports
- Service Group Quarterly Reports
- Institutional Monthly Reports

PLANNING CYCLE

Organisational Performance maintains the institutional planning calendar.

OTHER PRODUCTS

Organisational Performance is also responsible for the production and maintenance of:

- Planning and Performance Framework (this document)
- Unitec Outcomes Framework
- Discussion Papers on institutional performance measures
- Growth and Demand Calculator

ABOUT THIS DOCUMENT

This document was written by the Organisational Performance team, Operations. If you have any questions or suggestions, please contact:

Zhivan Alach, Planning and Performance Manager, zalach@unitec.ac.nz

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