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| Template for Strategic Intent and Learner Success sections of Investment Plan For investment in 2023 |

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Every effort is made to provide accurate and factual content. The TEC cannot accept responsibility for any inadvertent errors or omissions that may occur.

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# About this template

Subhead



Section heading

Tertiary education organisations (TEOs) should use this template to structure the strategic intent and learner success components of their Investment Plan (Plan).

This template captures **what is required** for the Strategic Intent and Learner Success sections of your proposed Plan as stated in the **Education and Training Act 2020, clause 4, Schedule 18,** [**Plan Guidance**](http://www.tec.govt.nz/funding/funding-and-performance/investment/plan-guidance/) **, Supplementary Plan Guidance and the** [**Gazette notice**](https://www.gazette.govt.nz/notice/id/2020-au2808)**.**

**You only need to complete the sections of the template which are relevant to your organisation.** We have recently sentadvice on your Plan status and what is expected of your organisation for 2023 funding.

We need the information requested in this document to make informed investment decisions and to monitor TEOs progress against our expectations over time.

When completing this form, use Plan Guidance, the [Tertiary Education Strategy](https://www.education.govt.nz/assets/Documents/NELP-TES-documents/FULL-TES-2020.pdf) (TES) and the Investment Briefs to understand our funding priorities, requirements and expectations.

For TEOs who would rather create their own document for the Strategic Intent and Learner Success Plans we recommend you use key headings and questions in your document to ensure all the information we require is provided. This is especially important for the Learner Success section of the Plan.

If you would like to attach any additional documents, please include these at the end as appendices. Try and keep these succinct and to the point.

**Assessment of proposed Plans**

**The criteria we use for assessing proposed Plans are set out in Plan Guidance and the Gazette notice**. Please refer to these criteria when completing each section.

These criteria enable us to assess the alignment of your proposed Plan with Government priorities and regional and national need, as well as your capability to deliver on the Plan.

**Templates and key deadlines**

The Plan submission deadline is **8 July 2022.** This includes submitting your Strategic Intent and Learner Success Plan (covered by this template), as well as your Mix of Provision (MoP) templates and Educational Performance Indicator Commitments (EPIC) template[[1]](#footnote-1).

If you are requesting additional funding for 2023 (beyond your indicative allocation), you will need to complete the Request for Additional Funding template when this is made available. Because of current uncertainty, we have not yet determined the process for seeking additional funding for 2023 (if any exists). We will provide advice on additional funding later this year. For further information refer to *Plan Guidance*, page 31, “Additional funding request guidance will be available later”.

**Tips for submitting documents**

Plans must be submitted to us via Workspace 2 as either a Word or PDF document to a maximum size of 75Mb, along with any relevant accompanying documents.

Documents should not be encrypted or contain any embedded PDF files as these documents cannot be scanned by TEC’s anti-malware service and, therefore, cannot be uploaded.

Appendices should be attached to this Template and all pages saved as **a single file**. We recommend naming your document [TEO name] *Strategic Intent and Learner Success sections of Investment Plans.*

**Questions**

For general queries about your Plan or this template please contact your Relationship Manager or our Customer Contact Group at [customerservice@tec.govt.nz](mailto:customerservice@tec.govt.nz) or 0800 601 301.

We encourage you to check the [TEC website](http://www.tec.govt.nz/) regularly for the release of new information.

# 1. Strategic Intent and Learner Success sections of Investment Plan

**You can delete any instructions in this template from your final Investment Plan document, including the TEC cover page and pages 2-5.**

[Insert your organisation’s name]

***You’re free to personalise the design of this template to match your branding.***

**Tertiary education organisation (TEO) details**

Please complete the following details.

|  |  |
| --- | --- |
| TEO name |  |
| New Zealand Business Number (NZBN) (if known) |  |
| EDUMIS number |  |
| Lead contact for Plan discussions:  This person must have a good understanding of the proposed Plan, be able to access Workspace 2 and be contactable by the TEC for at least three months from the submission date. |  |
| Work phone |  |
| Mobile |  |
| Email |  |

# 2. Mission and role

**For this section:**

* describe your mission and role within the tertiary education system:
  + tell us about any significant changes that have occurred since you last submitted an Investment Plan that will continue in the future
  + using evidence, tell us how you are:
    - using strong governance, management and academic leadership capability
    - ensuring you are well placed to respond to regional and national trends (aligned to Plan Guidance),
    - where applicable, aware of the priorities of the Workforce Development (WDC) and Reginal Skills Leadership Groups (RSLGs)
    - continuing to improve your performance, especially for under-served learners[[2]](#footnote-2).
* provide evidence of how your organisation gives effect to and honours Te Tiriti o Waitangi (Te Tiriti)
* if your organisation is a tertiary education institution (TEI), provide evidence of how your council acknowledges and supports the principles of Te Tiriti in the performance of its functions and in the exercise of its powers.

**Note: TEIs comprise of Te Pūkenga; universities, and wānanga.**

You should refer to the following strategic documents when completing this section:

* [*Plan Guidance*](https://www.tec.govt.nz/funding/funding-and-performance/investment/plan-guidance/), page 18, ‘Your mission and role’
* [The Gazette Notice](https://gazette.govt.nz/notice/id/2022-sl624)

**Write response here and delete information above**

**Recommendation is 2,000 words or less**

# 3. Implementing the Tertiary Education Strategy (TES) and other government priorities

**A key focus of the Tertiary Education Strategy is learners and their whānau**

Part A

The [Tertiary Education Strategy](https://www.education.govt.nz/assets/Documents/NELP-TES-documents/FULL-TES-2020.pdf) (TES) has a strong emphasis on creating an environment where all learners and their whānau can succeed. TEOs can show they are meeting the key expectations of the TES by designing and developing a learner success pathway that aligns to the elements of the [learner success framework](https://www.tec.govt.nz/focus/our-focus/oritetanga-tertiary-success-for-everyone/). This will include evidence of a whole of organisation approach to implementing a learner success operating model.

To respond to Part A of the TES use the Learner Success Plan section of this template on page 10.

Part B

We expect you to think about and prepare to respond to other aspects of the TES.

**For Part B:**

* describe how you are responding to other aspects of the TES not covered under Learner Success:
  + for example tell us:
    - how you are creating deeper engagement and collaboration with industry to ensure learners/ākonga succeed in work? (Priority Seven)
    - how you are supporting mātauranga Māori and Pacific research to align to changes to the Performance Based Research Fund (Priority Eight) or for those TEOs who host CoREs.

You should refer to *Plan Guidance*, page 35, ‘Responding to the TES means putting learners at the centre’ when completing this section.

For TEOs with a Relationship Manager, you should work with them as you develop your approach to the TES and explain how you will progressively respond to the priorities over the next three to five years.

**Write response here and delete information above**

**Recommendation is 1,000 words or less**

**Other government priorities**

For this section:

* describe how your organisation is responding to the priorities set by the TEC in its Plan Guidance (Part C, page 30) and Investment Briefs that are not already covered above.

**Write response here and delete information above**

**Recommendation is 1,000 words or less**

# 3. Learner Success Plan

This template is for you to use to describe your approach to improving outcomes for all learners.

Each section provides guidelines on what information to provide. You may also provide any other relevant information or attach supporting information as an appendix.

You should refer to *Plan Guidance*, page 22, ‘Learner Success Plans’ and page 26, ‘We are updating Learner Success Plans’ when completing this section.

|  |
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| **Section 1 – where you need to be?** |
| Provide a short vision statement of your long-term goal(s) for learner success.   * What does success look like for your organisation and your learners? And how will you achieve equity for all learners? * How well does your vision represent the aspirations of your stakeholders? * How is the work owned and driven by your Council/Board and senior leadership team? |
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| **Section 2 – where are you now?** |
| A snapshot of current learner performance including data/evidence.   * Problem definition: what are the main issues or areas of concern? [aligned to the seven learner success capabilities in the Learner Success Plan Information Sheet] * Do you know the cause(s) of these issues? What evidence do you have? * What interventions and initiatives have you already tried? Have these been evaluated? Have they worked? Why/why not? * What stage of the Learner Success Framework are you at? If you’re beyond stage 1 (Preparing for Success) – what specifically have you done (including budget and resourcing)? * Who owns this work at the senior leadership level and how it is being managed (i.e. has a project plan, team, and governance structure been set up)? * What have been the outcomes of your learner success projects? Is progress reported up to your Council or Board? |
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| **Section 3 – how are you going to get there?** |
| **Short-term (to end Dec 2023) – a “roadmap” for the short-term (next 18 months) of your learner success journey.**   * What is the next stage of the LSF to be implemented? How have outcomes from previous stages informed next steps? * Detail timelines, milestones, deliverables, targets, measures and resources (including budget and support you might need from the TEC and/or other TEOs). * How does the roadmap link to problem definition in Section 2 (i.e. why are you doing these specific things)? [The TEC expects that roadmap plans will align with LSF stages and the seven learner success capabilities in the Learner Success Plan Information Sheet.] * How will progress be monitored? (including who will be accountable for progress and achievement of milestones)   **Medium- to long-term (from 2024) – higher level plans beyond 2023.**   * What are your specific medium- to long-term goals, targets and measures? * Who has been involved in developing the roadmap, targets and measures, including any external stakeholders? |
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| **Additional comments (if any):** |
|  |

# 4. Addressing the needs of your stakeholders



**For this section, provide evidence that you know:**

* **who** your stakeholders are, for example, tell us:
* any new stakeholders you have connected with
* which key stakeholders you have built or maintained relationships with, including whānau and iwi, disability groups, and Pacific community groups
* any engagement you have had with Workforce Development Councils (WDCs) or Regional Skills Leadership Groups (RSLGs)
* **what** they need and expect of you, for example, tell us:
* about your understanding of what is important to your stakeholders and why
* **how** you’re going to respond, for example:
* explain the process for decision making and service provision that directly connects to stakeholders’ needs, including, for TEIs, your capital intentions
* describe your organisation’s ability and commitment to work with other TEOs to build system responsiveness and sustainability, and pathways through the education system

Some of the responses around stakeholder needs are covered in Section 3: **Learner Success Plan**. You do not need to duplicate what you have covered in your Learner Success Plan here.

You should refer to *Plan Guidance*, page 20, ‘How you will address the needs of your stakeholders.’ when completing this section.

**Write response here and delete information above**

**Recommendation is 1,000 words or less**

# 5. Disability Action Plan (DAP)

All TEOs required to submit a full Plan and receiving more than $5 million[[3]](#footnote-3) in funding are required to submit a [DAP](https://www.tec.govt.nz/focus/our-focus/oritetanga-tertiary-success-for-everyone/disability-action-plan-dap/) as part of their Plan submission. The information you provide will be assessed as part of your Plan; however, your DAP must be submitted as a separate standalone document.

Our detailed [DAP Guidance](https://www.tec.govt.nz/assets/Oritetanga/DAP-Guidance-for-TEOs-July-2021.pdf) supports you to develop your own DAP and provides suggestions on how to use the Kia Ōrite Toolkit (to help TEOs better support disabled learners) as part of your development.

A DAP must include certain components:

* clear evidence of use of the [Kia Ōrite toolkit](https://www.tec.govt.nz/focus/our-focus/oritetanga-tertiary-success-for-everyone/kia-orite-toolkit-for-achieving-equity/) and the best practice standards described within
* goals and targets
* evaluation strategies
* allocation of responsibility
* communication of policies and programmes.

**Your DAP should be submitted via Workspace 2 as a standalone document because:**

* In the first few years of the DAP requirement, DAPs will be assessed by a group of disability subject matter experts, to support TEC with the development of this requirement. Having them as standalone documents will assist with this process.
* It is also important DAPs can be read and understood as a standalone document because DAPs **must** be available AND easily accessible to the public on your organisation’s website. Developing your DAP as a standalone document will aide you in meeting the requirement.

You should refer to *Plan Guidance*, page 27, ‘We require Disability Action Plans from some TEOs’ when completing your DAP.

# 6. Programmes and activities



**For this section:**

* using your MoP(s) template, provide all planned programmes and activities for which your organisation is seeking funding, including planned learner numbers by New Zealand Qualification Framework level and total funding sought

**and:**

* describe how your organisation’s proposed activities will support you to fulfil your mission and achieve your specific goals for the term of the Plan
* describe any key new activities your organisation is planning to undertake over the Plan period
* provide a brief description of other programmes and activities not funded by the TEC (this information must be provided either via your MoP or as a description in this section)

**If you have subsidiary bodies, you must:**

* describe the main activities they undertake;
* provide the dollar value of your organisation’s relationship with the subsidiary body; and
* briefly describe the governance and accountability arrangements in place.

**If you subcontract delivery of activities and programmes (including those with subsidiary bodies),** **you must:**

* describe the main activities they undertake;
* provide the dollar value of your organisation’s relationship with the subsidiary or sub-contracting body;
* briefly describe the governance and accountability arrangements in place (this information must be provided via a Subcontracting Register); and
* confirm they have the necessary NZQA and TEC approval (TEC approval required via funding conditions).

Contact your Relationship Manager or the Customer Contact Group if you are unsure whether certain activities need to be declared in the Subcontracting Register.

**You should refer to the following strategic documents and tools when completing this section:**

* *Plan Guidance*, page 24, ’Summary of Activities’
* *Plan Guidance*, pages 39 – 42, ’The targeted priorities highlights specific industries and areas of provision’
* Investment Briefs

**You are required to submit via Workspace 2:**

* completed MoP template(s) showing total TEC funding sought, and
* completed Subcontracting Register if subcontracting arrangements are in place.

**Write response here and delete information above.**

**Recommendation is 1,000 words or less**

# 7. Outcomes and measures



In this section we would like to know about your outcomes and measures (in relation to the tertiary education programmes and activities for which funding is sought).

This includes the performance indicators you will use to measure whether the outcomes have been achieved (any information submitted in your EPI commitments template **does not need** to be replicated here).

For this section:

* describe how your organisation has performed against the performance commitments you made in your last Plan, particularly those relating to Māori and Pacific learners (this is only applicable if your organisation has previously received funding from us)
* describe how your organisation has responded to TEC and other government data about post-study employment outcomes, and about your organisation’s level of re-enrolments
* describe your organisation’s governance and management in setting challenging targets, then monitoring progress and responding when targets are not met. This includes demonstrating governance and management progress in improving outcomes for Māori and Pacific learners
* summarise the findings of any quality assurance reviews
* outline any key changes that your organisation is making that are likely to have a significant impact on your educational performance or other outcomes.

**You should refer to the following strategic documents when completing this section:**

* *Plan Guidance*, page 25, ’Performance measures’
* Investment Briefs

**You are required to submit via Workspace 2:**

* completed EPI commitments template(s).

**Write response here and delete information above.**

**Recommendation is 1,000 words or less**

# 8. Additional financial information



Additional information can include forecast financial statements, capital asset management information (for TEIs), and any other information needed to fairly reflect your forecast financial operations and financial position, e.g. information about subsidiaries for which you have residual liability.

We may use this information to assess whether your organisation is likely to have the financial ability to deliver on its proposed Plan.

**For this section:**

* **If you are not currently funded by TEC**, please provide us with your financial information. You can find further information in the new providers application form.
* **If you are currently funded by TEC:**
  + **and your organisation is a private training establishment (PTE),** provide us with information about whether you are meeting the TEC’s [Prudential Financial Standards for PTEs](https://www.tec.govt.nz/teo/working-with-teos/ptes/financial-viability/).
  + **and you are not a PTE,** provide us with any relevant financial information you have not already provided to us.

You should refer to *Plan Guidance*, page 30, ’We may ask for additional financial information’ when completing this section.

**Write response here and delete information above.**

# 9. Additional requirements for tertiary education institutions (TEIs)



In addition to the requirements outlined above, TEIs are required to submit a copy of their forecast Statement of Service Performance (SSP), which must:

* be prepared in accordance with Generally Accepted Accounting Practice, including reporting costs summarised by key output classes/areas
* reflect the full scope of your institution’s activities
* focus on the outputs/services of your institution, and
* include measures and evidence about the quality of these outputs/services.

For audit purposes any performance commitments made in your Plan, including all EPI commitments, must also be included in your SSP.

You should also explain how you will manage your capital assets to support your mission and role over the period of your proposed Plan, including any new significant capital initiatives.

You should refer to *Plan Guidance*, page 29, ‘There are special requirements for tertiary education institutions (TEIs)’ when completing this section.

**Required to be submitted via Workspace 2:**

* Forecast Statement of Service Performance.

**Write response here and delete information above.**

# 10. Additional requirements for organisations delivering Apprenticeships (New Zealand Apprenticeships and Managed Apprenticeships)

**Apprenticeship training activities must be outlined in your Plan. This section is particularly important for TEOs who are offering apprenticeships for the first time in 2023.**

**For this section, explain how you currently or will:**

* provide or outsource pastoral care appropriate to the age and stage of the apprentice and describe how you will apply the apprenticeship code of practice
* promote New Zealand Apprenticeship training generally (through providing information, guidance and advice to employers and prospective apprentices about the benefits of an apprenticeship)
* identify prospective apprentices and the employers able to offer the right kind of apprenticeship training for those apprentices
* ensure that apprenticeship training and the apprenticeship training agreement in the industry is consistent with the apprenticeship training code.

**You should refer to the following legislation when completing this section:**

* [The Education and Training Act 2020, sections 376](https://www.legislation.govt.nz/act/public/2020/0038/latest/LMS253770.html?search=sw_096be8ed81a7a39d_376_25_se&p=1) and [378](https://www.legislation.govt.nz/act/public/2020/0038/latest/LMS267778.html?search=sw_096be8ed81a7a39d_376_25_se&p=1)
* The [Apprenticeship Code of Practice](https://www.tec.govt.nz/assets/Publications-and-others/The-code-of-good-practice-for-new-zealand-apprenticeships.pdf) - a legal instrument set by the Minister of Education under the Education and Training Act 2020

You should refer to *Plan Guidance*, page 29, ‘TEOs offering apprenticeships have an additional Plan requirement’ when completing this section.

**Write response here and delete information above.**

**Recommendation is 1,000 words or less**

# 11. Further information



*.*

**If you wish to add any further information, please enter here.**

1. If you are a new provider you will be asked to submit MoPs and EPICs later if your application for funding is approved. [↑](#footnote-ref-1)
2. This includes Māori, Pacific and disabled learners as well as others whose needs are not well served. [↑](#footnote-ref-2)
3. The $5 million threshold is decided based on the final on plan funding allocation you were given for 2022 as confirmed to you by letter in late 2021. [↑](#footnote-ref-3)