



College Strategic Planning Guidelines

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College planning guidelines

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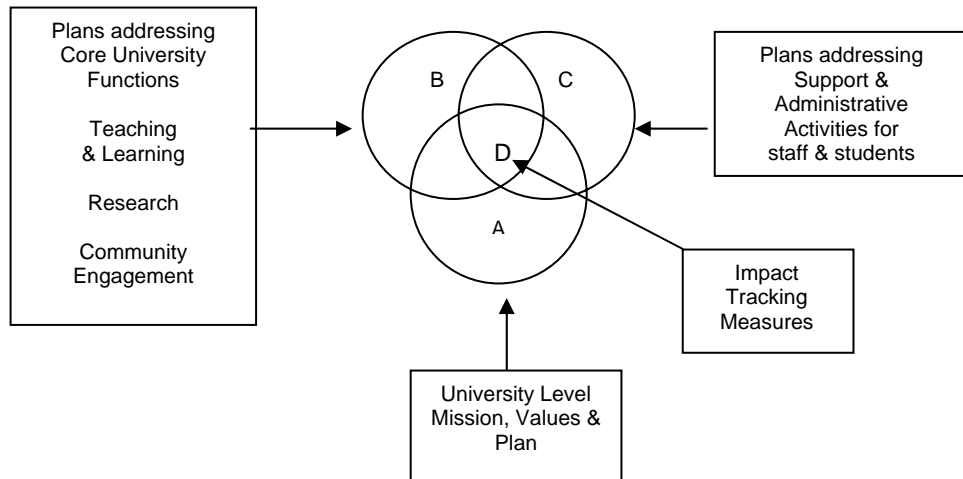
These guidelines support the document entitled

2. "College Record of Strategic Plan 2005-7"

1. An overall picture of the Planning Process

Diagram One provides an overview of the Planning process. Its intention is to enable everyone involved in the implementation of the current UWS Strategic Plans to see what their role is and how the many plans which are being developed can work together.

Diagram One
UWS Strategic Planning Framework



Circle A represents the University level plan: *The vision, mission and strategic plan of the University of Western Sydney*. This document identifies the University's core values and overall strategic directions (Attachment One). In doing this it sets the overall parameters within which more specific university level and local plans operate.¹

Circle B in Diagram One represents the individual plans which address the core University functions of Teaching & Learning, Research and Regional & Community Engagement and which arise out of the overall University Plan (A). The three plans identify a set of Strategic Goals and Priorities for each core function which will enable the University to achieve its overall mission, values and key strategic directions.

Attachment Two summarises the overall strategic goals, priorities and targets for each of these core activities.

Circle C represents the wide range of Whole-of-University Function Plans that are (or will be) under development during 2004. These include, for example, the UWS Human Resources Plan and IT Plan.

If the University's mission and values, as represented in its key performance indicators, are to be achieved then the plans and key activities represented in A, B and C will have to be working in alignment and synergy. And, most importantly, the combined impact of these plans will have to be demonstrably positive (D in Diagram One).

¹ In an AUQA audit it will be expected that staff at all levels understand the University's overall directions and goals and are able to say how, when applicable, they address them in their particular area of work.

Ensuring that the implementation of the University's Strategic Plans is effective

This process is being guided by research on effective approaches to strategic planning and implementation in universities. This 'good practice' research is summarised first as a set of strategic planning principles (Attachment 3) and then as a set of effective change implementation lessons (Attachment 4). The former is being used to inform the overall implementation coordination and support strategy at the University level and the latter as a guide to focus and support effective local implementation action at the College, School, Research Centre and Unit level.

2. College Planning

College level planning is underway and is approximately on schedule. Colleges have completed their performance reviews and transition plans and are using these, the University level plan (A) and the three core function plans (B) along with a range of other sources to ensure that the strategic priorities set at the local level are evidence-based, achievable and in alignment with the overall university strategic direction.

In OPQ discussions with Deans and staff, the following College level roll-out strategy appears to be the one which is likely to be most efficient and productive. It aligns well with the strategic planning and change implementation research summarised in Attachments 3 & 4.

College Planning Process

- Deans work with their senior college team to develop the College Strategic Plan and identify key strategic directions for the College over the period 2005- 7. It is important that these key directions cover Teaching and Learning, Research and Regional and Community Engagement. However, not every area identified in the University level plans for these core functions has to be covered. The aim is to identify what must be done to keep the College, its Schools, Research Centres and other research groupings, and individual researchers best positioned in a rapidly changing operating environment. It is suggested that the research on effective strategic planning and change implementation (Attachments 3, 4 and 5) be used to make this process as efficient and productive as possible.
- This process should be evidence-based and draw upon both local performance reviews, input from Schools, Research Centres and other research groupings, and individual researchers on their key evidence-based directions and central sources of strategic information. The focus is on identifying and justifying the strategic priorities for action finally set by the College as being those which are most relevant, desirable, feasible and distinctive given the unique operating context of each College. It is also appropriate, on the basis of the evidence to hand, to show why some directions are not so strategically important and/or feasible at this stage. The various data resources available to enable Colleges to identify and justify their key directions include:
 - Outcomes of the APPP,
 - Results of the UWS 2003 AUQA self-assessments and AUQA audit results,
 - Data from a range of UWS satisfaction survey reports (e.g. CEQ, Through Student Eyes) and School performance reports (e.g. enrolments, retention, progression and outcomes data),
 - Annual reports to the Pro-Vice Chancellor Research,
 - Research funding applications,
 - Research project reports,
 - Results from College, School and/or Research Centre reviews,

- Institution wide research performance reviews.
 - Recent UWS financial position papers and performance reports,
 - Strategic intelligence reports produced at other universities,
 - Input from the disciplinary networks of College staff and College planning days, along with ABS and similar data on likely developments in the Greater West over the coming five years.
 - Transitional plans and the December 2003 performance report for the College would also be relevant.
- The College strategies which emerge need to be consistent with the Strategic Directions identified in the University's overall plan and the Strategic Goals and Priorities identified in the three core function plans (Attachments One and Two). However, it is not necessary for every priority in these plans to be addressed or to be given the same emphasis.
 - Whenever possible, the College's strategies for Teaching and Learning, Research and Regional and Community Engagement should be linked and mutually reinforcing.
 - It is important, also, that those who are to implement them – the Schools, Research Centres and other research groupings, and individual researchers - own the strategic directions for the College. With this in mind it is important that College strategies and action plans are developed in close partnership with the Schools, Research Centres and other research groupings, and individual researchers as well as staff with specific expertise. This is consistent with the research on planned change in higher education outlined in Attachments 3, 4 and 5.

Development of the College Strategic Plan

The College Strategic Plan that emerges out of this process is intended to cover the following components:

1. The Current Situation of the College
2. Environmental Scan & its implications for the strategic development of the College
3. Key priorities for strategic action 2005-7

For each key priority selected the College will be asked to identify:

 - a. Areas in the University & Core plans this priority addresses
 - b. The focus and benefit of each key priority
 - c. Justification of its strategic importance to the College & University
 - d. Who will be responsible for its leadership and implementation
 - e. Which of the College's Schools, Research Centres and other research groupings, and individual researchers will be involved in its implementation
 - f. The College team which will action the development
 - g. Their action plan
 - h. Targets and milestones for 2005, 2006 and 2007
 - i. What key tracking measures will be used to determine if the priority is being successfully put into practice
 - j. The key sources of support and resources that will underpin implementation
 - k. Links and synergies between this area of action and others being pursued by the College and across the University.

College planning record

The College provides a record of the development of its key priorities based on the above areas and guidance set out in Attachments 1-5. The intention is to keep the planning focus on integrated action and to make the recording of the College's intentions as unbureaucratic as possible. The record is designed so that the University can quickly identify what is happening in each area using a common format. What is collected has been identified as being the key information which previous AUQA audits focus in on. In this way it is intended that the approach being adopted will have multiple pay-offs.

School Plans

There is no requirement that School Plans be submitted centrally. Rather, the focus is on ensuring that all UWS Schools are actively involved in pursuing the relevant key Colleges strategic development priorities. However, some Colleges have indicated that there may be an internal requirement for the development of a school plan. In this case it is recommended that the sections identified above for reporting the College plan be used internally to record School Plans.

Research Plans

The planning guidelines actively involve staff from University Research Centres and other research groupings together with individual researchers in the development of relevant College strategic priorities. Research Centres, other research groupings and individual researchers already participate in detailed planning and reporting processes that include:

- annual reports to the Pro-Vice Chancellor Research
- comprehensive submissions as part of the research funding application processes,
- research project reports,
- cyclical Colleges, Schools and/or Research Centres reviews,
- institution wide research performance reviews.

This information, together with developments in emerging research strengths contribute to the articulation of research priorities in the College and Schools that are aligned with UWS Strategic directions.

These research priorities or emerging research strengths can be documented in plans, depending on the formal requirements and need from the College or School's point of view.

3. Current progress in developing Support, Infrastructure & Administrative Plans

There is considerable activity in this area, with the process of finalising Divisional and Unit Plans being at various stages. Some of the plans have a more inward focus, whereas others (e.g. the HR Plan) have a more pan-university scope.

At this stage it is not clear how well the key directions, goals and strategies in these plans align with the Core University and College level plans. These links will be monitored by the proposed UWS Planning & Quality Committee.

It is suggested that the Whole-of-University Function Plans be reported in a similar fashion to College Plans and that Divisions/Units show how their plans have been aligned with the priorities being identified by Colleges. Processes are being developed to facilitate the alignment between plans.

4. Proposed Annual Review Cycle

Each year Colleges and Support/Administrative Divisions will be asked to report to the UWS Planning and Quality Committee on progress in implementing the action plans for each of their strategic development priorities against agreed targets and tracking measures. This process will be assisted by OPQ. It is anticipated that, although the action plans will be subject to ongoing modification, the key directions for the triennium should be less open to change, unless there is such a dramatic and unexpected shift in the College's operating environment that a significant change of direction is essential.

It is suggested that the finalised College planning documents go to the University's proposed Planning & Quality Committee which will seek to:

- Identify synergies between different College strategies with a view to identifying opportunities for combined action around common priority directions;
- Confirm alignment of the key College directions with the University's overall Strategic Directions and that there is attention to at least some of the Strategic Goals identified in each of the three core function plans;
- Review and, if necessary, suggest enhancements to the implementation plans, monitoring, support and improvement strategy for each agreed direction;
- Identify implications for the Whole-of-University Function Plans and, thereby provide one basis for reviewing the relevance of their key development priorities;
- Identify the budget implications for ensuring that each College action plan is effectively supported. This can include: (a) Support for implementation (b) Reward funding for achieving targets (c) Coordination support for developments being pursued University-wide.

The consolidated College plans, with the PQC's recommendations, will go to VCAC, then to the finance subcommittee of the Executive to finalise budget implications/support² and finally to the UWS Executive for sign off prior to being forwarded to the Board of Trustees.

It is proposed that an online staff and stakeholder survey which tracks staff perceptions of the continued applicability and degree of successful implementation of key University Strategic Goals be held biennially to complement this process.

5. Links to the UWS AUQA audit

The above approach is consistent with the benchmarks on effective approaches to strategic planning, implementation and ongoing review identified in the numerous AUQA audits completed to date. It will, however, be important to ensure that the goals, strategies and targets set at both the University and local level are achievable and measurable and that their implementation has been demonstrably tracked and improved prior to audit.

If the University can put the above approach into practice, it should be well positioned for this aspect of its audit by AUQA in 2006.

² The proposed University Funding Model (UFM) paper presented to VCAC on 17th May 2004 indicates that "A process of annual academic planning and quality reporting by Colleges is currently being designed and this will be linked to funding... It is proposed that half (of the allocated) funding will be distributed to Colleges based on an assessment of College academic plans, and half allocated to Colleges on the basis of other (quantitative) performance measures" (pg 10)... "Outputs from the University Funding Model are integrated with the annual budgetary and planning processes and aligned with the University's strategic directions as approved by the Board of Trustees" (pg 12).

Attachment One
UWS Values, Overall Strategic Directions & Goals

Values	Overall Strategic Directions & Goals
<ul style="list-style-type: none"> • Excellence and quality in all endeavours • Scholarly rigour and integrity • Equity of access and inclusiveness • Collegiality and participatory decision-making • Academic responsibility and freedom • Relevance and responsibility to communities • Ethics and accountability 	<p>To:</p> <ol style="list-style-type: none"> 1. Pursue a managed growth strategy 2. Have a broad academic profile with a strong professional orientation 3. Acquire a diversified revenue base and actively pursue financial self-reliance 4. Actively pursue an international focus in its teaching and learning, research and community engagement 5. Promote the distinctiveness of its campuses to maximise the visibility and standing of the University across its Region 6. Be accessible to its students and staff communities in ways that meet their needs 7. Have a diverse student body reflecting the communities that it serves 8. Be known for the academic scholarship of its students and the professional capabilities of its graduates 9. Provide educational opportunities for disadvantaged students from greater Western Sydney 10. Foster collegiality and professionalism amongst staff and reward achievement and excellence

Attachment Two
Strategic Goals, Priorities, Measures & Targets in the Three Core Function Plans

Teaching & Learning

Strategic Goals	Priorities	Measure	Target
1. Provide distinctive professionally oriented & flexible academic programs	1.1 Develop the professional orientation of academic programs	<u>Graduate Satisfaction</u> Overall Satisfaction Good Teaching Generic Skills	Improve explicit and overall graduate satisfaction annually
	1.2 Ensure relevance, academic integrity & viability of academic programs	<u>Graduate Outcomes</u> % Employed (f/t and p/t) % Seeking work % In further study	Exceed sector average for % of Australian graduates employed each year. Gain parity with Sydney universities in % seeking work
	1.3 Pursue a targeted growth strategy to enhance flexibility through E-learning	<u>E-learning environment</u> Number of units with online supported website	All units have an online supported web-site by end 2005
	1.4 Ensure that assessment practices in academic programs support & enhance student learning	<u>Unit viability</u> Number of UG units with less than 15 enrolments	Eliminate UG units with < 15 enrolments by 2006
2. Enhance the University's reputation for educational excellence and scholarship in teaching, resulting from the professionalism of staff and their commitment to students	2.1 Make explicit the values of educational excellence in staff recruitment & induction processes and in work practices	<u>Unit evaluation</u> Student feedback on subject units	Full implementation of unit evaluation surveys by end 2005
	2.2 Provide a well-supported working environment for staff which encourages collaboration, collegiality, efficacy, professionalism, self-reliance & appropriate authority ion decision-making	<u>Evaluation of Teaching</u> Usage of teaching evaluation surveys	Annual increase in numbers of staff using teaching evaluation survey
	2.3 Implement a teaching development program to encourage innovation & scholarship in teaching and to enhance the nexus between teaching, research & regional and community engagement	<u>Staff Development</u> % Expenditure of staff budget on professional development	Implement staff development policy of 2% of staff budget for professional development
	2.4 Recognise & reward excellence in scholarship in teaching	<u>Scholarship of Higher Education Teaching</u> DEST publications in higher education teaching and learning	Develop and implement measures of the "scholarship of teaching and learning in higher education"
3. Ensure a diverse student profile & increase HE participation rates of people in Greater Western Sydney	3.1 Target students with the capacity & motivation to excel academically	<u>University Reputation</u> Share of first to third preferences of all eligible school leavers	
	3.2 Improve higher education opportunities & support for disadvantaged students from GWS	<u>Regional Reputation</u> Eligible applicants from GWS – first to third Preferences	
	3.3 Increase enrolments & diversity the profile of international students	<u>Diversity of Student Profile</u> Numbers of: • Indigenous • low SES • international • postgraduate students (domestic)	
	3.4 Expand educational opportunities for higher degree study & further professional learning		
	3.5 Develop strong outreach		

<p>4. Provide a high quality, student centred experience at UWS to improve student success and graduation rates</p> <p>5. Ensure that UWS students 'learn to learn' and graduate with the ability to participate actively and responsibly in a changing world</p>	<p>links with schools & community organisations to encourage aspirations for higher education in GWS</p> <p>4.1 Develop a project to enhance student experience & improve student retention</p> <p>4.2 Promote inclusiveness for all students in the educational, social & cultural life of the university</p> <p>4.3 Provide an accessible & service oriented environment to enhance the quality & flexibility of students' learning experience</p> <p>4.4 Foster a climate of openness & responsiveness to student feedback</p> <p>5.1 Define graduate outcomes for academic programs & map their integration into program development, delivery, evaluation & review</p> <p>5.2 Enhance the breadth & diversity of students' educational experience, to ensure they achieve the graduate outcomes</p> <p>5.3 Increase collaborations between Colleges & Schools and support services to ensure coherent development of generic and program-specific graduate attribute.</p>	<p><u>Students undertaking further study</u> Onshore EFTSU enrolled in honours and higher degrees</p> <p><u>Student Progress</u> Commencing UG Progress Rate Continuing UG Progress Rate Retention rates</p> <p><u>Student Engagement</u> Number of students in Cooperative programs % of courses with community-engaged learning</p> <p><u>Graduate Attributes</u> Documentation of Graduate Attributes in undergraduate programs</p> <p><u>International Engagement</u> Number of UWS students on exchange overseas</p>	<p>Improvement each year in progress and retention rates</p> <p>At least 500 students participating in UWS Cooperative Programs by 2008</p> <p>Increased community-engaged learning Opportunities</p> <p>UWS Graduate Attributes documented in all undergraduate programs by end 2005</p> <p>Increase annually</p>
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Research

Strategic Goals	Priorities	Measure	Target		
1. Achieve outstanding performance in research & scholarship that is distinguished by its disciplinary focus and relevance to industry, government and the community	1.1 Provide a research development program at College & University levels aligned with UWS strategic directions	<u>Research Active Staff</u> % of academic staff classified as 'research active' by UWS	30% by 2005; 40% by 2008		
	1.2 Foster a distinctive research culture that encourages synergies across disciplines & collaboration among students, researchers, industry, government & community		<u>Competitiveness of UWS research</u> Income from "other public sector" and "industry and other" sources	Increase annually	
			<u>Research Output</u> Weighted research publications per FTE academic staff member	Rate of 1.0 publications by 2008	
	1.3 Ensure that exemplary ethical standards underpin all research projects & collaborations		<u>Competitiveness of UWS research</u> % Growth in total research income	Average annual increase in total research income of 5% (2004-2008)	
			<u>Consultancy Income</u>	Average annual increase in consultancy income of 7% (2004-2008)	
	2. Substantially increase UWS's profile in research output, income and commercialisation of findings	2.1 Enhance UWS effort in research development support	<u>Research Commercialisation</u>		
		2.2 Promote targeted development of contract research and consultancy	<u>Competitiveness of UWS Research</u> % Growth of total research income	Average annual increase in total research income of 5% (2004-2008)	
		2.3 Improve commercialisation opportunities arising from collaborative research		<u>Research Concentration</u> % Growth of research concentration income	Research income growth rate for research concentration exceeds targets for University as a whole (5%) by 2008
				<u>Concentration of Research Training</u> Share of research training places	50% of research student load by 2008 in designated areas of research concentration
		2.4 Communicate UWS research orientations, strengths & achievements			
	3. Build productive research groups & university wide research programs in areas that reflect UWS's distinctive strengths and orientation to practical knowledge	3.1 Establish a balanced profile of UWS research concentrations	<u>Industry-linked research</u> Income from industry sponsored Australian competitive grants	Average annual increase of 5% in industry sponsored Australian competitive grant income 2004-2008	
		3.2 Develop University-wide interdisciplinary research programs in key areas			
		3.3 Increase critical mass, improve governance & enhance sustainability of research centres	<u>International Research</u> Income from international research	Average annual increase of 5% in international research income 2004-2008	
3.4 Enhance the research infrastructure supporting research centres & University research programs					
4. Develop effective research partnerships with industries, organisations and communities in GWS, as well as nationally and internationally	4.1 Promote and encourage collaboration with regional industry, government & community groups in research & consultancy	<u>Regional support and relevance</u> Income from research and consultancy partnerships and projects in GWS	Average annual increase of 10% in research and consulting income from GWS 2004-2008		
		Number of consultancies and partnerships	Annual increase in number of partnerships		

<p>5. Establish distinctive research higher degree programs marked by their relevance to industry, government & community futures</p>	<p>4.2 Develop an integrated strategy for the Offices of Research Services, Business Development & Regional Development to promote research partnerships</p> <p>4.3 Promote and encourage national research collaboration</p> <p>4.4 Develop targeted international research links</p> <p>5.1 Provide a suite of flexible & distinct research training programs that attract high quality students</p> <p>5.2 Provide an intellectually stimulating & supportive environment for research students</p> <p>5.3 Enhance the preparation of research students for careers in industry, government and universities</p> <p>5.4 Ensure high quality academic supervision of research students</p> <p>5.5 Increase the number of fee-paying research students and scholarships</p>	<p><u>Higher Degree Research (HDR) Students</u> Number of domestic HDR students (RTS and fee-paying)</p> <p><u>Number of fee-paying international HDR Students</u></p> <p><u>Research Training Effectiveness</u> Ratio of research degree completions to student load</p>	<p>Domestic HDR students increased to 480 EFTSU by 2008</p> <p>International fee-paying HDR students increased to 100 EFTSU by 2008</p> <p>Maintain parity with sector average</p>
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Regional & Community Engagement

Strategic Goals	Priorities	Measures	Target
1. Achieve national and international renown for leadership & scholarship in community engagement	1.1 Encourage & promote community engagement in all UWS activities & in the sense of UWS identity & culture held by staff and students	<u>Regional and Community Engagement</u> Level of engagement (local, national, international)	Indicators of engagement published by end 2004
	1.2 Develop the University's national and international reputation for excellence in community engagement	<u>Number of GWS partnerships</u> Membership of key GWS organisations and boards	Development of community engagement directory and database to identify partnerships, relevant organisations and boards and UWS memberships by 2005
	1.3 Promote community engagement as a valuable scholarly activity & achieve excellence in the scholarship of engagement	<u>University Reputation</u> UWS share of first to third preferences of all eligible school leavers	Improved share of first to third preferences each year
	1.4 Identify, coordinate and allocate resources for engagement with key communities in GWS & beyond		
2. Excel in the development & application of scholarship & knowledge in regional and community contexts	2.1 Strengthen the University's position as the leading educational institution in the region	<u>Regional Reputation</u> First to third preferences of eligible GWS school leavers % Commencing students from GWS	Improved share of eligible GWS first to third preferences each year
	2.2 Increase the scale and impact of research in the areas of regional and community priority		Maintain high level of GWS commencing students
	2.3 Gain recognition as a key cultural and intellectual resource for GWS & the wider Sydney region	<u>Regional Visibility and Impact</u> Scale of positive media coverage: – number of stories (print, radio, TV)	Increased positive media coverage of University achievements and outreach annually
3. Make strategic use of resources & partnerships to provide leadership in community engagement & regional development	3.1 Use the University's national and international perspectives for the benefit of GWS and other key communities	<u>Regional support and relevance</u> Level of funded research and consultancy partnerships and projects in GWS	Annual increase in number of partnerships Average annual increase of 10% in income 2004-2008
	3.2 Strengthen & maintain mutually beneficial partnerships with community groups, regional organisations & businesses	<u>Student Engagement</u> Number of students in Cooperative Programs % of courses with community-engaged learning	At least 500 students participating in UWS Cooperative Programs by 2008 Increased community-engaged learning opportunities in GWS
	3.3 Provide leadership in regional development for GWS		
	3.4 Promote the regional economy and environmental sustainability in GWS		
	3.5 Promote the role and responsibility of each GWS campus to engage with their surrounding communities and serve as portals for the University	<u>Engagement of UWS Alumni</u> Level of participation by alumni	Increased numbers of UWS alumni actively involved in the University community each year
4. Promote civil society & sustainable communities by building their social & intellectual capital	4.1 Produce graduates who are good citizens & who contribute to their communities		
	4.2 Encourage & equip graduates with skills to build organisations & promote civil society & sustainable communities		
	4.3 Conduct research into the development of civil society & sustainable communities in GWS		

Attachment 3

Successful Approaches to Planned Change in Universities

The Research

Principle	Comment
Where significant strategic change is involved, the approach must take into account what motivates staff to engage in and stick with change	What engages staff is seeing the personal relevance, need, desirability, feasibility, distinctiveness, & clarity of what is proposed. Engagement is enhanced if staff are appropriately involved from the outset in suggesting what might happen within their area of expertise, and if change is linked to both intrinsic motivators and extrinsic motivators.
Alignment is key	Strategic planning is fundamentally about maintaining the university's ongoing alignment with its changing environment, both externally and internally. There needs to be synergy between the university's mission (moral purpose), mandate, vision and its key strategic directions. A key alignment challenge involves figuring out how best to balance mission, market and risk.
Decision-making about key strategic directions is evidence-based not anecdotal	This evidence can be quantitative and qualitative and can focus on a current performance analysis or on indications of what might unfold in the coming years. The challenge is to ensure that such data are valid, accurate, timely and comprehensive whilst also allowing room for creative thinking. The general approach can best be described as being one of 'informed intuition'.
The focus is on thinking and acting strategically not producing long proscribed plans	Being strategic is more about having a small number of wisely formulated, widely supported strategic directions than it is about detailed proscription of what must be done. This implies that all sections of the university need to align their energies to contribute to each direction.
Only a small number of overall key strategic directions, targets and tracking measures at the University level are set	Once agreed these form the non-negotiable parameters within which local units identify suitable solutions, given their particular operating environment and core business. Each unit's contribution is likely to be distinct and some will make a more significant contribution on some parameters than others.
Each key strategic area of major change is funded	Three types of funding for each key strategic change should be considered; (a) support for coordination and facilitation, (b) reward funding for achieving key targets, (c) support for implementation and monitoring.
The focus in major change is on collaborative action	Carefully selected action teams work together to identify the most relevant, feasible and distinctive local solutions. Performance on each key change is monitored and drawn together centrally each year in order to determine overall university progress in the area, to disseminate successful local practice and determine optimum distribution of the budget allocation to each key strategic direction.
Clear accountability and responsibility	The roles and accountabilities for developing and implementing key strategic directions are clear and continuously monitored through a systematically applied individual performance management system.
Leadership	Sustained leadership is put in place during implementation of any major strategic change. This operates at both the senior level and through the leaders of local action teams responsible for each key strategic direction.
Managing strategic change requires an ability to manage paradox	Effective strategic change management requires figuring out where to set the balance between top down and bottom up strategies, stability and change, academic and administrative change, listening and leading, looking inside and outside for change ideas and solutions, enhancing current practice and setting out in a quite new direction.

Attachment 4

Effective implementation of desired changes in Universities: The Research

Implementation Lesson	Comment
Implementation is a learning (and unlearning) process for all concerned, it is not an event like the launch of a strategic plan	Staff will not engage in learning the 'gaps' in their expertise necessary to put a desired strategic change into practice if they do not see that what is proposed as being relevant, desirable and feasible. Motivators to persevere can be both intrinsic (e.g. the satisfaction of seeing students learn, achieving a moral purpose, finishing a project on time to specification) and extrinsic (e.g. threat of job loss, possibility of rewards, positive feedback from one's supervisor, peer support)
Culture is a powerful influence on motivation to engage in and stick with change	Culture ('the way we do things round here') can help or hinder engagement in change. Attachment Five presents the results of a series of senior manager forums on what university cultures help or hinder engagement in strategic change
Change in one area of university activity typically triggers required change in another	For example academic developments in IT-enabled learning automatically trigger a need for adjustments in the infrastructure and support systems that underpin them. Equally a move to summer or winter intensive programs triggers a need for more rapid processing of grades in subjects which are a prerequisite for the following semester
Collaborative action research is the best way to ensure a desired strategic change is implemented	However, the team must be carefully selected to match what is needed to make the change work and must be led by a person with the emotional intelligence and expertise in the area being pursued that are necessary to ensure that all members work collaboratively and contribute their expertise
Change is a cyclical not a linear process	As Francis Bacon observed: 'We rise to great heights by a winding staircase'. This means that the action team which leads the local implementation process for a specific change needs to identify, pilot, evaluate and refine potentially relevant solutions under controlled conditions before scale up is attempted. Having done this, the team can also subsequently become a learning resource for other staff because they have had practical experience in making the change work under local conditions
Potentially relevant change solutions lie both outside and inside the university	Effective solutions may lie hidden in pockets within one's home university. Equally, however, they may exist in similar universities and institutions elsewhere. And this is where strategic networking, shared tracking systems and working in a reciprocal way with equivalent institutions within and beyond Australia is so important.
The implementation of change does not just happen, it must be led	This is necessary not only as strategic change priorities are being developed but also as they are being put into practice. There is an extensive data base now available on effective leadership of change in higher education. Much of this indicates that the most effective leaders of change implementation share the same attributes of the most effective adult educators. This research also indicates that everyone can be a leader of change in their own area of expertise
Managing implementation involves having to manage paradox	Making change happen requires figuring out how best to balance top down and bottom up strategies; listening and leading; focusing on core and support changes; stability with change; improving current practice and setting out in quite new directions
Beware of a number of change implementation myths	<p>These include:</p> <ul style="list-style-type: none"> • The consensual myth ('we all decided to put our lecture notes on the web so that's the right thing to do') • The change event myth ('well the hard work's done, we've got the strategic plans approved, now all you have to do is implement them') • The silver bullet myth ('just follow this 5 step change method & all will be well') • The brute logic myth ('I've told them three times now and they still can't see that introducing problem-based learning in this course will make it more exciting') • The knight on a white charger myth ('All will be well now that we have a new Dean') • The either or myth ('There's nothing I can do – I'm a victim of forces beyond my control') • The restructure myth ('Now we've restructured the university will be a success')

Attachment Five

A University Culture unsupportive of effective change management	A University Culture supportive of effective change management
Endless meetings, poorly focused with no discernible outcome – a focus on talk without action. ‘Contrived collegiality’ or a tendency for group consensus to override taking hard, evidence-based change decisions	A commitment to collective action – more ‘ready, fire, aim’ than ‘ready, aim, aim, aim’ using carefully monitored pilot projects to learn how best to make a desired change work by doing it
Decision-making is ad hoc and anecdotal	Evidence-based decision-making which is outcomes focused – consensus is around robust data and research evidence not simply around the table
Lack of clarity about what really counts most to the university	People know what is happening and what the key change issues are that affect them and which are being pursued
Communication overload where a ‘shot gun’ approach to using Emails and memos is used and there is no indication of their relative importance or response to feedback given	Communication is controlled, focused, targeted, personal and followed up with action.
Pockets of excellence which are unknown to others	There is a systematic approach to identifying good practice, rewarding and disseminating it
Intolerance of diversity. Tendency towards ‘group think’ Small cliques of people being ‘in the know’ whereas many others are left out	Recognition/toleration of diversity & encouragement of justified dissent Decision-making is consultative, inclusive, decisive and transparent
Individualised, competitive, isolated pockets of practitioners, without any shared institutional ‘moral purpose’ High levels of micropolitical behaviour, passive resistance, anomie, back-room deals and ‘back stabbing’	Existence of a large number of reciprocal, informal networks and ‘communities of practice’ both within and beyond the university A ‘can do’ feel where people help and share ideas with each other in key areas
Individual and institutional defensiveness about criticism or poor performance Unwillingness to question traditional approaches, structures, systems	Willingness to face and address areas of poor performance.
Transfer of responsibility to others: ‘why don’t they’	Widespread acceptance of responsibility and accountability – ‘a why don’t we’ mentality
People are cynical, uninterested or negative about the institution. There is a high staff turn over rate Staff are hard to access and unresponsive The institution is slow to respond and overly bureaucratic	Staff are proud to be working at the institution. There is a low staff turn over rate A strong commitment to responsiveness & doing a quality job with students and other key beneficiaries of the university’s work. A commitment to equity, transparency and fairness
Senior executive are isolated and show little interest or commitment to getting into contact with line staff	Senior Executive are in regular personal contact with staff and their priorities for change are widely known
Staff ‘work around’ poor performers and tolerate them not ‘pulling their weight’. An unwillingness to raise unpleasant issues in the interests of social affinity	Staff are interested in finding out key areas where they need to improve and then set about addressing these
A primary focus on economic performance and buildings	Strong support for the triple bottom line – economic, social and sustainability outcomes
Limited knowledge of which staff are doing high quality work or recognition of it	Rewards for strategically important collaboration across disciplinary boundaries and between academic and support areas