Philippines
Leadership for Internationalisation

Strategic Planning and its Implementation

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Agenda

- Context
- The key purposes of Strategic Planning
- Conceptualisation of the process
- Possible structure of the Strategic Plan
- Internationalisation Strategy
- Implementation
- Concluding comments
- Ideas for good practice
- UK strategy

Context

- Philippines national plan
  - inclusive and sustained growth
  - generate mass employment,
  - reduces poverty.
- ASEAN Integration
  - Enabling the Philippines to gain ground
- Building confidence in the relationship with CHED
- Building confidence with stakeholders
- Defining optimum needs for international engagement

The key purposes and elements of Strategic Planning

Why is Strategic Planning and Management important for universities?

- To provide direction for universities within the terms of CHED guidance.
- To enable universities to identify local and regional priorities and implement strategic plans.
- To ensure that public funds are used for the purposes for which they were intended.
- To give confidence to the Ministry and other stakeholders that universities are able to deliver well and are deserving of more support.

Definition: Strategic Planning

"Planning is the continuous and collective exercise of foresight in the integrated process of informed decisions affecting the future"

Lockwood

Or, put another way:

What are we doing now?

What do we want to do in the future?

What is the gap between the two and how do we fill it?

Additional purposes/benefits of strategic planning

- Generating ideas and choices
- Reviewing and setting the values of the HEI
- Communicating the vision, mission and strategy and achieving buy-in
- Instilling the discipline of Strategic Planning
- Re-enforcing the development of an evaluative, reflective (learning) culture
- Connecting with CHED initiatives
- Vertical alignment within universities
- Overcoming inertia in universities

Who should be engaged in Strategic Planning?

- Leadership from the top but with:
- Committed engagement throughout the organisation
  - Rector,
  - Vice-Rectors,
  - Deans,
  - Heads of Administrative Functions etc.
- Engagement with Ministry (or Ministries) and National Strategies
- Engagement with Stakeholders
- Others?

Issues

- Balance of 'top down' and 'bottom up' and how they come together
- Who sits on the 'core group'
- What other groups are needed
- Role of the Dean (extent of engagement)
- Who provides data and quality thereof
- Engagement of stakeholders

Conceptualisation of the Strategic Planning Process

INTERNAL FACTORS

Traditions of University

Self-image

Existing Mission

Strengths & Weaknesses:
- academic programmes and research
- finance
- personnel

Effectiveness of Leadership Operations
- processes
- leadership at various levels
- structures at various levels for various purposes

TOWARDS INSTITUTIONAL STRATEGY

STRATEGIC PLAN

External Perceptions of Mission
+ Operations by stakeholders/clients
Expectations

Nature of Competitive Market
Strengths & Weaknesses of Competitors
Scope for Market niches

Trends + Opportunities + Threats in Market place for HE
- clients
- other providers (public and private HEI)
- alliances

EXTERNAL FACTORS

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BRITISH COUNCIL

Processes

- **Planning**
  - Researching and analysing strategy and plans (National and Institutional)
  - Generating ideas and choices
  - Evaluating risks
- **Documenting**
  - Mission/vision statements
  - Strategic Plan
  - Integrated strategies
  - Finance and resources Plan
  - Operating statements and action plan

Processes (continued)

- **Adopting**
  - Compliance with formal processes
- **Implementation**
  - Assigning responsibility
  - Objective setting
  - Organisational structure
  - Management of change
- **Monitoring**
  - Assigning responsibility
- **Review and Revision**
  - Updating the plan

Possible structure of the Strategic Plan

A possible plan format 1

- **Context**
  - External environment and implications for HEI/School
  - Mission/Vision/Values/Strategic aims
- **Academic Activities**
  - Subject range/level/size
  - Teaching and Learning Strategy
  - Research Strategy/Scholarship Strategy
  - Outreach Strategy
  - Knowledge Transfer

A possible plan format 2

- **Support Activities**
  - Learning resources
  - IT strategy
  - Student support strategy (pastoral/careers etc)
  - Quality Assurance
  - Marketing strategy
  - Finance strategy (inc investment strategy)
  - Human resources strategy (inc staff development strategy/ investment strategy)
  - Estates strategy

A possible plan format 3

- Regionalisation strategy
- **Internationalisation strategy**
- Equality and Diversity strategy
- Partnerships strategy

Leadership and Management Activities

- Organisational reform
- Responsibility and Accountability (possibly in an Annex)
- Monitoring and review process and timetable

Adapted from Davies 'Strategic Planning in Irish Universities'

Some examples from UK universities

- The following universities include on their websites information which may be of interest to universities in the Philippines for the purpose of strategic planning.

- Very few of them include, in full, the strategic plans

Examples 1

Nottingham

http://www.nottingham.ac.uk/about/strategy/index.aspx

Birmingham

http://www.birmingham.ac.uk/strategic-framework/index.aspx

Edinburgh Strategic vision 2025

http://www.docs.sasg.ed.ac.uk/gasp/strategicplanning/Strategic-Vision_web2.pdf

Imperial College, London http://www.imperial.ac.uk/strategy/

Examples 2

Keele: (Summary document)

http://www.keele.ac.uk/aboutus/strategicplan/

Keele: (Full document)

http://www.keele.ac.uk/aboutus/strategicplan/Keele%20University%20Strategic%20Plan%202015-2020.pdf

Kings College London

http://www.kcl.ac.uk/aboutkings/strategy/PDFs--Resources/2006-16StrategicPlan.pdf

University of Leicester

https://le.ac.uk/about-us/university-of-leicester-strategic-plan

Elements of International/ Internationalisation* Strategies

*Different, but overlap in practice

Elements of an Internationalisation Strategy

- Principles

- Purpose

- Challenges

- Aims and Objectives

- Key Performance Indicators

- Implementation and

- Review

- www.nottingham.ac.uk

Other elements of an Internationalisation Strategy 1

- Mission and vision

- Partnerships – why, where, criteria and how?

- Academic Profile – double/dual degrees, credits, admissions, curriculum, QA

- Research- Joint Research Institutes, Joint PhDs, shared supervision, joint funding bids, citations, staff development

- 3rd World/societal/environmental engagements

- Knowledge Exchange – with stakeholders

Other elements of an Internationalisation Strategy 2

- Organisational constraints/structures Deputy President/ Deans' role/ International office

- Intellectual Property issues

- HR Issues Incoming professors (T&C)/staff working o/s/ staff incentives/staff development

- Finance – financial v other benefits

- Marketing

- QA – academic/HR/Agents

- Risk management

International partnerships

A key feature of most Internationalisation strategies

Three levels of partnership:

- Level One. **Strategic partners**
  - (deep and wide), centrally funded.
- Level Two. **Faculty level partners**
  - faculty funded.
- Level Three. **Individual partnerships**
  - one to one T or R links.

Movement between levels: gradual evolution?

- Personal link (Prof X with Prof Y)
- PG students visit each other in same department
- More staff in that department find common R interests.
- The faculty adopts the partner faculty and decides to franchise some courses
- UG students move in a 3+1 or 2+2 programme
- The two universities form a strategic partnership and other faculties get involved.
- Joint and dual degrees are developed.
- Major joint research projects become possible.

Internationalisation: other approaches to strategic options 1

Outside institutions:

- Targeted – particular countries, institutions, regions
- Scattergun/opportunistic – wide range of countries, sharing risk
- Niche – focus on a particular market(s)
- Mutual benefit – co-operation and collaboration

- RMM

Internationalisation: other approaches to strategic options 2

Within institutions:

- Separated – limited integration between international activities *OR*

- Holistic – integration into all aspects of an institution's activities

- Cultural – internationalising the campus

- Building specialist knowledge at different levels

   – RMM

Summary of key issues for HEIs in international operations or collaborations

- Clarity of purpose of association or operation
  - Financial
  - Research
  - Others
- Due diligence
- Local Sponsorship
- Sustainability
- Quality Assurance

- Nature of partnership
  - Legal
  - Control issues
- Protection of reputation
- Profit or not for profit
- Cultural factors
- How to achieve maximum engagement and value across whole of the UK HEI

Implementation

Elements

- Structuring of institution for achievement
- Creation of Planning/Monitoring Committee
- Designation of staff to be responsible for implementation
- Creation of a planning/data/support office
- Division of plan into units/chapters
- Engagement of those who can make it happen
  - Internal and External stakeholders
- Setting time periods for achievement
- Setting SMART objectives
- Communication of plan and reporting back
- Review cycle

Structure following/facilitating strategy

- Plan should relate to current structure of university
- Or, if not, university/schools/departments should be re-structured to facilitate delivery of the plan

Chandler Strategy and structure

Leadership of the implementation

- Core Central group
  - Dean/Rector to chair
- Extended central group
- Support unit
- Departmental groups
- Academic and Administrative
  - Departmental head/dean
  - Section Heads

Planning Support Unit

- Role – to facilitate the process
  - To set clear procedures and timescales
  - To supply data
  - To prepare reports
  - Work *with* academic and administrative units
- Location – reports to President/Dean or Vice-President's office - Services central planning group
- Must link well throughout the organisation and enjoy confidence
- Integrity and transparency
- Good link to budget process

Structure facilitating strategy

- For each major section of the strategy a senior member of staff should be given designated responsibility for the achievement of each section of the plan

- This could be
    - School-wide
    - Departmental
    - Cross school themes
    - Administrative

- That person should have been
    - involved in agreeing the targets
    - Supported with performance data
    - Involved in reviewing performance

Subsidiary Plans

- Faculty Plans

- Administrative Plans

- Planning Cycle

- Risk Management
    -Ideally linked to strategic planning process

- Detailed Planning Manual
    – Either Centrally (Ministry) determined
    – Institutionally produced

Risk Management

- Strategic device from commercial origins
- 'A way of thinking' - aids focus , decision-making, communications and governance
- Helps provide confidence and avoids shocks
- Different levels of risk: corporate, departmental etc.
- Different types of risks: Strategic, reputational, financial, legal, health and safety, operational, major projects etc.
- Score risks: incidence and impact
- Link with strategic planning process
- Helps build effective governance

Risk Register (Extract)

Strategic Aim	Risk	Impact	Likeli-hood	Risk Score	Mitigating Action	Risk owner/ Risk managers
Research sustainability	Reduction in Funding from State	3	3	9	Revise strategy/ make key appointments	President/ Director of Research
Sustainability/Reputation	Serious Fraud or loss	3	1	3	Fraud prevention policy/due diligence in staff appointments	Director of Finance/ Director of Human Resources

Link with Resource Plans

To ensure plans are achievable:

- Detailed annual budget –set in line with the plan
  - Institution
  - Departments
- Detailed HR plans
- Detailed space and facilities plans

- Longer term financial and resources plans
- With sensitivity and risk considerations and contingencies

Capacity for
Change Management

- Is the university/department ready and willing for change?

- Does it know how to change?

- Do its leaders know how to bring about change?

- Possible need for leadership development

- Change management training

- Review of communications and communications strategy.

- Dealing with personal anxiety

- Using change positively

Division of the plan into periods

CHAPTER	YEAR 1	YEAR 2	YEAR 3	YEAR 4
I	X X	X	X	
II	X X X			
III	X X	X X		X
IV				

CRITICAL YEAR: ESTABLISH BUILDING BLOCKS e.g.
- DIAGNOSTIC EVALUATIONS PRIOR TO ACTION
- SET UP INFRASTRUCTURES, PROCESSES KEY ROLES
- OBJECTIVE MEASURES: SET UP KPI
- POLITICAL IMPERATIVES (INSTITUTIONAL/EXTERNAL)
- OBTAIN APPROVALS
- OTHER PRECONDITIONS

ETC

Importance of first year of implementation

- Vital!

- To set the expectation

- Change the culture

- Ensure the procedures are in place

- Build confidence in them

- Open, reliable and honest reporting of performance

- Analysis and reform rather than blame

- Deliver 'quick wins'

Allocating Responsibility

CHAPTER OF THE STRATEGIC PLAN:

ACTION PRIORITY	STEPS TO BE TAKEN	PERSON RESPONSIBLE	TIME FRAME	EVALUATOR	COST (If Relevant)
1.	1.1	ETC			
	1.2				
	1.3				
2.	2.1				
	2.2				

Capacity for action and need for impact

In deciding what to implement and preparing action allocation and timescale documents:

- The art of the possible
  - Preferences of leaders/stakeholders etc
- Quick wins – to demonstrate action and give confidence
- Identify leaders and potential leaders who are motivated to act.
  - Use 'trust' to win support for action
- Link action and leadership development
- Others?

SMART Objectives

- **Specific** – target a specific area for improvement.
- **Measurable** – quantify or at least suggest an indicator of progress.
- **Assignable** – specify who will do it.
- **Realistic** – state what results can realistically be achieved, given available resources.
- **Time-related** – specify when the result(s) can be achieved.

Data

- Must be reliable (valid, accurate and timely)
  - Staff must have confidence in it – suggest consultation
- Cost/Benefit
- Frequency
- Detail
- Collect and process only once
- Shared with other operational purposes (E.g. budget)
- Clearly defined reports – fit for purpose
- Bespoke reports for Stakeholders/Governing body etc
- Summary data for committees
- Clarity and effective communication (words and visuals)

Communications

One plan – but different audiences

Hence communications - various and fit for purpose

- Executive
- Implementation committees
- Governing body/Trustees
- Individual faculties/departments
- Staff
- Students
- Stakeholders (including ministries)
- Community generally

Plan review and revision

- Frequency
  - Annual – minor (budgets, staffing etc)
  - Every 3 – 5 years (more fundamental)
- Who should lead?
- Who should be involved?
- Link with implementation process?

Linking corporate and personal performance

- HR Policies
  - Payment
    - Salary increases
    - Bonuses
    - Other incentives
  - Promotion policies

Summary

- Freedom to plan depends on autonomy – ability to do so could give confidence to the Ministry and stakeholders
- Planning is seen as an essential tool for the achievement of strategy
- Needs to be systematic and embedded
- Needs good data
- Needs realistic timescales
- Needs to accommodate changes
- Must lead to action
- Needs effective implementation and
- regular and challenging monitoring of implementation

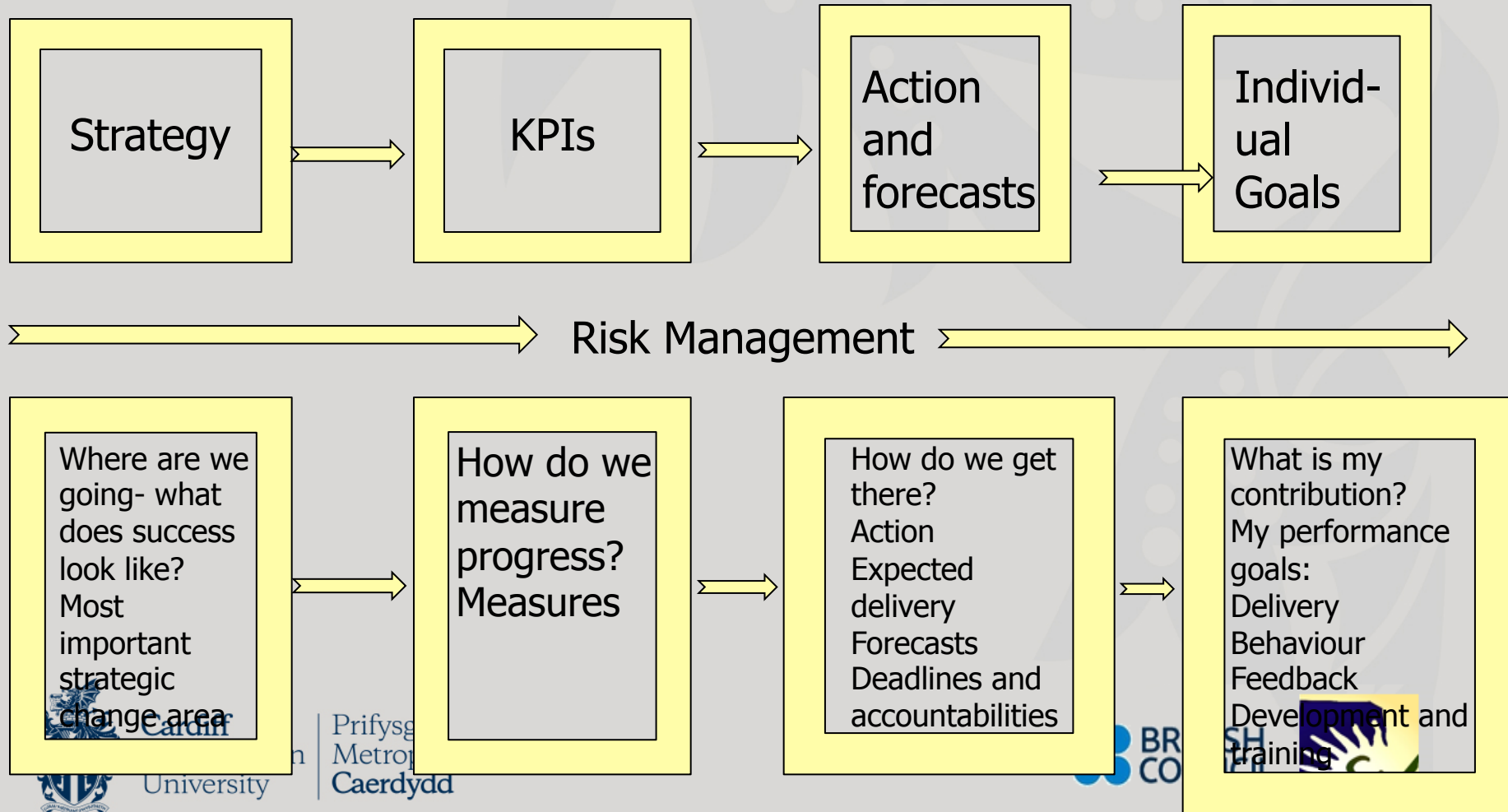Is the plan real or just a paper exercise?

Translating the strategy through the university: How Plymouth University does it

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Strategy  →  KPIs  →  Action and forecasts  →  Individ-ual Goals
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→ Risk Management →

| Where are we going- what does success look like? Most important strategic change area | → | How do we measure progress? Measures | → | How do we get there? Action Expected delivery Forecasts Deadlines and accountabilities | → | What is my contribution? My performance goals: Delivery Behaviour Feedback Development and training |

Institutional Task

What do you expect to be the biggest challenges in developing and implementing your strategic plans?
How could you involve internal and external stakeholders?
What advice and experience can you share?

Discuss in groups
Take notes for feeding back

Concluding Thoughts

Concluding Thoughts

- Strategic planning forces systematic analysis of the organisation and its environment and generates a sense of 'stretch' by setting future direction and goals.
- Considerable variety of process possible.
- Cultural fit is important.
- Trust and confidence and commitment of key stakeholders is key.
- Merit in different cultures looking at Strategic Planning in others and considering what works well in the planning process, considering reforms to their own processes where they fit with the home culture and the direction of travel and where key players are comfortable with them.
- A part of the journey of internationalising Higher Education

Some evaluation questions for consideration

- How clear are the vision, mission, values and objectives of your universities?

- How widely are they understood in your community and within your schools/universities?

- Do they show that autonomy is being exercised with responsibility?

- What more could the President/Governing body do to align the activities of staff with the achievement of objectives?

- How might Presidents/Governing bodies better monitor the extent to which they are achieving their objectives?

- How frequently should the strategic plan be reviewed?

- Who should be involved in the process?

Some ideas for good practice

1.   The Internationalisation strategy is fully integrated with all other strategies.

2.   One member of the SMT is responsible for the strategy and has one senior manager in support.

3.   Faculties/schools develop their own strategies.

4.   A central Committee chaired by the SMT member oversees the strategy.

JF

Good Practice (continued)

5.   Country Groups co-ordinate activities.

6.   There is a clear policy on university strategic partnerships and the criteria for agreeing them.

7.   Selected partnerships receive funding and are managed.

8.   There is an Internationalisation budget.

9.   Academic staff know about and are committed to the strategy.

10.   The overseas offices provide an all-round service for academic staff and graduate students.

JF

Bone Report

Secretary of State for Innovation, Universities and Skills called for 15-20 year view on 'attracting international students against increasing competition… and other opportunities offered by globalisation as well as understanding better the degree of risk involved in continuing to rely on large and growing numbers of international students.'

(Letter from John Denham to Sir Drummond Bone 13 March 2008)

Bone Recommendations 1

- Universities should focus their international efforts on a long term programme of internationalisation. Requires total commitment.

- Strategies should contain a balance of student recruitment, partnership development, research and capacity building.

- Overseas markets are becoming increasingly volatile. New competitors. (Current global recession after 13 years of growth.)

- UK HEIs vulnerable because of over emphasis on income generation from overseas students, lack of investment in facilities and student support cf competitors

Bone Recommendations 2

- Collaborative long-term relationships are the future: properly funded and networked.

- TNE and on-line learning will grow.

- Private sector links to overseas markets have potential for educational opportunities.

- Growth in international research and collaboration (CERN) RCUK overseas.

- HEIs' current organisation of international opportunities is not fit for the future: designated SMT responsibility for international strategy; greater governance interest.

- Joined up approach: Alumni, careers advice etc

Questions and discussion

Good Practice in Strategic Planning for Academic Units in Irish Universities
Alignment of state and universities
http://www.qqi.ie
Strategic Planning guidance and templates
http://www.qqi.ie//Pages/Good-Practice-Guide---In-Strategic-Planning-For-Academic-Units-in-Irish-Universities.aspx
Appendix 2 has useful list