Planning and Reporting Framework - Procedures

1. Purpose of procedures

1.1 These procedures outline the requirements for University planning including development, approval, implementation, monitoring and review of University plans.

1.2 These procedures must be read in conjunction with the linked Planning and Reporting – Governing Policy.

2. Scope and application

2.1 The Planning and Reporting framework is implemented through the annual planning process and applies to all staff, students and members of University decision-making or advisory bodies.

3. Definitions

Refer to the University's Glossary of Terms for definitions as they specifically relate to policy documents.

Consultation process means the provision of opportunity to contribute ideas and suggestions.

Minor amendment includes changes to correct omissions or inaccuracies, enhance clarity or initial intent, and does not change the substance of a planning document. These can be approved under delegation but should be reported to the next scheduled meeting of the approving body.

Major amendment includes amendments to the substance of a planning document such as strategic direction or goals, performance indicators, performance targets and timelines.

Monitoring means systematic review of the implementation of a University plan.

University Plan means a plan that is the University's Strategic Plan, or the University's Annual Operational Plan, or a plan for the operation of one or more organisational units (Department or School Action Plan – which may also include campuses, research centres and institutes as determined by the relevant member of the University's Executive) or a performance and development plan for an individual staff member prepared as part of Performance Planning and Review.

4. Planning process

4.1 The planning process is an annual cycle of events that are undertaken to:

(a) update University-level plans;

(b) translate those high-level plans into operational and action plans: and

(c) review, evaluate and report on the outcomes of those plans.

4.2 Responsibility for the steps in the process lies with Responsible Officers of the University.

4.3 The process is designed to ensure that the University's plans, and associated strategies and targets are regularly updated and Responsible Officers account for performance against those plans, it is recognised that the steps and associated plans described in the process can be varied with the specific authorisation of senior officers of the University in response to changing circumstances and requirements, such as emerging opportunities and threats and changes in statutory requirements. However, the underlying principle is that the University must develop plans and associated strategies to deliver the objectives articulated in those plans and ultimately account for its performance against targets specified in the plans on a regular basis.

4.4 These principles are illustrated in the Planning and Reporting Model diagram included in the Planning and Reporting – Governing Policy.

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4.5 The University Strategic Plan outlines the objectives for the next four years. It is regularly monitored and undergoes a major review before conclusion of the plan's lifespan with a new plan then developed for public release at the end of the cycle.

4.6 The University's Annual Operational Plan and Budget follow an annual cycle and are updated and renewed each year for the next calendar year. Status and outcome reports are prepared quarterly to monitor implementation as follows:

(a) April Reforecast – 31 March Status Report;

(b) August Reforecast – 30 June Status Report;

(c) October planning meeting – 30 September Status Report (as part of planning process for following year); and

(d) Year-End – 31 December Status Report.

4.7 Department or School Action Plans and Budgets also follow an annual cycle and are updated and renewed each year for the next calendar year.

5. Strategic Plan

5.1 The University Council sets the strategic direction for the University. The Vice-Chancellor and President (VCP) is responsible to Council for initiating development, implementation, monitoring and review of the Strategic Plan and is accountable to Council for achievement of the Strategic Plan.

5.2 The Strategic Plan:

(a) is developed through a consultative process led by the VCP with the active participation of University Executive and Council and involve other key University bodies, relevant external stakeholders (as determined by the VCP), staff and students;

(b) identifies key goals and strategies for pursuit of the University's vision over a specific period;

(c) identifies through those goals and strategies the priorities for planning at all lower tiers;

(d) includes statements of values, context and other matters that underpin or contribute to the Strategic Plan; and

(e) must be developed in the context of anticipated resources and used to inform University budgeting.

5.3 Following approval of the Strategic Plan, the VCP must communicate the Strategic Plan across the University.

5.4 Review and monitoring of the Strategic Plan

5.4.1 The VCP must ensure that reports are presented to Council on a regular basis throughout the year so that they can monitor the University's performance against the Strategic Plan. In addition, the University's Annual Report must also include a report on performance against the Strategic Plan.

5.4.2 The performance measures contained in the Strategic Plan are monitored through:

(a) implementation of the Annual Operational Plan;

(b) the Corporate Performance Report, which is prepared for Council twice-yearly; and

(c) the University's Annual Report.

5.4.3 The Strategic Plan must be reviewed each year. These reviews must be either an:

(a) Annual review - to identify the extent of changes to the internal and external environment and review the Strategic Plan or the implementation processes. If these environmental changes are considered to be significant, the Strategic Plan should be updated. If the Strategic Plan has been reviewed but is not being updated, the published Strategic Plan should be annotated to include the following text on the title page: *This [insert plan title] was reviewed [insert month and year] and remains current*.

or

(b) Comprehensive review - a comprehensive review of the Strategic Plan will be undertaken a year prior to the conclusion of its lifespan (i.e. in the third year of the Strategic Plan). This review will identify strengths and weaknesses in performance to inform development of the next iteration of the Strategic Plan.

5.4.4 Council and other University bodies with a stake in the Strategic Plan must be presented with a report on any changes arising from the review and those changes will be widely publicised within the University community.

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6. Enabling Frameworks or Support Plans

6.1 Enabling Frameworks or Support Plans (referred to as Support Plan) are University-wide, multi-year planning documents and include:

(a) specific Support Plans that articulate strategies needed to address areas of high strategic importance (e.g. cyber security, internationalisation);

(b) specific Support Plans that articulate strategies needed to enable students to succeed (e.g. retention, equity and diversity); or

(c) other Support Plans that align resources to priorities (e.g. asset management, risk management and workforce planning).

6.2 For all Support Plans, the VCP must nominate a Responsible Officer who is responsible for initiating development, implementation, monitoring and review of the Support Plan. The Responsible Officer is an Executive Member, and accountable to the VCP for those operational elements, while the VCP is accountable to Council for achievement of the Support Plan.

6.3 A Support Plan must:

(a) have University-wide application, with a medium to long-term lifespan (i.e. multi-year);

(b) be designed to elaborate on goals and strategies in the Strategic Plan in relation to a specified area of focus over a specific period;

(c) be developed through a consultative process led by the Support Plan's Responsible Officer and involve relevant internal and external stakeholders (as determined by the VCP), including staff and students where applicable;

(d) be developed in the context of anticipated resources and used to inform University budgeting; and

(e) help inform priorities for inclusion in the Annual Operational Plan or Department or School Action Plans.

6.4 These Support Plans must be approved by either Council or the Approving Body, as appropriate for the specific Support Plan.

6.5 Any major amendments to Support Plans must be approved by the original Approving Body. Minor amendments can be approved by the Responsible Officer and reported to the Approving Body.

6.6 Review and monitoring of Support Plans

6.6.1 The Responsible Officer must ensure that performance of each Support Plan is regularly monitored in accordance with the requirements of the specific Support Plan.

6.6.2 During the lifespan of a support plan, there must be ad hoc reviews to adjust either the plan or the implementation processes.

6.6.3 Council and other University bodies with a stake in the support plan must be presented with a report on any changes arising from these reviews and those changes will be widely publicised within the University community.

7. Annual Operational Plan

7.1 The University-wide Annual Operational Plan is developed for a calendar year as part of the University's annual planning and budget process to assist with strategic analysis and decision making. The purpose of the operational plan is to identify activities, projects and strategies that contribute to the implementation of the University's strategic plan over a one-year period.

7.2 The Annual Operational Plan is a consolidation of key priorities from across the University and is developed following the University's annual planning meetings.

7.3 The University budget is expected to mirror and give effect to the approved Annual Operational Plan.

7.4 A member of Executive will be allocated responsibility for each initiative in the Annual Operational Plan, as relevant to their Portfolio and will be accountable for implementing and achieving these.

7.5 The Annual Operational Plan:

(a) applies to the whole of the University;

(b) identifies priority goals, objectives, strategies and initiatives for a specific budget period;

(c) must be designed to result in:

(i) effective implementation of goals and strategies within the Strategic Plan;

(ii) effective implementation of University policy;

(iii) compliance with all external requirements affecting the operations of the University;

(d) must be developed in association with periodic University budgeting processes;

(e) must be developed through a consultative process based on key University priorities identified as part of the University's annual planning process;

(f) can be adjusted over time in order to align the Plan with the University's resource capacity or in light of other matters that may affect achievement of the Plan, provided that the Vice-Chancellor and President approves the proposed adjustment of the Plan;

(g) must be sufficiently detailed to identify actions at the level of the department and school, in addition to the alignment of actions and outcomes with Strategic Plan key performance indicators; and

(h) performance is tracked by the Strategic Plan's Key Performance Indicators, and cascaded underlying metrics.

7.6 The VCP can require that the Annual Operational Plan include specific goals, strategies or actions.

7.7 Review and monitoring of the Annual Operational Plan

7.7.1 Ongoing monitoring to assess progress of the Annual Operational Plan's implementation, must be completed by the Chief Operating Officer and presented to the VCP on a regular basis. This report must also be widely publicised within the University community. This process must also inform the development of the next iteration of the plan.

7.7.2 The Responsible Officer for each initiative in the University's Annual Operational Plan must:

(a) complete the relevant update to the Annual Operational Plan Status Report, reporting on performance towards achievement of the Annual Operational Plan; and

(b) ensure that a review of performance against each initiative in the Annual Operational Plan relevant to them, is undertaken annually, with a view to identifying strengths and weaknesses in performance and for informing development of the next iteration of the Annual Operational Plan.

7.7.3 The Annual Operational Plan Status Reports must be provided in writing to the VCP quarterly, through the Chief Operating Officer, and must report on progress across the University towards achievement of the Annual Operational Plan.

7.7.4 There must be at least an annual meeting between the VCP, Chief Operating Officer, relevant Executive Members and Senior Staff responsible for specific initiatives in the University's Annual Operational Plan for the purpose of:

(a) identifying and reviewing progress and performance in achieving the Annual Operational Plan goals and targets within approved budgets; and

(b) identifying any weaknesses in or obstacles to implementation and performance with a view to adjusting the Annual Operational Plan or the implementation processes.

7.7.5 Any proposed adjustment to the Annual Operational Plan must be approved by the VCP and the revised Annual Operational Plan must be made available to all relevant staff.

8. Department or School Action Plans

8.1 Department or School Action Plans (referred to as Action Plans) are developed for a calendar year as part of the University's annual planning and budget process to assist with strategic analysis and decision making. The purpose of an Action Plan is to identify activities, projects and strategies relevant to each Department or School that contribute to the implementation of the University's Strategic Plan over a one-year period.

8.2 The Department or School Budget is expected to mirror and give effect to the approved Action Plan.

8.3 All members of Senior Staff are responsible for developing and implementing an action plan for their relevant Department or School, as determined by the relevant Executive Member, and is accountable for its achievement.

8.4 An Action Plan:

(a) must apply to a specific organisational unit or a group of organisational units (Department or School, including campus, research institutes and centres), as determined by the relevant Executive Member;

(b) must identify priority goals, objectives, strategies and actions for the organisational unit or units for a specific budget period;

(c) must be designed to result in:

(i) effective implementation of goals and strategies within the Strategic Plan and Annual Operational Plan in relation to the purpose and role of the organisational unit or units;

(ii) effective implementation of University policy as it pertains to the organisational unit or units;

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(iii) compliance with all external requirements affecting the operations of the unit or units;

(d) must be developed in association with periodic University budgeting processes;

(e) must be developed through a consultative process involving staff of the organisational unit or units, any relevant internal and external stakeholders (as determined by the Responsible Officer), and student representatives where appropriate; and

(f) can be adjusted over time in order to align plans with resource capacity or in light of other matters that may affect achievement of the plan, provided that the relevant Executive Member approves the proposed adjustment of the Action Plan.

8.5 Action plans are approved by the Approving Officer (relevant Executive Member) annually for the next calendar year. Any major amendments to the Action Plans must be approved by the Approving Officer. Minor amendments can be approved by the relevant Senior Staff and reported to the Approving Officer.

8.6 The VCP or the relevant Executive Member can require that an Action Plan include specific goals, strategies or actions.

8.7. Review and monitoring of Action Plans

8.7.1 There must be ongoing monitoring to assess progress of the Action Plan's implementation, as determined by the relevant Executive Member. This will also inform development of the next iteration of the Action Plans.

8.7.2 The Responsible Officer for each Action Plan must:

(a) complete the update to the Department or School Action Plan Status Report, reporting on performance towards achievement of the Action Plan; and

(b) ensure that a review of performance against the plan is undertaken annually, with a view to identifying strengths and weaknesses in performance and for informing development of the next annual iteration of the Action Plan.

8.7.3 There must be at least an annual meeting between the Vice-Chancellor and President, Chief Operating Officer, relevant Executive Member and Senior Staff responsible for the Action Plans for the purpose of:

(a) identifying and reviewing progress and performance in achieving the Action Plan goals and targets within approved budgets; and

(b) identifying any weaknesses in or obstacles to implementation and performance with a view to adjusting the Action Plan or the implementation processes.

8.7.4 Any proposed adjustment to an Action Plan must be approved by the relevant Executive Member and the revised Action Plan must be made available to all relevant staff.

9. University and Department or School Budgets

9.1 The University Budget quantifies planned revenue and expenditure for the next triennium. It is developed in the context of a three-year outlook which considers the impacts of the University's Strategic Plan objectives and any other relevant factors, such as Commonwealth Government reforms or changes in regulation and competition.

9.2 The budget development process, as overseen by the Chief Financial Officer is as follows:

(a) the University's funding priorities for the Budget are determined in the context of the objectives of the University's Strategic and Annual Operational Plans;

(b) targets for student load and research income are prepared for the triennium in consultation with the University Executive and discretionary revenue calculated for the budget based on the agreed targets and known Commonwealth funding parameters;

(c) additional revenue is allocated or reserved, based on the financial initiatives set by the VCP;

(d) expenditure is calculated using previous expenditure limits, any required improvement in the operating surplus, Enterprise Bargaining and other indexation costs, increased strategic funding and other growth or cost pressures;

(e) Senior Staff update their Action Plans with budget packs updates undertaken by Financial Services on the basis of agreed budget parameters; and

(f) the University Budget is finalised.

9.3 The University's Budget is a "collegiate" and priority-based model. It is not formulaic and the decisions taken on resource allocation must be transparent to all Departments and Schools.

9.4 The University Budget is reviewed by the University Executive, endorsed by the Vice-Chancellor and President and the Planning and Resources Committee for approval by Council.

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10. Individual staff performance and development plans

10.1 Staff performance and development plans should be designed to contribute to achievement of the Strategic Plan, the Annual Operational Plan and the Action Plan pertaining to the organisational unit within which a staff member is deployed.

10.2 Staff performance and development plans and achievement of those plans will be reviewed in accordance with the Performance Management - Operational Policy and associated Performance, Planning and Review (PPR) – Procedures.

10.3 Aggregated and permanently de-identified data from staff members' performance and development plans may be used by management and People and Culture to inform University planning.

11. Records management

11.1 Effective systems must be in place for record-keeping and records management in relation to plans, their implementation, monitoring reports, review, and any revisions or amendments. All records must be captured by all staff, at every stage of this activity, and should provide reliable and accurate evidence of business decisions and actions.

11.2 All records must be captured in an approved Records Management System in accordance with the Information and Records Management – Procedures.

END

RELATED DOCUMENTS

• Performance Management - Operational Policy

• Performance, Planning and Review (PPR) - Procedures
• Planning and Reporting Framework - Governing Policy
• Records Management - Procedures

LINKED DOCUMENTS

• Planning and Reporting Framework - Governing Policy

RELATED LEGISLATION / STANDARDS

• Age Discrimination Act 2004 (Cwlth)
• Financial and Performance Management Standard 2009 (Qld)
• Financial Accountability Act 2009 (Qld)
• Performance Management Framework 2017 (Qld)

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