

Unitec Planning and Performance Framework

FULL VERSION
November 2016

Helping Unitec make great decisions



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SUMMARY

The Unitec Planning and Performance Framework (PPF) helps Unitec make good decisions, set targets, measure its progress, and achieve its goals. The PPF consists of a set of plans at various levels of the institution and covering different timeframes. Performance reports are derived from those plans, ensuring we measure what is meaningful to us.

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.

THE PLANNING CYCLE

Unitec's planning cycle will differ year by year, depending on the specific plans required to be developed in a particular year. Further detail on this topic will be published separately by Organisational Performance.

ADEP

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

UNITEC'S KAUPAPA AND VALUES

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

DETAIL IN THIS DOCUMENT

This document includes specific information about the plans and reports comprising the PPF. The level of detail provides sufficient flexibility for different teams and individuals to find different ways to produce those plans and reports – the PPF is not overly prescriptive. Additional guidance in the form of templates, workshops, and technical manuals will be provided separately by Organisational Performance.

This document also includes background information that facilitates more thoughtful planning. This information explores differences in approaches to planning and provides staff involved with useful context.

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. The PPF is not based on “how we do things”, because the products of the PPF (plans and reports) themselves determine “how we do things” and “what we do.” A useful analogy is the human body: the PPF determines how we breathe, pump blood, and convert light into optic impulses, whereas our current strategy determines what our body uses those underlying processes for: crossing the road, picking up a book, or singing a song.

THE PLANNING FRAMEWORK



There are six levels of plans in the PPF. Levels one and two involve major strategic documents that span long term (five years and more) periods. At level three there is a split between a medium-term plan for the institution as a whole, and long-term plans for frontline groups of Unitec. At level four, there is a split between an institutional annual plan and long term strategies for enabling groups of Unitec. At level five are annual business plans for different Unitec groups, and level six involves individual annual performance plans.

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
Unitec 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

This document does not specify exactly who within each group will produce or approve plans. It is expected that groups will develop their plans in a connected, collaborative, and consultative fashion, working within and across networks and pathways.

ASPIRATION AND PURPOSE STATEMENT

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

SUMMARY

The **Aspiration and Purpose Statement** sits at the apex of the PPF. It is a short document with two components: aspiration and purpose. These are similar to the concepts of vision and mission often seen in the planning literature. The Aspiration and Purpose Statement is about Unitec's fundamental reason for being, and sits above and outside the specific tactics we utilise.

A well-chosen **Aspiration and Purpose statement** can facilitate sea change in an organisation. When the NZ Police shifted from a relatively narrow purpose of "To serve the community by reducing the incidence and effects of crime, detecting and apprehending offenders, maintaining law and order and enhancing public safety" to a broader aspiration of "Safer Communities Together", this enabled the development of new and innovative approaches to what was now seen as a broader role going beyond mere crime reduction.

DETAILS

Aspiration: This is the ultimate goal for the organisation and states what we wish to *achieve* or *become*. An aspiration can motivate and inspire staff and ensure focus and coherence across the organisation. In the absence of more detailed guidance, an aspiration can even serve as a simple compass for organisational decision-making; as such it is the most important element of the PPF.

Aspirations can be either *introspective* (what we want to *be*) or *outwards-focused* (what we want to *achieve*). The table below shows examples of the two approaches.

Introspective	Outwards-focused
To be the global energy company most admired for its people, partnership, and performance (Chevron)	A hunger-free America (Feeding America)
We seek to be Earth's most customer-centric company for four primary customer sets: consumers, sellers, enterprises, and content creators (Amazon)	A world in which every child attains the right to survival, protection, development, and participation (Save the Children)
To become the worldwide leader in retailing (Walmart)	A computer on every desk in every home (Microsoft)
To become the world's leading consumer company for automotive products and services (Ford Motor Co)	Grow New Zealand for all (MBIE)
We aspire to be one of the world's great specialist banking groups, driven by commitments to our core philosophies and values (HSBC)	New Zealanders live longer, healthier, more independent lives (Ministry of Health)
	Safer communities together (NZ Police)
	A world where everyone has a decent place to live (Habitat for Humanity)
	One day, all children in this nation will have the opportunity to attain an excellent education (Teach for America)

Table 1 - Different Aspiration Approaches

Commonly, public sector organisations have outwards-focused aspirations, while private organisations have introspective aspirations. This reflects their primary purpose: public good for the first, and their own success for the second.

Purpose: A purpose statement states what an organisation *does*. Unlike the aspiration, the purpose is focused on the current time and the existing delivery of goods and services. It can change relatively frequently as different approaches are taken to achieving the aspiration.

Examples of purpose statements from the private and tertiary education sectors are shown below.

Private Sector	Tertiary Education
To safely market and distribute energy and petrochemical products while offering innovative value added services (Royal Dutch Shell)	To combine the creation of knowledge through research, scholarship and creative works with the dissemination of knowledge through teaching, publication and performance (University of Waikato)
Provide customers with the best value in energy and related services. We are focused on the energy sector in regulated and non-regulated sectors (ING)	To advance knowledge and educate students in science, technology, and other areas of scholarship that will best serve the nation and the world in the 21st century (Massachusetts Institute of Technology)
To strengthen and grow our leadership position by providing storage products across a range of market segments, including desktop computers, consumer electronics, midline and nearline storage systems, and high-performance servers (Maxtor)	A research-led, international university, recognised for excellence in teaching, learning, research, creative work, and administration, for the significance of its contributions to the advancement of knowledge and its commitment to serve its local, national and international communities (University of Auckland)
To discover, develop and deliver innovative medicines that help patients prevail over serious diseases (Bristol-Myers Squibb)	

Table 2 – Purpose Statements from Private and Tertiary Education Sectors

Purpose statements are not as common as aspiration statements in the public sector. In New Zealand, the purpose of a public sector organisation is usually reflected in its *output mix*, which are the services the organisation provides, but is seldom explicitly given a pithy descriptor.

The **Aspiration and Purpose statement** is informed by *situation analysis* and *environmental scanning* as required. This may also involve such tools as PESTEL(OM) and SWOT analysis. Unlike the other elements of the PPF, the **Aspiration and Purpose statement** is not necessarily informed by the **Outcomes Framework**. It can be useful however to use the **Outcomes Framework** to ensure an externally-focused aspiration and purpose are developed.

Some organisations develop their **Aspiration and Purpose statement** collectively with the whole organisation having a say. Others are developed by small groups of, or even charismatic individual, leaders. Both approaches have their strengths and their weaknesses. Unitec will use a collaborative, connected, and consultative approach towards developing its **Aspiration and Purpose** as it undergoes its Transformation.

STRATEGIC PLAN

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

SUMMARY

The **Strategic Plan** is a document covering a five-year period that sets out how the organisation will progress towards its aspiration during that period. In simple terms, it sets out a high-level map from where the organisation is and what it is currently achieving, to where it wants to be and what it wants to achieve.

DETAILS

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. Integrating the varying perspectives of our staff and our closest external partners ensures we harness the “wisdom of the crowd” and come up with a comprehensive list of relevant possibilities.

The **Strategic Plan** is heavily informed by *situation analysis* and *environmental scanning* as required. This may involve such tools as PESTEL(OM) and SWOT analysis. The time horizon for this analysis is 5-20 years, so the focus is on macro-trends and issues that will have a substantial impact, such as legislative changes. It is vital that the situation analysis be conducted in a rigorous fashion, as if it is merely shallow and based on flashy, but unsubstantiated assertions, then it will cause substantial harm to the organisation as it is implemented. A useful analogy is to consider the building of a house; bad measurements at the start can cause the house to fall down (worst-case) or require costly rebuilding (best-case).

The **Strategic Plan** is heavily informed by the **Outcomes Framework**, as this tool provides a method to identify how desired outcomes can be achieved through the creation of impacts, provision of outputs, and management of processes and inputs. Without the **Outcomes Framework**, it can be very difficult to identify causal chains, and means can be easily confused with ends.

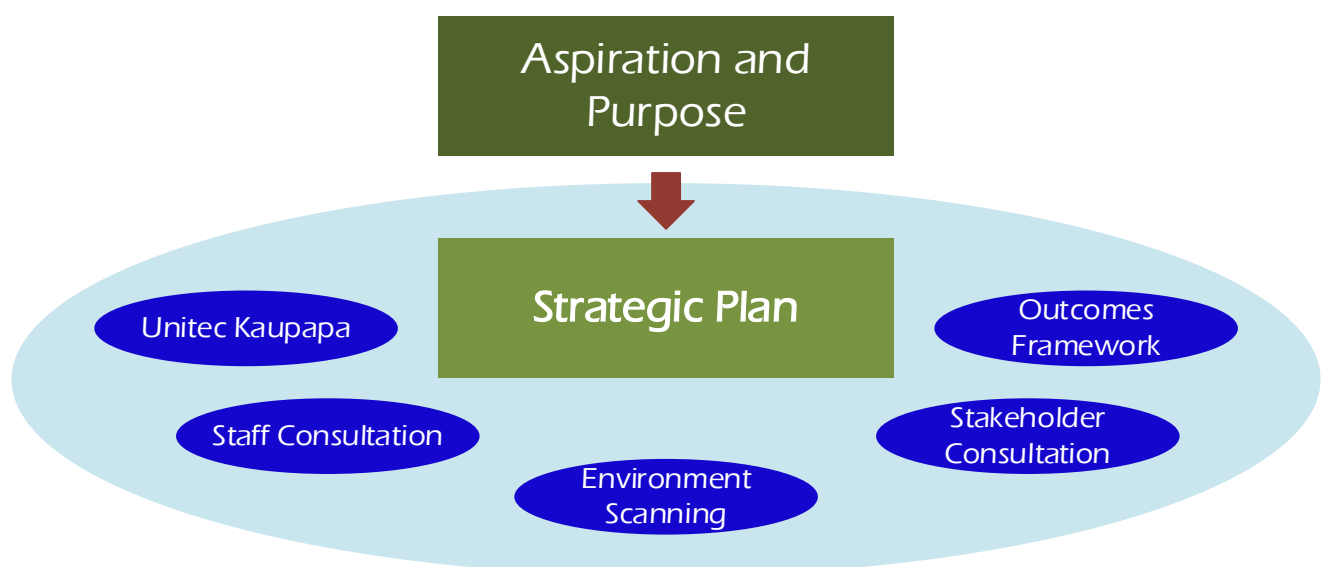


Figure 2 - Contributors to Strategic Plan

The **Strategic Plan** can contain both *strategic objectives* as well as *strategies*. These are not synonymous. Strategic objectives are *what* we wish to occur in order to achieve the aspiration, and can usually be expressed in quantitative terms, whereas strategies are *how* we will achieve strategic objectives and thus the aspiration. Confusing the two can easily lead to the “so what?” problem where *means* are confused with *ends*. The difference between the two is shown in the below table.

Strategic Objective	Strategies
To increase the percentage of students completing their qualifications by 15%	<ol style="list-style-type: none"> 1. Enrol only high-potential students 2. Improve the quality of teaching 3. Reduce marking standards

Table 3 - Strategic Objective vs. Strategy

As can be seen, there are always multiple strategies (*means*) to achieve a specified strategic objective (*end*). Good strategy starts by clearly identifying the *end* before considering possible *means*.

Within the **Strategic Plan**, it can be useful to identify a *cascade* of objectives before identifying specific strategies. This is because the distance between *end* and *mean* can often be substantial, and thus requires intermediate steps to ensure that any intervention chosen is logical. For example:

Strategic Objective (Impact)	Strategic Objective (Output)	Strategic Objective (Process)	Strategies
Increase the percentage of graduates employed by 10%	Increase the number of graduates in STEM fields by 15%	Increase the retention rate of STEM students by 20%	<ol style="list-style-type: none"> 1. Enrol only high-potential students 2. Improve the quality of teaching 3. Provide additional pastoral support 4. Reduce marking standards

Table 4 - A Planning Cascade

Two broad approaches to writing a **Strategic Plan** can be taken. Each has its strengths and weaknesses, and is suitable to specific circumstances, depending on the external environment and the level of organisational maturity.

In the *results-focused* approach, the **Strategic Plan** simply sets out the strategic objectives at different levels (outcomes, outputs, processes), but does not go into specific detail about how these might be achieved – the strategies. This approach requires an organisation with a strong planning and performance culture, as it will be up to subordinate departments, divisions, and teams to decide how they will achieve those targets. Such a **Strategic Plan** is inherently flexible and adaptable but it can cause inefficiency or incoherence, as different elements may take different approaches. This can be problematic if the organisation is concerned about having a single strong external reputation or brand.

In the *key strategy* approach, the **Strategic Plan** also sets out the high-level strategies selected to achieve the strategic objectives. This enables the senior leadership to have some influence over *means* as well as *ends*, which can enhance coherence and efficiency. Such an approach is less inherently flexible and adaptable, but it is more easily understood by organisations without mature planning and performance cultures. Care should be taken that the key strategies cover the organisation as a whole.

Examples of the two approaches are shown in the table below:

	Results-Focused	Key Strategy
Strategic Objectives (cascaded)	Increase the percentage of graduates employed <i>by</i> increasing number of STEM graduates <i>by</i> improving STEM student retention	Increase the percentage of graduates employed <i>by</i> increasing number of STEM graduates <i>by</i> improving STEM student retention
Strategies	Determined by subordinate elements of organisation. One network might increase entry standards. Another might increase the amount of pastoral support.	Defined in the Strategic Plan, for example improving the quality of teaching across the organisation through a new professional development approach.

Table 5 - Types of Strategic Plan

Unitec will shift between a *results-focused* and a *key strategy* approach when refreshing or replacing its Strategic Plan. The specific approach taken will depend on the particular circumstances at the time, including the external environment and the level of organisational planning maturity.

INVESTMENT PLAN

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

SUMMARY

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/>

DETAILS

The **Investment Plan**, like the **Strategic Plan**, is heavily informed by *situation analysis* and *environmental scanning* as required. This may also involve such tools as PESTEL(OM) and SWOT analysis. The time horizon for this analysis is three to five years, so the focus is on medium-term trends, rather than macro-trends. 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. As with the **Strategic 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. 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** (which can either be a generic sectoral framework, or an institutionally-specific framework – as Unitec has its own, it utilises the latter). This then allows for the plan to specify proposed outcomes for the three-year plan period, the rationale behind that selection, and the contributing elements to those outcomes (the specified outputs). Key to this is the rationale behind the selection of those measures and targets: why they are the *right things to do* given the institute's operating environment, government priorities, the needs of its stakeholders, and evidence about what works.

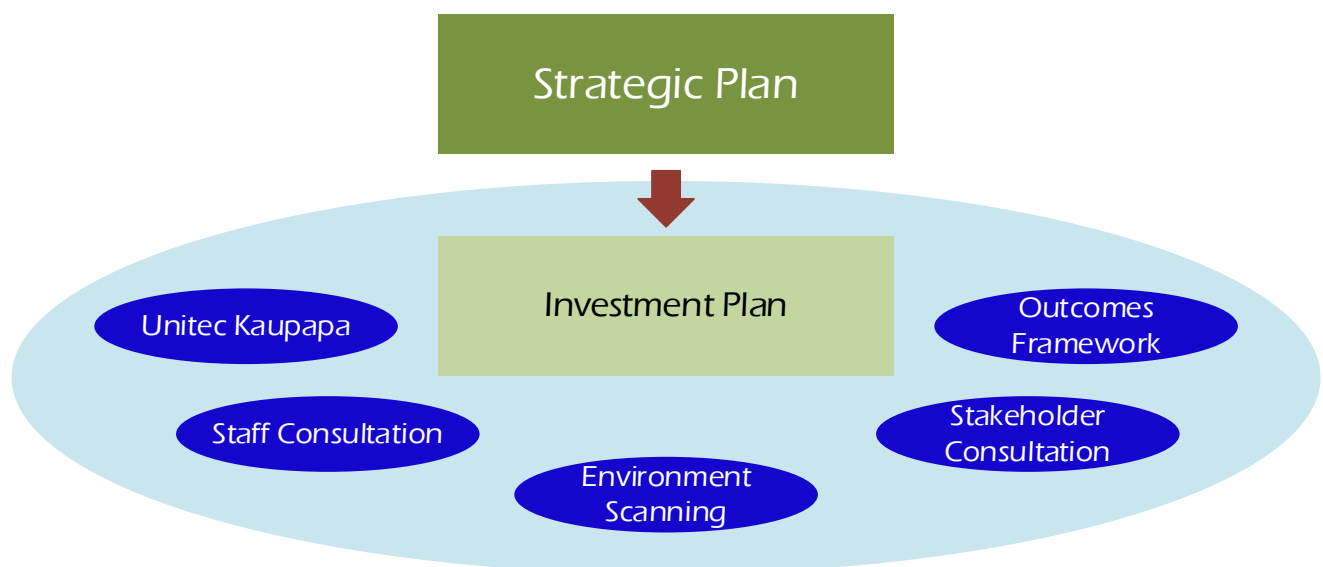


Figure 3 - Contributors to Investment Plan

What the institute will achieve over the course of the **Investment Plan** needs to be set out in a forecast *Statement of Service Performance*. The government requires that this:

- Be focused on the outputs of the institution;
- Reflect the full scope of the institution's activities;
- Report costs by output classes; and
- Include measures and evidence about quality.

Identifying output class costs is not a simple process. It requires the definition of specific output classes, and then the attribution of costs to those outputs.

Common Tertiary Output Classes	Possible Subdivisions
Learning and Teaching	By faculty, school, division, department
Research	Books and articles, conferences, other
Community	Public lectures, media contributions

Table 6 - Defining Output Classes

While direct costs are simple to attribute, it can be more difficult to allocate overhead and central costs to different outputs. Usually, this is done through developing a percentage allocation for each output class. An example of this is shown in the table below.

Output Class	Direct Costs	Indirect Costs
X	All costs for Unit X	50% of costs for HR, IT, Management, Risk and Performance
Y	All costs for Unit Y	30% of costs for HR, IT, Management, Risk and Performance
Z	All costs for Unit Z	20% of costs for HR, IT, Management, Risk and Performance

Table 7 - Output Costing

The **Investment Plan**, more than the **Strategic Plan**, needs to be explicit in its approach to specified governmental priorities as set out in the Tertiary Education Strategy. These need to be addressed and linked to specific performance measures and targets. The **Investment Plan** must also include a section on capital asset management. This includes any new significant capital initiatives.

The **Investment Plan** straddles the middle ground between a truly strategic plan and a simpler annual statement of intent. It is the link between strategic *outcomes* and *impacts* and the more operational delivery of *outputs*.

NETWORK AND PATHWAY LONG TERM PLANS

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

SUMMARY

Network and Pathway Long Term Plans are documents covering a five-year period that set out how networks and pathways will achieve the goals set out in the institutional **Strategic Plan**. They are derived directly from the **Strategic Plan**, and provide additional detail about the current situation, strategic goals, and required means. Networks and pathways are the primary service delivery arms of the institute, in that they directly deliver teaching, research, and community outputs, so their plans precede those of the enabling groups.

In our new structure, **Network and Pathway Long Term Plans** are developed in collaborative and networked fashion by key leaders. Consultation with relevant staff and external stakeholders ensures that these varying perspectives and their insight is integrated into the final plan. Maori and Pasifika perspectives are also incorporated.

DETAIL

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**. Depending on the structure of the **Strategic Plan** (i.e. whether it is more *results-focused* or more *key strategy*) this may involve either developing the network/pathway's own solutions to achieving outcome and impact goals, or simply contributing to specified institutional-level output, process, and input targets. The two approaches are shown in the table below.

	Results-focused	Key Strategy
Strategic Plan (Institutional Level)	Increasing the percentage of graduates employed by 10%	Increasing the percentage of graduates employed by 10% by improving completion by 10% by improving retention 10% through implementation of Student Retention Programme
Network and Pathway Long Term Plans	Each network and pathway determines its own approach e.g. improving retention rate, improving learner satisfaction, reducing graduate numbers	Each network and pathway derives measures from those at the institutional level e.g. 11% improvement in completion, milestones in the Student Retention Programme

Table 8 - Impact of Different Strategic Plan Approaches on Lower Level Plans

If the **Strategic Plan** is *results-focused*, networks and pathways will have more freedom in selecting their own specific solutions than if the **Strategic Plan** is *key strategy* focused. In either case, however, **Network and Pathway Long Term Plans** will be focused on achieving institutional strategic goals, not on achieving other goals that may be beneficial to the network and/or pathway but are not aligned to strategy.

Network Long Term Plans are produced first, and are directly derived from the **Strategic Plan**. **Pathway Long Term Plans** are in turn derived from **Network Long Term Plans**. This simplifies the planning process as planners need only “look back” one level to find guidance, and do not need to consider a multitude of plans (i.e. **Network Long Term Plans** by themselves include everything that **Pathway Long Term Plans** need). However, **Pathway Long Term Plans** can still incorporate pathway-specific situation analysis, as that contained in the **Network Long Term Plan** may be insufficient. **Pathway Long Term Plans** are developed in a collaborative and consultative fashion by all the pathways within the relevant network. If Unitec in future shifts away from the current organisational model, then **Network and Pathway Long Term Plans** will shift in both nomenclature and style of development (for example, if Unitec shifts towards a more M-form structure with greater internal autonomy).

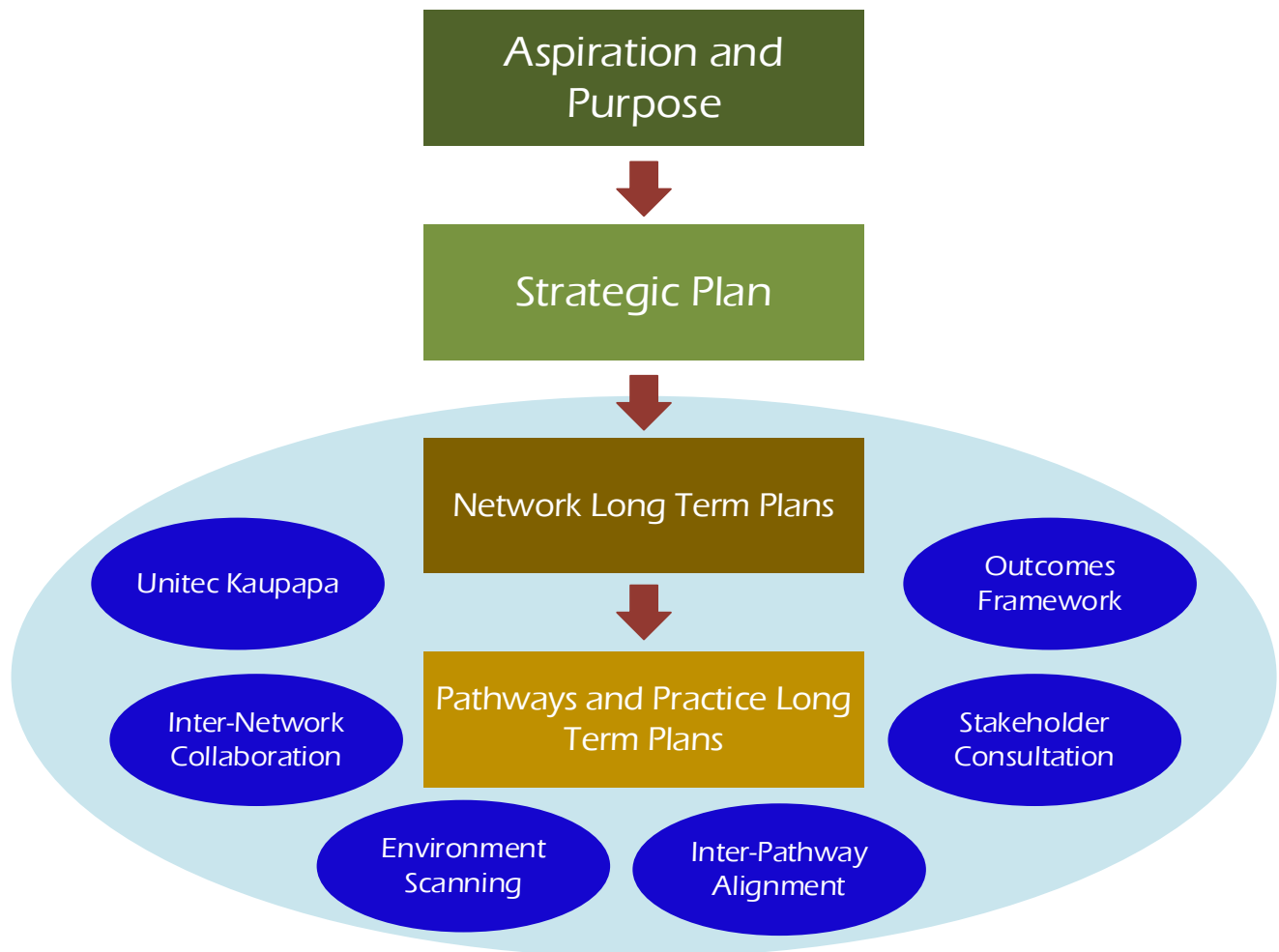


Figure 4 – Contributors to Network and Pathway Long Term Plans

Network and Pathway Long Term Plans include strategic objectives and strategies, and as with the **Strategic Plan**, can be either highly flexible or more constraining, depending on the wishes of the organisational unit involved.

Performance targets in **Network and Pathway Long Term Plans** are likely to be more detailed and precise than those in the institutional **Strategic Plan**. For example, it is unlikely that the institutional **Strategic Plan** would set out targets for time to return assignments, or the percentage of lectures for a given subject delivered by industry professionals. One way in which a cascade from less detailed to more detailed performance goals might occur is shown in the following table.

Strategic Plan	Network Long Term Plan	Pathway Long Term Plan
We will achieve a Net Promoter Score of 50 from our students in relation to course delivery	<ul style="list-style-type: none"> Student satisfaction with courses will exceed 75% Student satisfaction with lecturers will exceed 75% 80% of students failing to secure 1st choice will be redirected 	<ul style="list-style-type: none"> 90% assignments will be marked and returned within 1 week Lecturers will have at least 3 office hours per week 100% of courses will have real-time satisfaction surveys

Table 9 - One Approach to Performance Target Cascades

The above is merely an exemplar, and there are infinite variations depending on the style of the **Strategic Plan**, the wishes of the responsible managers, and the specific topic involved. What is important is that there is a cascade, rather than that the cascade follows a specific form (e.g. outcomes at the institutional level, outputs at the network level, and processes at the pathway level).

An alternative approach that is also appropriate is to avoid specifying performance targets at such a detailed level, and instead simply distribute the high-level performance targets according to historical performance and feasibility, as below:

Strategic Plan	Network Long Term Plans	Pathway Long Term Plans
We will achieve a Net Promoter Score of 50 from our students	Network A: NPS score 55	Pathway A: NPS score 60
		Pathway B: NPS score 55
		Pathway C: NPS score 50
	Network B: NPS score 45	Pathway D: NPS score 30
		Pathway E: NPS score 60
		Pathway F: NPS score 45
	Network C: NPS score 50	Pathway G: NPS score 50
		Pathway H: NPS score 50
		Pathway I: NPS score 50

Table 10 - Another Approach to Performance Target Cascades

ENABLING STRATEGIES

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

SUMMARY

Enabling Strategies are documents covering a five-year period that identify, specify, and analyse key enablers necessary to achieve the strategic objectives set out in the **Network and Pathway Long Term Plans**. These plans enable back-office groups to provide the necessary support to front-line groups. This ensures the framework is *delivery-led*, rather than *process-led*; the horse draws the cart rather than vice versa.

Enabling Strategies are developed by the relevant groups in a collaborative and consultative manner, incorporating Maori and Pasifika perspectives where relevant. The requirements of frontline groups are analysed and understood, and enabling requirements identified.

DETAILS

Enabling Strategies are derived from both the **Strategic Plan** as well as the **Network and Pathway Long Term Plans**. However, whereas **Network and Pathway Long Term Plans** can be relatively easily derived from the **Strategic Plan**, as they are all focused on major teaching and research objectives, and have similar targets, developing **Enabling Strategies** is more difficult as the focus is now on specific methods that do not “fall out” directly from superior documentation.

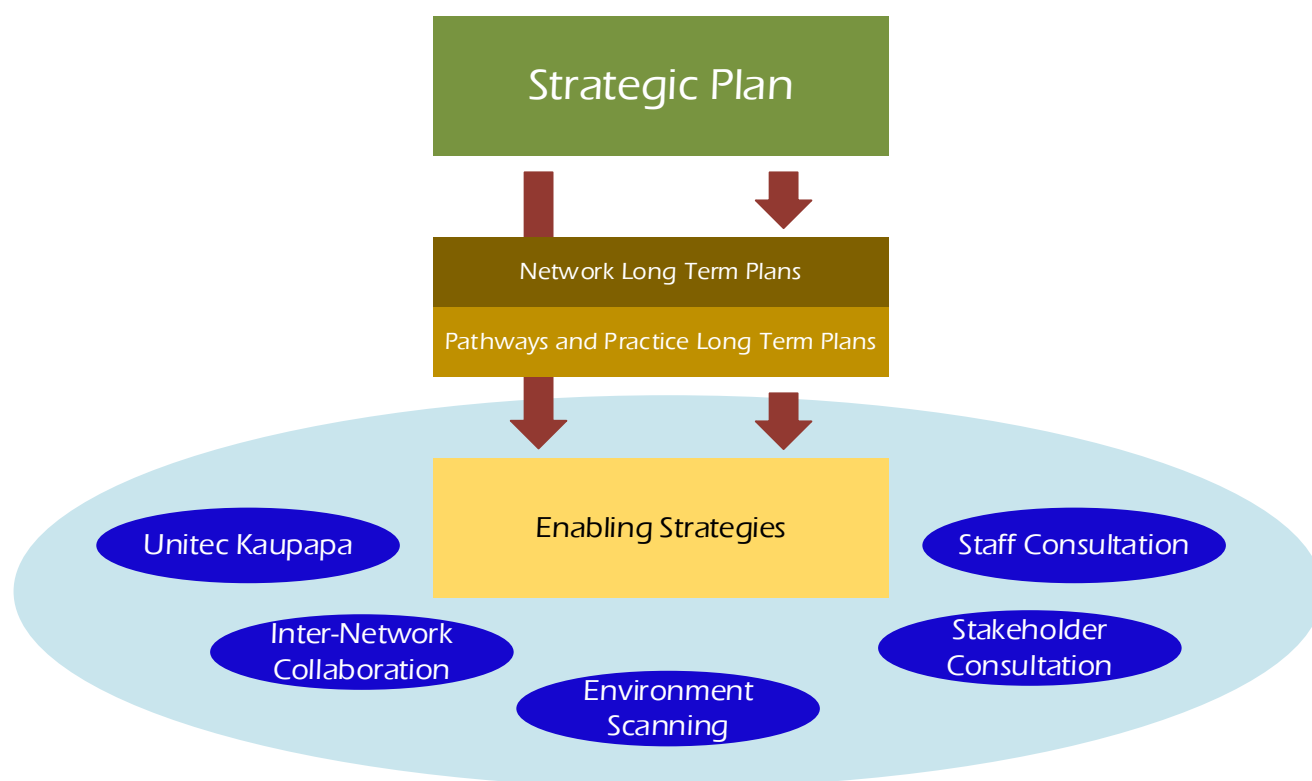


Figure 5 - Contributors to Enabling Strategies

The planning process flows from the institution, to the network/pathway (frontline / service-delivery body), and then to the **Enabling Strategy**. Asset management, information

technology, and human resources decisions are taken only for the effect they have on achieving strategic objectives. The “tail” does not wag the “dog”; everything is focused on the strategic objectives of the institution, and nothing is done for its own sake. This ensures efficiency and clarity. It also means that **Enabling Strategies** cannot be developed before **Network and Pathway Long Term Plans**.

Unitec has six **Enabling Strategies**. The table below lists them, shows who is responsible for developing them, and provides a brief description. If Unitec’s organisational structure changes, different groups may be responsible for these plans.

Enabling Strategy	Who is responsible?	Description
Teaching and Learning	Academic Development / Teaching and Learning	Sets out key mechanisms to enable teaching and learning goals in Network and Pathway Long Term Plans
Research	Academic Development / Research and Enterprise	Sets out key mechanisms to enable research goals in Network and Pathway Long Term Plans
Asset Management	Wairaka Land Company	Sets out key asset approaches (acquisition, renewal, maintenance, disposal) to enable Network and Pathway Long Term Plans
Human Resources	Organisational Development / People and Culture	Sets out key human resources (quantity and quality) approaches and performance targets to enable Network and Pathway Long Term Plans
Information Technology	Organisation Development / Information Management Services	Sets out key information technology strategies and goals to facilitate achievement of Network and Pathway Long Term Plans
Maori and Pacific	Maia and Pacific Centre	Sets out key Maori and Pacific teaching and pastoral strategies and goals to facilitate achievement of Network and Pathway Long Term Plans

Table 11 - Our Enabling Strategies

Each **Enabling Strategy** answers the question: what does this area need to do to allow the institution, and its subordinate networks and pathways, to deliver on its strategic objectives? A simplified version of this analytical process is shown in the following table.

Institutional Level	Network Level	Enabling Strategy Questions	
Improve graduate employment rates by 10%	Improve graduate employment rates by 10% by: Increasing work-based learning by 10% Improving qualification completion rates by 5% Improving course completion rates by 5%	T&L	What pedagogical support will teachers require to improve educational outcomes?
		Res	What research approval approach will best facilitate staff success?
		AM	What facilities will be required to deal with the projected number of students?
		HR	How many staff will we require, and what training will they need?
		IT	What technology will students and learners require to improve educational outcomes?
		M&P	What specific Maori and Pacific support strategies will teachers require to improve educational outcomes?

Table 12 - How Enabling Strategies Are Built

Due to their nature, **Enabling Strategies** are less informed by the **Outcomes Framework** than other plans within the framework. They are internally-focused, and solely concerned with the *process* and *input* levels of the framework; the rigorous causal analysis linking outcomes, impacts, and outputs has already been done at superior levels of the planning framework.

Enabling Strategies are developed by specific organisational units, who are accountable for them, in a collaborative, consultative, and networked fashion. However, they cut across larger parts of, or the entire, organisation in implementation and influence. This is represented below.

	Organisational Unit					
	Netws & Pathways	Org Development	Finance	WLC	Business Development	Academic Development
Teaching and Learning	A					D
Research	A					D
Asset Management	A	A	A	D	A	A
HR	A	D	A	A	A	A
IT	A	D	A	A	A	A
Maori and Pacific	A	A				D

Key: D= develops, A=affected by

Table 13 - Enabling Strategies Matrix

UNITEC ANNUAL PLAN

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

SUMMARY

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 iterative cycle involving direction to, and feedback from, different organisational levels ensures the final result incorporates the full spectrum of institutional knowledge.

DETAILS

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.



Figure 6 - Contributors to Annual Plan

The **Annual Plan** involves three distinct decision-making phases:

1. *Direction Setting* – during this phase specific priorities are set within the broader scope of existing strategic direction;
2. *Target Setting* – during this phase key performance targets for the institute as a whole are set through a bargaining process. This phase culminates in the *Leadership Intent*, which sets out the key priorities and targets for the year in a summary manner, and the *draft Annual Plan*.
3. *Network and Pathway Planning* – during this phase there is constant communication between the institutional level and subordinate levels to develop final versions of both the institutional **Annual Plan** as well as subordinate plans. This integrated approach ensures that the resourcing implications of specific targets are fully analysed and that there is bargaining between elements as to what is feasible.

Because the **Annual Plan** is a tactical plan, it is vital that it fully integrates performance goals and resource implications. If performance goals are divorced from funding, then a cohesive approach towards achieving institutional objectives is unlikely to develop.

As with the **Strategic Plan**, the **Annual Plan** can either focus entirely on desired results or provide specific direction on methods as well. The former is more flexible, but can lead to inefficiencies, whereas the latter can ensure institutional coherence. Unitec will utilise both approaches, depending on the level of organisational maturity and the environmental context.

NETWORK, PATHWAY, AND SUPPORT GROUP ANNUAL PLANS

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

SUMMARY

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**. They 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 collaborate and consult during the development of these plans to ensure a holistic and co-ordinated response to institutional goals.

DETAILS

NPSGAP contain more technical detail than superior plans. They are designed to bridge the gap between institutional tactical goals (which have in turn been derived from strategic goals) and individual expectations.

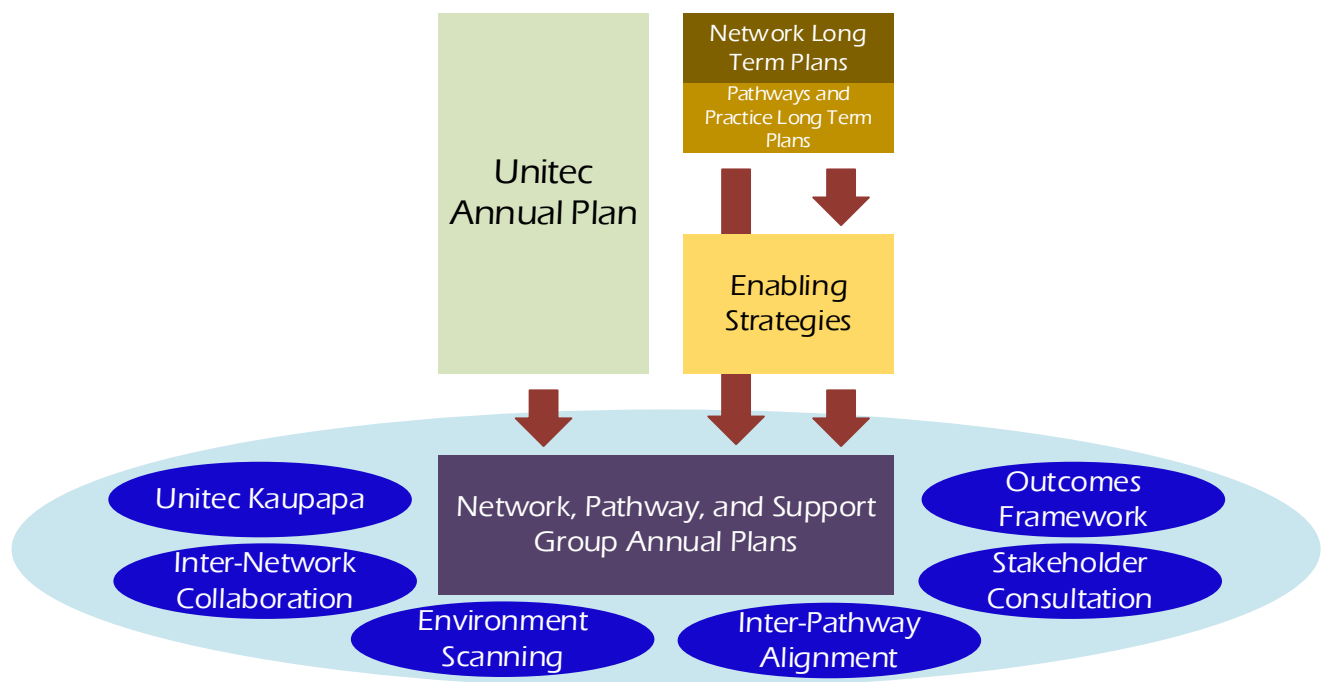


Figure 7 - Contributors to NPSGAP

NPSGAP are begun following the issuing of the *Leadership Intent* and draft **Unitec Annual Plan**, noted in the section above. 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.

NPSGAP may or may not require situational analysis and environmental scanning; if that contained in the **Unitec Annual Plan** is sufficient, additional analysis may not be required. However, networks, pathways, and service groups may prefer to conduct their own more fine-grained analysis to better inform their planning decisions.

The audience for these plans includes superior managers and individual staff members, who will need to use them as the basis for their own individual performance plans.

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**.



Figure 8 - Plan / Report Alignment (Simplified)

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). They are sometimes termed *logic models* or *intervention/investment logic maps*. Outcomes frameworks are a bit like the frame of a house – not much use by themselves, but vital for putting up walls and the roof. The table below shows a standard approach.

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

Table 14 - Outcomes Framework

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 our goals, the actions we need to achieve those goals, and the resources we need to produce those actions;
3. Enable costing of specific services (output-based costing) to allow for better decisions on priorities;
4. Enable true value-for-money (cost:benefit) rather than simple efficiency (cost:process) assessments; and
5. Provide a common core for the development of plans and reports.

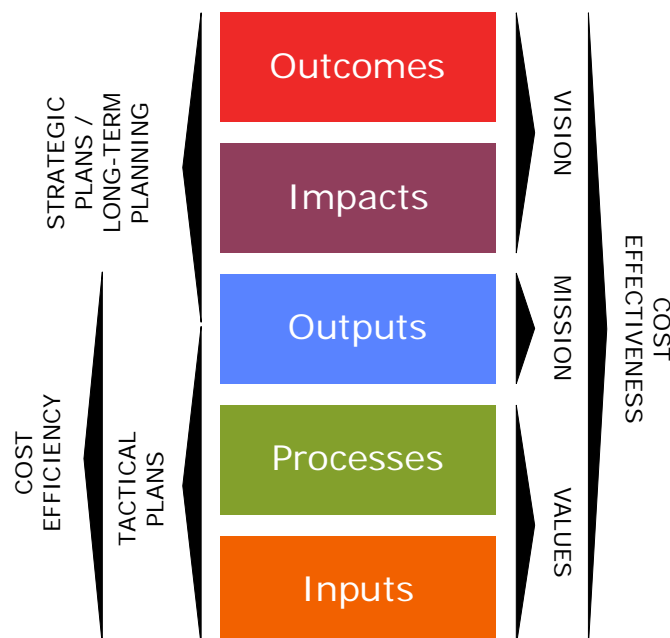


Figure 9 - Outcomes Frameworks as Common Core

Unitec's outcomes framework involves *normative* outcomes and impacts (in that they describe what we want to achieve) and *descriptive* outputs, processes, and inputs (in that they are value-free and simply represent the way in which Unitec operates).

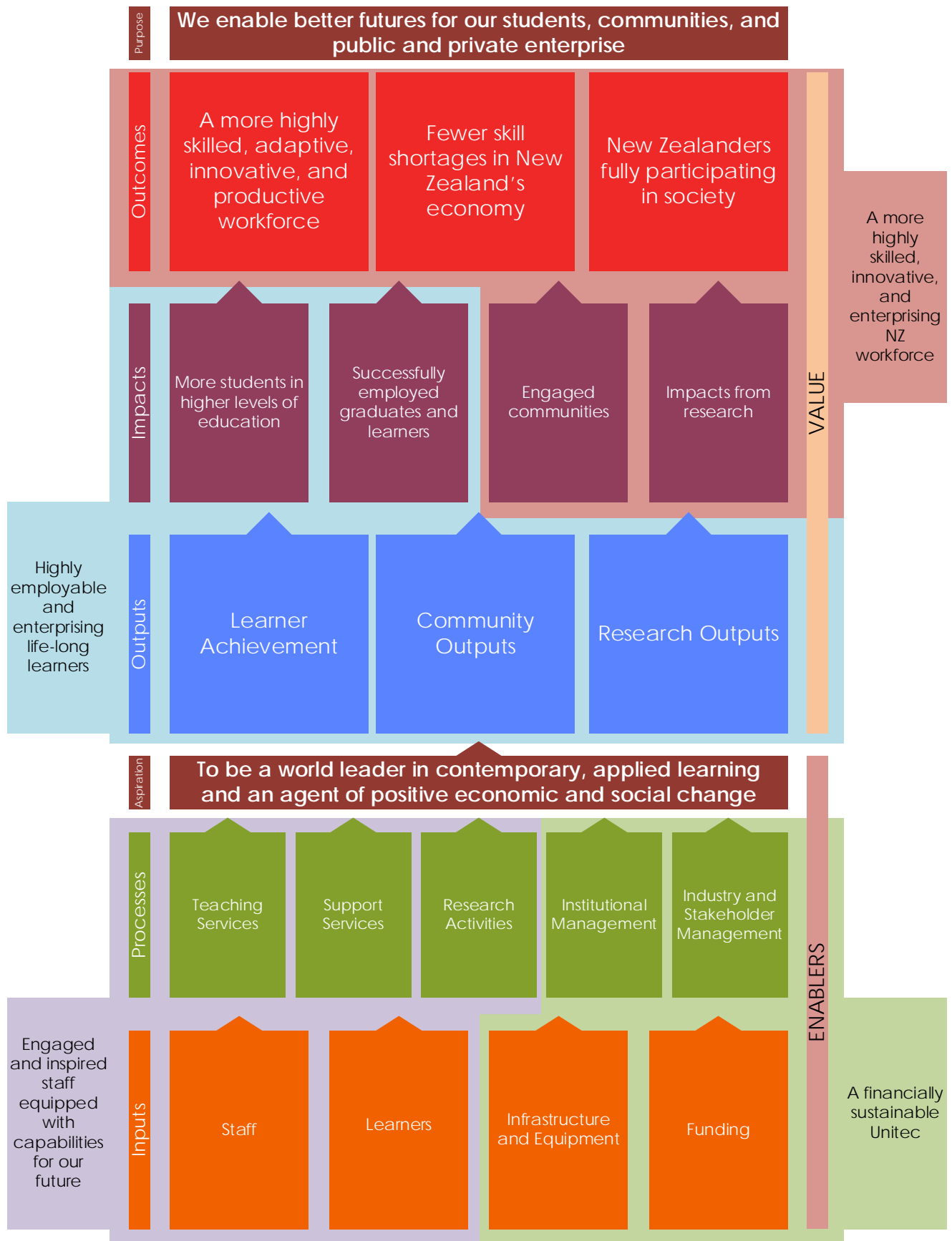


Figure 10 - Unitec Outcomes Framework

Within each element of the framework it is possible to develop a range of performance measures and targets that are incorporated into plans at different levels.

	MEASURE	TARGET
Learner Achievement	Qual Comp Rate	65%
	Course Comp Rate	80%
Teaching Services	Course Hrs Taught	500
	Retention Rate	90%
Learners	SAC EFTS	1000
	% SAC EFTS Pasifika	17.5 - 22.5%

Figure 11 - Outcomes Framework and Performance

It should be emphasised that the outcomes framework is independent of organisational structure – it is simply a logic model of how Unitec as an educational institution aims to achieve specific outcome goals. Nor does it say what we *should* do – it is not a constraint on strategy or tactics.

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 Officer 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
- Unitec Annual Plan

For the avoidance of doubt, production includes consultation with relevant groups, including the Executive Leadership Team.

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

For the avoidance of doubt, advice and assistance includes the provision of templates, timelines, and information, and also incorporates the provision of peer review. Organisational Performance cannot veto the provision of a plan to an approving body for approval but may provide a note either recommending or not recommending the approval of the plan to the relevant body.

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

Organisational Performance provides advice and assistance to groups within Unitec seeking to utilise performance measures for their own purposes.

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. If you have any questions or suggestions, please contact:

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