

## **STRATEGIC ALIGNMENT OF INSTITUTIONAL PLANNING: STUDY AT A FEDERAL UNIVERSITY IN THE NORTHERN AMAZON**

**ALINHAMENTO ESTRATÉGICO DE PLANEJAMENTOS INSTITUCIONAIS: ESTUDO EM UMA UNIVERSIDADE FEDERAL DA AMAZÔNIA SETENTRIONAL**

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## RESUMO

O objetivo deste estudo incidiu em identificar o alinhamento entre o plano de desenvolvimento institucional e o planejamento estratégico de gestão de pessoas da Universidade Federal do Amapá. O desenho metodológico consistiu em uma pesquisa exploratória e explicativa-descritiva, de abordagem predominantemente qualitativa, cujos dados coletados advieram de legislações governamentais, planejamentos institucionais e de entrevistas com gestores e servidores. Na etapa analítica, utilizou-se a técnica análise de conteúdos, com auxílio do *software* ATLAS.ti 8 - *Qualitative Data Analysis*. Os resultados identificaram alinhamento entre o PDI (2015-2019) da UNIFAP e o Planejamento Estratégico da PROGEP, especialmente no uso de métodos e ferramentas similares no processo de formulação estratégica, como Mapas Estratégicos e *Balanced Scorecards*. Os mapas estratégicos demonstraram encadeamentos entre objetivos estratégicos globais e setoriais, para o desdobramento da filosofia institucional para o campo da gestão de pessoas.

**Palavras-chave:** Administração Pública. Consistência Estratégica. Alinhamento Institucional.

## ABSTRACT

The objective of this study was to identify the alignment between the institutional development's plan and the strategic planning of people management at *Universidade Federal do Amapá* (Federal University of Amapá). The methodological design consisted of an exploratory and explicative-descriptive research, with a predominantly qualitative approach, whose collected data came from governmental legislation, institutional planning and interviews with managers and servers. In the analytical stage, the technique of content analysis was used, with the help of ATLAS.ti 8 - *Qualitative Data Analysis* software. The results identified alignment between the UNIFAP IDP (2015-2019) and PROGEP's Strategic Planning, especially in the use of similar methods and tools in the strategic formulation process, such as Strategic Maps and *Balanced Scorecards*. Strategic maps have shown links between global and sectoral goals for the development of the institutional philosophy for the field of people management.

**Keywords:** Public Administration. Strategic Consistency. Institutional Alignment.

## **1 INTRODUCTION**

The managing scenario of organizations undergoes continuous changes, especially in recent decades with the sudden advance of technology and the sophistication of administrative tools, which contribute to make this environment contingency and highly competitive. In order to ensure efficiency and effectiveness in the provision of services provided to society, public institutions seek to adopt strategic instruments aimed at achieving objectives and goals.

The complexities that infuse public universities require and creation of strategic instruments and the chaining between them, to promote the process of unfolding strategies to the other levels, adding value to the organization. Equally relevant is the synergy between the elements that support the organizational strategy, promoting correct allocation of resources, definition of priorities, focusing on the achievement of organizational objectives (KAPLAN; NORTON, 2006).

The methodologies and techniques developed in the process of formulating strategic planning sign promising solutions, to equate the offer of management policies and practices in the public compass and contribute to the provision of more efficient and effective services to the academic community and society in general. It is about implementing an innovative process subordinated to the organizational strategy, aiming to integrate people and their competencies to the needs of the institution, merging the objectives of both parties (LEITE; ALBUQUERQUE, 2009).

Confronted with the responsibility of producing knowledge and training qualified and active citizens, federal universities require managers to be more practical, systemic and holistic vision and skills for planning, direction and control of processes (MIZAEL *et al.*, 2013). Since 2004, IFES has adopted the Institutional Development Plan (IDP) as a strategic planning instrument, for it has a global philosophy and concatenates objectives, goals, deadlines and achieving results.

The IDP of the Federal University of Amapá (UNIFAP), which is in force, was built in early 2015, for the five-year period 2015-2019. In this strategic instrument, policies related to teaching, research and extension were allocated, guiding triad of Brazilian higher education institutions, listed the guidelines and management actions for administrative, financial and those related to the personnel development, training and evaluation (UNIFAP, 2015).

This organizational dynamics of universities, especially Brazilian public ones, added to the imminent need to define strategic objectives, direct actions, measure results and

formally discuss people management policies, provided opportunities for the preparation of the strategic planning of the Pro-Rectorate of People Management (PROGEP), which occurred at the beginning of 2016, with a four-year term (2016-2019), anchored in strategic objectives of the IDP.

This context instigated the starting question of this research, namely: How are the relations of strategic alignment between the Institutional Development Plan (IDP) and the strategic planning of people management at the Federal University of Amapá established? To unveil this unknown, the general objective of this study was to identify the alignment between the institutional development plan and the strategic planning of people management at the Federal University of Amapá.

## 2 THEORETICAL RATIONALE

### 2.1 STRATEGIC MANAGEMENT

Strategic management is a policy originating from the evolutionary process of organizational theories, obtaining greater relevance, both in the scientific and organizational sphere, from the 1950s, whose purpose is to synchronize strategies, institutions and the environment in which they are inserted, by collective and synergistic effort (MAINARDES; FERREIRA; RAPOSO, 2011). Given the conceptual variability of the word strategy, Mintzberg et al. (2006) presents the "Five Ps for Strategy".

**Table 1** Five Ps for Strategy

Definition	Description
<b>As Plan</b>	A consciously intended course of action, a guideline (or a set of guidelines) to deal with a situation.
<b>As Pretext</b>	Specific "maneuver" to overcome an opponent or competitor.
<b>As Pattern</b>	A pattern in an action chain. [...] consistency in behavior, intended or not.
<b>As Position</b>	A means of locating an organization in what organizational theorists like to call an "environment."
<b>As Perspective</b>	It consists not only of a chosen position, but also of a fixed way of looking at the world.

Source: Adapted from Mintzberg *et al.* (2006).

The term strategic management has a higher fullness than strategic planning and involves the elaboration of performance indicators, the definition of goals and actions, which will lead to organizational development, with strategic planning as the main instrument (COELHO JUNIOR, 2003; COSTA, 2007).

The strategy is the expression of the organization's own theory and leads to the achievement of competitive advantages, however, it must be understood that, like other theories, it is a synthesizer that notably distorts the object of reality, because they do not always represent the real, leading information to have various biases and effects (MINTZBERG; AHLSTRAND; LAMPEL, 2010; BARNEY; HERSTERLY, 2011), especially since there are "reading" errors in the internal and external environments.

Thus, the strategic administration process should bring together methods of analysis, which increase the probability of selecting the most advantageous strategy, following a certain sequential rite (BARNEY; HERSTERLY, 2011). Strategic management has pragmatic approaches to strategic planning. This juxtaposition provides strategic actions such as the process of elaboration of action plans, management of the relationship between leadership and employees, environmental analysis, control, evaluation and formation of an environment conducive to innovation (MACÊDO et al., 2012).

## 2.2 STRATEGIC PLANNING

The act of planning has become an indispensable tool to promote holistic vision to managers, supporting the process of delimitation of the real purposes of the organization and the prioritization of strategic programs and projects, which contribute to making consonant the actions and achievement of goals, based on the mission and organizational objectives (MARCELINO, 2002; CAVALCANTE; ROCHA JUNIOR, 2014; SILVA; ASSIS, 2016). However, the Strategic Plan resulting from the planning process cannot be rigid, since the internal and external environments undergo variations while the projects are being executed.

For Thompson and Strickland III (2000), the planning formulation process has five fundamental steps: (1) strategic definition of the mission, vision and values of the organization; (2) setting the objectives; (3rd) formulation of strategies; (4) implementation of the strategies; (5th) evaluation and control of performance. These elements should bring together relevant aspects and guidelines of the organization, as they will guide the elaboration of priorities, forming the real image that the organization seeks to propagate in the market and in the social environment (SOUZA; MARINHO, 2014; RIBEIRO; CARMO, 2015).

Modern strategic planning uses the aid of several tools: *SWOT* analysis (*Strengths, Weakness, Opportunities, and Threats*), *BSC* (*Balanced scorecard*), *5w2h* and the *PMBOK* Project Management *Book of Knowledge* (CUNHA et al., 2011; OLIVEIRA; TODA, 2013).

The studies on *Balanced Scorecard (BSC)* date back to 1990, objectifying the creation of an innovative model of performance measurement, which added economic value projected for the future, because changes in the market context made obsolete indicators of only accounting and financial character, whose focus was concentrated only in the short term (KAPLAN; NORTON, 1997).

This tool acts precisely in the structural balance of short- and long-term objectives, organizing them from four perspectives: financial, customers, internal processes, learning and growth (KAPLAN; NORTON, 1997). Thus, "each of the four perspectives is interconnected by a chain of cause-and-effect relationships" (KAPLAN; NORTON 2006, p. 07).

Mintzberg, Ahlstrand and Lampel (2010) bring together ten schools that theoretically support the strategy formulation process, the study points out contributions, limitations and criticisms of each of them, whose action emphasizes differentiated and relevant perspectives for the organizational complex.

The three initial schools – Design, Planning and Positioning – have a prescriptive nature, focusing more on the procedures for formulating strategies, than the understanding of how they actually form, while the six immediate schools – Entrepreneur, Cognitive, Learning, Power, Cultural, Environmental – have a descriptive nature and seek to understand peculiar aspects of the formulation process, related to the understanding of how strategies actually develop; and finally, the Configuration school, which gathers the characteristics of all the previous ones and groups relevant variables of the organization's existence, namely: the process of strategic formation, its content, the organizational framework and its conjunctures (MINTZBERG; AHLSTRAND, LAMPEL, 2010).

Thereby, the scenario of structural change in the management of public administration requires differentiated perceptions about the need for the elaboration of strategic planning (PAULI; BIULCHI, 2012). In this sphere, the need to prioritize actions aimed at improving the services provided to society has gained prominence in the literature involving the discussion of strategic planning (SILVA; GONÇALVES, 2011).

When elaborated in the public sector, strategic planning requires that all coexisting peculiarities be considered. However, the innovative aspects of this process are still treated as emerging, both in the actions employed in public agencies and in the theoretical debate of conceptualization (SANTOS; SANO, 2016).

Among the main peculiarities that permeate the public sphere, we highlight the environment full of complexities, the influences of political bias, management with reduced autonomy and the low supply of personnel policies (WRIGHT; KROLL; PARNELL, 2000; SILVA, 2016). This context makes strategic planning essential to improve the progress of state activity, and public institutions must follow the strategies outlined, following the execution, to measure and compare the results achieved (ALVES *et al.*, 2013; BRANCO, 2014).

### 2.3 INSTITUTIONAL DEVELOPMENT PLAN

Brazilian federal universities manage several organizational processes focused especially on three strategic fronts: teaching, research and extension (DAL MAGRO; RAUSCH, 2012). These policies must be implemented in accordance with the requirements of the specific legislation of these institutions and comply with the requirements of the Ministry of Education (MEC), which requires strategic actions of planning, remodeling of processes and continuous evaluation of institutional processes (GUEDES; SCHERER, 2015; MIZAEL *et al.*, 2013).

The creation of the Federal Institutions of Higher Education (FIHE) was marked by the edition of Decree-Law No. 200, of 1964, which aimed to attribute greater efficiency to the state activity, decentralizing functions competing with the private sector, demanding strategic postures, innovative practices focused on the client-citizen and insertion of the culture of planning (MIZAEL *et al.*, 2013; BRESSER-PEREIRA, 1998).

In this context, the institutional development plan (IDP) began to be used by ifes as a strategic instrument from 2004, with the edition of Law No. 10,861/2004, whose formulation process consists in the requirement of clear, cohesive and objective elements, allowing the interconnection between all previously outlined axes, becoming a strategically viable instrument for institutions (MEC, 2004).

With the edition of Decree No. 5,773/2006, the IDP became a mandatory requirement for the act of accreditation of FIHE with MEC. The mandatory procedures were expanded, whose main thematic axes are: (I) Institutional Profile; (II) Institutional Pedagogical Project - PPI; (III) Schedule of Implementation and Development of the Institution and Courses (face-to-face and distance); (IV) Faculty Profile; (V) Administrative Organization of the HEI; (VI);



Student Service Policies; (VII) Infrastructure; (VIII). Evaluation and Monitoring of Institutional Development; (IX) Financial and Budgetary Aspects; (X) Attachments.

Decree No. 5,773/2006 was repealed by Decree No. 9,235/2017, which in turn expanded the indispensable requirements of the Institutional Development Plan of universities. For the MEC, the IDP is intrinsically linked to strategic actions and the results of the institution's evaluation, in the form of an internal and external evaluation process.

## 2.4 STRATEGIC ALIGNMENT

The level of alignment of systems such as organizational strategies, global objectives and other factors that make up the organizational complex directly contributes to achieving *effectiveness status* in the process of implementing organizational strategies (BARROS, 2007).

Thus, the more aligned and clearly defined the strategies, the correctly managed resources and all moving in the same direction, the closer the organization will be to successfully implement its strategies (FORONI, 2014). At the corporate level, strategies are organizational efforts to obtain competitive advantages in different markets or niches, and the most common strategies act in an integrated and vertical way (BARNEY; HERSTERLY, 2011).

The concept of alignment is based on the assumption that the strategy is the core of the management model (KAPLAN; NORTON, 2006). These authors consider that organizational strategic alignment materializes when four aspects are observed:

- 1º) *Strategic consistency*: is identified when the group of internal performance drivers is aligned with the desired results and financial performance, through the mechanisms of the Strategic Map.
- 2º) *Organizational alignment*: relies on synergy between the various organizational components. Strategic Maps and Balanced *Scorecards* allow communication between the various organizational levels.
- 3º) *Alignment of human capital*: it is obtained at the moment when the individual objectives are aligned with the organizational ones.
- 4º) *Alignment of planning and control systems*: occurs when the management system, focused on planning, operations and control, is synchronized with the organizational strategy.



In the theoretical model proposed by Kaplan and Norton (2006), one can identify the construction of alignment from the corporate planning process, planning of business units and verification of the timing allocated at strategic points of the flow of information between strategies. After the elaboration of the corporate strategy, the business and support units should elaborate their plans aligned with the organizational *scorecard*, in order to maintain the strategic balance and execute their goals more efficiently (KAPLAN; NORTON, 2006).

### **3 METHODOLOGICAL PATH**

Aiming at security guarantees and legal support, this study was submitted to the Research Ethics Committee - REC, of the Federal University of Amapá, via Platform Brazil, approved via Consubstantiated Opinion No. 3,180,664, along the lines of Resolution No. 466/2012 of the National Health Council.

As for the objectives, this study is classified as exploratory and explanatory-descriptive. Exploratory bias aims to broaden and approximate the perception of a phenomenon, through literary review and discussion with other scholars, while explanatory research focuses on verifying the potential elements that contribute to the occurrence of a given fact (GIL, 2008). Descriptive research aims to discover situations, describe events or transcribe opinions that occur in a given population or subgroups (PINSONNEAULT; KRAEMER, 1993).

The approach to the problem of this research is predominantly qualitative. This approach is recommended for studies that seek to study the way that people and groups perceive reality and formulate concepts, allowing unknown social artifacts to appear in subjectivity (FONTANELLA; RICAS; TURATO, 2008; CAVALCANTE; CALIXTO; PINHEIRO, 2014).

The study was carried out at the Federal University of Amapá (UNIFAP), located in northern Brazil, in the State of Amapá. Currently, UNIFAP has a physical structure distributed in four *campuses*, os which are: Marco Zero, Mazagão, Santana and Binacional (UNIFAP, 2019). The locus *of* this study was the Pro-Rectorate of People Management - PROGEP, created by Resolution No. 01/2013, of the Board of Directors of the University, and currently has 43 servers, being only administrative technicians of medium and higher levels (UNIFAP, 2019).

The strategic selection of the participants was based on the relevance of their role in the institutional sphere and participation in the process of elaboration of strategic instruments, being: the rector of the university, the dean of people management, two departmental directors and four servants of the category of administrative technicians. The names of the interviewees were coded in "GR" for managers and TAD for administrative technicians.

The proposal for data collection was based on the studies of Alves e Silva (1992), whose semi-structured inquiry structure was adapted from Foroni's research (2014). The interview is the most indicated technique in employee perception analysis about organizational processes and policies, because it provides the researcher with a high number of data and information that will give relevance to scientific work (BRITTO JUNIOR; FERES JUNIOR, 2011; FARIA, 2015).

Some interviews with managers were conducted through the video-calling feature of the *Skypetool*. The statements were transcribed in the *web* application called *the Transcribe*. The collected data were submitted to Content Analysis (CA), disseminated in bardin's studies (1977). Among the documents analyzed, the following are: The Institutional Development Plan of UNIFAP (IDP 2015-2019), the strategic planning of PROGEP and the management report.

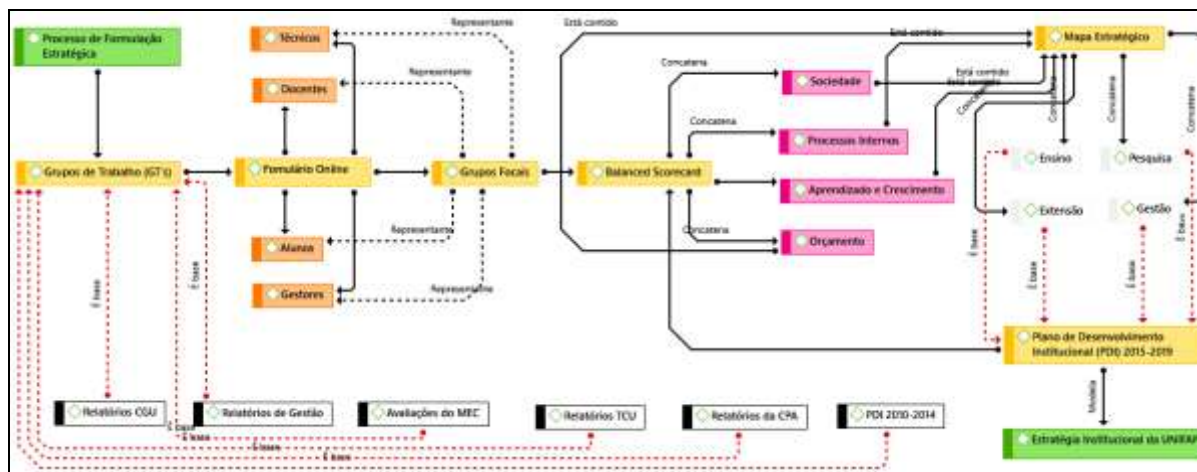
To attribute validity to the analysis method, the ATLAS.ti 8 - *Qualitative Data Analysis software* was used. The use of this software is recommended in qualitative research, as it allows the researcher to treat a high volume of data, supporting conclusions and inferences about the extracted product (SANTOS, 2018).

## **4 ANALYSIS AND DISCUSSION OF THE RESULTS**

### **4.1 UNIFAP'S INSTITUTIONAL DEVELOPMENT PLAN**

As in other federal universities, the IDP is considered the formal document of strategic planning of the Federal University of Amapá, whose thematic axes, structurally, meet the minimum requirements recommended by Decree No. 9,235/2017. The methodology used to concatenate the mission, vision, values, goals and objectives is the Balanced Scorecard (BSC). The University's strategic guidelines have been diluted in the perspectives of society, internal processes, learning and growth and budgeting, forming the Strategic Map of the University, with 21 strategic objectives. It is better understood the materialization of UNIFAP's institutional strategies intermeddle of the flow of the strategic formation process.

Figure 1 UNIFAP strategic formulation process



This concept shows that the strategic process began with the formation of working groups (WG's), which structured a document based on reports from control bodies, evaluations of the Ministry of Education (MEC) and internal reports of the university of the last eight years and also rescuing information from the IDP 2010-2014. The results of the analysis of the initial perimeter of the IDP (2015-2019) and the testimony of the manager "GR01" converge as to the awareness of the relevance of involving the actors that form the so-called academic community – students, administrative technicians and teachers – from the initial stages of discussion.

**GR01 - The PDI is a document that needs to be organized with the participation of the academic community, [...] because it has to express the feeling of this community and how it projects itself throughout its development. This feeling is important, because it is from it that we can elaborate the strategies, to achieve the goals.**

The form and moment of community participation are verified, based on the above-mentioned citation and the initial fragment of this document, it is inferred that the institutional strategies would be delimited from the results arising from the debates and discussions with the academic community, also that the participation of these agents would be direct and from the initial stages.

However, the statements of some servers and managers go against demonstrating ignorance of the way the PDI (2015-2019) of UNIFAP was prepared, something counterproductive to a strategic management process, which should be built in a participatory and democratic way together with the actors involved.

**GR02** - I did not participate in anything in the PDI of the university. In reality, it only served to give the north to the strategic planning of PROGEP.

**GR 03** - [...] we started to do the strategic planning of each Pro-Rector, **it was then that we began to have knowledge of the PDI**, including this was a very strong opinion of mine at the time, which had been "collective", **the Pro-Rectories did not know how the PDI worked.**

**TAD02** - As for the PDI, [...] I think that some unit linked to the rectorate must have sent expedients, but I do not know how the process was **prepared**. I don't even know if the goals have been achieved, there **is no such** feedback.

**TAD04** - In fact I did not participate in this **process**, it was opened, but was not widely disseminated for community participation in general. [...] was **a centrally generated instrument.**

Thus, a certain deficiency in the process of participation of the academic community in the construction of institutional strategies becomes evident. Social participation, at each stage of the strategic planning process in public universities, is fundamental for the community to fully understand the actions, work plans and all information relevant to the implementation of strategies and allows administrative continuity (SANTOS *et al.*, 2009).

From the perspective of the "Five Ps for Strategy" by Mintzberg *et al.*, (2006), the strategies of the UNIFAP IDP can be seen as: "Plan", because they are summarized in the delimitation of a range of guidelines and guiding actions to achieve institutional objectives; "Pattern", because the strategy must follow a rite previously defined by the legislation and meet the requirements of government agencies, MEC, which limits the performance of institutional management in the process of strategic formulation; also, as "Position", because it places the institution in space and defines its role in the face of environmental peculiarities.

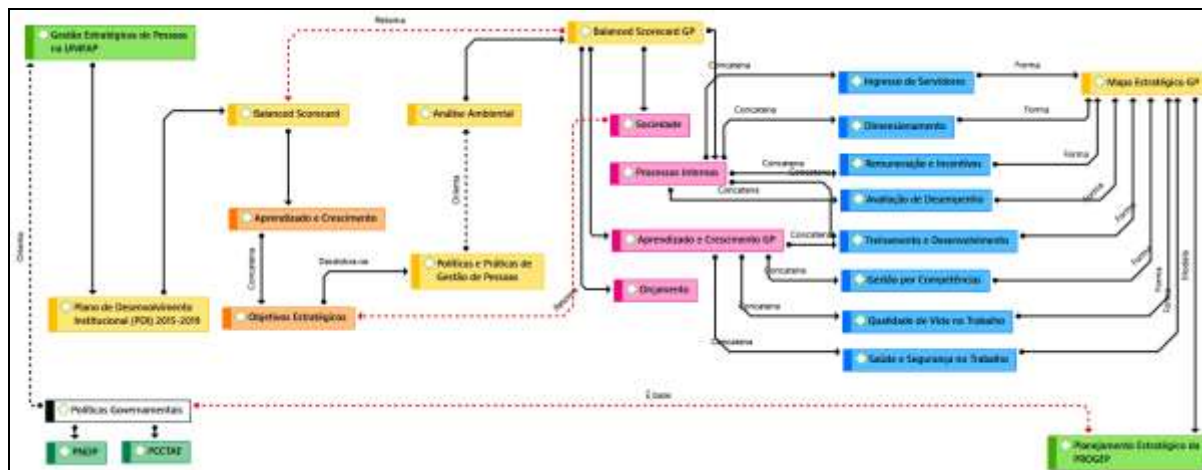
In the theoretical context of the ten planning schools, UNIFAP's Institutional Development Plan has similar characteristics with the "School of Planning", whose strategic formulation is conceived as a "Formal" process (MINTZBERG; AHLSTRAND, LAMPEL, 2010).

#### 4.2 STRATEGIC PLANNING OF PEOPLE MANAGEMENT

The need to develop people management planning became even more latent after the formulation of the Institutional Development Plan - IDP (2015-2019), in view of the need to unfold institutional strategies for the field of people management, in an aligned manner. It is noteworthy that the policies and practices of people management in the public sector are generally delimited in the governmental spheres, expressed through legislation, in this case,

by Law No. 11,091/2005 (PCCTAE) and Decree No. 5,707/2006 (PNDP). The flow of the strategic training process demonstrates and corroborates the nuances of the variables that served as the basis for the strategic management of UNIFAP people.

**Figure 2** Process of formulating strategic management of people



The flow of the figure illustrates that UNIFAP's strategic people management was initially guided by government policies, especially represented by the PNDP and PCCTAE, anchored to the IDP (2015-2019) through strategic objectives. Progep's planning process was built in partnership with professors and fellows of the UNIFAP administration course, as an extension project, promoting training to the pro-rectory's servers, where the IDP (2015-2019) and the methodologies to be used were also presented.

According to the applicants, there was direct participation of the PROGEP server team in the meetings for the process of elaborating the strategic planning. Like any other form of strategic implementation, alignment requires that the teams involved in the process be integrated and act cooperatively to achieve organizational objectives (KAPLAN; NORTON, 2006). This finding converges with the results of studies by Silva *et al.*, 2017.

The strategic objectives were concatenated in the four perspectives of the BSC (society, internal processes, learning and growth, budget), forming the strategic map of PROGEP. The objectives were deployed to the activities of the action plans of each administrative division, with the establishment of indicators and goals. The use of similar methodologies demonstrates an essential point for promoting alignment between HR strategic planning and UNIFAP's IDP (2015-2019).

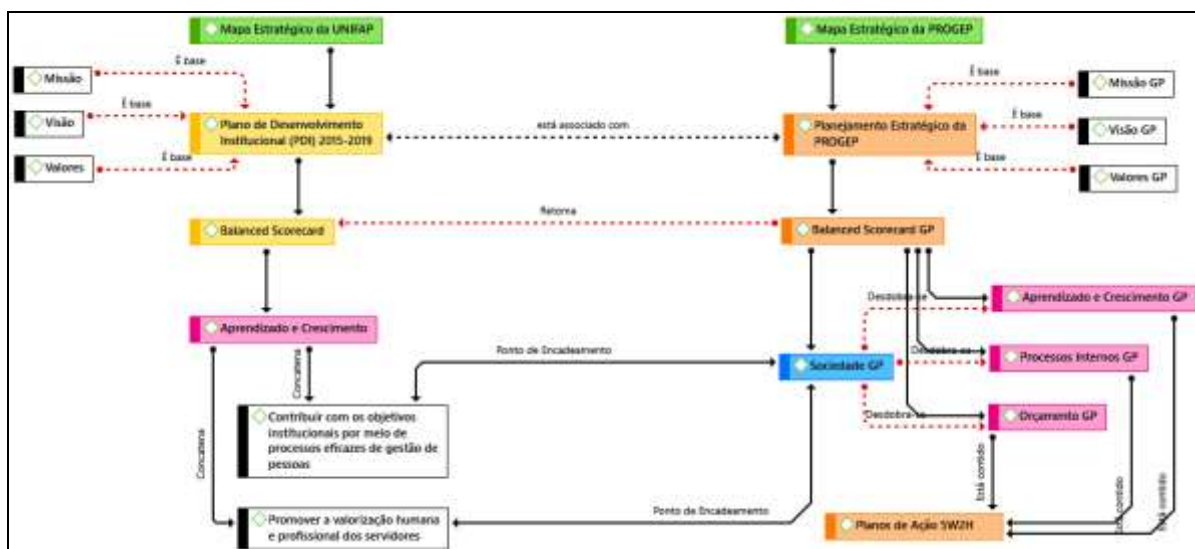
From the theoretical rescue of this study, it is noted that the strategic planning of PROGEP can be framed within the perspectives of the "School of *Planning*", because it

consists of a "Formal" process of strategic formulation, which used tools such as *BSC*, *SW2H* and Strategic Maps, as well as having similarities with the "Cultural School", whose strategic formulation is conceived as a "Collective Process", since there was social integration in the stages of planning elaboration, which considered perceptions, values and beliefs of the team that composes the Pro-Rectority (MINTZBERG; AHLSTRAND, LAMPEL, 2010).

#### 4.3 ALIGNMENT OF INSTITUTIONAL STRATEGIC MAPS

The analysis of the strategic maps of the two tools was fundamental for the construction of the following flow, whose content demonstrates how the main threads and *nuanças* between the Institutional Development Plan - IDP (2015-2019) and the Strategic Planning of PROGEP, were materialized through a process of comparability of instrumental and methodological rites, interconnected by basic and associative elements.

**Figure 3** Chaining between strategic maps



It is verified that there is symmetry between the strategic maps of the planning instruments, including similar structural arrangements, starting with the definition of strategic guidelines – mission, vision and values – with associations and chaining, as well as convergentia in dimensional order.

This organization of the organizational complex, translated into global and sectoral strategic objectives, goals and indicators, favors effectiveness in the process of implementation and control of defined strategies, since they tend to move in the same direction (BARROS, 2007; FORONI, 2014; SANTOS; NASCIMENTO; OLIVEIRA, 2018).



The threading point occurred, from two global strategic objectives situated in the Learning and Growth perspective of the IDP *BSC* (2015-2019), which were allocated in the *BSC* Society dimension of Strategic Planning of People Management, as demonstrated in the flow above, allowing the unfolding of the global philosophy for the sectoral units, where the policies and practices of people management were concatenated, distributed later in the action plans (5W2H).

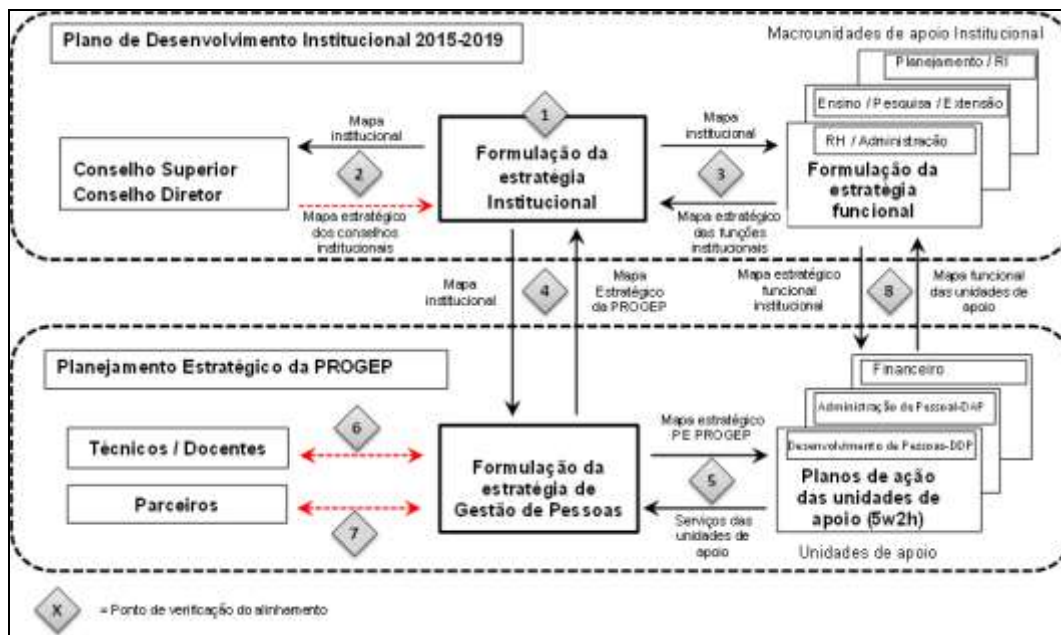
Resuming the theoretical comparison of Kaplan and Norton (2006), it was verified that: (a) both the IDP (2015-2019) and the Strategic Planning of PROGEP have "strategic consistency", because the strategy outlined has strategic objectives and well-defined indicators, a positive factor in the implementation and evaluation stage; (b) it can be considered that both instruments meet the "Organizational Alignment" aspect, because they rely on the mechanisms provided by the Strategic Map and *Balanced Scorecard*, especially to communicate the strategies to the other organizational levels; (c) regarding the "alignment of human capital", only the PROGEP Planning meets this aspect in its fullness, because it was elaborated in a participatory way, which provides the understanding of the strategies outlined, while the IDP (2015-2019) partially meets, because most of the subjects interviewed demonstrated not effectively knowing the instrument and did not participate in its elaboration; (d) with regard to the "alignment of planning and control systems", it was found that both instruments meet this aspect, because they are formally used to delineate strategies and rely on the assistance of management reports, which accompany the indicators to measure institutional performance.

#### 4.4 ALIGNMENT IN LIGHT OF KAPLAN AND NORTON MODEL

The analysis arrangement shown in the following figure exposes the alignment of UNIFAP's strategic planning process, based on the remaining nuances in the institution's internal environment, in a multidirectional way - vertical and horizontal alignment. Vertical alignment is related to the configuration of strategies, objectives, action plans and decisions at the various organizational levels, while horizontal alignment can be defined in terms of integration between functions and within functions (HEINZEN; MARINE, 2019).



Figure 4 Alignment in the UNIFAP/PROGEP planning process



Source: Adapted from the Kaplan and Norton model (2006), elaborated by the author.

Among the main milestones, checkpoint 1, the epicenter of the institutional strategy, is the institutional guidelines and policies allocated in the strategic map. UNIFAP's value proposition is found in the strategic map of the Institutional Development Plan (IDP) (2015-2019), where mission, vision, values and strategic objectives are concatenated, representing institutional policies.

Checkpoint 3, for example, represents the translation of the institutional strategy into policies and norms that will be managed by the other units of the institution (KAPLAN; NORTON, 2006). This alignment is one of the most relevant processes in the strategic scenario of UNIFAP, because the policies wrapped in the tripod teaching, research and extension, human resources, administrative, financial and international relations policies are concatenated in the strategic map of the IDP (2015-2019), in the form of strategic objectives, to allow the unfolding of institutional strategies for the various macrounits of the University, which are the Rectors.

At UNIFAP, checkpoint 4 represents the alignment between the institutional strategy and its unfolding into the field of people management at UNIFAP, whose value proposition is people management policies and practices. According to Kaplan and Norton (2006), this checkpoint represents the unfolding of institutional priorities into functional strategies, which will be developed by the organization's macrounits.

At checkpoint 5, the priorities deployed for the macrounits are grouped into the strategies implemented by the functional support units (KAPLAN; NORTON, 2006). At UNIFAP, it is possible to verify that the process of formulating PROGEP's strategies distributes people management policies and practices to the support units, represented by departments and divisions, which will develop action plans to implement these policies and practices.

Checkpoint 8 demonstrates that the strategies implemented by the support units also have a reflex relationship with the priorities of the other areas of organizational activity (KAPLAN; NORTON, 2006). Thus, it is noticeable that PROGEP's people management policies and practices have a strategic and relevant role in helping the activities developed by the other Pro-Rectories of UNIFAP, helping to disseminate the philosophy of people management in the institutional sphere.

In this respect, "by using these eight checkpoints as a reference, organizations can measure and manage the degree of alignment and, consequently, increase synergy in the organization" (KAPLAN; NORTON, 2006, p. 18).

## **5 FINAL REMARKS**

The plot of this study was to answer to the following general objective: to identify the alignment between the institutional development plan and the strategic planning of people management at the Federal University of Amapá.

It was found that the tools used to model the strategic scope of institutional planning instruments were *the Balanced Scorecard* and Strategic Maps, SWOT analysis and action plans (5w2h). At the strategic level, it was found that the Institutional Development Plan - IDP is used as a formal planning document.

As points that require corrective actions, the following stand out: the absence of a specific thematic axis to deal specifically with the strategic management of people, directly in the IDP (2015-2019) of UNIFAP; ignorance on the part of the servers of the objectives, goals and actions listed in the said document; absence of formal actions to enable the participation of the academic community in the stages of construction of the institutional strategic instrument; lack of a communication policy aimed at disseminating actions and results achieved by the IDP.

At the tactical and operational levels, it was identified that the STRATEGIC PLANNING of PROGEP was elaborated in a participatory manner, whose final product represented the feeling of the human capital of the aforementioned Pro-Rector, a practice that can be extended to the preparation of the IDP, aiming to capture the wishes of the academic community. The point of thread in the alignment of strategic maps occurred in two global strategic objectives, from the Learning and Growth perspective of the IDP BSC (2015-2019), which are interconnected with the BSC Society dimension of BSC PROGEP Strategic Planning, unfolding the institutional philosophy for the field of people management.

Regarding the points of alignment in the strategic process of UNIFAP, between the formulation of the IDP (2015-2019) and the HR Strategic Planning, from the horizontal point of view, it was found that the UNIFAP strategy is conceived from the teaching, research and extension tripod, in addition to management activities, whose management is carried out by the macro units called Pro-Rector. While PROGEP Planning is materialized by people management policies and practices, managed by departments and administrative divisions. The vertical alignment is cyclically consolidated, initially between the strategic maps of the IDP (2015-2019) and the strategic planning of PROGEP, and then between the actions offered by PROGEP divisions for the other Pro-Rectories.

It is stated that the proposed objective was achieved satisfactorily. It is suggested that this study and others similar be applied in other public institutions, aiming to identify similarities or divergences with the notes raised here. Further investigations based on this work are also suggested, aimed at identifying the main challenges faced by public institutions, for the simultaneous implementation of institutional process strategies and people management planning.

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