

**Tertiary Education  
Commission**

Te Amorangi Mātauranga Matua



## Plan Guidance

**For TEOs submitting new Plans for  
funding from 1 January 2022**

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



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## Chief Executive's Foreword

2020 has been a difficult year for all of us. However, despite being stretched due to COVID-19, we are encouraged by your resilience and innovation to continue to produce the outcomes you planned.

Thinking ahead, our vision remains a tertiary education system focused on improving outcomes for all learners, and using shared information and evidence to do that. Our partnerships with capable and innovative organisations are key to achieving this.

The new Tertiary Education Strategy (TES) sets out our long-term strategic direction for tertiary education. The TES includes an action plan to help guide government agencies and tertiary education organisations implementing it. We recommend that you become familiar with the actions required and plan a phased implementation of these actions that demonstrate true commitment to the TES objectives and priorities.

For us, achieving equity is essential to giving effect to the new TES and ensuring we are honouring Te Tiriti o Waitangi. Collectively, we need to ensure the tertiary education and careers system is responsive to the needs of learners, their whānau, iwi, communities and industry. This requires us to break down barriers to access; ensure tertiary settings are safe, inclusive and affirm all cultural identities; and partner with iwi to enable Māori learners to achieve their educational success. The TEC Board and management are committed to delivering on the objectives and priorities identified in the TES. We will engage with you over this in the course of the Plan round.

The Reform of Vocational Education (RoVE) is fast moving. We are well into phase two of RoVE's workplan of transition and integration. The pace of change won't stop over the next three years. We will make sure you are aware of any RoVE impact on our investment process. Meanwhile, for TEOs delivering vocational education, we expect you to start working with the Workforce Development Councils (WDC) and Regional Skills Leadership Groups (RSLGs) when developing your Plans.

Our Investment Round supports positive outcomes for all New Zealanders. We want comparable post-study outcomes for all graduates over time. To this end, we ask you to continue to focus on longer-term planning. It is important to demonstrate an organisation-wide strategy committed to continuous improvement in your Investment Plan. We can achieve great outcomes working together.

As well as providing this Plan Guidance, we will continue to make available resources in the Investment Toolkit. This includes Investment Briefs, information products and templates to support your strategic planning and make it easier to do business with us.

We're looking forward to working with you during 2021 to deliver better outcomes for learners and for New Zealand.



**Tim Fowler**

Chief Executive



# Introduction

# Welcome to TEC's Plan Guidance

This Plan Guidance explains what we look for when we assess your Investment Plan for funding from 1 January 2022. It also provides guidance for engaging with us throughout the Plan round. Plans are TEO-owned documents and are the responsibility of your governors (councils, boards and directors).

## We want a tertiary education system that delivers for all learners

Our investment in the tertiary education system supports a wide range of tertiary education organisations across New Zealand and helps ensure a network of provision which meets the needs of different learners and communities.

We know our current system does not work for all learners, including many Māori, Pacific and disabled learners, who experience lower participation and achievement, particularly at higher levels. Equity issues are not new but they create an imperative for long-term and sustainable change.

COVID-19 has exacerbated many of the issues already in the system, and heightened our commitment to address them. While TEOs have responded quickly, the experience varied for different TEOs and learners.

We want a tertiary education system that honours Te Tiriti o Waitangi and responds to the needs of learners, communities and regions, as well as whānau, hapū and iwi. This will ensure education is valued and well aligned to the skills required and careers offered by industry and employers and contributes to New Zealand's prosperity.

A system-level shift in performance is required for Māori and Pacific learners to participate and achieve at all levels of tertiary education on par with other learners. TEOs that want to make a difference for learners need to shift from individual interventions and pockets of good practice to a systemic learner focus in all aspects of their operations. A holistic approach is needed, involving:

- strong leadership within TEOs and in relationships with key partners (including employers, family, whānau, iwi)
- systems and processes designed with the learner in mind, including teaching, learning and support environments
- a 'guided pathways' approach that makes it clear to learners, before they enrol, what they need to do to gain a qualification and where their qualification will lead them
- data and technology solutions to appropriately track learner progress.

## Our tertiary education landscape continues to change

With the introduction of a new [Tertiary Education Strategy](#) (TES) and the developments in the Reform of Vocational Education (RoVE), the tertiary education landscape continues to change while we respond to, and recover from, the disruptions caused by the COVID-19 pandemic.

### A new Tertiary Education Strategy to guide our planning

The TES, along with the National Education and Learning Priorities (NELP), set out the areas of focus that will ensure the success and wellbeing of all our learners. The priorities have been aligned to the Minister of Education's objectives for education, which guides the [Education Work Programme](#).

Under the five TES objectives, there are eight priorities in total. These priorities are for TEOs to incorporate into their plans and everyday actions to support the education of all learners.

**Figure 1 - TES Objectives and Priorities**

<b>OBJECTIVE 1: LEARNERS AT THE CENTRE</b>	
Priority 1:	Ensure places of learning are safe, inclusive and free from racism, discrimination and bullying
Priority 2:	Have high aspirations for every learner/ākonga, and support these by partnering with their whānau and communities to design and deliver education that responds to their needs, and sustains their identities, languages and cultures
<b>OBJECTIVE 2: BARRIER-FREE ACCESS</b>	
Priority 3:	Reduce barriers to education for all, including for Māori and Pacific learners/ākonga, disabled learners/ākonga and those with learning support needs
Priority 4:	Ensure every learner/ ākonga gains sound foundation skills, including language, literacy and numeracy
<b>OBJECTIVE 3: QUALITY TEACHING AND LEADERSHIP</b>	
Priority 5:	Meaningfully incorporate te reo Māori and tikanga Māori into the everyday life of the place of learning
Priority 6:	Develop staff to strengthen teaching, leadership and learner support capability across the education workforce
<b>OBJECTIVE 4: FUTURE OF LEARNING AND WORK</b>	
Priority 7:	Collaborate with industries and employers to ensure learners/ ākonga have the skills, knowledge and pathways to succeed in work
<b>OBJECTIVE 5: WORLD-CLASS INCLUSIVE PUBLIC EDUCATION</b>	
Priority 8:	Enhance the contribution of research and mātauranga Māori in addressing local and global challenges (TES only)

The TES will help create education environments that are learner-centred, where more of our learners, and especially our most disadvantaged learners, can succeed. This is why the TES encourages all TEOs to focus on:

- ensuring that education environments are safe, inclusive and free from racism, discrimination and bullying
- strengthening the quality of teaching our learners receive to give them the skills they need to succeed in education, work and life
- collaborating more with whānau, employers, industry and communities
- taking account of learners' needs, identities, languages and cultures in their practice, and
- incorporating te reo Māori and tikanga Māori into everyday activities.

In addition to setting the high-level objectives and priorities for the tertiary system, this TES includes action plans to help guide the government agencies and tertiary education organisations implementing it. More details on how the new TES should be responded to, and how it will guide our assessment, are in Part A and B of this Plan Guidance.

## **The Reform of Vocational Education (RoVE) will enable system change**

RoVE is a fast moving and wide reaching reform. It will create a strong, unified, sustainable vocational education system that is fit for the future of work, and delivers the skills learners, employers and communities need to thrive. It is achieving this through the establishment of Te Taumata Aronui, Te Pūkenga, Workforce Development Councils (WDCs), Regional Skills Leadership Groups (RSLGs), Centres of Vocational Excellence (CoVEs) and the transition of the Industry Training Organisations functions over time.

We will update you as the reforms unfold. We encourage you to subscribe to our RoVE updates for general [information](#). We will make sure you are aware of any impact on our investment processes through a variety of channels, including Supplementary Plan Guidance, where required.

For TEOs delivering vocational education, we expect you to develop good working relationships with relevant WDCs and RSLGs as they become functioning entities. When these organisations and groups mature, we expect your Plans to increasingly reflect their analysis and advice, where applicable.

The Unified Funding System (UFS), also part of RoVE, will start to apply to all vocational education, covering all existing industry training and provider-based provision at NZQF Levels 3 to 7 (non-degree), from 2023. There is no specific funding implications from UFS for investment in 2022.

We will separately advise all providers assuming responsibility for arranging training from the transitional ITOs in 2022 about the impact on your Plan. If you are a transitional industry training organisation (ITO), we will work with you through the transitional activity you may be involved in that year.

## **COVID-19 response funds are for a specific period of time**

Budget 2020 introduced a suite of COVID-19 response initiatives and increased funding for tertiary education. These initiatives responded to the projected increased demand for tertiary education due to COVID-19 for the next two to three years.

You should factor this into your planning. We advise you to keep up to date and be informed about the future of these funds on our [website](#).

## **We are developing new products and services for our Careers function**

We continue to improve our Careers services. Our goal is for a skills and equity-focused careers system that develops everyone's skills, knowledge and confidence to find meaningful work in their lives. We work to:

- guide and enable learners, employers and communities to make informed decisions through effective advice, information and guidance;
- inspire people to challenge their biases, broaden their horizons, set aspirational goals and understand the skills needed for different types of work, enhancing their employability.

[Inspiring the Future](#), the [Online Career Planning Solution](#), and data and insights provided by WDCs and RSLGs will also help support this approach.

We expect you to work with schools and support learners to transition successfully to tertiary education. We recommend you use these services to help guide your learners in making decisions about work and further study.

## **We will provide timely information to support your Plan**

Recognising the changing nature of the current environment, as decisions are made, we will inform you in a timely manner throughout the plan round.



## **We will release Supplementary Plan Guidance as required**

We will release Supplementary Plan Guidance, as required, to update with any investment-related changes and decisions based on Government policies and priorities.

## **The Investment Toolkit will be updated by the end of February 2021**

Our [Investment Toolkit](#) will be refreshed at the end of February 2021.

The toolkit contains templates, guiding documents, Investment Briefs and information products to help you understand what we want to invest in. It will also support you to better understand, articulate and improve your performance.

Details on how you can use the toolkit while developing your Plan are in Part A of this Plan Guidance.

## **An information rich system to support your planning**

Our [Ngā Kete](#) website offers a range of information, apps and reports to help you analyse the volume, makeup and effectiveness of your delivery. These products provide the 'big picture' (across the sector) as well as details of your own delivery and performance. They make it easier for you to monitor your activities, and highlight the types of information we want you to use in developing your Plan and requesting additional funding.

We regularly update and improve [Ngā Kete](#). If you are new to using [Ngā Kete](#), or haven't used all the functions available, the infosheet included in the [Investment Toolkit](#) contains useful guidance.

## **Engaging early for effective outcomes**

Your Relationship Manager/Advisor will provide ongoing advice and up-to-date information as part of our engagement process.

We are keen to discuss in advance any changes you intend to make including, but not limited to:

- changes to your business model
- increases or decreases in provision
- changes to delivery locations
- sub-contracting arrangements
- requests for additional funding.

You will receive notification of your Plan status in December 2020, confirming which Plan components you will need to submit for your Plan for 2022 investment. We will kick start our engagement over Plan development in February 2021. An indicative timeline of the Plan process can be found on our [website](#) (this will be finalised in February and published in the Gazette Notice). Our website will be updated accordingly.

Engaging with us early helps us provide advice and support more effectively. We expect you to discuss any significant changes in your Plan, including any funding sought through the Additional Funding Request process, with us before submission.

## Summary of our priorities

An important consideration of our investment decision is evidence that you are responding to the new TES and the priorities areas identified in this section.

We apply two sets of priorities when making our investment decisions. We will look at:

- 1) areas all TEOs need to focus on in your planning; and
- 2) areas of provision where we want to promote growth

These help us to decide who, and what provision, we will invest in to ensure we have a healthy system to give effect to the TES, to respond to the needs of learners, communities, industries and regions, and to contribute to the social and economic prosperity of New Zealand.

### Areas all TEOs need to focus on in your planning

Although the economic and labour market context has been impacted by COVID-19 recently, we still have a vision of ensuring New Zealanders are equipped with the knowledge, skills and confidence they need for lifelong success. We want to see efforts you have made, what you are doing now, and actions you plan for further improvement, in the following areas.

#### **Equity**

We made a commitment to achieve patterns of participation and achievement for Māori and Pacific learners in tertiary education that are at least the same as for other learners, and that will deliver comparable post-study outcomes (PSO) for graduates over time. We must all play our part to achieve this goal.

As part of your Plan, we expect you to clearly demonstrate what you are doing to systematically address current disparities. This should include evidence of improved participation, achievement and outcomes for disadvantaged learners, including Māori and Pacific learners, and learners that are disabled, neurodiverse and/or experience long-term mental health challenges. We will look for a clear understanding of how these responses contribute to building an organisational ecosystem that responds directly to the challenges faced by your learners – this needs to apply to all of your organisation, from governance to operations and should be central to your conversations with us.

This focus should guide all aspects of your Plan and our interactions, but we expect to see specific evidence in your Learner Success Plan, if you are required to submit one. We strongly encourage you to engage with us should you need further guidance on how to approach this work.

#### **Skills and employability**

We want to see how you identify and quantify labour market needs, and develop programmes for your learners that are current and relevant to employer/industry demands.

In particular we are looking for evidence that you:

- have engaged with a range of stakeholders, including relevant industries and employers
- are responding to your region's specific needs and aspirations (where relevant)
- are planning provision based on programmes that result in good post-study outcomes .

We encourage you to use the data we provide through Ngā Kete on PSO to tell the story of what happens for your learners after they complete their studies and how you have (and will) identify opportunities to improve learner success. We will update PSO data to include 2019 information in February 2021. Please note that this data does not include the impact of COVID-19, which occurred in 2020.

**System responsiveness**

We encourage research-led innovation and the incorporation of Mātauranga Māori where relevant.

The TES makes clear the positive contributions Mātauranga Māori make to tertiary education. We are committed to advancing Mātauranga Māori not just for the benefit of Māori but for New Zealand society. We will engage with you on this as we develop this work further.

We are looking for programmes that show you are responding swiftly and effectively to the needs of learners, employers, industries and communities. We will continue to invest in more flexible, innovative and efficient provisions and delivery models, which includes [micro-credentials](#) and other short learning packages.

**Areas of provision where we want to promote growth**

A number of target areas have been identified for growth, or are expected to grow during the period following COVID-19. These areas are prioritised for increased investment and will be considered first for additional funding before we look at growing other areas of provision.

**Targeted growth priorities**

These targeted priorities have been identified to respond to industry needs and specific gaps in provision.

**Construction**

We want to see growth in the number of learners enrolling in and completing New Zealand Apprenticeships<sup>1</sup> as well as a focus on eliminating the parity gap for apprenticeship completions and increasing in the number of women entering construction-related trades.

**Food and Fibre (Primary Industries) – Level 4 and up**

We want to see growth in the number of learners enrolling in and completing Food and Fibre-related Level 4 apprenticeships (and related pathways), Levels 5-6 provision related to management capability, degree provision, and Level 8-10 provision.

**Science, Technology, Engineering, and Maths (STEM) and Information Technology innovation skills – Level 7 and up (including pathways that lead to these)**

We want to see growth in the number of learners enrolling in and completing STEM qualifications and specifically increases in provision in the 'Priority Engineering' course classification (including pathway programmes to lead to studies in these areas).

**Homebased Early Childhood Education (ECE) – Levels 4 and 5**

We want to see growth in the number of learners enrolling in and completing Level 4 ECE qualifications, and Te Ara Tuarua, the Level 5 kōhanga reo qualifications for Homebased ECE.

**Secondary Initial Teacher Education (ITE) provision – Level 7**

We want to see growth in diversity (including Māori and Pacific learners), as well as the total number of learners enrolling in and completing Secondary ITE programmes.

**Postgraduate Diploma in Clinical Psychology**

We want to see growth in the number of learners enrolling in and completing the Postgraduate Diploma in Clinical Psychology.

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<sup>1</sup> Managed Apprenticeships growth is not supported during the RoVE transition.

We are also looking at other priorities, including the revitalisation of te reo Māori and improving school transitions. We will release further information in detail when available.

## The COVID-19 response training priorities

The Targeted Training and Apprenticeship Fund (TTAF) supports learners to undertake vocational education and training without fees. We have also increased funding for Adult and Community Education (ACE).

### **Targeted areas at sub-degree level covered by the TTAF:**

We want to see growth of sub-degree level provision (provider-based provision at Levels 3-7 and Industry training at Levels 2-6) in<sup>2</sup>:

- primary industries, including agriculture, horticulture and viticulture, fisheries and forestry
- construction, including building, plumbing and civil engineering
- community support, including youth work, care for elderly, counselling and community health, including mental health and addiction support
- manufacturing and mechanical engineering and technology
- electrical engineering
- road transport (vehicle operations).

TTAF also applies to all apprenticeships. The growth of New Zealand Apprenticeships is supported.

### **ACE priorities:**

For TEOs who deliver ACE funded programmes the priorities for investment from 2021 are for programmes that:

- improve employability, such as courses focused on employability, or life skills such as financial literacy, and introductory ‘taster’ courses
- promote social and cultural inclusion and participation, such as courses in te reo Māori, New Zealand Sign Language, Pacific languages (especially Realm languages) and Asian languages, and courses supporting digital inclusion
- raise foundation skills through courses in literacy, numeracy and/or digital literacy, or improve health and wellbeing, such as courses in parenting, mental health and resilience, or conflict resolution/anger management.

Details of ACE funding priorities can be found [here](#).

## How the priorities impact investment decisions

We expect all TEOs to align provision with TES, and the two sets of priorities described above. We will first look for evidence of quality of provision and good learning outcomes.

Decisions on investment in growth will not be purely based on meeting the targeted growth priorities, or priority in COVID-19 response training areas. Quality will be our first consideration, including your past performance and the post-study outcomes of provision. We will also look at how provision is distributed within each region and subsector.

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<sup>2</sup> Additional target areas may be added. For information on an up-to-date [provider qualifications covered by TTAF](#) see the TEC website. Transitional ITO programmes are not listed due to numbers and this information can be accessed through the transitional ITO. Please note these target areas are determined by the TTAF funding determination and the included programmes of these target areas may differ in definition to other TEC-defined areas.

Provision outside the targeted growth priority areas or COVID-19 response training areas will still be considered for increased investment if it meets the government priorities, and there is sufficient evidence of stakeholder demand.

We will continue to look to reduce investment in poor performing provision at the TEO and/or sector aggregate level. We will contact TEOs directly when their provision falls into this category. However, as announced earlier this year in response to COVID-19, we will not base our decisions to reduce investment on poor EPI performance reported for 2020 provision in this Plan round.

Further details on these priority areas, including our goals and (where applicable) key success indicators, are in the Appendix. Our [Investment Briefs](#) (where available) also have system targets to guide your planning. These will be published by the end of February 2021.



# Part A. Plan basics

## Part A. Plan basics

All proposed Plans should have a three-year planning horizon. We will approve Plans for one, two or three years depending on a range of factors, including the quality of your Plan and our assessment of your organisational capability.

Your Plan explains your strategic intentions, the activities and programmes you will carry out, and how your performance will be measured. These are critical public accountability documents for TEOs, and by extension for TEC.

### What are the components of a Plan?

An Investment Plan has three components. This is illustrated in Figure 2 below:

**Figure 2. Three components of a Plan**

1. Strategic Intent ( <i>Investment Plan Template</i> )	<ul style="list-style-type: none"> <li>Your mission and role</li> <li>How you will address the needs of your stakeholders</li> <li>How you will contribute to achieving government priorities</li> </ul>
2. Summary of Activity ( <i>incl. Mixes of Provision</i> )	<ul style="list-style-type: none"> <li>A description of programmes and activities</li> <li>The amount of funding sought for the programmes and activities</li> </ul>
3. Performance Measures ( <i>incl. Educational Performance Indicator Commitments</i> )	<ul style="list-style-type: none"> <li>A description of your proposed outcomes</li> <li>The performance indicators you will use to measure whether those outcomes have been achieved</li> </ul>

While the requirements for the submission of these three components varies, you need to update your Mixes of Provision (MoPs) each year to have your provision confirmed for funding. This is also an opportunity to update your forecast for the following year.

### Who needs to submit which components of a Plan?

The table below provides you with an overview of who needs to submit which components of a Plan for this Plan round. Currently there are three potential Plan Status: *Plan required (Full Plan)*; *Mid-cycle* and *Plan exempt (Partial Plan)*. Requirements for TEOs new to our funding system are different. You should receive confirmation of your Plan status for 2022 in December 2020 along with your Funding Confirmation Letter for 2021 funding.

**At a glance - your Plan status and which components you need to submit for this Plan round**

Plan Component \ TEO Plan Status	Plan required (Full Plan)	Mid-cycle	Plan exempt (Partial Plan)	TEO new to TEC funding (see our <a href="#">website</a> for other requirements)
Strategic Intent	Yes	No	No	Yes
Summary of activities (MOPs)	Yes	Yes	Yes	Yes (if approved for funding)
Performance measures (EPICs)	Yes	No*	Yes	Yes (if approved for funding)

*\* You can choose to submit new EPICs before your current EPICs expire. Please talk to your Relationship Manager/Advisor for a Plan amendment, if you do. This needs to reflect a shift to higher targets, not a reduction in targets.*

Most TEOs whose current Plans expire at the end of 2021 will need to submit a Plan with all three components in 2021 to receive funding from 2022. TEOs that do **not** need to submit all three components in 2021 are:

- mid-cycle TEOs, i.e., those that already have a Plan approved for 2022
- plan-exempt TEOs, i.e., those seeking less than \$3 million in TEC funding for 2022 that have an external evaluation review (EER) rating of 1 or 2.

During the Plan round, you can make Plan amendments at any time in consultation with your Investment Manager/Advisor.

## What does your Plan need to show?

### A clear organisation-wide strategy committed to continuous improvement

If you are submitting a Plan, your **Strategic Intent, Summary of Activity, and Performance Measures** must together form a clear story about:

- your mission and role, in particular, your role within the overall network of provision and evidence of how you will give effect to Te Tiriti and the TES during the term of the Plan
- your understanding of the needs of the stakeholders you serve, and how you are addressing these
- your proposed outcomes for the coming three years, and why you've decided to seek those outcomes, given the TES, our areas of priorities and your stakeholders' needs
- what you are going to do (i.e., your activities and outputs) over the next three years to achieve those outcomes, and why those are the right things to do given your past decisions, your operating environment, government priorities, your stakeholders' needs and evidence about what works
- how you intend to show progress in achieving your strategic goals, including the indicators and measures you will use.

### Your phased plan to respond to the TES over the next three to five years

Implementing the new TES will take time. We expect your Plans to lay out a phased approach to respond to the TES objectives and priorities in this Plan round, and to carry out relevant TES actions to the best of your ability over the next three to five years.

Our engagements with you throughout 2021 will support this.

### Special requirements for tertiary education institutions (TEIs)

TEIs have the capacity and statutory obligation to make contributions of regional and national importance. This includes community engagement, knowledge-sharing activities and a focus on understanding and meeting in-demand skill and research needs. You are also required by statute to include a forecast Statement of Service Performance (SSP) annually.

Your SSP must include the EPIs that you report to us. We will publish detailed requirements for the SSP in the Gazette Notice at the end of February 2021.



## We may ask you to provide additional information

Depending on your Plan status, the amount of funding received and past performance (including course and qualification completion, progression and retention rates), you might be required to submit additional information, such as a **Learner Success Plan**. Details of these will also be included in the Gazette Notice and our [Investment Toolkit](#).

If you are required to submit a Learner Success Plan, some of the responses to TES Objectives 1-3 will be covered in the Learner Success Template. You do not need to duplicate what is covered in the Learner Success plan in the Strategic Intent component of your Plan.

We may also ask you to provide additional information about your financials. We may use this, or information we already have, to assess whether your organisation is likely to have the financial ability to deliver on its Plan.

## Our Gazette Notice and Investment Toolkit will provide further guidance

### Gazette Notice

By the end of February 2021, we will publish a Gazette Notice detailing what your Plan needs to contain (if you are Plan-required) and the criteria we will use to assess your Plan. The notice will be consistent with this Plan Guidance.

### Plan Timeline

The Gazette Notice will also include the final Plan timetable. An indicative timeline can be found on our [website](#). Changes to activities, if any, will be updated to be consistent with the Gazette Notice.

It is important to meet the Plan submission deadlines. Any delays in submitting your Plan, including MoP and EPIC templates and additional funding requests, may lead to delayed funding decisions. If you find it difficult to meet the deadline, please discuss this with your Relationship Manager/Advisor as early as possible.

### Investment Toolkit

We will publish the templates for each Plan component, including the Learner Success template, in the [Investment Toolkit](#) by the end of February 2021.

The Investment Briefs in the Toolkit reflect our continued focus on improving participation and achievement for specific learner groups, including Māori and Pacific learners. Some of these represent our industry priorities and specified targets to support these sectors, including priority shifts we want to achieve at a system level to help lift learner achievement. These system targets may not translate directly into targets for your organisation, but you should use them to set realistic targets and commitments of your own. It is important that our funding supports provision that can best achieve learner success and we are all doing what we can toward this goal.

The Toolkit should also be used as a guide when considering applying for additional funding as our decisions are heavily linked to the information within the Investment Toolkit.



# Part B. Plan assessment

## Part B. Plan assessment

This section describes the main things we'll be looking for when we assess your Plan.

We invest public funding in a TEO based on our assessment of how effectively its Plan will contribute to meeting stakeholder needs and government priorities. These stakeholders include, but are not limited to, learners, communities, iwi, employers and industries.

We want to support you to make informed decisions based on a good understanding of our goals for the system, performance expectations and investment intentions.

We will also use information and products in our [Investment Toolkit](#) in the assessment of your Plan.

### 1. Strategic Intent

This section describes what we will look for in the Strategic Intent component of the Plan for investment in 2022.

#### 1.1 Your mission and role

##### *A clear description of your mission and role*

To enable us to fund diverse and coherent provision, your Plan should be clear about your mission and role within the tertiary education system.

We want to understand your proposed contribution to the system, whether that's about:

- the learners or industries you target
- your mix of New Zealand Qualification Framework (NZQF) levels
- your discipline specialisation
- your regional engagements
- your modes of provision
- your research intensity and specialisation, or
- your international focus.

Be as specific and clear as possible.

We will look for evidence that your mission and role has shaped your proposed activities and how you plan to build and maintain your organisation's capability – including for TEIs, any capital intentions.

##### *Evidence of strong governance, management and academic leadership capability*

Well-informed and engaged governing bodies are essential for sustainable educational success – for you as a TEO, your learners and the communities you serve.

In your Plan, we will look for evidence of the capability and diversity of your governing body and senior leadership. We expect the annual work plan of the governing body provides sufficient opportunities for effective strategic planning and target setting, and that performance against

those targets is regularly monitored. Your Plan should also show how your governing body and leadership demonstrate their commitment to Te Tiriti.

### ***Evidence that you're well-placed to respond to regional, national and global trends***

You and your stakeholders operate in a dynamic environment driven by regional, national and global trends. This includes a changing labour market, which has been destabilised by the impact of COVID-19 and a shifting demand from industries, employers and learners.

When we assess your Plan, we'll be looking for evidence that you are flexible, innovative and in touch with your stakeholders' needs, and that you are planning for the future.

It is particularly important that you are equipped to support the underserved learners, who are most impacted by COVID-19.

Where applicable, we will also look at how you plan to work with WDCs and RSLGs and how you intend to use their input, when available, to inform your Plans.

If you are a TEI, we will look for evidence in your Plan that you are focusing on understanding and meeting in-demand skills and research needs, for example:

- to support regional economic development
  - a) in the high-growth sectors of the economy such as construction, ICT, engineering, and high-tech manufacturing
  - b) in the 'backbone' sectors of the economy, including food and fibre
- to promote growth in exports
- to meet future workforce needs in sectors facing significant change, such as health and initial teacher training.

### ***Evidence that you continue to improve your performance***

To get a clear picture of your contribution to the community, region and the network of provision, we will look for commentary in your Plan about:

- › your performance against the commitments you made in your previous Plan (if you had one) to show continuous improvement (acknowledging the impact of COVID-19)
- › changes in provision you have undertaken or plan to implement, and how these will improve your performance
- › the findings of any quality assurance reviews and your response to those findings.

You should also let us know about any changes to your organisation that could have a significant impact on your future performance.

## **1.2 How you will address the needs of your stakeholders**

We will look for evidence in your Plan that you know who your stakeholders are, what they need and expect of you, and how you're going to respond.

We expect a focus on regional and industry stakeholders. The introduction of WDCs and RSLGs provide opportunities to access information about labour market and industry-specific needs. We want to see evidence that you are starting to engage with these groups and will take their guidance into account when available.

We will look for evidence that your assessment of stakeholders' needs has shaped your proposed activities – including, for TEIs, your capital intentions.

### **1.3 How you will contribute to achieving government priorities**

The Education and Training Act 2020 also requires that TEOs' Plans explain how they will contribute to achieving the Government's priorities.

The new TES sets out the Government's current and medium-term priorities, and long-term strategic direction for tertiary education. It continues the emphasis on creating education environments that are learner-centred, where more of our learners, especially our most underserved learners, can succeed. In addition to setting the high-level objectives and priorities for the tertiary system, this TES includes an action plan for TEOs to guide your implementation.

We expect your Plan to articulate how your organisation will respond to the TES objectives and priorities broadly, and how you will progressively undertake relevant actions in the over the next few years. We expect your planned provision and performance commitments, as well as your additional funding requests, to align with the TES objectives and priorities.

## **2. Summary of activities**

This section includes the Mixes of Provision (MoPs).

In assessing your programmes and activities, we will compare your Plan with our data, priorities, and industry and regional demands, to determine if your Plan will give us confidence that:

- you will be able to successfully deliver your proposed programmes and activities (including any MoP and a capital asset plan where applicable) given past delivery levels
- your programmes and activities will support the goals set out in your Strategic Intent
- you have provided accurate information to us in your Plan about all of your planned programmes and activities, including those undertaken through a subsidiary and any sub-contracting arrangements
- your proposed programmes and activities are consistent with regional and national tertiary education needs.

We expect the changes you make to your programmes and activities align with our priorities. We encourage you to discuss these with your Relationship Manager/Advisor.

## **3. Performance measures**

This section includes the Educational Performance Indicator Commitments (EPICs).

For many TEOs, EPICs form a substantial part of the performance measures component of your Plan. EPICs should be achievable and reflect your consideration of the cohorts and programme represented. Your Plan may contain more detailed commentary about performance commitments. Where these are proposed in your Plan please ensure they are:

- relevant, achievable and complete
- a meaningful improvement on your past performance (with reference to the minimum commitments, where applicable) that show a journey of continuous improvement, particularly with respect to outcomes for priority learner groups.



# Appendix

# Appendix

## Our priorities for investment 2022-2024 – goals and key success indicators

An important consideration for our investment decisions is evidence that you are responding to the new TES and the priorities areas identified in this section.

We apply two sets of priorities when making our investment decisions. We will look at:

1. areas all TEOs need to focus on in your planning; and
2. areas of provision where we want to promote growth

These help us to decide who, and what provision, we will invest in to ensure that we have a healthy system to give effect to the TES, to respond to the needs of learners, communities, industries and regions, and to contribute to the social and economic prosperity of New Zealand.

### Areas all TEOs need to focus on in your planning

	Our goals	Key success indicators (for your Plan)
<b>Equity</b>	<p><i>Māori and Pacific learners</i></p> <ul style="list-style-type: none"> <li>• Parity of participation for Māori and Pacific learners<sup>3</sup></li> <li>• Parity of achievement for Māori and Pacific learners<sup>4</sup></li> <li>• Patterns of participation for Māori and Pacific learners that will lead to better outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• Performance measures which contribute to eliminating the parity gaps for Māori and Pacific learners</li> <li>• Initiatives undertaken and planned, to improve parity, are outlined</li> <li>• Organisation-wide commitment to improve participation and achievement rates for Māori and Pacific learners demonstrated</li> </ul>
	<p><i>Learners that are disabled, neurodiverse or experience long-term mental health challenges</i></p> <ul style="list-style-type: none"> <li>• Increased participation of learners that are disabled, neurodiverse or experience long-term mental health challenges (as a proportion of all learners)</li> <li>• Increased achievement rates for learners that are disabled, neurodiverse or experience long-term mental health challenges</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis of current levels of participation and achievement evidenced</li> <li>• Initiatives planned and undertaken to improve parity outlined</li> <li>• Organisation-wide commitment to improve participation and achievement rates demonstrated</li> </ul>

<sup>3</sup> compared to general population or regional catchment for PTEs/ITPs (at the time the targets were set)

<sup>4</sup> compared to 15- to 39-year-old non-Māori, non-Pacific learners rates in 2016

		Our goals	Key success indicators (for your Plan)
<b>Skills and Employability</b>	<i>Provision with good post-study outcomes</i>	<ul style="list-style-type: none"> <li>TEOs use post-study outcomes data to inform decisions about the provision offered</li> <li>Better outcomes for learners</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of outcomes from the provision evidenced</li> <li>Provision is grown in areas with better outcomes</li> <li>Provision is reduced in areas with poorer outcomes</li> </ul>
	<i>Provision that responds to employer/industry needs</i>	<ul style="list-style-type: none"> <li>Employers'/industry's tertiary education needs are sufficiently met by TEOs</li> </ul>	<ul style="list-style-type: none"> <li>Provision with high relevance to employers/industry grows</li> <li>Provision with lower relevance to employers/industry is reduced</li> <li>Engagement with Workforce Development Councils (WDC) as they are formed is evidenced</li> </ul>
	<i>Provision that responds to specific regional needs and aspirations</i>	<ul style="list-style-type: none"> <li>Region's tertiary education needs are met by TEOs</li> </ul>	<ul style="list-style-type: none"> <li>Provision with high relevance to regional needs grows</li> <li>Provision with lower relevance to regional need is reduced</li> <li>Where relevant, engagement with Regional Skills Leadership Groups (RSLGs) as they are formed is evidenced.</li> </ul>
<b>System Responsiveness</b>	<i>Programmes that are innovative and flexible</i>	<ul style="list-style-type: none"> <li>Flexible, innovative and efficient delivery models that respond to the needs of learners, employers, industry and community.</li> </ul>	<ul style="list-style-type: none"> <li>Analysis of stakeholder needs is evidenced</li> <li>Shorter learning packages and micro-credentials (where relevant) are promoted</li> </ul>

## Areas of provision where we want to promote growth

A number of target areas have been identified for growth, or are expected to grow during the period following COVID-19. These areas are prioritised for increased investment and will be considered first for additional funding before we look at growing other areas of provision.



### Target Growth Priorities

These targeted priorities have been identified to respond to industry needs or specific gaps in provision.

	Our goals	Key success indicators (for your Plan)
<i>Construction</i>	<ul style="list-style-type: none"> <li>• More learners completing and moving into the industry</li> <li>• A more diverse workforce</li> <li>• Greater parity for apprenticeship completions</li> </ul> <p><i>(See the Construction Investment Brief in the <a href="#">Investment Toolkit</a> for additional information. This will be updated in February 2021)</i></p>	<ul style="list-style-type: none"> <li>• Increased completions in apprenticeships<sup>5</sup></li> <li>• Progress towards eliminating parity gap for apprenticeship completions</li> <li>• Increased numbers of women entering construction-related trade programmes</li> </ul>
<i>Level 4+ Food and Fibre (Primary Industries)</i>	<ul style="list-style-type: none"> <li>• More learners studying in key areas</li> <li>• Learners are informed about the career opportunities in the food and fibre sector</li> </ul> <p><i>(See the Food and Fibre sector Investment Brief in the <a href="#">Investment Toolkit</a> for additional information. This will be updated in February 2021.)</i></p>	<p>Increased learner numbers in:</p> <ul style="list-style-type: none"> <li>• Level 4 New Zealand Apprenticeships<sup>5</sup> and related pathways</li> <li>• Levels 5-6 provision related to management capability in the food and fibre sector</li> <li>• Food and fibre sector-specific degree programmes</li> <li>• Food and fibre sector-specific Levels 8-10 programmes</li> </ul>
<i>Level 7 (degree)+ Science, Technology, Engineering, and Maths (STEM) &amp; Information Technology innovation skills (including pathway programmes to lead to studies in these areas)</i>	<ul style="list-style-type: none"> <li>• More graduates with skills for the knowledge and innovation economy</li> <li>• An increase in the number of graduates in degree-level engineering programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Increases in this provision at Level 7 degree and above in relevant fields</li> <li>• Increases in provision in the Priority Engineering course classification</li> </ul>
<i>Levels 4 and 5 Homebased Early Childhood Education (ECE)</i>	<p>More learners obtaining Level 4 ECE qualifications, and Te Ara Tuarua, Level 5 kōhanga reo qualifications.</p> <p><i>(Government is moving towards all home-based educators holding at</i></p>	<p>Increased enrolments and completion for the specified Homebased ECE qualifications</p>

<sup>5</sup> While we are looking for growth in the number of New Zealand Apprenticeships, we do not want to see growth in Managed Apprenticeships during the RoVE transition period. We do want to see increased completion rates across all apprenticeships.

Our goals		Key success indicators (for your Plan)
	<i>least a Level 4 ECE qualification, or Te Ara Tuarua, the Level 5 kōhanga reo qualification).</i>	
<i>Level 7 Secondary Initial Teacher Education (ITE) provision</i>	<p>More learners studying at Level 7 in Secondary Initial Teacher Education (ITE)</p> <p><i>(See the ITE Investment Brief in the <a href="#">Investment Toolkit</a> for additional information. This will be updated in February 2021.)</i></p>	<ul style="list-style-type: none"> <li>• Growth in the number of learners enrolling in and completing Secondary ITE programmes to meet the national target of 1725 EFTs by 2022</li> <li>• Credible initiatives to achieve the targeted Secondary ITE are outlined</li> </ul>
<i>Postgraduate Clinical Psychology</i>	More learners completing the Postgraduate Diploma in Clinical Psychology to help meet the needs of the mental health system.	Increased enrolments and completions in the Postgraduate Diploma in Clinical Psychology

### The COVID-19 response training priorities

COVID-19 responses	Our goals
<i>Target areas for the Targeted Training and Apprenticeship Fund (TTAF)</i>	<p>Growth at sub-degree level provision (provider-based provision at Levels 3-7 and Industry training at Levels 2-7) in<sup>6</sup>:</p> <ul style="list-style-type: none"> <li>• Primary industries, including agriculture, horticulture and viticulture, fisheries and forestry</li> <li>• Construction, including building, plumbing and civil engineering</li> <li>• Community support, including youth work, care for elderly, counselling, and community health including mental health and addiction support</li> <li>• Manufacturing and mechanical engineering and technology</li> <li>• Electrical engineering</li> <li>• Road transport (vehicle operations)</li> </ul> <p>TTAF also applies to <u>all</u> apprenticeships. The growth of New Zealand Apprenticeships is supported.<sup>7</sup></p>

<sup>6</sup> Additional target areas may be added. For information on up-to-date [provider qualifications covered by TTAF](#) see the TEC website. Transitional ITO programmes are not listed due to numbers and this information can be accessed through the transitional ITO. Please note these target areas are determined by the TTAF funding determination and the included programmes of these target areas may differ in definition to other TEC defined areas e.g. the targeted priorities.

<sup>7</sup> While we are looking for growth in the number of New Zealand Apprenticeships, we do not want to see growth in Managed Apprenticeships during the RoVE transition period. We do want to see increased completion rates across all apprenticeships.

COVID-19 responses	Our goals
<p><i>Adult and Community Education (ACE) priority areas</i></p>	<p>For TEOs who deliver under ACE funding the priorities for investment from 2021 are for programmes that:</p> <ul style="list-style-type: none"> <li>• improve employability, such as courses focused on employability, or life skills such as financial literacy, and introductory ‘taster’ courses</li> <li>• promote social and cultural inclusion and participation, including but not limited to, courses in languages including te reo Māori, New Zealand Sign Language, Pacific languages (especially Realm languages) and Asian languages, and courses supporting digital inclusion</li> <li>• raise foundation skills through courses in literacy, numeracy and/or digital literacy</li> <li>• improve health and wellbeing, such as courses in parenting, mental health and resilience, or conflict resolution/anger management</li> </ul> <p>Details of ACE funding priorities can be found <a href="#">here</a>.</p>